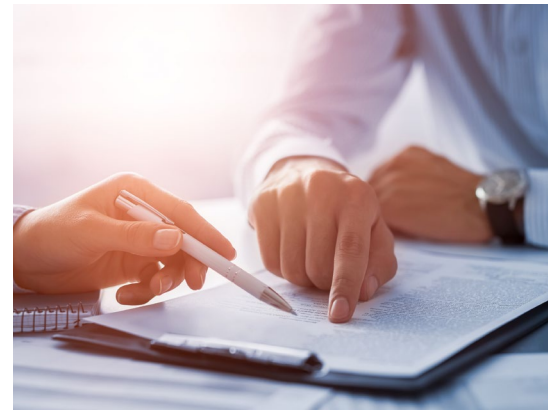


Investment Risk Profile Questionnaire



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This profile provides us with preliminary information regarding your background, financial situation, and communication preferences, which can help tailor our services for you. We will obtain additional information from you about your finances, investment objectives, and investment time horizon so we can make an appropriate portfolio recommendation for your review and approval.

Client Information

Full Legal Name _____ Date of Birth _____

Primary Mailing Address

Street _____ City _____ State _____ Zip _____

Home Phone # _____ Cell Phone # _____

E-Mail _____ Country of Citizenship _____

Marital Status Single Married Divorced Widowed

Occupation/Title _____ Employer _____

(former if retired)

Social Security # _____

Spouse or Additional Account Holder Information

Full Legal Name _____ Date of Birth _____

Primary Mailing Address

Street _____ City _____ State _____ Zip _____

Home Phone # _____ Cell Phone # _____

E-Mail _____ Country of Citizenship _____

Marital Status Single Married Divorced Widowed

Occupation/Title _____ Employer _____

(former if retired)

Social Security # _____

Risk Portfolio Questionnaire & Model Portfolio Section

This questionnaire is designed to gather information to help identify your investment objectives, time horizon and investment risk profile, in order to assist you in selecting an appropriate model portfolio.

Instructions: Select the answer that is most applicable to you. Once completed, a Risk Profile Score will be calculated for you. If you are completing the form manually, add the points in parentheses assigned to each response. The total is your Risk Profile Score.

1. What is your age?

- a. Over 66 (2.5 points)
- b. 56-65 (5 points)
- c. 45-55 (7.5 points)
- d. Under 45 (10 points)

Risk Points _____

2. How many months of cash reserves do you have outside of your investment plan?

- a. 3 months (2.5 points)
- b. 6 months (5 points)
- c. 9 months (7.5 points)
- d. Over 12 months (10 points)

Risk Points _____

3. Indicate approximately how many years from today until you need to reach your primary investment goal.

- a. Within 1 to 4 years (2.5 points)
- b. Within 5 to 10 years (5 points)
- c. Within 11 to 20 years (7.5 points)
- d. More than 20 years (10 points)

Risk Points _____

4. Which of the following statements best describes your reaction if the value of your portfolio suddenly declined by 15%?

- a. I would be very concerned because I cannot accept fluctuations in the value of my portfolio (2 points)
- b. I invest for long-term growth, and some income, but would be concerned about even a temporary decline (4 points)
- c. I invest for long-term growth but would be very concerned if the downturn were more than 15% (6 points)
- d. I invest for long-term growth and can accept some market fluctuation (8 points)
- e. I invest for long-term growth and accept market fluctuations as normal market risk for an aggressive portfolio (10 points)

Risk Points _____

5. Which of the following statements most accurately reflects your feelings about the stock market?

- a. I am uncomfortable investing in the stock market and would prefer money markets for investments (2.5 points)
- b. While I would like the ability to participate in the stock market, I prefer more conservative positions and want a sizable portion of my holdings to be in fixed incomes (5 points)
- c. I want to participate in the stock market but prefer a mix of fixed incomes and growth-oriented equities (7.5 points)
- d. I am committed to the stock market and am comfortable that, over time, I could be rewarded for the extra risks involved in growth-oriented investing (10 points)

Risk Points _____

6. When do you plan to begin withdrawing money from your investments?

- a. Less than 3 years (2.5 points)
- b. 3 to 5 years (5 points)
- c. 6 to 10 years (7.5 points)
- d. 11 years or more (10 points)

Risk Points _____

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

- a. Pessimistic (2.5 points)
- b. Unsure (5 points)
- c. Somewhat optimistic (7.5 points)
- d. Very optimistic (10 points)

Risk Points _____

8. How long are you prepared to wait for your account to return to its original value after a down market?

- a. Less than 18 months (2.5 points)
- b. Between 18 months and two years (5 points)
- c. Between two and three years (7.5 points)
- d. More than three years (10 points)

Risk Points _____

9. Which of the following best describes your investment objectives?

- a. Preserving principal and earning a moderate amount of current income (0 points)
- b. Generating a high amount of current income (2.5 points)
- c. Generating some current income and growing my assets (5 points)
- d. Moderately growing my assets (7.5 points)
- e. Growing my assets substantially (10 points)

Risk Points _____

10. What is your current annual income requirement from this portfolio?

- a. More than 4% (2.5 points)
- b. 2% to 4% (5 points)
- c. 0% to 2% (7.5 points)
- d. I don't need current income (10 points)

Risk Points _____

Total Risk Score _____