

A s s e t A l l o c a t i o n Q u e s t i o n n a i r e

TO DETERMINE THE APPROPRIATE PORTFOLIO MODEL:

- Complete the following questionnaire.
- Total your scores for each answer.
- Apply your scores to the portfolio model chart.

CHOOSE THE MOST ACCURATE ANSWER AND THEN CIRCLE THE CORRESPONDING SCORE.

What is your current age?

- Over 65 1
- 50 – 65 2
- 35 – 49 3
- Under 35 4

How many dependents do you have?

- 5 or more 1
- 3 – 4 2
- 1 – 2 3
- 0 4

What is your annual gross income before deductions?

- Under \$50,000 1
- \$50,000 – \$99,999 2
- \$100,000 – \$199,000 3
- Over \$200,000 4

What is your approximate net worth in financial assets?

- Under \$250,000 1
- \$250,000 – \$500,000 2
- \$500,000 – \$1,000,000 3
- Over \$1,000,000 4

What is your time frame for achieving your financial objectives?

- 0 – 5 years 1
- 5 – 10 years 2
- 10 – 15 years 3
- Longer than 15 years 4

What is your primary financial goal?

- Wealth preservation 1
- Education funding 2
- Retirement planning 3
- Long-term wealth accumulation 4

Which of the following are you most comfortable with?

- Moderate income and safety of principal 1
- High current income and moderate risk 2
- High total return with moderate to high risk 3
- Significant return with a high degree of risk 4

How would you react to a decline in value of 10% over the next three months?

- I could not accept this amount of fluctuation 1
- It would not bother me if my income remained unaffected 2
- I would be concerned but remain invested for the long term 3
- It would not concern me because I am invested for the long term 4

Which of the following investments best exemplifies your comfort level?

- Certificates of deposit 1
- U.S. Government Securities 2
- Stocks of large established companies 3
- Stocks of newer growing companies 4

How do you feel about the long-term prospects for the economy?

- Pessimistic 1
- Unsure 2
- Optimistic 3
- Extremely Optimistic 4

Which of the following best describes your investment objectives?

- Preservation of principal with a moderate amount of income 1
- A high amount of current income 2
- Growth of assets with some income 3
- Significant growth of assets 4

What do you expect to be your standard of living five years from now?

- The same as it is now 1
- Slightly better than it is now 2
- Moderately better than it is now 3
- Significantly better than it is now 4

What do you expect your net worth from financial assets to be 10 years from now?

- The same as it is today 1
- Slightly better than it is today 2
- Moderately better than it is today 3
- Significantly better than it is today 4

What is the amount of income you expect to generate from your portfolio?

- Greater than 4% 1
- 2 – 4% 2
- 1 – 2% 3
- 0 4

Total Score _____

PORTFOLIO MODEL SELECTION CHART

If your total score is between:

- 14 and 19** All Bond Portfolio most appropriate
- 20 and 25** Conservative Portfolio most appropriate
- 26 and 31** Balanced Portfolio most appropriate
- 32 and 37** Moderate Portfolio Growth most appropriate
- 38 and 43** Growth Portfolio most appropriate
- 44 and 49** Aggressive Portfolio most appropriate

If your total score is:

- 50 or greater** All Equity Portfolio most appropriate

Client Signature

Date

INVEST Investment Adviser Representative Signature

Date

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