

Name: _____

Email: _____

Mobile: _____

INVESTOR PROFILE QUESTIONNAIRE

Each Investor is unique. In order to develop an investment thesis that fits your needs, we provide this questionnaire with four components – your objectives, risk tolerance, financial sophistication and investment time horizon.

It is recommended that investors establish a separate

liquidity pool to meet short-term and emergency needs.

If investors have multiple investment objectives with different time horizons, consideration should be given to establishing dedicated portfolios to meet those objectives.

1. My primary objective is:

A. Capital Preservation

My primary account objective is for my portfolio to produce a return that is at least equal to inflation. I understand that with this objective my investments will not see a significant increase in value in order to avoid the risk of volatility.

B. Income

My primary account objective is for the portfolio to generate income. While I understand that preservation of capital may not always be consistent with this objective, I specifically am not seeking long-term capital appreciation in the value of my portfolio.

C. Total Return

My primary account objective is to seek portfolio returns through the combination of current income vehicles as well as investments with a capital appreciation goal. I understand that the value of my portfolio may vary and that the value of certain investments within my portfolio may be more volatile than others.

D. Growth

My primary account objective is to seek appreciation in the value of my portfolio. I understand that both the value of individual investments within my portfolio and the value of my overall portfolio are likely to vary significantly from time to time. While certain investments within my portfolio may generate current income, income is not my primary account objective.

E. Aggressive Growth

My primary account objective is to seek the highest gains in my portfolio, and I am not risk-averse in my selection of investments or investment strategies. I understand that the value of individual investments within my portfolio as a whole will likely experience significant fluctuation in value.

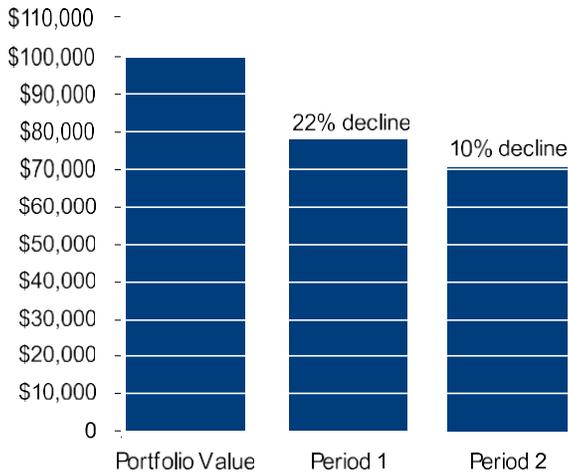
2. What do you expect your total income and investment earnings to do over the next 10 years?

- A.** Decline significantly
- B.** Decrease somewhat
- C.** Stay the same
- D.** Improve
- E.** Increase substantially

3. If you could increase your chances of improving your investment returns by increasing the investments that may fluctuate in value over time, such as stocks, and take on more risk in your portfolio, would you:

- A.** Be unlikely to take more risk?
- B.** Be willing to take a little more risk with some of my overall portfolio?
- C.** Be willing to take a lot more risk with some of my overall portfolio?
- D.** Be willing to take a lot more risk with my entire portfolio?

Use the following graph to answer questions 4 and 5.



4. If your portfolio, valued at \$100,000, declined in value to \$78,000 within a one-year period, as Period 1 represents (i.e., down 22%), what would you most likely do?

- A. Sell all the positions and move the money to safer investments.
- B. Sell only the losing investments.
- C. Sell nothing and wait for the market to recover.
- D. Buy more as the losing investments may represent

5. If the above portfolio declined by an additional 10% to \$70,200 the following year, what would you most likely do?

- A. Sell all the positions and try to avoid investments with steep decline possibilities.
- B. Sell only the losing investments and move the money to Safer investments.
- C. Sell nothing and wait for the markets to recover.
- D. Buy more as the losing investments may represent opportunity

6. Which of the following best describes the monitoring of your investments?

- A. I do not monitor my investments, nor do I have them reviewed.
- B. I monitor or have my investments reviewed periodically, but not regularly.
- C. I monitor. Or have my investments reviewed regularly, at least once per year.

7. When it comes to investing, I would describe myself as:

- A. Having to no experience.
- B. Having some experience in managed investments such as mutual funds and/or variable annuities.
- C. Experienced in managed investments such as mutual funds and/or variable annuities and/or individual stocks and bonds.
- D. Very experienced in a broad range of investments.

8. What is your investment time horizon; i.e., when will you need your invested money?

- A. 4 years or less
- B. 5 – 8 Years
- C. More than 8 years

SAMPLE: This is a sample document and as such is not intended as legal or financial advice. The information is publicly available through various regulatory and and other authorities and summarized here for your consideration. We highly recommend you consult with your legal and financial representatives before engaging in any transactions.