

Self-Assessment

- _____ My age
- _____ My retirement age
- _____ Years until retirement

Investment knowledge

How much do I know about investing and financial planning?

- I've read a number of books on investing, keep up with financial news and have invested on my own.
- I'm familiar with investing but want to learn more.
- I can take care of my daily finances but need help with long term planning.
- I feel anxious dealing with my finances.

Risk tolerance

How would your family describe you as a risk taker?

- You're a serious gambler.
- You'll take the risk after knowing what's at stake.
- You're a cautious person.
- You avoid risk at all cost.

Investment objectives

What are my investment goals?

- Growth. I want to get the best rate of return on my investments over the long term but realize that I may lose in the short term.
- Balanced growth. I would like the portfolio to grow but can't handle significant losses.
- Income. I need my investments to produce a steady stream of income and would like to stay ahead of inflation.
- Safety. I can't afford to lose any value of my investments.

Relationship with advisor

What level of involvement or control do I want with respect to my investments?

- I don't want to be bothered with day-to-day decisions.
- I would like help with overall strategy but want to make decisions about individual investments.
- I want to make decisions on how my finances are managed.

Financial services list

Here are some of the services I want from my advisor:

- Goal setting
- Cash management
- Investment review
- Risk analysis
- Investment planning
- Insurance planning
- Education planning
- Retirement planning
- Tax planning
- Business (or business succession) planning
- Estate planning

Amount I can invest

How much do I have to invest?

- More than \$250,000
- \$100,000 to \$250,000
- \$20,000 to \$99,999
- Less than \$20,000
- Less than \$10,000, but I'm interested in starting a small monthly savings program