



## Premier IRA Investor Profile

<b>I. General Information</b>			
Name			
Address		City	State
Social Security #		Date of Birth	Email
Home Number ( ) -		Work Number ( ) -	Fax ( ) -
Marginal Tax Bracket:	<input type="checkbox"/> 15%	<input type="checkbox"/> 28%	<input type="checkbox"/> 31%
			<input type="checkbox"/> 36%
			<input type="checkbox"/> 39.6%
Estimated Liquid Net Worth	<input type="checkbox"/> \$0 - \$100,000 <input type="checkbox"/> \$100,000 - \$500,000 <input type="checkbox"/> \$500,000 - \$1 Million <input type="checkbox"/> \$1 Million and over		

<b>II. Account Information</b>		
What percentage of your total investment portfolio is being placed in this IRA? _____ (percent)		
If not 100%, where is the balance being managed?		
<b>Name</b>	<b>Amount</b>	<b>Investment Style (i.e. Int'l, Small Cap, etc.)</b>

<b>III. Investment Objectives &amp; Risk Tolerance</b>	
What is the primary objective of this account?	
<input type="checkbox"/>	<b>Aggressive Investor:</b> Maximum capital appreciation with higher risk and little or no income.
<input type="checkbox"/>	<b>Moderate Investor:</b> Capital appreciation through quality equity investments and little or no income.
<input type="checkbox"/>	<b>Balanced Investor:</b> A balance between capital appreciation and current income with the primary consideration being current income.
<input type="checkbox"/>	<b>Conservative Investor:</b> Preservation of capital with a major emphasis on current income.
Are there any types of asset classes, management styles or industries in which you do not wish to invest?	
<input type="checkbox"/> No	<input type="checkbox"/> Yes If yes, please identify restrictions: _____
What are your overall expectations from your investment advisor? (Check all that apply.)	
<input type="checkbox"/>	Be available to answer your questions.
<input type="checkbox"/>	Explain the results of your portfolio on a periodic basis.
<input type="checkbox"/>	Contact you periodically to see if your financial situation has changed.

## IV. Investor Profile

**This retirement plan represents what percent of your total investment portfolio?**

- Less than 25% ..... 5
- Between 25 and 50% ..... 3
- Between 51 and 75% ..... 2
- More than 75% ..... 1

**How do you expect your standard of living 10 years from now to compare to your standard of living today?**

- Lower than today ..... 1
- About the same as today ..... 2
- Slightly higher than today ..... 3
- Significantly higher than today ..... 5

**If your account lost 15% of its value in one year, you would likely:**

- Take all of your money out ..... 1
- Take some of your money out ..... 3
- Be concerned, but stay put ..... 7
- Buy additional shares ..... 10

**How many years do you have until retirement?**

- 3 years or less ..... 5
- 4 to 6 years ..... 10
- 7-10 years ..... 15
- More than 10 years ..... 20

**What is your age group?**

- 18 to 39 years ..... 5
- 40 to 55 years ..... 3
- 56 to 65 years ..... 2
- 66 plus years ..... 1

**How would you rate your knowledge in terms of investment experience?**

- My investment knowledge is minimal ..... 1
- I know there are different asset classes, each with its own risk and potential return ..... 3
- I am extremely familiar with the different asset classes ..... 5

**All investors should establish an emergency fund in order to avoid using long-term dollars to take care of short-term needs. Your emergency fund contains:**

- 6 months income ..... 5
- Less than 6 months income ..... 3
- Does not exist ..... 1

**Understanding that greater risk may result in greater reward, which of the following best describes your feelings towards risk and reward in an investment?**

- I prefer very low risk (unlikely I would lose my initial investment) ..... 3
- I will accept minimal risk to keep pace with inflation ..... 4
- I will accept enough risk to outpace inflation ..... 10
- I will accept enough risk to possibly outpace inflation significantly ..... 15

**Which scenario below is most acceptable to you? A \$10,000 investment after 5 years could be worth anywhere between:**

- Scenario 1 - High of \$17,624, low of \$5,278 ..... 10
- Scenario 2 - High of \$14,624, low of \$6,591 ..... 5
- Scenario 3 - High of \$13,382, low of \$12,166 ..... 1

**Retirement accounts are managed for long-term performance (10-20 years) but may experience degrees of short-term fluctuation in value. You are most comfortable with an investment that could experience the following kind of performance:**

- Long-term returns of 5% with no loss of principal ..... 3
- Long-term returns of 4-7% with little volatility ..... 5
- Long-term returns of 7-10% with moderate volatility ..... 10
- Long-term returns of 11-15% with higher volatility ..... 15

Total Score \_\_\_\_\_

## V. Additional Comments

If you have any additional comments or concerns that were not mentioned in this questionnaire, please mention below.

## VI. Acknowledgement

I acknowledge that the information provided in this IRA Investor Profile is accurate to the best of my knowledge and is representative of my investment goals and objectives. I understand that this information does not constitute or imply a guarantee with respect to the attainment of my investment goals and objectives.

Client Signature \_\_\_\_\_

Date \_\_\_\_\_

**Reviewed By:**

Investment Advisor \_\_\_\_\_

Date \_\_\_\_\_

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