

# 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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