

Investment Objectives, Time Horizon and Attitudes

The first step in the investment management process is to determine your investor profile. It will help you understand important factors such as your investment objectives, time horizon and attitudes about risk and reward. This profile is a valuable tool you and your advisor can use to help design an appropriate investment portfolio to meet your specific needs.

Answer each question by placing an “X” next to the response that BEST matches your personal situation:

1. Which of the following best describes your investment objectives?
 - Preserving principal and earning a moderate amount of current income.
 - Generating a high amount of current income.
 - Generating some current income and growing my assets.
 - Growing my assets substantially.

2. Five years from now, what do you expect your standard of living to be?
 - The same as it is now.
 - Slightly better than it is now.
 - Much better than it is now.

3. Ten years from now, what do you expect your investment portfolio value to be?
 - The same or a little more than it is today.
 - Moderately greater than it is today.
 - Substantially more than it is today.

4. What is your current income REQUIREMENT from your portfolio?
 - More than 4%.
 - 2% to 4%.
 - 0% to 2%.

5. What do you want to do with the income generated from your portfolio?
 - Spend all the income.
 - Spend some and reinvest some.
 - Reinvest all the income.

6. What is your primary (most important) financial goal?
 - Wealth preservation.
 - Education planning.
 - Retirement planning
 - Long-term wealth accumulation.

7. What is the time frame for you to achieve your primary financial goal?
 - 0-5 years.
 - 5-10 years.
 - 10-15 years.
 - 15 years or longer.

8. What is your age?
 - Over 65.
 - 56-65.
 - 46-55.
 - Under 46.

9. You just received a substantial sum of money. How would you invest it?
 - Invest in something that offered moderate current income and was very safe.
 - Invest in something that offered high current income with moderate risk.
 - Invest in something that offered high total return (current income plus capital appreciation) with a moderately high amount of risk.
 - Invest in something that offered substantial capital appreciation with a high amount of risk.

10. How would you react if your portfolio value suddenly declined by 15%?
 - I would be very concerned because I cannot accept fluctuations in my portfolio value.
 - If the amount of income I receive is unaffected, it would not bother me.
 - I invest for long-term growth, but would be concerned about even a temporary decline.
 - I invest for long-term growth and accept temporary changes due to market fluctuations.

11. Which of the following investments would you feel MOST comfortable owning?
 - CDs (Certificates of Deposit)
 - US Government Securities.
 - Stocks of older, established companies.
 - Stocks of newer, growing companies.

12. How optimistic are you about the long-term prospects for the economy?
 - Pessimistic.
 - Unsure.
 - Somewhat optimistic.
 - Very optimistic.

I have reviewed the information I provided and my answers to each question. I represent the information and answers give a reasonable picture of my situation. I understand that any financial planning and/or investment recommendations made to me assume the information I provided is accurate and complete.

- Yes
- No

Well-diversified portfolios often include international (non-US) investments. Are there any reasons why you would NOT want to include international securities as part of your portfolio?

- No
- Yes (Please explain)

Click **here** to send this to Plaza Financial Advisors, Inc.

Investor Profile Questionnaire

Personal data:

First Name: _____ Last Name: _____
 Spouse's Name: _____ Last Name: _____
 Street Address: _____
 City: _____ State: _____ Zip: _____ - _____
 Telephone number: _____ Email address: _____
 Your date of birth: _____
 Spouse's date of birth: _____
 Number of dependents: _____
 Dependent Name: _____ Date of birth: _____
 Dependent Name: _____ Date of birth: _____
 Dependent Name: _____ Date of birth: _____
 Your social security number or employee ID number: _____
 Your occupation: _____
 Spouse's occupation: _____
 Approximate annual household income from all sources: \$ _____
 What is your anticipated retirement age? _____
 What is your spouse's anticipated retirement age? _____

Financial data:

Investment type	Non-retirement Accounts	Retirement Accounts (IRA, 401k, etc.)
Checking/savings, money markets, CDs, etc.	\$	\$
Savings Bonds, Bond Funds or Fixed Annuities	\$	\$
Municipal Bonds or Municipal Bond Funds	\$	\$
US Stocks, Mutual Funds or Variable Annuities	\$	\$
International Stocks or Int'l. Stock Mutual Funds	\$	\$
Current value of Stock Options (before taxes)	\$	\$
Your Social Security Benefit @65	\$	
Spouse's Social Security Benefit @65	\$	
Pension or retirement benefits payable @65	\$	
Non-qualified Deferred Compensation Plan	\$	
Investment Real Estate	\$	
Lump-sum Pension Value (if applicable)		\$
Other:	\$	\$