



Investor Profile

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I. TIME HORIZON

What is your age?

56 and over	1
46-55	2
36-45	3
20-35	4

What is your primary financial goal?

Wealth preservation	1
Retirement planning	2
Wealth accumulation	3

What is the time frame for you to achieve your financial goals?

0-5 years	1
5-10 years	2
10 years or longer	3

Time Horizon Total _____

II. FINANCIAL GOALS

Which of the following best describes your financial goals?

Preserving principal and earning a moderate amount of current income	1
Generating a high amount of current income	2
Generating some current income and growing assets over an extended time frame	3
Growing assets substantially over an extended time frame	4

How do you expect your standard of living five years from now to compare to your standard of living today?

Less than it is today	1
The same as it is today	2
Somewhat higher than it is today	3
Substantially greater than it is today	4

Five years from today, you expect your portfolio value to be:

Portfolio value is not my primary concern; I am more concerned with current income	1
The same as or slightly more than it is today	2
Greater than it is today	3
Substantially greater than it is today	4

Generating current income from your portfolio is:

A primary concern (only if you are about to retire)	1
Not important	2

With the income generated from your portfolio, you plan to:

Use it for living expenses	1
Use some and reinvest some	2
Reinvest all income	3

Financial Goals Total _____

III. RISK TOLERANCE

You have just received a windfall of \$50,000. How would you invest it?

- I would invest in something that offered moderate current income and was very conservative 1
- I would invest in something that offered high current income with a moderate amount of risk 2
- I would invest in something that offered high total return (current income plus capital appreciation) with a moderately high amount of risk 3
- I would invest in something that offered substantial capital appreciation even though it has a high amount of risk 4

Which of the following statements would best describe your reaction if the value of your portfolio were to suddenly decline by 15%?

- I would be very concerned because I cannot accept fluctuations in the value of my portfolio 1
- If the amount of income I receive was unaffected, it would not bother me 2
- Although I invest for long-term growth, I would be concerned about even a temporary decline 3
- Because I invest for long-term growth, I would accept temporary fluctuations due to market influences 4

Which of the following investments would you feel most comfortable owning?

- Certificates of deposit 1
- U.S. Government securities 2
- Blue-chip stocks 3
- Stocks of new growth companies 4

Which of the following investments would you least like to own?

- Stocks of new growth companies 1
- Blue-chip stocks 2
- U.S. Government securities 3
- Certificates of deposit 4

Which of the following investments do you feel are the most ideal for your portfolio?

- Certificates of deposit 1
- U.S. Government securities 2
- Blue-chip stocks. 3
- Stocks of new growth companies 4

How optimistic are you about the long-term prospects for the economy?

- Very pessimistic 1
- Unsure 2
- Somewhat optimistic 3
- Very Optimistic. 4

Which of the following best describes your attitude about investments outside the U.S.?

- Unsure 1
- I believe the U.S. economy and foreign markets are interdependent 2
- I believe overseas markets provide attractive investment opportunities 3

Risk Tolerance Total _____

INVESTOR SCORECARD

Time Horizon Total x 1= _____

Financial Goals Total x 2= _____

Risk Tolerance Total x 3= _____

TOTAL SCORE _____

(The total for each section is multiplied by a number that represents the overall importance of that section when determining your investment objectives.)

Match your total score with one of the investment objectives listed below. If your score is near the top or bottom of an Adjusted Total Range, you may want to examine the next or previous objective to determine which represents your needs more accurately.

Adjusted Total Range	Investment Objective
34-57	Income with Capital Preservation
58-83	Income with Moderate Growth
84-99	Growth with Income
100-114	Growth
115-125	Aggressive Growth

The investment objectives shown are for illustrative purposes only. Your investment objective is based on many factors, including your financial situation, tolerance for risk, time horizon, and other financial needs.

Income with Capital Preservation	Income with Moderate Growth	Growth with Income	Growth	Aggressive Growth
<div> <div>INCREASING RISK, VOLATILITY, AND RETURN EXPECTATIONS</div> <div></div> </div>				
Need for capital preservation and current income	Need for current income	Equal focus on growth and current income	Little need for current income	No need for current income
No focus on growth	Moderate focus on growth	Moderate tolerance for risk	Focus on growth	Focus on aggressive growth
Lowest tolerance for risk	Low tolerance for risk	High tolerance for risk	High tolerance for risk	Highest tolerance for risk
Shortest investment horizon	Short/intermediate investment horizon	Intermediate investment horizon	Intermediate/long investment horizon	Long investment horizon