



Investor Profile Questionnaire

Client 1

Full Name

Date of Birth

Primary Email

Work Email

Primary Phone

Mobile Phone

Employer

Yearly Earned Income

Filing Status/Tax Bracket

Client 2 (Spouse)

Full Name

Date of Birth

Primary Email

Work Email

Primary Phone

Mobile Phone

Employer

Yearly Earned Income

Primary Address

Street

City/State/Zip

Secondary Address

Street

City/State/Zip

Dependents

Name

Birthdate

Email Address

Name

Birthdate

Email Address

Name

Birthdate

Email Address

Do you work with a CPA?

Name

Email/Phone

Do you work with a Lawyer for Estate Planning?

Name

Email/Phone



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ASSETS

Primary Home Value

Second Home Value

Other Real Estate Values

Investment Account Values:

401-K/defined contribution plans

Annual contribution to your 401-K's

Deferred Compensation Plans (Pension/Stock Option Plans etc)

IRA's: Traditional/Roth/SEP/Simple/Inherited

Taxable accounts/Non-IRA brokerage investment accounts

Annuity(s)

Bank Savings/CD's/Savings Bonds

Life Insurance

Long Term Care Insurance

Personal Property/Business Assets/Collectibles/Other

Social Security estimates for your full retirement ages (www.ssa.gov):

Client 1

Client 2

LIABILITES

Primary Home Mortgage

Second Home Mortgage

Other Real Estate Debt

Liens/Loans

Credit Card debt

Other

Retirement Income Sources

Do you know much monthly after-tax income that will be needed in retirement?

Yes Dollar Amount: _____

No

Will you have monthly income from a Pension?

Yes Dollar Amount: _____

No

Retirement Income sources (check all that apply):

401(K)

IRA's (Regular/Roth/SEP)

Pension

Social Security

Other:



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Do you know how much income you will need to generate from your investment portfolio to help cover your expenses?

Yes Dollar Amount: _____

No

What are you looking for from an investment advisory practice?

Are you interested in an investment plan that will help meet your family's investment plans and goals or are you more interested in investment security analysis/advice, or both?

Have you reviewed your beneficiary designations for IRA's, 401(k), life insurance, annuity, pension, and retirement plan within the last few years?

Have you recently reviewed your existing life insurance policies, estate plan, living trust, durable power of attorney, healthcare directives, and/or will? When did you last review?

Is your family interested in making sure your next generation is getting the same sort of guidance?



Investment Survey

1. I plan to take withdrawals from my investments in:
 - Less than one year
 - 1-3 years
 - 4-6 years
 - 7-10 years
 - More than 10 years
2. As I withdraw money from these investments, I plan to spend it over a period of:
 - 2 years or less
 - 3 to 5 years
 - 6 to 10 years
 - 11 to 15 years
 - More than 15 years
3. When making a long-term investment, I plan to maintain my investment selections for:
 - 1 to 2 years
 - 3 to 4 years
 - 5 to 6 years
 - 7 to 8 years
 - 9 or more years
4. In 2008, stocks fell more than 31% in just a few weeks. If you owned an investment that fell over 31% over a short period, what would you do?
 - Sell all the remaining investment?
 - Sell a portion of the remaining investment
 - Hold on to the investment and sell nothing
 - Buy more of the investment
5. With retirement in mind, I prefer an investment with little or no fluctuation in value, and I am willing to accept the lower returns associated with these investments.
 - I Strongly Agree
 - I Agree
 - I somewhat agree
 - I disagree
 - I strongly disagree



6. When the market goes down, I tend to sell off parts of my riskier assets and put the money into safer assets.
- I Strongly Agree
 - I Agree
 - I somewhat agree
 - I disagree
 - I strongly disagree
7. Based solely on a brief conversation with a friend, coworker, or relative, I would invest in a Stock, Mutual Fund, Exchange Traded Fund (ETF)
- I Strongly Agree
 - I Agree
 - I somewhat agree
 - I disagree
 - I strongly disagree
8. I plan to defer the following percentage of my compensation into my 401(k) plan each year.
- None
 - 5%
 - 10%
 - Maximum (Pre-Tax) annual amount
 - Maximum (Pre-Tax) + Catch Up + After-tax
9. When it comes to investing in individual stocks or Exchange Traded Funds (ETF's), I would describe myself as a/an:
- Very inexperienced investor
 - Somewhat inexperienced investor
 - Somewhat experienced investor
 - Experienced Investor
 - Very Experienced Investor

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