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## Investor Profile Questionnaire

The Strategic Wealth Management Investor Profile Questionnaire is designed to help your advisor build an investment portfolio calculated to perform to your investment profile.

The questionnaire will identify such important factors as investment objective, time horizon, and attitudes towards investing and risk by posing questions about your goals, willingness to incur investment volatility and other factors through the use of direct questions and hypothetical situations. The scoring grid will then direct us to the appropriate model.

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## Investor Profile Questionnaire

**1. What is your age?**

- 30 years or under = 5
- 31 – 49 = 4
- 50 – 65 = 3
- 66+ = 1

**2. Assume you are investing \$100,000 and have the following hypothetical portfolios from which to choose. The dollar values below represent the two possible values of these portfolios after one year – low and high. Assuming there is an equal chance of achieving either result (low or high), indicate which portfolio represents the maximum risk/return trade-off you would be willing to accept.**

	<u>Low</u>	<u>High</u>	
<input type="radio"/> Portfolio 1:	\$100,000	\$105,000	= 1
<input type="radio"/> Portfolio 2:	\$95,000	\$115,000	= 1.5
<input type="radio"/> Portfolio 3:	\$90,000	\$125,000	= 2
<input type="radio"/> Portfolio 4:	\$85,000	\$135,000	= 3
<input type="radio"/> Portfolio 5:	\$75,000	\$150,000	= 4
<input type="radio"/> Portfolio 6:	\$65,000	\$160,000	= 5

**3. Keeping in mind your investment goals for your account and your tolerance for short-term market fluctuations, where would you place yourself on the following risk tolerance scale?**

- 1 (least risk tolerant) = 1
- 2 = 1.5
- 3 = 2
- 4 = 2.5
- 5 = 3
- 6 = 3.5
- 7 = 4
- 8 = 4
- 9 = 4.5
- 10 (most risk tolerant) = 5

**4. Your investable assets are:**

- Greater than your current income = 4
- Less than your current income = 2

**5. Over the next several years, you expect your annual income to:**

- Stay about the same = 3
- Grow moderately = 4
- Grow substantially = 5
- Decrease moderately = 2
- Decrease substantially = 1

**6. What do you expect to be your next major expenditure?**

- Buying a house = 4
- Paying for a college education = 2
- Providing for retirement = 1
- Capitalizing a new business = 5

**7. When do you expect to use the bulk of the money you are accumulating in your investments?**

- Any time in the coming months. Liquidity is highly important. = 1
- Probably in the future – 1 to 5 years from now. = 2
- 6 – 10 years from now. = 3
- 11 – 20 years from now. = 4

**8. Hedge funds may be useful in reducing the risk associated with investing. Which of the following best describes your situation:**

- I have a strong interest in minimizing the risk associated with investing. Wealth preservation is my highest priority. = 2
- I have a moderate interest in minimizing my investment risk. I prefer an investment portfolio with a balanced risk versus return ratio. = 3
- I am only slightly concerned with the amount of risk associated with my investment portfolio. High returns are my top priority. = 5

**9. What is the investment time horizon most appropriate for this account?**

If you are highly concerned about volatility and looking for short-term results, answer “1 Year”. If you are less concerned with volatility and are looking to maximize long-term performance, answer “8+ years”.

- 1 year = 1
- 1 – 3 years = 2
- 4 – 7 years = 3.5
- 8+ years = 5

**10. Which of these plans would you choose for your investment dollars?**

- You would opt for maximum diversity, dividing your portfolio among all available investments, including those ranging from highest return-greatest risk to lowest return-lowest risk. = 1
- You are concerned about having too much exposure to any single asset class. You would divide your portfolio between two investments with high rates of return and moderate risk. = 3
- You would put your investment dollars in the investment with the highest rate of return and most risk. = 5

**11. If you were to invest in one stock mutual fund, which of the following would you choose?**

- A fund that invests in companies holding the potential to make significant technological breakthroughs, and whose stocks are still at their low initial offering prices. = 5
- A fund that only invests in established, well-known companies that have potential for continued growth. = 3
- A broadly diversified fund devoted to well-established, “blue chip” companies that pay dividends. = 1

**12. Assume you are investing in a bond. Which of the following would you choose?**

- A “high yield bond” that offers a higher yield than most other bonds, but also has a higher risk of default than investment grade bonds. = 5
- A “treasury bond”, which offers a relatively low interest rate, but is backed by the United States Government. = 1
- The bond of a well-established company that offers a yield and a level of risk somewhere between a treasury bond and a high yield bond. = 3
- A “tax-free bond” – because minimizing taxes is your primary investment objective. = 2

**13. Select the answer below which best reflects your investment philosophy toward risk and return.**

- My primary goal is the preservation of my capital. I desire returns slightly exceeding those of risk-free investments. Accordingly, I want my portfolio risk level to be low, with minimal price volatility. = 1
- Growth of capital is my primary objective. I am willing to accept the higher volatility that is associated with this goal. I want to outperform equity indices over the course of market cycles. = 2

**14. My primary reason for building this account portfolio is:**

- Retirement = 2
- The benefit of my family = 3
- Speculative investment = 5

**15. Indicate your target rates of return for the periods specified:**

- 1 year \_\_\_\_\_ = (0)
- 5 year \_\_\_\_\_ = (0)

## Investor Profile Questionnaire

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### SCORING:

#### Asset Allocation Models

<u>Investment Objective</u>		<u>Score</u>
Income	=	14 – 25
Conservative	=	26 – 36
Growth & Income	=	37 – 47
Growth	=	48 – 58
Aggressive Growth	=	59+