

Asset Allocation Questionnaire
Investor Profile



Utica Physicians' Association, Ltd.
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Please choose the answers that most closely fit your investment profile. Once you have completed all the questions, please fax this profile to **UPAL at (918)-747-5596**. UPAL will tabulate the score and make a recommendation on an asset allocation for your personal investment needs.

<p>1. What is your age?</p> <p><input type="checkbox"/> Under 35 years <input type="checkbox"/> 36-45 years <input type="checkbox"/> 46-59½ years <input type="checkbox"/> 59½-70½ years <input type="checkbox"/> Over 70½ years</p>	<p>2. How many years before you plan to retire?</p> <p><input type="checkbox"/> Less than 3 years <input type="checkbox"/> 4 to 5 years <input type="checkbox"/> 6 to 10 years <input type="checkbox"/> 11 to 20 years <input type="checkbox"/> More than 20 years</p>
<p>3. I would describe myself as a _____ investor.</p> <p><input type="checkbox"/> Very inexperienced <input type="checkbox"/> Inexperienced <input type="checkbox"/> Somewhat experienced <input type="checkbox"/> Experienced <input type="checkbox"/> Very experienced</p>	<p>4. What is your primary investment objective?</p> <p><input type="checkbox"/> Preserve my money/assets <input type="checkbox"/> Generate maximum income with modest account growth <input type="checkbox"/> Achieve moderate growth and income <input type="checkbox"/> Achieve strong account growth with modest income <input type="checkbox"/> Achieve maximum account growth</p>
<p>5. How stable do you feel your current and future income sources (e.g., salary, Social Security, pension) are?</p> <p><input type="checkbox"/> Very unstable <input type="checkbox"/> Unstable <input type="checkbox"/> Somewhat stable <input type="checkbox"/> Stable <input type="checkbox"/> Very stable</p>	<p>6. I am willing to accept some ups and downs in order to make money on my account balance.</p> <p><input type="checkbox"/> I strongly agree <input type="checkbox"/> I agree <input type="checkbox"/> I somewhat agree <input type="checkbox"/> I disagree <input type="checkbox"/> I strongly disagree</p>
<p>7. I am willing to accept lower rates of return for investments with little or no volatility.</p> <p><input type="checkbox"/> I strongly agree <input type="checkbox"/> I agree <input type="checkbox"/> I somewhat agree <input type="checkbox"/> I disagree <input type="checkbox"/> I strongly disagree</p>	<p>8. If my investment portfolio declined in value by 10% or more, I would move my balance to investments in which I would not expect to lose any money.</p> <p><input type="checkbox"/> I strongly agree <input type="checkbox"/> I agree <input type="checkbox"/> I somewhat agree <input type="checkbox"/> I disagree <input type="checkbox"/> I strongly disagree</p>

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9. The following table shows five examples of how \$1,000 invested in an account may increase or decrease in value after one year. With which investment would you feel the most comfortable?

	Worst Case	Average Case	Best Case
_____	\$995	\$1060	\$1125
_____	\$970	\$1080	\$1190
_____	\$910	\$1100	\$1310
_____	\$850	\$1120	\$1450
_____	\$790	\$1140	\$1590

10. An investment in your portfolio that you expected to provide positive, long-term returns has declined in value. At what point would you move your money into a different investment?

- ___ When the investment's value declines by 5%
- ___ When the investment's value declines by 10%
- ___ When the investment's value declines by 15%
- ___ When the investment's value declines by 20%
- ___ When the investment's value declines by 25% or more

Name:		Practice Name:	
Date of Birth:		Social Security Number:	
Mailing Address:		City:	State: Zip:
Daytime Phone:		Email Address:	
Signature:			Date: