



Investor Profile Questionnaire

This questionnaire is designed to help us determine your investment objective, which serves as the foundation of your portfolio and guides us in making investment recommendations. Your investment objective is based on many factors, including your financial goals, tolerance for risk and time horizon.

Answer each question by circling the corresponding number in the right hand column, then total up the numbers in each section. Each person should complete a separate questionnaire. Please return this form to your Vantage Financial advisor to receive an evaluation and results report.

Client Name

Date

Time Horizon

What is your age?

56 and over	1
46-55	2
36-45	3
20-35	4

What is your primary financial goal?

Wealth preservation	1
Retirement planning	2
Wealth accumulation	3

What is the time frame for you to achieve your financial goals?

0-5 years	1
5-10 years	2
10 years or longer	3

Time Horizon Total _____

Financial Goals

Which of the following best describes your financial goals for this account?

Preserving your assets and earning a moderate amount of current income	1
Generating a high amount of current income	2
Generating some current income and growing assets over an extended time frame	3
Growing assets substantially over an extended time frame	4

How do you expect your standard of living five years from now to compare to your standard of living today?

Less than it is today	1
The same as it is today	2
Somewhat higher than it is today	3
Substantially greater than it is today	4

Five years from today, you expect your portfolio value to be:

Portfolio value is not my primary concern; I am more concerned with current income	1
The same as or slightly more than it is today	2
Greater than it is today	3
Substantially greater than it is today	4

Generating current income from your portfolio is:

- A primary concern 1
- Not important 2

What do you plan to do with the income generated from your portfolio?

- Use it for living expenses 1
- Use some and reinvest some 2
- Reinvest all income 3

Financial Goals Total _____

Risk Tolerance

You have just received a windfall of \$50,000. How would you invest it?

- I would invest in something that offered moderate current income and was very conservative 1
- I would invest in something that offered high current income with a moderate amount of risk 2
- I would invest in something that offered high total return (current income plus capital appreciation) with a moderately high amount of risk 3
- I would invest in something that offered substantial capital appreciation even though it has a high amount of risk 4

Which of the following statements would best describe your reaction if the value of your portfolio were to suddenly decline by 15%?

- I would be very concerned because I cannot accept fluctuations in the value of my portfolio 1
- If the amount of income I receive was unaffected, it would not bother me 2
- Although I invest for long-term growth, I would be concerned about even a temporary decline 3
- Because I invest for long-term growth, I would accept temporary fluctuations due to market influences . . . 4

Which of the following investments would you feel most comfortable owning?

- Certificates of deposit 1
- U.S. Government securities 2
- Blue-chip stocks 3
- Stocks of new growth companies 4

Which of the following investments would you least like to own?

- Stocks of new growth companies 1
- Blue-chip stocks 2
- U.S. Government securities 3
- Certificates of deposit 4

Which of the following investments do you feel are the most ideal for your portfolio?

- Certificates of deposit 1
- U.S. Government securities 2
- Blue-chip stocks 3
- Stocks of new growth companies 4

How optimistic are you about the long-term prospects for the economy?

- Very pessimistic 1
- Unsure 2
- Somewhat optimistic 3
- Very optimistic 4

Which of the following best describes your attitude about investments outside the U.S.?

- Unsure 1
- I believe the U.S. economy and foreign markets are interdependent 2
- I believe overseas markets provide attractive investment opportunities 3

Risk Tolerance Total _____