

Investor Profile Worksheet

Understanding your tolerance for investment risk, relative to your expectations for investment returns, is an important step in designing a portfolio. The following questions will help develop a more accurate understanding of your financial life and create a picture of your possible investment future. The answers you choose on the following pages will indicate your comfort level with investment risk — and your ability to withstand it. This helps us analyze your financial needs, your general investment style, and your personal time horizon.

Section One: Where are you now?	
Name:	Phone:
Company:	_ Email:
Today's Date:	_Age:
Annual income*:	Financial Net Worth*:
*If uncertain, please estimate. If married, include your spouse minus the total value of your financial debts. If you own your	. Financial Net Worth is the total value of your financial assets, home, exclude both the home value and your mortgage debt.
Are you married? O Yes O No	Dependent children at home? OYes O No
Select one: O Current Employee O Ex-Employee	Are you already enrolled in this plan? OYes O No
Current Investment Experience:	

	Extensive	Moderate	Limited	None	Unfamiliar with this term
Equities	0	0	0	0	0
Bonds	0	0	0	0	0
Options/Futures	0	0	O	0	0
Mutual Funds	0	0	0	0	0
Annuities	0	0	0	0	0
Margin Trading	0	0	0	0	0

Section Two: How much risk is right for you?

1. Approximately how many years until you expect to retire?	
 5 or Fewer 10 15 	
2025 or More	
2. How far in the future would you anticipate the need to withdraw more than 20% of your portfolio to m short-term financial need?	ieet a
 More than 7 years Between 3 to 7 years Less than 3 years 	
3. From September 2008 through November 2008, stocks lost more than 31%. If you owned a stock invest that lost about 31% in 3 months, you would: (If you owned stocks or stock funds during this period, select answer that corresponds to your actual behavior.)	
 Sell all of the remaining investment. Sell a portion of the remaining investment. Hold onto the investment and sell nothing. Buy more of the investment. 	
4. Regarding the statement: "Generally, I prefer investments with little or no fluctuation in value, and I ar willing to accept the lower return associated with these investments," you:	n
o Strongly disagree	
O Disagree	
Somewhat agreeAgree	
Strongly agree	
5. Regarding the statement, "During market declines, I tend to sell portions of my riskier assets and invest money in safer assets," you:	t the
 Strongly disagree 	
o Disagree	
 Somewhat agree 	
O Agree	
 Strongly agree 	

6.	Regarding the statement, "I would invest in a mutual fund or ETF (exchange-traded fund) based solely on a
	brief conversation with a friend, co-worker, or relative," you:

- Strongly disagree
- o Disagree
- o Somewhat agree
- **o** Agree
- Strongly agree

7. After observing the yearly volatility in each of the following hypothetical portfolios, with which would you feel most comfortable?

	Year 1	Year 2	Year 3	Year 4	Year 5	Arithmetic Average
0	5%	5%	5%	5%	5%	5%
0	4%	7%	8%	2%	9%	6%
0	-5%	21%	8%	2%	9%	7%
0	9%	-11%	26%	3%	18%	9%
0	14%	-21%	40%	-4%	31%	12%

8.	Your current and future	income sources (fo	r example.	salary, Social	Security.	pension)	are
$\mathbf{\circ}$	Tour current and ratare	micomic sources (io	" CAUITIPIC,	Juliul V, Juliul	occurry,	PCIISIOIII	ui C

- **o** Very unstable
- **o** Unstable
- **o** Somewhat stable
- **o** Stable
- O Very stable

9.	Your	current	asset a	llocation	is:

(Enter the current asset allocation in whole numbers. Your percentages must total 100%.)

- o Short-term reserves _____%
- **o** Bonds ______ %
- o Stocks %
- O I don't know

10. In general, your feelings about the U.S. economy over the next ten years are:

- o Pessimistic
- **o** Unsure
- **o** Optimistic

o U	ssimistic sure timistic
Notes &	omments:
Signature	
Return al	pages of this form to The Commerce Company by email to RetirementTeam@thecommco.com or fax

11. In general, your feelings about world economies over the next ten years are:

Information provided serves as a guideline for investing and meant for general informational purposes only. This questionnaire is not a contractual agreement of any kind and therefore by signing it you will not be bound to any arrangement. It is not a substitute for Raymond James account documents or contracts.

to (503) 203-8590. A financial advisor will review your answers and your retirement account. Their guidance will

be provided to you within 48 hours.