

1 PERSONAL INFORMATION

Full Name: _____ Date of Birth: _____
Preferred Name: _____
Legal Address: _____
Mailing Address: _____ Same as Legal
Home Phone: _____ Cell Phone: _____
Email Address: _____ Citizenship: _____ Marital Status: _____
Preferred Method of Contact: E-mail Phone: (Cell | Home | Work) _____

2 SPOUSE INFORMATION

Full Name: _____ Date of Birth: _____
Preferred Name: _____
Home Phone: _____ Cell Phone: _____
Email Address: _____ Citizenship: _____ Marital Status: _____
Preferred Method of Contact: E-mail Phone: (Cell | Home | Work) _____

3 OCCUPATION

Your Occupation: _____ Your Job Title: _____
Employer: _____ Work Address: _____
Work Email: _____ Work Phone: _____ Years worked here? _____
Spouse Occupation: _____ Spouse Job Title: _____
Employer: _____ Work Address: _____
Work Email: _____ Work Phone: _____ Years worked here? _____

4 GENERAL INFORMATION

I would like InVested Advisors to help me with (check all that apply):

- Financial Planning Investment Management Risk Management

What are your financial goals? _____

What are your biggest concerns at this time? _____

On the scale from 0-5 how comfortable are you with your finances?

Very Uncomfortable 0 1 2 3 4 5 Very Comfortable

5 ESTATE DOCUMENTS

Do you have a Will? Yes No If yes, date of Will? _____ State Created? _____

Does your spouse have a Will? Yes No If yes, date of Will? _____ State Created? _____

Do you have a Trust? Yes No If yes, date of Trust? _____ State Created? _____

Does your spouse have a Trust? Yes No If yes, date of Trust? _____ State Created? _____

6 GETTING TO KNOW YOU

Do you have any children?

Name	Date of Birth	Child of	
		You	Spouse
1. _____	_____	_____	_____
2. _____	_____	_____	_____
3. _____	_____	_____	_____
4. _____	_____	_____	_____

Are there any special needs or concerns for any of your dependents? _____

Do you have any grandchildren?

Name	Date of Birth	Child of			
		Child 1	Child 2	Child 3	Child 4
1. _____	_____	_____	_____	_____	_____
2. _____	_____	_____	_____	_____	_____
3. _____	_____	_____	_____	_____	_____
4. _____	_____	_____	_____	_____	_____

Are there any special needs or concerns for any of your family members? _____

Willingness – How much risk are you willing to bear within your portfolio? Questions 1 – 5
 Your willingness to tolerate risk measures the emotional aspect of investing. If the level of volatility in your portfolio causes you stress, you may be invested more aggressively than you are comfortable with. If you rarely are concerned about portfolio fluctuations, you likely have a higher risk tolerance.

1

During the global financial crisis of 2007–2009, stocks lost 57% of their value from top to bottom. If you owned stocks that lost this amount in just a few months, you would:

- 1. sell all of the investment.
- 2. sell a portion of the investment.
- 3. hold the investment and do nothing.
- 4. buy more of the investment.

2

You have \$100,000 in your emergency savings fund. Your family member is starting a tech company in an up and coming industry and needs seed capital. You believe the potential upside is great but know startup companies are exposed to a lot of risk. How much of your emergency fund would you be willing to commit?

- 1. \$0
- 2. \$1,000-\$10,000
- 3. \$10,000-\$40,000
- 4. >\$40,000

3

How concerned are you about inflation (the risk your money will buy fewer goods and services in the future because of rising prices)?

- 1. My goal is to minimize swings in my portfolio’s value, even if growth does not keep pace with inflation.
- 2. My goal is for growth to at least keep pace with inflation, with the risk of modest swings in my portfolio’s balance.
- 3. My goal is for growth to exceed inflation, with the risk of modest to larger swings in my portfolio’s balance.
- 4. My goal is for growth to significantly exceed inflation, with the risk of larger swings in my portfolio’s value.

4

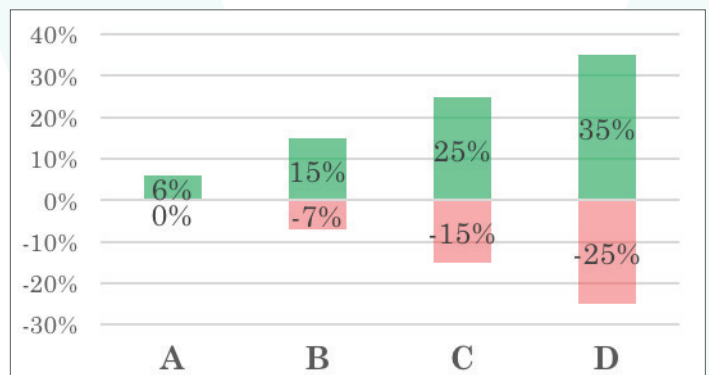
More volatile investments typically have greater potential for long term appreciation. How do you feel about fluctuations in the value of your investment portfolio?

- 1. I am uncomfortable with a fluctuating portfolio value
- 2. I am comfortable with some degree of fluctuation in order to achieve long-term results
- 3. I am comfortable with frequent portfolio volatility to achieve my growth objectives.
- 4. Portfolio volatility does not bother me.

5

For a given year, if green represents the potential for upside return and the red represents the potential downside loss, which of the portfolios would you choose from the chart to the right?

- 1. A
- 2. B
- 3. C
- 4. D



Willingness Total Score _____ (score 1 point for option 1, 2 points for option 2, etc.)

Ability – How much risk is appropriate for your portfolio needs and horizon? Questions 6 – 10
The ability to bear risk is measured in terms such as time horizon, income levels, and level of overall wealth relative to your spending needs. For example, an investor with a longer time horizon has a greater ability to bear risk as there is more time to recover losses than an investor who will need to liquidate a significant percentage of the portfolio within a few years.

6

Which most closely describes your situation for projected income?

- 1. No sources other than what can be generated by the investment portfolio
- 2. Modest income (social security, pension, etc.)
- 3. Employment or self-employment income that's expected to adequately cover all expenses
- 4. Significant income above expenses which will result in additional contributions to portfolio over time

7

When do you plan to begin taking regular/ongoing distributions from this portfolio?

- 1. Currently taking distributions
- 2. Within the next 5 years
- 3. After 5 years
- 4. No plans for distributions from the portfolio

8

Approximately what percentage of your total net worth is represented by these assets?

- 1. > 80%
- 2. 50-80%
- 3. 20-50%
- 4. < 20%

9

Do you foresee a scenario before your indicated investment time horizon where you would need to liquidate a portion of your portfolio to fund a significant expense (college education, purchase second home, wedding, funding assisted living or buying a dream car)?

- 1. Almost certainly
- 2. More likely than not
- 3. Unlikely but possible
- 4. Almost no chance

10

In terms of experience how would you describe yourself as an investor?

- 1. No or limited knowledge
- 2. Some knowledge but still uncomfortable making most decisions
- 3. Moderately knowledgeable and comfortable with investing
- 4. Very experienced

Ability Total Score _____ (score 1 point for option 1, 2 points for option 2, etc.)

RISK TOLERANCE SCORING MATRIX

Ability	20	Balanced	Growth & Income	Growth & Income	Enhanced Equity	Enhanced Equity
	16	Balanced	Balanced	Growth & Income	Growth	Enhanced Equity
	13	Balanced	Balanced	Growth & Income	Growth	Growth
	10	Enhanced Fixed Income	Balanced	Balanced	Growth & Income	Growth & Income
	7	Enhanced Fixed Income	Enhanced Fixed Income	Balanced	Balanced	Balanced
	5	7	10	13	16	20
	Willingness					

Willingness Score (from page 3): _____

Ability Score (from page 4): _____

Using scores, circle/click corresponding risk tolerance on box above. To use scoring grid, determine willingness column on horizontal axis and ability score row on vertical axis and find intersecting grid square (example willingness of 11 and ability of 15 would correspond to risk profile of "moderate").

Optional override – "I request the investment portfolios be managed to the following target risk profile irrespective of the scoring results:" (only check if you wish to override standard scoring)

Risk Tolerance	Strategic Allocation Stock / Bond	Potential Range of Stock Exposure
<input type="checkbox"/> Enhanced Fixed Income	10% / 90%	0% - 20%
<input type="checkbox"/> Balanced	50% / 50%	40% - 60%
<input type="checkbox"/> Growth & Income	65% / 35%	55% - 75%
<input type="checkbox"/> Growth	75% / 25%	65% - 85%
<input type="checkbox"/> Enhanced Equity	90% / 10%	80% - 100%
<input type="checkbox"/> Custom	_____	_____

Signature: _____ Date: _____