



## MUTUAL FUND STRATEGIST, LTD.

asset management | advisory newsletter

### Prospective Client Questionnaire

Your Name \_\_\_\_\_

Your Age \_\_\_\_\_ Spouse's Age \_\_\_\_\_ Children's Ages \_\_\_\_\_

Your Occupation \_\_\_\_\_ Spouse's Occupation \_\_\_\_\_

**1. When do you expect to need to withdraw cash from your investment portfolio?**

- a) Currently withdrawing.
- b) In less than 1 year.
- c) Within 1 to 2 years.
- d) Within 2 to 5 years.
- e) Within 5 to 10 years.
- f) Not for at least 10 years.

**2. What are your return expectations for your portfolio?**

- a) I don't care if my portfolio keeps pace with inflation; I just want to preserve my capital.
- b) My return should keep pace with inflation, with minimum volatility.
- c) My return should be slightly more than inflation, with only moderate volatility.
- d) My return should significantly exceed inflation, even if this could mean significant volatility.

**3. How would you characterize your personality?**

- a) I'm a pessimist. I always expect the worst.
- b) I'm anxious. No matter what you say, I'll worry.
- c) I'm cautious but open to new ideas. Convince me.
- d) I'm objective. Show me the pros and cons and I can make a decision and live with it.
- e) I'm optimistic. Things always work out in the end.

**4. When monitoring your investments over time, what do you think you will tend to focus on?**

- a) Individual investments that are doing poorly.
- b) Individual investments that are doing very well.
- c) The recent results of my overall portfolio.
- d) The long term performance of my overall portfolio.

**5. Suppose you had \$10,000 to invest and the choice of 5 different portfolios with a range of possible outcomes after a single year. Which of the following portfolios would you feel most comfortable investing in?**

- a) Portfolio A, which could have a balance ranging from \$9,900 to \$10,300 at the end of the year.
- b) Portfolio B, which could have a balance ranging from \$9,800 to \$10,600 at the end of the year.
- c) Portfolio C, which could have a balance ranging from \$9,600 to \$11,000 at the end of the year.
- d) Portfolio D, which could have a balance ranging from \$9,200 to \$12,200 at the end of the year.
- e) Portfolio E, which could have a balance ranging from \$8,400 to \$14,000 at the end of the year.

**6. If the value of your investment portfolio dropped by 20% in one year, what would you do?**

- a) Fire my investment advisor.
- b) Move my money to more conservative investments immediately to reduce the potential for future losses.
- c) Monitor the situation, and if it looks like things could continue to deteriorate, move some of my money to more conservative investments.
- d) Consult with my investment advisor to ensure that my asset allocation is correct, and then ride it out.
- e) Consider investing more because prices are so low.

**7. Which of the following risks or events do you fear most?**

- a) A loss of principal over any period of 1 year or less.
- b) A rate of inflation that exceeds my rate of return over the long term, because it will erode the purchasing power of my money.
- c) Portfolio performance that is insufficient to meet my goals.
- d) Portfolio performance that is consistently less than industry benchmarks.
- e) A missed investment opportunity that could have yielded higher returns over the long term, even though it entailed higher risk.

**8. Please describe your current investments.**

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**9. Please describe your current investment strategy and where your assets are custodied.**

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**10. In percentage terms, how much of your total investments do you anticipate your contemplated account with us would represent, not including your home?** \_\_\_\_\_

**11. Would you restrict us from investing your account in certain mutual funds or ETFs?**

a) No    b) Yes, as follows \_\_\_\_\_

**12. Is the account taxable or tax-deferred, or a combination of both?**

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**13. How did you become familiar with our managed account service?**

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**14. What prompted you to contact us?**

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