



Basic Information

Name:

Age:

Marital Status: Spouse Employed: Y N

Dependents: Y N Ages:

Approximate Household Income:

Current 401k Contribution Rate:

Current 401k Account Balance:

Goals

Top 3 Reasons for Meeting:

- 1.
- 2.
- 3.

Desired Outcome:

2. The assets in my 401k represent the following percentage of my total investable assets?

- A. > 75%
- B. 50%-75%
- C. 25%-50%
- D. < 25%

3. My household income over the next 3 years is most likely to do which of the following:

- A. Decline
- B. Remain the Same
- C. Increase Slightly
- D. Increase Significantly

4. How many months of living expenses could be safely covered with your current liquid investments?

- A. > 12 months
- B. 6-12 months
- C. 3-6 months
- D. < 3 months

General

1. I would describe my investment knowledge as:

- A. Extensive
- B. Good
- C. Limited
- D. None

5. Which of the following best describes your primary financial goal for this investment?

- A. Capital Preservation; "I just don't want to lose money."
- B. Current Income; "I am not concerned with long-term growth."

- C. Growth & Income; "I would like my investments to grow faster than inflation."
- D. Growth; "I am looking for growth and understand that I will likely experience large short-term fluctuations."

Time Horizon

6. I plan to retire in the following number of years:

- A. > 20 years
- B. 10-20 years
- C. 5-10 years
- D. < 5 years

7. How likely is it that you would need to prematurely withdraw a significant portion of your 401k assets to pay for a home, education, etc.?

- A. Definitely
- B. Strong Chance
- C. Possible, but Unlikely
- D. No Chance

8. If you do expect to make a significant, premature withdrawal from your account, it would be in:

- A. > 10 years
- B. 5-10 years
- C. < 5 years
- D. N/A

Risk Preference

9. If I suddenly had \$100K to invest, I would likely purchase:

- A. High growth stocks.
- B. A diversified, all-stock portfolio.
- C. A mix of stocks and bonds.
- D. A Certificate of Deposit (CD).

10. From September 2008 through November 2008, stocks lost over 31%. If I owned an investment in my 401k that lost 31% over 3 months, I would:

- A. Sell it outright.
- B. Sell a portion of the investment.
- C. Hold without further action.
- D. Buy more of the investment.

11. Below are the annual best- and worst-case scenarios for a \$10,000 investment in 5 hypothetical investment portfolios. Which range of possible outcomes is most acceptable to you?

	Worst Case	Best Case
A.	\$9,200	\$11,400
B.	\$8,500	\$12,300
C.	\$7,900	\$13,200
D.	\$7,000	\$14,100
E.	\$6,000	\$14,800