

Investor Profile Questionnaire

Please take a few minutes to carefully answer the following questions, then fax or e-mail the form to John Marcheso and Associates, Inc. Your investment profile, based on your responses below, will be matched to an allocation model.

Name: _____

Address: _____

City: _____

State: _____ Zip Code: _____

Daytime Phone: _____

Occupation: _____

1. _____ What is your age?
 - A. 30 years and under
 - B. 31-49 years
 - C. 50+ years

2. _____ What do you expect to be your next major expenditure?
 - A. Buying a house
 - B. Paying for a college education
 - C. Capitalizing a new business
 - D. Providing for retirement

3. _____ When do you expect to use the bulk of the money you're accumulating in your investments?
 - A. At any time, therefore a high level of liquidity is important
 - B. 1 – 10 years from now
 - C. 11 – 20 years from now
 - D. 20+ years from now

4. _____ Over the next several years, you might expect your annual income to:
 - A. Stay about the same
 - B. Grow moderately
 - C. Grow substantially
 - D. Decrease moderately
 - E. Decrease substantially

5. _____ Due to a general market correction, one of your investments lost 14% of its value a short time after you bought it. What do you do?
- A. Sell the investment so you won't have to worry if it continues to decline
 - B. Hold on to it and wait for it to climb back up
 - C. Buy more of the same investment at the new low price; it looks even better than when you bought it before
6. _____ Which of these plans would you choose for your investment dollars?
- A. You'd go for maximum diversity, dividing your portfolio among all available investments, including those ranging from the highest return-greatest risk to lowest return-lowest risk
 - B. You're concerned about putting all of your eggs in one basket, so you would divide your portfolio among two investments with high rates of return and moderate risk.
 - C. You would put your investment dollar into the investment with the highest rate of return and the most risk
7. _____ Assuming you're investing in a stock mutual fund, which do you choose?
- A. A fund with companies with potential to make significant technological breakthroughs, and whose stocks are still at their low initial offering prices.
 - B. A fund that only invests in established, well-known companies that have a potential for continued growth.
 - C. A fund devoted to 'blue-chip', highly diversified stocks that pay dividends.
8. _____ Assuming you are investing in only one bond, which do you choose?
- A. A 'junk bond' that pays a higher interest rate than the other two bonds, but also gives you the least sense of security with regard to possible default.
 - B. A 'Treasury Bond', which pays the lowest interest rate of the three bonds, but is backed by the United States Government.
 - C. The bond of a well established company that pays a rate of interest somewhere between the other two bonds.
 - D. A 'tax-free bond' since minimizing taxes is your primary investment objective.
9. _____ Your investment advisor expects inflation to return and suggest that you invest in 'hard' assets such as real estate and cable TV, which have historically outpaced inflation. Your only 'financial' assets are long-term bonds. What do you do?
- A. Ignore the advice and hold on to the bonds.
 - B. Sell the bonds, putting half the proceeds into 'hard' assets and the other half into money market funds.
 - C. Sell the bonds and put all of the proceeds into 'hard' assets.

D. Sell the bonds, put the proceeds into 'hard' assets and borrow additional money so you can buy even more 'hard' assets.

10. ____ You have an opportunity to fund an underwater salvage operation to recover sunken treasure. The chance of finding the vessel and recovering the treasure is only 25%. But, if the operation is successful, you could earn 75 to 100 times your investment. How much do you invest?

- A. Nothing at all.
- B. One month's salary.
- C. Three month's salary.
- D. Six month's salary.

11. ____ You have just reached the \$10,000 plateau on a TV game show. Now you must choose between quitting with the \$10,000 or one of three alternative scenarios. Which do you choose?

- A. Take the \$10,000 and quit.
- B. Take a 50% chance of winning \$50,000.
- C. Take a 20% chance of winning \$75,000.
- D. Take a 5% chance of winning \$100,000.