
Individual/Family Questionnaire

Investor Information

Name

Date

Investor Information

1 Enter Investor information. *(Note: online input space allows for up to 10 Investors to be entered)*

Investor 1

Name:	
Address:	
City:	State:
Postal Code:	Country:
Home Phone:	
Work Phone:	
E-mail:	
Social Security Number:	

Investor 2

Name:	
Address:	
City:	State:
Postal Code:	Country:
Home Phone:	
Work Phone:	
E-mail:	
Social Security Number:	

Investor 3

Name:	
Address:	
City:	State:
Postal Code:	Country:
Home Phone:	
Work Phone:	
E-mail:	
Social Security Number:	

Investor 4

Name:	
Address:	
City:	State:
Postal Code:	Country:
Home Phone:	
Work Phone:	
E-mail:	
Social Security Number:	

2 Enter all accounts about which this IPS will be concerned.

(Note: online input space allows for up to 30 Accounts to be entered)

ACCOUNT TITLE	ACCOUNT NUMBER	CUSTODIAN	APPROXIMATE MARKET VALUE OF THE ACCOUNT
TOTAL			

Enter Tax Advisor and Attorney information.

Tax Advisor Information

Name:	
Firm Name:	
Address:	
City:	State:
Postal Code:	Country:
Phone:	
E-mail:	

Attorney Information

Name:	
Firm Name:	
Address:	
City:	State:
Postal Code:	Country:
Phone:	
E-mail:	

4 Please identify anyone else who should receive a copy of this IPS.

1.
2.
3.
4.
5.

Note: online input space allows for up to 15 recipients to be entered

5 The authorized decision maker(s) for the assets under this IPS and their capacity are:

Note: online input space is unlimited

If there is more than one authorized decision maker, in what combination are the decision makers authorized to make decisions?

- Any single authorized decision maker is authorized to act alone, without limitation
- Any decision in which a majority of the decision makers approve
- All authorized decision makers must agree unanimously in order to direct future policy
- Other. Please describe:

Note: online input space is unlimited

6 If another Investment Advisor is managing a portion of this portfolio, enter the Advisor's contact information.

Advisor Name:	
Firm Name:	
Address:	
City:	State:
Postal Code:	Country:
Phone:	
E-mail:	

Background Information

7 Provide information about any relevant circumstances or issues not covered above.

Investor Circumstances

Note: online input space is unlimited

8 What factors, if any, might impact how this money should be managed?

Note: online input space is unlimited

Economic Assumptions

9 Prospects for the future.

In general, how would the Investor describe their own outlook for the time periods listed?

1 Year:

- Very Positive
- Modestly Positive
- Neutral
- Modestly Negative
- Very Negative
- Unsure

5 Years:

- Very Positive
- Modestly Positive
- Neutral
- Modestly Negative
- Very Negative
- Unsure

10 Years:

- Very Positive
- Modestly Positive
- Neutral
- Modestly Negative
- Very Negative
- Unsure

What is the Investor's outlook on inflation for the time periods?

1 Year:

- It will increase
- It will be steady
- It will decrease

5 Years:

- It will increase
- It will be steady
- It will decrease

10 Years:

- It will increase
- It will be steady
- It will decrease

Investment Objectives

10 Please describe the investment goals/objectives for this portfolio.

Note: online input space is unlimited

11 Which of the following is the Investor's primary objective for this investment portfolio?

- To assure the safety of the principal.
- To generate income.
- To achieve a particular investment goal.
- Growth.
- To accumulate assets for retirement.
- Other. Please explain:

Note: online input space is unlimited

12 Notwithstanding the above question, most of us have several objectives relating to our investments. Please rank the following objectives in order of importance to the Investor, with 1 being the most important.

- _____ Safety/Capital Preservation (without regard to inflation).
- _____ Capital Preservation (adjusted for inflation).
- _____ Growth.
- _____ Liquidity.
- _____ Current Income.
- _____ Other. Please explain:

Note: online input space is unlimited

13 Achieving the Investor's goals

- There is a target investment return for this client. (If this box is left blank, please skip the remainder of this question.)

What rate of return, after fees and expenses,
does the Investor need to achieve to meet their goals? _____ %

What is the net rate of return above inflation? _____ %

Time Horizon

14 What is the Investor's Time Horizon for this portfolio?

Investment Time Horizon refers to the number of years the Investor expects the portfolio to be invested before substantial withdrawals will be made from the portfolio.

Withdrawals:

a. When will distributions be required from this portfolio?

- Withdrawals are not expected to be needed from this portfolio any time soon.
- Withdrawals will begin immediately, and will occur every:
(if you check this, please also complete part **b** below)
- month quarter six months year
- Withdrawals will be needed, beginning in approximately:
- 3 years 5 years 10 years more than 10 years
- Withdrawals are expected to be needed in another time period, described as follows:

Note: online input space is unlimited

b. For immediate withdrawals, the annualized amount of those withdrawals will be:

\$ _____ or _____%

If the immediate withdrawal amount is to be based on a percentage of the portfolio, how often will the withdrawal amount be recalculated?

- End of the prior year
- Beginning of each current year
- Other, please describe:

Note: online input space is unlimited

Tax Considerations

15 Does the Investor pay federal or state income taxes?

Yes No

If yes, at what top marginal federal tax bracket? _____ %

16 If state taxes are applicable, the Investor's top marginal state tax bracket will be:

_____ %

17 What tax considerations should be kept in mind in managing the portfolio? (select all that apply)

- The portfolio is entirely tax deferred. Tax minimization is not a concern for this investment portfolio.
- Investor has tax loss carry-forwards which can be utilized to reduce future taxes.
- Investor wishes that this portfolio be managed to minimize taxes.
- Other:

Note: online input space is unlimited

18 Will this portfolio be managed to improve tax efficiency?

Yes No

If yes, describe how the portfolio will be managed to improve its tax efficiency:

Note: online input space is unlimited

Investment Policy Items

19 When cash (money market funds, bank CDs, etc.) is kept as part of a portfolio, some investors want or need a specific portion to remain as cash, so it can be easily used. As part of this investment portfolio the Investor wishes to maintain:

- No minimum liquidity needs (cash is handled separately).
- A minimum of _____% of total investments in cash/cash equivalents.
- At least \$_____ in cash/cash equivalents.

For how long will these needs apply?

Note: online input space is unlimited

20 Do you want to impose any portfolio restrictions or constraints?

- Yes No

21 Requested portfolio restrictions or constraints

Maximum average bond maturities at no more than _____ year(s)

Maximum individual bond maturity should be no more than _____ year(s)

Maximum portion of portfolio in a single fund at no more than _____%

Maximum portion of portfolio in a single security at no more than _____%

Describe any other investment considerations or specific restrictions requested by the Investor in the management of this portfolio:

Note: online input space is unlimited

22 Describe any socially responsible concerns or other issues that the Investor would like to see reflected in the portfolio in this portfolio.

Note: online input space is unlimited

23 Periodically, it is appropriate that the Investor and the Advisor review the relationship and the policies being implemented. How often will the Advisor and the Investor review and update this IPS?

- Annually
- Every two years
- Every three years
- Every four years
- Every five years

24 How frequently would the Investor like to meet to discuss the investments?

- Weekly
- Monthly
- Quarterly
- Semi-annually
- Annually
- Never