



KING wealth planning, inc.
Retirement is a Journey. Let us be your Guide.

Investor Questionnaire

Name: _____

Date: _____

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Financial Planning offered through King Wealth Planning, Inc., a Registered Investment Advisor and a separate entity.

Investor Questionnaire

The Investor Questionnaire is designed to help gain an in-depth understanding of your investment objective, which serves as the foundation of your portfolio construction and guides us in making investment recommendations. Your investment objective is based on many factors, including your time horizon, financial goals and risk tolerance. To build your portfolio, you must clearly define your financial goals. Short-term goals may include buying a house or financing a dream vacation. Long-term goals may include saving for your child's education or planning for your retirement.

Your time horizon defines when you want to achieve a goal. It could be 1-5 years, 5-10 years, 30 years or more.

Risk is an unavoidable part of investing. Historically, investments with higher return potential have required a higher tolerance for risk. Therefore, by clearly defining your risk tolerance, we will be better prepared to choose the most appropriate investments for your portfolio

Over time, your goals and financial situation may change. It is important for us to discuss any changes, as your original investment objective may need to be re-evaluated.

Time Horizon

1. What is your age?
 - 56 and over 1
 - 46-55 2
 - 36-45 3
 - 20-35 4

2. What is your primary financial goal?
 - Wealth preservation 1
 - Retirement planning 2
 - Wealth accumulation 3

3. What is the time frame for you to achieve your financial goals?
 - 0-5 years 1
 - 5-10 years 2
 - 10 years or longer 3

4. Will you be adding to your investment portfolio over the next 5 years?
 - No 1
 - Yes 2

5. When do you anticipate taking withdrawals from your investment portfolio?
 - In less than 5 years 1
 - In the next 5-10 years 2
 - More than 10 years from now 3

6. Do you have an emergency cash reserve?
 - Yes, less than 3 months of after-tax income 1
 - Yes, about 3-6 months of after-tax income 2
 - Yes, more than 6 months of after-tax income 3

7. Do you anticipate any major expense in the next 5 years?
 - Yes 1
 - No 2

Financial Goals

8. What is the primary goal for your investment portfolio?

9. Which of the following best describes your financial goals?

- Preserving principal and earning a moderate amount of current income 1
- Generating a high amount of current income 2
- Generating some current income and growing assets over an extended time frame 3
- Growing assets substantially over an extended time frame 4

10. How do you expect your standard of living five years from now to compare to your standard of living today?

- Less than it is today 1
- The same as it is today 2
- Somewhat higher than it is today 3
- Substantially greater than it is today 4

11. Five years from today, you expect your portfolio value to be:

- Portfolio value is not my primary concern; I am more concerned with current income 1
- The same as or slightly more than it is today 2
- Greater than it is today 3
- Substantially greater than it is today 4

12. Generating current income from your portfolio is:

- A primary concern 1
- Not important 2

13. Does generating additional taxable income concern you?

- Yes 1
- No 2

14. Do you judge your taxable portfolio's performance by the pre-tax or after tax returns?

- Pre-tax 1
- After tax 2

15. With the income generated from your portfolio, you plan to:
- Use all income for living expenses 1
 - Use some and reinvest some 2
 - Reinvest all income 3
16. If this portfolio is for something other than retirement, what is the portfolio for?
-
17. What is the approximate average annual return that you expect or desire from your portfolio over the long term?
- 3% 1
 - 6% 2
 - 9% 3
 - 12% 4
18. Over that same time period, what average rate of inflation do you expect?
- 2% or less 1
 - 2%-4% 2
 - 4%-6% 3
 - 6% or more 4

Risk Tolerance

19. How often do you check the values of your investment accounts?
- Daily 1
 - Weekly 2
 - Monthly 3
 - Quarterly 4
 - Annually 5
20. For the purpose of making changes in the investment allocation, how often should your portfolio performance be evaluated?
- Annually 1
 - Semi-annually 2
 - Quarterly 3
21. Which of the following investments do you feel most comfortable owning?
- Certificates of deposit 1
 - U.S. Government bonds 2
 - Stocks of large U.S. companies 3

Stocks of new growth companies 4

22. You have just received a large amount of money. How would you invest it?

- I would invest in something that offered moderate current income and was very conservative 1
- I would invest in something that offered high current income with a moderate amount of risk 2
- I would invest in something that offered high total return (current income plus capital appreciation) with a moderately high amount of risk 3
- I would invest in something that offered substantial capital appreciation even though it has a high amount of risk 4

23. Which of the following statements would best describe your reaction if the value of your portfolio were to suddenly decline by 15%?

- I would be very concerned because I cannot accept fluctuations in the value of my portfolio 1
- If the amount of income I receive was unaffected, it would not bother me 2
- Although I invest for long term growth, even a temporary decline would concern me 3
- Because I invest for long term growth, I would accept temporary fluctuations due to market influences 4

24. During a market decline, I tend to sell portions of my riskier assets and invest them in safer assets.

- Agree 1
- Somewhat Agree 2
- Disagree 3
- Strongly disagree 4

25. Generally, I prefer investments with little or no fluctuation in value, and I'm willing to accept the lower return associated with these investments.

- Agree 1
- Somewhat Agree 2
- Disagree..... 3
- Strongly disagree 4

26. If a \$100,000 portfolio of stocks or stock mutual funds that you invested in for a 10 year goal went down in value during the first year, at what point would you sell and then buy more stable investments rather than wait for a rebound?

- \$95,000 (a loss of 5%) 1
- \$90,000 (a loss of 10%) 2
- \$80,000 (a loss of 20%) 3
- Less than \$80,000 (a loss of greater than 20%) 4
- Would not sell no matter how much it went down in value 5

27. Which of the following best describes your attitude about investments outside the U.S.?

- I believe foreign investments are too risky 1
- I believe the U.S. economy and foreign markets are interdependent 2
- I believe overseas markets provide attractive investment opportunities 3

28. How long would you be willing to watch your portfolio decrease in value before you would consider selling or re-allocating?

- Less than 6 months 1
- 12 months 2
- 2 years 3
- 3 years or more 4

29. When you think of the word "risk" as it relates to investments, which word best describes your feeling?

- Danger 1
- Uncertainty 2
- Opportunity 3
- Thrill 4

30. How optimistic are you about the long term prospects for the U.S. economy?

- Very pessimistic 1
- Unsure 2
- Somewhat optimistic 3
- Very optimistic 4

31. How many years of investment experience do you have with the following types of investments?

- | | |
|--|--------------------|
| Stocks _____ | Real Estate _____ |
| Mutual Funds _____ | Partnerships _____ |
| Bonds _____ | Annuities _____ |
| Margin _____ | Options _____ |
| Other types of investments (please name) _____ | |