



# HENRY

WEALTH MANAGEMENT

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## INVESTOR PROFILE QUESTIONNAIRE

### Investment Planning

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#### HOW TO USE THIS FORM:

Please complete the **Personal Information** and use the **Additional Information** section to add any personal comments.

Complete the investment-related questions on **Page 2**. Notice your score on **Page 3** and be sure to click "**Submit**" to send a copy to our office via email.

DATE: \_\_\_\_\_

REFERRED BY: \_\_\_\_\_

#### PERSONAL INFORMATION:

Salutation: Dr. Mr. Mrs. Ms.

First Name: \_\_\_\_\_ Middle Initial: \_\_\_\_\_

Last Name: \_\_\_\_\_

Age: \_\_\_\_\_ Date of Birth: \_\_\_\_\_

Home Phone: \_\_\_\_\_ Cell Phone: \_\_\_\_\_

Email Address: \_\_\_\_\_

Marital Status: \_\_\_\_\_

Occupation: \_\_\_\_\_ Employer: \_\_\_\_\_

#### ADDITIONAL INFORMATION:

Please check the responses that best apply. **Check only one (1) box per question.**

**1. I plan to take withdrawals from this portfolio in:**

- a. 3-5 years
- b. 6-10 years
- c. 11-15 years
- d. More than 15 years

**2. I plan to spend the money in this portfolio over a period of:**

- a. 2 or less years
- b. 3-5 years
- c. 6-10 years
- d. 11-15 years
- e. More than 15 years

**3. When making a long term investment, I plan to hold the investment for:**

- a. 3-5 years
- b. 6-10 years
- c. 11-15 years
- d. More than 15 years

**4. In October 1987, stocks fell by more than 20% in one day. If you owned an investment that fell by 20% over a short period, what would you do?**

- a. Sell all remaining investments
- b. Sell a portion of it
- c. Hold on and do nothing
- d. Buy more of the investment

**5. To reach this financial goal, I prefer an investment with little or no fluctuation in value, and I am willing to accept the lower returns associated with these investments.**

- a. I strongly disagree
- b. I disagree
- c. I somewhat agree
- d. I agree
- e. I strongly agree

**6. During periods of market declines, I tend to sell off parts of my riskier assets and put the money into safer assets.**

- a. I strongly disagree
- b. I disagree
- c. I somewhat agree
- d. I agree
- e. I strongly agree

**7. Based solely on a brief conversation with a friend, coworker, or relative, I would invest in a mutual fund.**

- a. I strongly disagree
- b. I disagree
- c. I somewhat agree
- d. I agree
- e. I strongly agree

**8. During the first half of 1994, some bond investments fell by more than 10%. If you owned an investment that fell 10% over a short period, what would you do?**

- a. Sell all remaining investments
- b. Sell a portion of it
- c. Hold on and do nothing
- d. Buy more of the investment

**9. When it comes to investing in stock or bond mutual funds (or individual stocks and bonds), I would describe myself as:**

- a. Very inexperienced
- b. Inexperienced
- c. Somewhat experienced
- d. Experienced
- e. Very experienced

**10. How stable is your current and future income from sources such as salary, Social Security, and pension plans?**

- a. Very unstable
- b. Unstable
- c. Somewhat unstable
- d. Stable
- e. Very Stable

**11. Assuming a long term \$100,000 investment, which fund would be most comfortable for you? The funds have these potential ranges of return.**

- a. Fund A \$5,930 to (-\$1,640)
- b. Fund B \$19,210 to (-\$10,200)
- c. Fund C \$42,290 to (-\$36,390)

**✘ CLEAR ANSWERS**

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**SCORING SHEET**

Answer = Points

- |  |   |  |  |   |   |
|--|---|--|--|---|---|
| <b>1.</b><br>a. <input type="checkbox"/> = 4<br>b. <input type="checkbox"/> = 7<br>c. <input type="checkbox"/> = 12<br>d. <input type="checkbox"/> = 17                                  | <b>3.</b><br>a. <input type="checkbox"/> = 1<br>b. <input type="checkbox"/> = 3<br>c. <input type="checkbox"/> = 5<br>d. <input type="checkbox"/> = 7 | <b>5.</b><br>a. <input type="checkbox"/> = 6<br>b. <input type="checkbox"/> = 5<br>c. <input type="checkbox"/> = 3<br>d. <input type="checkbox"/> = 1<br>e. <input type="checkbox"/> = 0 | <b>7.</b><br>a. <input type="checkbox"/> = 5<br>b. <input type="checkbox"/> = 4<br>c. <input type="checkbox"/> = 3<br>d. <input type="checkbox"/> = 2<br>e. <input type="checkbox"/> = 1 | <b>9.</b><br>a. <input type="checkbox"/> = 1<br>b. <input type="checkbox"/> = 2<br>c. <input type="checkbox"/> = 3<br>d. <input type="checkbox"/> = 4<br>e. <input type="checkbox"/> = 5  | <b>11.</b><br>a. <input type="checkbox"/> = 1<br>b. <input type="checkbox"/> = 3<br>c. <input type="checkbox"/> = 5 |
| <b>2.</b><br>a. <input type="checkbox"/> = 0<br>b. <input type="checkbox"/> = 1<br>c. <input type="checkbox"/> = 3<br>d. <input type="checkbox"/> = 5<br>e. <input type="checkbox"/> = 8 | <b>4.</b><br>a. <input type="checkbox"/> = 1<br>b. <input type="checkbox"/> = 3<br>c. <input type="checkbox"/> = 5<br>d. <input type="checkbox"/> = 6 | <b>6.</b><br>a. <input type="checkbox"/> = 5<br>b. <input type="checkbox"/> = 4<br>c. <input type="checkbox"/> = 3<br>d. <input type="checkbox"/> = 2<br>e. <input type="checkbox"/> = 1 | <b>8.</b><br>a. <input type="checkbox"/> = 1<br>b. <input type="checkbox"/> = 3<br>c. <input type="checkbox"/> = 5<br>d. <input type="checkbox"/> = 6                                    | <b>10.</b><br>a. <input type="checkbox"/> = 1<br>b. <input type="checkbox"/> = 2<br>c. <input type="checkbox"/> = 3<br>d. <input type="checkbox"/> = 4<br>e. <input type="checkbox"/> = 5 |   |

**YOUR  
TOTAL  
SCORE:**

**PORTFOLIO RECOMMENDATIONS**

SCORE	ALLOCATION % Equities / % Bonds
73 - 75	100/0
70 - 72	90/10
66 - 69	80/20
61 - 65	70/30
51 - 60	60/40
44 - 50	50/50
38 - 43	40/60
32 - 37	30/70
25 - 31	20/80
18 - 24	10/90
12 - 17	0/100