

Discover the style of investing that is right for you and your financial goals with this short questionnaire. Answer the questions on the following pages with one specific goal in mind, such as retirement. Then tally and check your score against the suggested asset allocation investment mixes on the back page.

This questionnaire is designed to assist you with planning for medium to long-term investment goals. It should not be used for investing money that you will need within the next three years.

Fill out the questionnaire as many times as you like to determine your investment approach, with a different goal in mind each time.



**1. I plan to begin taking money from my investments in:**

- ☐ A. 1 year or less
- ☐ B. 1 – 2 years
- ☐ C. 3 – 5 years
- ☐ D. 6 – 10 years
- ☐ E. 11 – 15 years
- ☐ F. More than 15 years

**2. As I withdraw money from these investments, I plan to spend it over a period of:**

- ☐ A. 2 years or less
- ☐ B. 3 – 5 years
- ☐ C. 6 – 10 years
- ☐ D. 11 – 15 years
- ☐ E. More than 15 years

**3. When making a long-term investment, I plan to keep the money invested for:**

- ☐ A. 1 – 2 years
- ☐ B. 3 – 4 years
- ☐ C. 5 – 6 years
- ☐ D. 7 – 8 years
- ☐ E. More than 8 years

**4. In the first quarter of 2020 some major equity market indices lost over 30%. If I owned an equity investment that lost 30% in 3 months, I would:**

- ☐ A. Sell all of the remaining investment
- ☐ B. Sell a portion of the remaining investment
- ☐ C. Hold onto the investment and sell nothing
- ☐ D. Buy more of the investment

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

- ☐ A. Strongly disagree
- ☐ B. Disagree
- ☐ C. Somewhat agree
- ☐ D. Agree
- ☐ E. Strongly agree

**6. During market declines, I tend to sell portions of my riskier assets and invest the money in safer assets.**

- ☐ A. Strongly disagree
- ☐ B. Disagree
- ☐ C. Somewhat agree
- ☐ D. Agree
- ☐ E. Strongly agree

**7. I would invest in a mutual fund based solely on a brief conversation with a friend, co-worker, or relative.**

- ☐ A. Strongly disagree
- ☐ B. Disagree
- ☐ C. Somewhat agree
- ☐ D. Agree
- ☐ E. Strongly agree

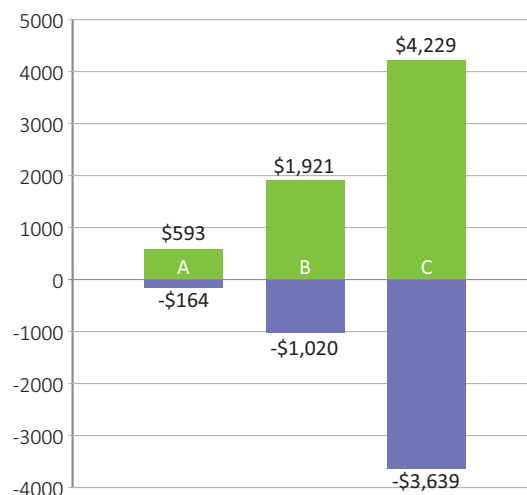
**8. From September 2008 through October 2008, bonds lost nearly 4%. If I owned a bond investment that lost almost 4% in 2 months, I would:**

- ☐ A. Sell all of the remaining investment
- ☐ B. Sell a portion of the remaining investment
- ☐ C. Hold onto the investment and sell nothing
- ☐ D. Buy more of the investment

9. The chart at right shows the greatest 1-year loss and the highest 1-year gain on 3 different hypothetical investments of \$10,000.\* Given the potential gain or loss in any 1 year, I would invest my money in:

- ☐ A. Investment A (loss of \$164, gain of \$593)
- ☐ B. Investment B (loss of \$1,020, gain of \$1,921)
- ☐ C. Investment C (loss of \$3,639, gain of \$4,229)

\*The maximum gain or loss on an investment is impossible to predict. The ranges shown in the chart are hypothetical and are designed solely to gauge an investor's risk tolerance.



**10. My current and future income sources (for example, salary, Social Security, pension) are:**

- ☐ A. Very unstable

☐ B. Unstable

☐ C. Somewhat stable

☐ D. Stable

☐ E. Very stable

11. When it comes to investing in stock or bond mutual funds (or individual stocks or bonds), I would describe myself as:

- ☐ A. Very inexperienced

☐ B. Somewhat inexperienced

☐ C. Somewhat experienced

☐ D. Experienced

☐ E. Very experienced

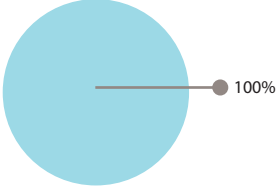
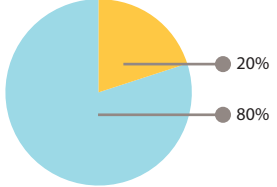

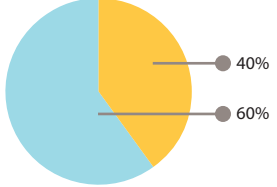
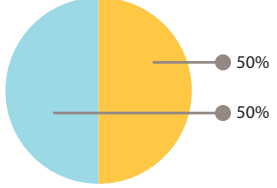

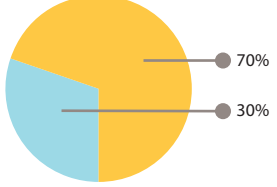

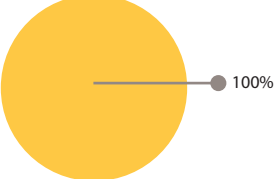
## Answer key

Use the answer key at right to score your questionnaire. For example, if you answered "C" to question 1, give yourself 4 points. Add the up the points for each question and use the total to find your suggested mix on the reverse side.

Points							
	A	B	C	D	E	F	
1.	0	1	4	7	12	17	
2.	0	1	3	5	8	–	
3.	0	1	3	5	7	–	
4.	1	3	5	6	–	–	
5.	6	5	3	1	0	–	
6.	5	4	3	2	1	–	
7.	5	4	3	2	1	–	
8.	1	3	5	6	–	–	
9.	1	3	5	–	–	–	
10.	1	2	3	4	5	–	
11.	1	2	3	4	5	–	
Total points							

## Suggested investment mixes

■ bonds ■ stocks

	Overall score	Suggested mix	Asset allocation
Income	7-22 points		100% bonds
	23-28		20% stocks 80% bonds
	29-35		30% stocks 70% bonds
	36-41		40% stocks 60% bonds
Balanced	42-48		50% stocks 50% bonds
	49-54		60% stocks 40% bonds
	55-61		70% stocks 30% bonds
	62-68		80% stocks 20% bonds
Growth	69-75		100% stocks

Hooker & Holcombe Investment Advisors, Inc. ("HHIA") is an SEC Registered Investment Advisor.

The content contained in this questionnaire is informational and illustrative only and should not be construed as investment advice. A comprehensive assessment of your particular circumstances requiring additional inputs and consideration of other factors is necessary to form a basis for investment advice.

Investment advice should be based on an individual's specific factors and circumstances. HHIA recommends that you consult with a qualified investment advisor for guidance regarding your particular situation on appropriate strategies for your investments. HHIA also recommends that you consult with a qualified tax specialist when considering appropriate strategies for managing your tax liabilities.



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