

**OCTOBER EFFECT LTD. INFORMATION QUESTIONNAIRE** last updated 5/7/2020

Name \_\_\_\_\_ Birth date \_\_\_/\_\_\_/\_\_\_ SS# \_\_\_\_\_

Occupation \_\_\_\_\_ cell phone \_\_\_\_\_ email \_\_\_\_\_

Work Phone \_\_\_\_\_ Home Phone \_\_\_\_\_ Fax \_\_\_\_\_

Business Address \_\_\_\_\_

Spouse Name \_\_\_\_\_ Birth date \_\_\_/\_\_\_/\_\_\_ SS# \_\_\_\_\_

Occupation \_\_\_\_\_ cell phone \_\_\_\_\_ email \_\_\_\_\_

Work Phone \_\_\_\_\_ 2<sup>nd</sup> Home Phone \_\_\_\_\_ Fax \_\_\_\_\_

Business Address \_\_\_\_\_

Home Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

Children/Age \_\_\_\_\_

Preferred place to leave a message: voicemail – work/ home, email or fax \_\_\_\_\_

Net Worth \_\_\_\_\_ Invest Assets \_\_\_\_\_ Income \_\_\_\_\_ Living Cost \_\_\_\_\_

**Financial Objective:** Accumulation Consolidation Spending Gifting Liquidation  
**Market Objective:** Income Gr & Inc. Growth Agg Inc Agg Derivative

**Risk Profile:** L M H **Risk Ability:** L M H **Risk Willingness:** L M H **Risk Score** C of \$ \_\_\_\_\_

**Retirement Age** \_\_\_\_\_ **Retirement Income** \_\_\_\_\_ **Inflation Rate** \_\_\_\_\_ **Tax Rate** \_\_\_\_\_

**Client CD Rate goal** \_\_\_\_\_ **Special Needs** \_\_\_\_\_ **Investment Limitations** \_\_\_\_\_

**HOW MUCH RISK TO TAKE/ ASSET ALLOCATION**

Check	Target	2SD	Allocation Type	Minimum	Cash or Fixed Income	Equities
One pool	Range					
<input type="checkbox"/>	3-5%	+/- 8	1. Income	35	35-100%	0-80%
<input type="checkbox"/>	6-9%	+/- 16	2. Growth & Income	15	15-60%	40-90%
<input type="checkbox"/>	9-12%	+/- 22	3. Growth	5	5-55%	45-95%
<input type="checkbox"/>	12-20%	+/- 20	4. Aggressive Income	20	20-100%	0-80%
<input type="checkbox"/>	25-35%	+/- 40	5. Agg. Derivatives	10	10-100%	0-90%

This information is true and correct to the best of my knowledge. **NOTE:** The target return range can be a loss.  
 Go to [www.financialplanning-vab.com](http://www.financialplanning-vab.com) to complete The Color of Money.

Signature \_\_\_\_\_ date \_\_\_\_\_ Signature \_\_\_\_\_ date \_\_\_\_\_