## GENERATIONAL

Wealth Management
A Registered Investment Advisor

## Investment Profile Questionnaire

This comprehensive, personal financial summary is designed to help you take inventory and assign realistic values to your personal assets and liabilities. It is the essential first step in organizing your financial future. At Generational Wealth Management, our goal is to help you make the right decisions for your financial future. The information you provide in this questionnaire will assist us in making sound recommendations with confidence.

## BASIC INFORMATION:

| Your Name |  | Nickname | Age | Birth date (mm/dd/yyyy) |
| :---: | :---: | :---: | :---: | :---: |
| Spouse's Name |  | Nickname | Age | Birth date (mm/dd/yyyy) |
| Residence Address |  | City | State | Zip |
| Mailing Address |  | City | State | Zip |
| Home Phone | Cell Phone | Fax | E-mail Address |  |
| How did you hear about Generational Wealth Management? |  |  |  |  |
| DEPENDENTS: |  |  |  |  |
| Relationship | Age |  |  |  |
| Relationship | Age |  |  |  |
| Relationship | Age |  |  |  |
| Relationship | Age |  |  |  |

## OCCUPATION:

## FAMILY ASSETS:

## PERSONAL

Primary residence
Vacation home/second residence
Automobile(s)
Other personal assets

Other personal assets
Total personal assets

LIQUID AND INVESTMENT

## Cash

$\qquad$
$\qquad$ \$ $\qquad$
Fixed
Bonds and bond mutual fund $\qquad$ \$ $\qquad$
Bonds and bond mutual funds

## Equity

| Stocks and stock mutual funds |  |
| :--- | :--- |
| Stocks and stock mutual funds |  |

Other investment assets $\qquad$
Total liquid and investment assets

## RETIREMENT

IRA
IRA
Qualified retirement plan (e.g., 401(k))
Qualified retirement plan (e.g., 401(k))
Annuities
Other retirement assets
Total retirement assets

## TOTAL ASSETS

\$
(add personal assets, liquid and investment assets, and retirement assets)

* Indicate whether the asset is owned by you, a second person, or jointly.
** Indicate whether the purpose of the asset is for cash reserves, education, an accumulation goal, or retirement.


## FAMILY LIABILITIES:



## TOTAL LIABILITIES

*** Indicate whether the debtor of the liability is you, a second person, or both.

## FAMILY INCOME:

## ANNUAL INCOME

Employment (wages, salaries, bonuses)
Self-employment/business income
Social Security benefits
Other government benefits
Taxable investment income
Nontaxable investment income
Pensions (if currently receiving)
Other income - taxable $\qquad$
Other income - nontaxable $\qquad$

## Total annual income

COMBINED TOTAL ANNUAL INCOME
$\qquad$

## FAMILY EXPENSES:

Fixed

Variable $\qquad$
TOTAL $\qquad$

## GENERAL:

Are you anticipating any major lifestyle changes?No Uncertain (i.e., marriage, divorce, retirement, moving, etc.)

If so, what changes are you expecting?
Are you comfortable with your current cash flow?
Do you anticipate any significant changes in your cash flow?
Do you anticipate any major expenditure in the near future?
$\qquad$
If so, what expenditures are you expecting? $\qquad$

## PROTECTION:

Do you have any current health problems?
Do you have adequate medical coverage?
Do you have disability coverage?
Do you have personal liability coverage?
Amount? $\qquad$
Do you have enough life insurance?YesNoUncertainYesNoUncertainYesNoUncertainYesNoUncertain

Amount? $\qquad$NoUncertain

Do you have an emergency fund (money set aside in savings)?YesNoUncertain

## ESTATE PLANNING:

Do you have updated/adequate wills?
Have you established any trusts?YesNo $\square$ Uncertain

Will you be receiving a significant inheritance?
YesNoUncertain

Have you adequately considered estate taxes?
Have you provided adequate estate liquidity for your heirs?
Is proper titling a concern?
YesNoUncertain

Do you have long-term health care coverage?NoUncertainNo $\square$ UncertainNoUncertain$\square$ Uncertain

## QUESTIONS:

Please list any questions you may have: $\qquad$
$\qquad$
$\qquad$

## GOALS:

What are your major objectives for your investments?Current and future income
$\square$ Keeping ahead of inflationPreserving capital
$\square$ Increasing returnsBuilding wealth for heirs

| Investment Goals | Low Priority |  |  | High Priority |  |  |  |  |  |
| :--- | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: |
| Return should exceed inflation rate | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| 10 |  |  |  |  |  |  |  |  |  |
| Principal should be safe | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| 10 |  |  |  |  |  |  |  |  |  |
| Investments should be liquid | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| (immediately accessible) |  |  |  |  |  |  |  |  |  |

## INVESTOR EXPERIENCE \& HISTORY:

How much investing experience do you have (in years)?
Stocks $\qquad$ Mutual Funds $\qquad$
Bonds $\qquad$ Variable Annuities $\qquad$
REIT's $\qquad$
Options $\qquad$

I expect to start drawing income from this investment:Not for at least 20 yearsIn 10 to 20 yearsNot now, but within 5 yearsImmediatelyIn 5 to 10 years

For this investment my goal is:To grow aggressivelyTo grow with cautionTo avoid losing money
Assuming normal market conditions, what would you expect from this investment over time?To generally keep pace with the stock marketTo trail the stock market, but make a decent profitTo have a high degree of stability, but only modest profits
Suppose the stock market performs unusually poorly over the next decade. Then what would you expect from this investment?I will be OK if I lose moneyTo make a small gainTo be little affected by what happens in the stock market
Which of these statements would best describe your attitude about the next three years' performance of this investment?I'll be OK if I lose moneyI want to at least break evenI need at least a small profit
Which of these statements would best describe your attitude about the next three months' performance of this investment?Who cares? One calendar quarter means absolutely nothingIf I suffered a loss of greater than $10 \%$ I'd get concernedI can tolerate only small short-term losses
The following graph shows the possible outcomes (best, average and worst case scenario) of 10,000 invested in three different hypothetical portfolios over one year. Select the portfolio that best matches how you would have invested the money.


| 1. What is your current age? Over 65 years old (1) 55-64 years old (2) 45-54 year old (4) 30-44 year old (6) 18-29 years old (8) | 6. Which statement best reflects your attitude toward taking risk in order to counter the effects of inflation? I want to avoid risk, no matter the effect of inflation (2) I am willing to assume a moderate level of risk in an effort to stay ahead of inflation (3) I am willing to accept a substantial level of risk in an effort to significantly outpace inflation. (6) |
| :---: | :---: |
| 2. When do you plan to retire? Already retired (0) $1-5$ years (1) 6-10 years (3) 11-20 years (6) 21 or more years (8) | 7. When monitoring the performance of your portfolio, which of the following are you most concerned with? Not meeting expected returns (6) Long-term erosion of principal (2) Short-term fluctuations in portfolio value (4) Not keeping up with inflation (3) |
| 3. When do you plan to begin withdrawing funds from your investment accounts? 1-5 years (1) 6-10 years (3) 11-15 years (6) 16 or more years (8) | 8. Which of the following statements best describe how you feel about fluctuations in the value of your portfolio? I have no tolerance for fluctuations (1) I feel somewhat uncomfortable with fluctuations (3) I do not mind seeing fluctuations (6) |
| 4. How many months could you continue to meet all your living expenses from existing cash and cash equivalents if you suddenly lost your income? Less than one month (0) 2-3 months (2) 4-6 months (4) More than 6 months (6) | 9. If you were to select between these two investments with these annual returns, which would you select? <br> Year 1 Year 2 Year 3 Year 4 Year 5 $\mathrm{A}+10 \% \quad+54 \% \quad-30 \% \quad+2 \% \quad+18 \%$ (6) B $+5 \%+9 \%+3 \%+7 \%+8 \%(3)$ |
| 5. How long do you anticipate being retired? Many experts suggest you should plan as though you will live into your 90s. $1-5$ years (1) 6-10 years (3) 11-20 years (6) 21 or more years (8) | 10. You bought a growth stock investment about one year ago. You hear on the evening news that the stock just dropped $10 \%$. You would be inclined to: Sell the investment (1) Hold onto it (4) Buy more (6) |

## Scoring Key:

<= $18=$ Income and Preservation
19-24 = Capital Preservation
25-31 = Conservation Growth
32-37 = Growth \& Income
38-47 = Balanced Growth
48-57 = Growth
$>=58=$ Aggressive Growth

I have reviewed the results of my Investment Profile Questionnaire.

| Client Signature | Date | Print Name |
| :---: | :---: | :---: |
| Client Signature | Date | Print Name |

## Thank You.

Any rates of return shown are for illustrative purposes only and are neither guaranteed nor implied.
Actual rates of return will be based upon the actual performance of selected investments.
Taxes and fees are not a consideration in the illustrated returns.
Advisory services offered through Generational Wealth Management, an SEC registered investment adviser. Private Client Services and Generational Wealth Management are unaffiliated entities. All products and services are offered in states where advisors are registered. For a list of approved states please contact us.

