Investor Profile Questionnaire

Dan Goldie
Financial Services

Investor Profile Questionnaire

Personal Information:

Today's Date: ________________

Client Name: ______________________	Co-Client Name: ______________________
Gender: ❑ Male ❑ Female	❑ Male ❑ Female
Social Security #: ______________________	Social Security #: ______________________
Date of Birth: ______________________	Date of Birth: ______________________
❑ Married ❑ Single ❑ Divorced ❑ Widowed	❑ Married ❑ Single ❑ Divorced ❑ Widowed
Email Address: ______________________	Email Address: ______________________
Employment Status/Occupation:	
❑ Employed ❑ Business Owner	❑ Employed ❑ Business Owner
❑ Unemployed ❑ Retired	❑ Unemployed ❑ Retired
Annual Income: ______________________	Annual Income: ______________________
Tax Rate: ______________________	Tax Rate (if different) ______________________
Net Worth: ______________________	Net Worth (if different) ______________________
Primary Address for Account: ______________________	Secondary Address for Account ______________________
Phone: ______________________	Phone: ______________________

Family Members:

Name	Dependent	Relationship	Date of Birth

Risk Tolerance and Objectives

Choose one of the following risk levels:

❑ Conservative

❑ Moderately Conservative

❑ Moderate

❑ Moderately Aggressive

❑ Aggressive

Risk Test:

Check the boxes next to the statements that most accurately reflect your attitudes about investing.

❑ I am more concerned about protecting my assets than about growth.

❑ I am comfortable with investments that offer potential long-term appreciation and growth.

❑ I don't worry about bad investment decisions I've made.

❑ I don't like surprises.

❑ I am optimistic about my financial future.

❑ My immediate concern is for income rather than opportunities.

❑ I am a risk taker.

❑ I make investment decisions comfortably and quickly.

❑ I like predictability and routine in my daily life.

❑ I usually pick safety of principal over more risky, but higher potentially returning investments.

❑ I want to focus my investment for growth.

❑ I prefer predictable, steady returns on my investments even if the return is low.

Financial Objectives:

	Low		Medium		High
Reducing income taxes	❑	❑	❑	❑	❑
Protection from inflation	❑	❑	❑	❑	❑
Maximum investment growth potential	❑	❑	❑	❑	❑
Current spendable income from assets	❑	❑	❑	❑	❑
Liquidity (convert assets to cash)	❑	❑	❑	❑	❑

Check the boxes above that most closely represent your financial objective for each of the above statements.

Investment Assets

Taxable Assets:

Custodian	Description	Owner	Current Value	Cost Basis

Retirement Assets:

Custodian	Description	Owner	Current Value	Cost Basis

Personal Assets and Liabilities

Personal Assets:

Description	Market Value	Cost Basis	Owner	Beneficiary

Liabilities:

Description	Type	Owed To	Amount Owed	Monthly Payment	Interest Rate

Other Assets

Business and Real Estate:

Description	Market Value	Cost Basis	Owner	Beneficiary

Stock Options:

Company	Type	Grant Date	Shares	Strike Price	Vesting Date	Exercise Date

Insurance Information

Life Insurance:

Company Name	Type	Insured	Owner	Beneficiary	Premium	Death Benefit

Disability and Long Term Care Insurance:

Company Name	Type	Insured	Owner	Beneficiary	Premium	Benefit

Income and Expenses

Income:

	Earned by	Monthly	Annually
Salary and Wages			
Salary and Wages			
Self-Emplyment Earnings			
Self-Emplyment Earnings			
Interest			
Dividends			
Social Security			
Social Security			
Pension Income			
Pension Income			
Other ______________________________			
Other ______________________________			
Other ______________________________			
Other ______________________________			

Expenses:

	Description	Monthly	Annually
Mortgage			
Rent			
Property Tax			
Health Care			
Utilities			
Food			
Education			
Insurance			
Entertainment			
Automobile			
Savings/Investments			
Pension/IRA/401k			
Other ______________________________			
Other ______________________________			

Dan Goldie
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