INVESTOR PROFILE ASSESSMENT



You are unique. Your investment strategy should reflect the kind of investor you are and the investor **you need to be**. This quiz will help **YOU** determine your investor profile and provide a guideline to help you choose the appropriate investment mix. This quiz incorporates two important components of successful investing: Time Horizon (how long you need before withdrawing your money) and Risk (the fluctuation in your account that you can tolerate).

For each question, enter the number of points that correspond to your answer. The scoring key at the end of the quiz will correspond to a specific investor profile.

1. What is your current age?

a.	Under 29	4	points
b.	30-39	3	points
c.	40-49	2	points
d.	50-59	1	point

e. Over 60..... 0 points

TOTAL POINTS

2. What stage are you in your life?

a.	Beginning Career	4	points
b.	Early-Mid Stage Career	3	points
C.	Late-Stage Career	2	points
d.	Close to Retirement (within 3 years)	1	point
e.	Retired	0	points

TOTAL POINTS

3. How many years will it be before you need to withdraw a total of 20% of your account balance for living or other expenses?

a.	Less than 2 years	0	points
b.	2-5 years	1	point
C.	5-10 years	2	points
d.	10-15 years	3	points
e.	16 or more years	4	points

TOTAL POINTS

4. Rank this statement: My retirement income will be satisfactory with only my 401(K).

- e. Strongly Disagree 4 points

TOTAL POINTS

5. The "10x Rule" is a widely accepted retirement savings benchmark. Please note the following milestones as they relate to your personal income and amount saved for retirement:

Age 30	1x Salary
Age 40	3x Salary
Age 50	5x Salary
Age 60	8x Salary

Are you 'on track' with these savings milestones based on your age/income?

- a. Not on track..... 3 points
- b. On track..... 2 points
- c. Exceeding milestones..... 1 point

TOTAL POINTS

6. How would you rate your current knowledge of investing?

a.	Limited	0	points
b.	Below Average	1	point

- c. Average..... 2 points
- d. Above Average 3 points
- e. Expert..... 4 points

TOTAL POINTS

7. What is the number of consecutive years you would be willing to accept your account performance to be flat or negative?

- a. O years..... O points
- b. 1 year 1 point
- d. 3 years 3 points
- e. 4 or more years..... 4 points

TOTAL POINTS

CONTINUED

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INVESTOR PROFILE ASSESSMENT



8. Below is a hypothetical growth of a \$100,000 investment for three accounts over the next nine years. Which portfolio would you prefer?

Portfolio 1	4 points
Portfolio 2	2 points
Portfolio 3	0 points



TOTAL POINTS

9. What is the worst 12 month percentage loss you would tolerate for your retirement savings before you would want to sell and move into more conservative funds?

a.	10%	0	points
h	20%	1	noint

ю.	2070		point
C	30%	2	noints

- e. More than 40%..... 4 points

TOTAL POINTS

10. Rank this statment: My retirement goals have been obtained.

I wish for my account to maintain its value, with some income.

a. Strongly Agree	0 points
b. Agree	1 point
c. Neutral	2 points
d. Disagree	3 points
e. Strongly Disagree	4 points

TOTAL POINTS

EVALUATION

Add up your points and match your score with the corresponding portfolio. Refer to the Investor Profile worksheet for more detail on the portfolio that matches your score from this questionnaire.

GRAND TOTAL

0-7 Points:	Conservative
8-15 Points:	Moderate Conservative
16-24 Points:	Moderate
25-32 Points:	Moderate Aggressive
33-40 Points:	Aggressive

YOUR NAME	
COMPANY NAME	
DATE	

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INVESTOR PROFILE WORKSHEET



What kind of investor are you?

The investor profiles below are intended to help guide your asset allocation decision based on your savings goals, risk tolerance, and time horizon. After you have completed the Investor Profile Assessment, find the profile that matches your score.

Conservative	Moderate Conservative	Moderate	Moderate Aggressive	Aggressive
0-7	8-15	16-24	25-32	33-40
Points	Points	Points	Points	Points

Fixed Income	Cash/Cash Equivalents	US Equity	International

49.4% 29.4%	Income	48.6%	Fixed Income US Equity	46.4% 33.6%	US Equity Fixed Income	61.0% 20.1%	US Equity International		US Equity International
15.9%	Equivalents US Equity	10.4%	International	15.3%	International	14.2%	Fixed Income	4.6%	Cash/Cash Equivalents
5.3%	International	9.6%	Cash/Cash Equivalents	4.8%	Cash/Cash Equivalents	4.7%	Cash/Cash Equivalents	0.0%	Fixed Income

Note: Weights are meant to be representative of actual model weights and may vary.

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