

Asset Allocation Questionnaire Investor Profile

Please circle the answers that most closely fit your investment profile. Once you have completed all the questions, please fax this profile to **UPAL** at **(918)-747-5596**. **UPAL** will tabulate the score and make a recommendation on an asset allocation for your personal investment needs.

1. What is your age?

- A. Under 35 years
- B. 36-45 years
- C. 46-59½ years
- D. 59½-70½ years
- E. Over 70½ years

2. How many years before you plan to retire?

- A. Less than 3 years
- B. 4 to 5 years
- C. 6 to 10 years
- D. 11 to 20 years
- E. More than 20 years

3. I would describe myself as a _____ investor.

- A. Very inexperienced
- B. Inexperienced
- C. Somewhat experienced
- D. Experienced
- E. Very experienced

4. What is your primary investment objective?

- A. Preserve my money/assets
- B. Generate maximum income with modest account growth
- C. Achieve moderate growth and income
- D. Achieve strong account growth with modest income
- E. Achieve maximum account growth

5. How stable do you feel your current and future income sources (e.g., salary, Social Security, pension) are?

- A. Very unstable
- B. Unstable
- C. Somewhat stable
- D. Stable
- E. Very stable

6. I am willing to accept some ups and downs in order to make money on my account balance.

- A. I strongly agree
- B. I agree
- C. I somewhat agree
- D. I disagree
- E. I strongly disagree

7. I am willing to accept lower rates of return for investments with little or no volatility.

- A. I strongly agree
- B. I agree
- C. I somewhat agree
- D. I disagree
- E. I strongly disagree

8. If my investment portfolio declined in value by 10% or more, I would move my balance to investments in which I would not expect to lose any money.

- A. I strongly agree
- B. I agree
- C. I somewhat agree
- D. I disagree
- E. I strongly disagree

9. The following table shows five examples of how \$1,000 invested in an account may increase or decrease in value after one year. With which investment would you feel the most comfortable?

	Worst Case	Average Case	Best Case
A. Investment 1	\$995	\$1,060	\$1,125
B. Investment 2	\$970	\$1,080	\$1,190
C. Investment 3	\$910	\$1,100	\$1,310
D. Investment 4	\$850	\$1,120	\$1,450
E. Investment 5	\$790	\$1,140	\$1,590

10. An investment in your portfolio that you expected to provide positive, long-term returns has declined in value. At what point would you move your money into a different investment?

- A. When the investment's value declines by 5%
- B. When the investment's value declines by 10%
- C. When the investment's value declines by 15%
- D. When the investment's value declines by 20%
- E. When the investment's value declines by 25% or more

Date: _____ **Practice Name:** _____

Signature: _____ **Name:** _____
(Please Print)

Mailing Address: _____ **City:** _____ **State:** _____ **Zip:** _____

Best Daytime Phone Number: _____ **E-mail Address:** _____