

Name: _____

Social Security #: _____

Date of Birth: _____

E-mail: _____

Address: _____

City: _____

State: _____

Zip: _____

Home Phone: () _____

Work Phone: () _____

Please place an X in the boxes that apply:

1. What is your primary investment objective?

- Preserving savings/assets
- Current income
- Growth of assets with some current income
- Growth of assets
- Maximum growth of assets

2. When do you want to reach your goal?

- Immediately (0 to 2 years)
- 2 to 5 years
- 10 to 20 years
- 20+ years

3. What is your current age group?

- Retired
- Over 55 and working
- 45 – 55
- 30 – 44
- Under 30

4. What is your current Federal income tax bracket?

	Single	Joint
<input type="checkbox"/> 15%	\$0 - 26,250	\$0 – 43,850
<input type="checkbox"/> 28%	\$26,651 – 63,550	\$43,851 – 105,950
<input type="checkbox"/> 31%	\$63,551 – 132,600	\$105,951 – 161,450
<input type="checkbox"/> 36%	\$132,601 – 288,350	\$161,451 – 288,350
<input type="checkbox"/> 39.6%	\$288,351 +	\$288,351 +

5. How important is a high level of current investment income?

- Extremely important
- Very important
- Somewhat important
- Not very important
- Not at all important

6. How long could you cover monthly living expenses with cash and other investments you currently have on hand?

- No more than a month
- Up to 3 months
- 3 to 6 months
- 6 to 12 months
- 12 months or more

7. Inflation reduces the real rate of return on your investments. How important is it for your investment returns to outpace inflation?

- Not at all important
- Not very important
- Somewhat important
- Very important
- Extremely important

8. What is your outlook for your future income and/or net worth?

- Decrease greatly
- Decrease somewhat
- Stay the same
- Increase somewhat
- Increase greatly

9. How much short-term loss of principal will you accept in any one year in exchange for a higher potential return over the long term?

- None
- Low (0-5%)
- Moderate (5-10%)
- Moderately High (10-25%)
- High (25% or more)

10. What is your tolerance for risk? i.e. how much volatility of average annual returns will you accept in exchange for a higher potential return over the long term?

- None
- Low
- Moderate
- Moderately High
- High

11. Assume your current investment portfolio is structured to achieve your long-term investment objectives; however, its value has recently begun to decline. How long are you willing to absorb losses before restructuring your portfolio?

- I am not willing to wait. Restructure now.
- Up to 6 months
- Up to 1 year
- Up to 2 years
- 2 years or more



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