



# Suitability Profile Questionnaire

**Reset Form**

Client or Client's agent, as the case may be, represents that the answers below accurately reflect those of the Client for whom management is requested, and agree to Flexible Plan's positioning Client's account in accord with the resulting Suitability Profile. **Please Note:** The response to any one question on the Client Suitability Profile Questionnaire shall not be construed, nor will it serve, as a mandate that will govern the engagement unless otherwise specifically set forth in writing.

Client First Name: \_\_\_\_\_ Client Last Name: \_\_\_\_\_ Birth year: \_\_\_\_\_  
Account Size (\$): \_\_\_\_\_ Account Type: \_\_\_\_\_ Advisory Fee: \_\_\_\_\_  
Agent Name: \_\_\_\_\_ Agent Phone Number: \_\_\_\_\_

I have other investments with Flexible Plan:  Yes  No

While risk measures of investments tend to persist, there can be no guarantee of an investment's future risk characteristics. Review INVESTMENT STRATEGIES and the STRATEGY CONSIDERATIONS set forth in ADV Part 2A - Firm Brochure. When using aggressive strategies, consider combinations utilizing more conservative strategies to reduce your portfolio's overall risk.

### PART I: The following answers must be provided:

Married  Single Tax bracket:  0% to 15%  16% to 31%  >31%  
Current annual income from all sources?  <\$25,000  \$25,000 to \$70,000  >\$70,000  
What is your level of investment experience?  Limited  Average  Extensive  
Your net worth, not including home, furnishings and autos:  under \$50,000  \$50,000 - \$100,000  
 \$100,000 - \$250,000  \$250,000 - \$500,000  \$500,000 - \$1,000,000  over \$1,000,000

### PART II: Select the appropriate answer. Failure to answer any question will result in the most conservative answer being recorded for that question.

#### My Financial Ability to Handle Risk

A. Of my gross household income, the following percentage is spent on debts like credit cards, car payments, and rent or mortgage payments:  
 1. More than 33%.  
 2. Between 10% and 33%.  
 3. Less than 10%.

B. In case of an emergency, household savings would be available to pay:  
 1. Less than 2 months of living expenses.  
 2. 2 to 4 months of living expenses.  
 3. 5 months or more of living expenses.

C. This managed portfolio will represent:  
 1. More than 75% of my total investments.  
 2. Between 25% and 75% of my total investments  
 3. Less than 25% of my total investments.

#### My Willingness to Take Financial Risks

D. Regarding the risk of investing, I am likely to change to another investment if:  
 1. The value drops by 5% during a given year.  
 2. The value drops by 20% during a given year.  
 3. No change is necessary just because the investment drops in value. Since prices are lower, buying more may be in order.

E. The greatest concentration of household investments are currently in:  
 1. CDs, Passbook Savings, Money Market Funds, Treasury Bonds, or assets of similar volatility.  
 2. Stocks from large corporations, mutual funds that are pretty reliable, high-quality corporate bonds, or assets of similar volatility.  
 3. Predominantly small company stocks, aggressive mutual funds, or assets of similar volatility.

F. Regarding my investment objectives:  
 1. I prefer a mix of investments that exhibit the least amount of risk, where my principal investment is stable, even if it means I earn a lower rate.  
 2. I prefer investments that show steady long-term growth. I can assume some risk for the potential of long-term gain.  
 3. I prefer a more aggressive mix of investments, some with moderate growth, but mostly those that carry higher risk and the chance for the maximum capital appreciation.

To determine Client's Profile, circle your numerical answer next to the question and enter the total number below. (Example: A-1, B-3, C-1, D-2, E-2, F-1 = Total score 10)

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

**Time Horizon:** What is the number of years before you expect to make a large withdrawal from your investments? (Not including required minimum distribution or systematic withdrawals)  
\_\_\_\_\_ Years (Indicate One Number Only) If left blank, the number of years assumed will be the greater of 5 years or 70 less your age.

#### RISK SCORE & LEVEL

<b>17-18</b> Aggressive	<b>14-16</b> Growth	<b>11-13</b> Balanced
<b>8-10</b> Moderate	<b>&lt;=7</b> Conservative	