

Investor Profile Questionnaire

This brief investor profile questionnaire takes into consideration how much time you have to invest, how comfortable you are with risk, and your overall financial situation. These are all important factors to consider before deciding on a proper investment mix.

Complete the investment questionnaire and match your score with the corresponding investment objective on page 2.

QUESTION 1: What is your age?

- Over 70 years..... 1 pt.
- 60 to 70 years..... 2 pts.
- 46 to 59 years..... 3 pts.
- 36 to 45 years..... 4 pts.
- 35 and under..... 5 pts.

Points

QUESTION 2: How many years before you retire?

- Less than 4 years..... 1 pt.
- 4 to 5 years..... 2 pts.
- 6 to 10 years..... 3 pts.
- 11 to 20 years..... 4 pts.
- More than 20 years..... 5 pts.

Points

QUESTION 3: Which of the following best describes you as an investor?

- Very inexperienced..... 1 pt.
- Inexperienced..... 2 pts.
- Somewhat experienced..... 3 pts.
- Experienced..... 4 pts.
- Very experienced..... 5 pts.

Points

QUESTION 4: When you begin withdrawing from your retirement account, over what period of time will the withdrawals last?

- I plan to take a lump sum distribution..... 1 pt.
- 1 to 5 years..... 2 pts.
- 6 to 10 years..... 3 pts.
- 10+ years..... 4 pts.
- Only intend to take the minimum amount I am required to take..... 5 pts.

Points

QUESTION 5: If you owned an investment that fell by 20% over a period of one year, what would you do?

- Sell all of the investment..... 1 pt.
- Sell most of the investment..... 2 pts.
- Sell half of the investment and keep the other half..... 3 pts.
- Hold the investment and sell nothing..... 4 pts.
- Buy more..... 5 pts.

Points

QUESTION 6: What is your goal for these retirement investments?

- To avoid losing money..... 1 pt.
- To grow with caution..... 2 pts.
- To grow moderately..... 3 pts.
- To grow significantly..... 4 pts.
- To grow aggressively..... 5 pts.

Points

YOUR SCORE

Match your score with the corresponding investment objective

If your point total is 6–10:

This investment objective seeks income and principal stability, has a very low tolerance for volatility, and has a shorter-term investment horizon, typically less than 5 years.

Conservative Income Allocation

- 10% - Large Cap
- 4% - Mid Cap
- 2% - Small Cap
- 4% - International
- 79% - Fixed Income
- 1% - Cash

If your point total is 11–15:

This investment objective seeks growth potential balanced by income, has a lower tolerance for volatility, and has a medium-term investment horizon, typically 5-10 years.

Balanced Allocation

- 21% - Large Cap
- 8% - Mid Cap
- 3% - Small Cap
- 8% - International
- 59% - Fixed Income
- 1% - Cash

If your point total is 16–20:

This investment objective seeks moderate growth potential from stocks and bonds, has a moderate tolerance for volatility, including fluctuations in value, and has a longer-term investment horizon, typically 10-15 years.

Moderate Growth Allocation

- 31% - Large Cap
- 12% - Mid Cap
- 5% - Small Cap
- 12% - International
- 39% - Fixed Income
- 1% - Cash

If your point total is 21–25:

This investment objective seeks high growth potential from stocks, has a high tolerance for volatility, including fluctuations in value, and has a long-term investment horizon, typically 15-20 years.

Growth Allocation

- 39% - Large Cap
- 15% - Mid Cap
- 6% - Small Cap
- 15% - International
- 24% - Fixed Income
- 1% - Cash

If your point total is 26–30:

This investment objective seeks maximum growth potential from stocks, has a very high tolerance for volatility, including fluctuations in value, and has a long-term investment horizon, typically 20 or more years.

Aggressive Growth Allocation

- 44% - Large Cap
- 17% - Mid Cap
- 7% - Small Cap
- 17% - International
- 14% - Fixed Income
- 1% - Cash

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