

Asset Allocation Questionnaire
Investor Profile



Utica Physicians' Association, Ltd.
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Please choose 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.

| | |
|--|--|
| <p>1. What is your age?</p> <p><input type="checkbox"/> Under 35 years <input type="checkbox"/> 36-45 years <input type="checkbox"/> 46-59½ years <input type="checkbox"/> 59½-70½ years <input type="checkbox"/> Over 70½ years</p> | <p>2. How many years before you plan to retire?</p> <p><input type="checkbox"/> Less than 3 years <input type="checkbox"/> 4 to 5 years <input type="checkbox"/> 6 to 10 years <input type="checkbox"/> 11 to 20 years <input type="checkbox"/> More than 20 years</p> |
| <p>3. I would describe myself as a _____ investor.</p> <p><input type="checkbox"/> Very inexperienced <input type="checkbox"/> Inexperienced <input type="checkbox"/> Somewhat experienced <input type="checkbox"/> Experienced <input type="checkbox"/> Very experienced</p> | <p>4. What is your primary investment objective?</p> <p><input type="checkbox"/> Preserve my money/assets <input type="checkbox"/> Generate maximum income with modest account growth <input type="checkbox"/> Achieve moderate growth and income <input type="checkbox"/> Achieve strong account growth with modest income <input type="checkbox"/> Achieve maximum account growth</p> |
| <p>5. How stable do you feel your current and future income sources (e.g., salary, Social Security, pension) are?</p> <p><input type="checkbox"/> Very unstable <input type="checkbox"/> Unstable <input type="checkbox"/> Somewhat stable <input type="checkbox"/> Stable <input type="checkbox"/> Very stable</p> | <p>6. I am willing to accept some ups and downs in order to make money on my account balance.</p> <p><input type="checkbox"/> I strongly agree <input type="checkbox"/> I agree <input type="checkbox"/> I somewhat agree <input type="checkbox"/> I disagree <input type="checkbox"/> I strongly disagree</p> |
| <p>7. I am willing to accept lower rates of return for investments with little or no volatility.</p> <p><input type="checkbox"/> I strongly agree <input type="checkbox"/> I agree <input type="checkbox"/> I somewhat agree <input type="checkbox"/> I disagree <input type="checkbox"/> I strongly disagree</p> | <p>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.</p> <p><input type="checkbox"/> I strongly agree <input type="checkbox"/> I agree <input type="checkbox"/> I somewhat agree <input type="checkbox"/> I disagree <input type="checkbox"/> I strongly disagree</p> |

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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 |
|-------|-------------------|---------------------|------------------|
| _____ | \$995 | \$1060 | \$1125 |
| _____ | \$970 | \$1080 | \$1190 |
| _____ | \$910 | \$1100 | \$1310 |
| _____ | \$850 | \$1120 | \$1450 |
| _____ | \$790 | \$1140 | \$1590 |

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?

- ___ When the investment's value declines by 5%
- ___ When the investment's value declines by 10%
- ___ When the investment's value declines by 15%
- ___ When the investment's value declines by 20%
- ___ When the investment's value declines by 25% or more

| | | | |
|------------------|--|-------------------------|-------------|
| Name: | | Practice Name: | |
| Date of Birth: | | Social Security Number: | |
| Mailing Address: | | City: | State: Zip: |
| Daytime Phone: | | Email Address: | |
| Signature: | | | Date: |