

### INVESTMENT OBJECTIVE QUESTIONNAIRE

This self-scoring questionnaire will help us determine your investment objective, which guides us in making investment recommendations. Answer each question by writing the corresponding number in the box to the right of each question, then total the numbers.

#### Time Horizon

Score

1. What is the TOTAL time frame in which you hope to achieve your financial goal (accumulation + distribution phase)?
  - a. 1 – 4 years.....1
  - b. 5 – 9 years..... 2
  - c. 10 – 14 years.....3
  - d. 15 years or longer .....4
  
2. When will you need to start the distribution phase (withdrawing money from your portfolio)?
  - a. 0 – 5 years.....1
  - b. 6 – 9 years..... 2
  - c. 10 years or longer.....3



#### Risk Tolerance

3. Which statement below best describes your 'risk tolerance'?
  - a. **Low:** Minimize significant fluctuations.....1
  - b. **Moderate:** Balance of income with longer-term growth .....2
  - c. **High:** Maximize account value.....3

**TOTAL SCORE:**

**Now match your TOTAL SCORE with one of the investment objectives listed below:**

- |   |  |
|---|--|
| <p><b>3-4: <i>Income with Capital Preservation</i></b></p> <p>Emphasis is placed on current income and preventing capital loss.</p> | <p><b>Potential Stock Allocation Range: &lt; 30%</b></p> |
| <p><b>5: <i>Income with Moderate Growth</i></b></p> <p>Emphasis is placed on current income with modest capital growth.</p>         | <p><b>Potential Stock Allocation Range: 30%-50%</b></p>  |
| <p><b>6-7: <i>Growth with Income</i></b></p> <p>Emphasis is placed on modest capital growth with some focus on current income.</p>  | <p><b>Potential Stock Allocation Range: 50%-75%</b></p>  |
| <p><b>8-9: <i>Growth</i></b></p> <p>Emphasis is placed on achieving high long-term growth and capital appreciation.</p>             | <p><b>Potential Stock Allocation Range: 75%-90%</b></p>  |
| <p><b>10: <i>Aggressive Growth</i></b></p> <p>Emphasis is placed on aggressive growth and maximum capital appreciation.</p>         | <p><b>Potential Stock Allocation Range: &gt; 90%</b></p> |

*Content in this material is for general information only and not intended to provide specific advice or recommendations for any individual. There is no guarantee that a diversified portfolio will enhance your overall returns or outperform a non-diversified portfolio. Diversification or asset allocation does not protect against market risk. There's no guarantee that the investment objective will be achieved.*