

INVESTOR PROFILE QUESTIONNAIRE

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Rep. Name:

Firm Name:

Phone:

Date:

Client Name:

1. What is the approximate value of your total investment assets, including CDs, bank accounts, mutual funds and other securities?
2. Of your total investment assets above, what dollar amount is currently available for investment?
3. If you are filling this questionnaire out for an IRA, or other retirement plan, please indicate what type:

Traditional Rollover Roth Simple SEP

Please answer the following seven questions with regard to only the assets currently available for investment:

1. In how many years do you expect to need access to your funds? For example, if you are using the funds toward your retirement, in how many years do you plan to retire?
 - 1 to less than 3 years
 - 3 to less than 5 years
 - 5 years or more
2. Do you wish to receive current income (interest plus dividends) of more than 3% per year from your portfolio?
 - Yes
 - No
3. Please describe your attitude toward the investment of this portfolio by selecting the most appropriate number below. The higher the number indicated, the more aggressive you consider yourself to be.

1	2	3	4	5	6	7	8	9
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More
Conservative

More
Aggressive

4. Please select the most accurate description of your primary investment objective for this portfolio.
 - A. **Income:** primary objective is current income with an emphasis on safety of principle.
 - B. **Income with Growth:** primary objective is current income with some growth of capital.
 - C. **Growth and Income:** primary objective is balanced between current income and growth of capital.
 - D. **Growth:** primary objective is growth of capital with some current income.
 - E. **Maximum Growth:** primary objective is growth of capital without regard to current income.

5. Please select the **hypothetical** portfolio with the five-year investment performance that best reflects your preference for your portfolio.

Yr.	1	2	3	4	5	5 Yr. Avg.
A.	+3%	+11%	+8%	-1%	+9%	+6%
B.	-3%	+19%	+16%	-5%	+13%	+8%
C.	-12%	+24%	+27%	-8%	+19%	+10%

Your comfort with various investment returns is important. Historically, the more volatile the portfolio (the greater the range of potential returns), the higher the average return has been (there is no assurance that this will remain true in the future). You must balance your investment goals with your tolerance for risk and ability to accept and sustain a loss. Please remember that the table shown above is a hypothetical illustration of various potential annual returns; it does not represent, in any way, the past or future performance of any investment program or portfolio.

6. Do you wish to have a portion of your assets invested in the following equity sector strategies if our evaluation suggests that they are suitable:
Health & Biotechnology, Technology & Communications, Financial Services, and Energy & Basic Materials?
 - Yes
 - No
7. Do you want your model to be balanced between fixed income and equity investments, as opposed to having only equities?
 - Yes, include **Fixed Income and Equities.**
 - No, make my model **Primarily Equities Only.**

Client Signature (if client is present):