



PERSONAL PROFILE  
QUESTIONNAIRE



## **Notice of Privacy Policy**

Wealth Partners strongly believes in protecting the confidentiality and security of the information we collect from you. This notice describes our privacy policy and describes how we treat the information we receive.

### **Information We Collect**

The personal information we collect may include: names and addresses, birth dates, tax identification numbers, driver license numbers, assets, liabilities, income, real estate information, and investment activities.

### **How We Protect Information**

We do not sell your personal information to other individuals, companies, or institutions. We treat information about current and former students and clients and their accounts in a confidential manner. Our employees may access information and provide it to third parties only when completing a transaction at your request or when providing our other services to you.

At your request, we may disclose information to attorneys, accountants, lawyers, securities professionals and others to assist us, or them, in providing services to you. We may also share information with companies that perform services on our behalf, such as the companies that we hire to perform marketing or administrative services. Companies we may hire to provide support services are not allowed to use your personal information for their own purposes. We may make additional disclosures as permitted by law.

We may also maintain physical, electronic, and procedural safeguards to protect information. Employees and our professional service representatives are required to comply with our established information confidentiality provisions.

### **Correction of Information**

If your personal information with us becomes inaccurate, or if you need to make a change to that information, please contact us so we can update our records. For additional information regarding our privacy policy, please contact us at (262) 240-1111.



**Initial Personal Profile Information:**

Name: \_\_\_\_\_ Date: \_\_\_\_\_

First Name	Last Name	Age	Phone	Email
Spouse/Partner First Name	Spouse/Partner Last Name	Age	Phone	Email
Address:		City, State		Zip
Children: (First/Last Name)	(Minors & Adults)	Age		

Are you retired? \_\_\_ No \_\_\_ Yes Monthly Social Security amount: \_\_\_\_\_ Pension amount: \_\_\_\_\_

Spouse/Partner retired? \_\_\_ No \_\_\_ Yes Monthly Social Security amount: \_\_\_\_\_ Pension amount: \_\_\_\_\_

Planned retirement age: \_\_\_\_\_ Spouse/Partner planned retirement age: \_\_\_\_\_

Planned Social Security age: \_\_\_\_\_ Spouse/Partner planned retirement age: \_\_\_\_\_

**Employment Information:**

Employer	Position	Years Employed
Address		
Total Yearly Income From Employer	Other Yearly Income	
Circle the employer benefits you have:	Life insurance, Disability: short term / long term, 401K	
Spouse/Partner Employer	Position	Years Employed
Address		
Total Yearly Income From Employer	Other Yearly Income	
Circle the employer benefits you have:	Life insurance, Disability: short term / long term, 401K	
Are you self-employed/own a business?		

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**Financial Planning Questionnaire:**

Name: \_\_\_\_\_ Date: \_\_\_\_\_

What has been your past experience with financial planning?

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Are there any special areas of interest you would like to discuss?

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What is your most pressing financial objective?

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What advisors do you use and to what extent?

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Do you presently feel like you're moving ahead financially?

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What other goals or factors would help us better understand your financial priorities?

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What do you look for in a financial professional?

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How do you envision your retirement assuming money is no object?

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Envision your perfect financial scenario three years from now. What would have to happen between now and then for this ideal scenario to be realized?

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Please tell us about your decision-making process?

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**SECURITIES AND ADVISORY DISCLOSURE:**

**Asset Allocation Questionnaire:**

Name: \_\_\_\_\_

Date: \_\_\_\_\_

Points \_\_\_\_\_

1. Investment decisions are generally determined by a trade-off between risk & return. Risk is any possibility of loss to your portfolio's value. Return is the amount earned, or profit, on an investment.

How would you respond to the following statement?

*Protecting my portfolio from loss is more important to me than achieving high returns.*

Primary concern is minimizing risk	Strongly Agree	Agree	Risk & Return are equal	Disagree	Strongly Disagree	Primary concern is maximizing risk
	<b>A</b>	<b>B</b>	<b>C</b>	<b>D</b>	<b>E</b>	
	0 Points	3 Points	7 Points	10 Points	14 Points	

Points \_\_\_\_\_

2. Investments with the best chance of high returns typically have the most uncertainty. For example, the portfolio for the biggest gain in the best-case scenario also has the potential for the biggest loss in the worst-case scenario.

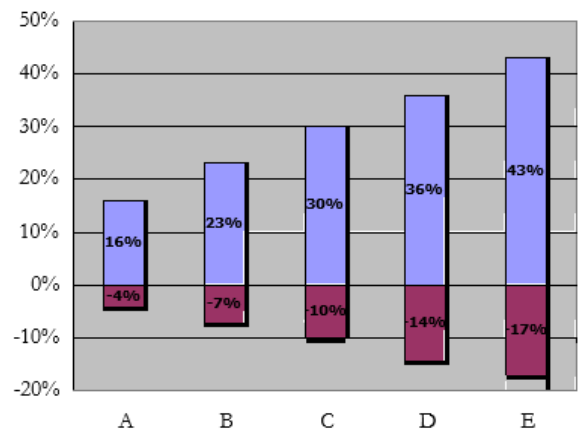
How much return are you willing to give up to feel comfortable?

- A) I will accept the lowest return in exchange for the portfolio with the smallest & least frequent changes in value. (0 Points)
- B) I will accept a moderate return in exchange for less frequent & smaller changes in value. (5 Points)
- C) I will only accept a high return. I understand that the portfolio will frequently have large changes in life. (11 Points)

Points \_\_\_\_\_

3. The following graph shows the probable range of one-year returns of five hypothetical portfolios. Notice the portfolios with high returns also have a higher probability of large losses. In which of these portfolios would you prefer to invest?

- A) Portfolio A (0 Points)
- B) Portfolio B (3 Points)
- C) Portfolio C (7 Points)
- D) Portfolio D (10 Points)
- E) Portfolio E (14 Points)



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**Asset Allocation Questionnaire Continued.....**

Points \_\_\_\_\_

4. Which of the following responses best matches your approach to inflation & investing?

- A) My main goal is to avoid loss, even though I may only keep pace with inflation. (0 Points)
- B) My main goal is to significantly outpace inflation. I realize this may come with higher risk & higher chance of loss. (5 Points)
- C) My main goal is to maintain wealth, regardless of potentially high-risk levels. (11 Points)

Points \_\_\_\_\_

5. The table below shows risk & return characteristics for three hypothetical portfolios. As most likely annual return increases, so does the probability of loss. In which portfolio would you like to invest?

Portfolio A (11 Points)  
 Portfolio B (5 Points)  
 Portfolio C (0 Points)

	Most Likely Annual Return	Possible Annual Loss
Portfolio A	11 %	30 %
Portfolio B	9 %	15 %
Portfolio C	6 %	5 %

Points \_\_\_\_\_

6. Assume the value of your well-diversified portfolio containing a mix of stocks, bonds, & cash recently declined by 20%. How would you react?

- A) I would maintain my portfolio & stick to my long-term investment strategy. (12 Points)
- B) I would wait at least 1 year before changing to more conservative options. (9 Points)
- C) I would wait at least 6 months before changing to more conservative options. (5 Points)
- D) I would immediately change to more conservative options. (0 Points)

Points \_\_\_\_\_

7. The table below shows the possible ending values of \$50,000 invested in five hypothetical portfolios over a three-year period. The portfolio with the chance to attain the highest ending value also has the chance to have the lowest ending value. Which of the following portfolios would you be most comfortable with?

Portfolio	Points	Worst-Case Value	Most Likely Value	Best-Case Value
A	0	\$50,000	\$59,000	\$69,000
B	3	\$48,000	\$61,000	\$78,000
C	7	\$45,000	\$63,000	\$86,000
D	10	\$43,000	\$64,000	\$95,000
E	14	\$41,000	\$66,000	\$104,000

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**Asset Allocation Questionnaire Continued...**

- Points \_\_\_\_\_ 8. "If the stock portion of your portfolio were to **LOSE 45 PERCENT** of its value over a two-year period, consistent with the overall market, I would cut my losses immediately & move into a more conservative investment strategy." How do you feel about this statement?
- A) Strongly Agree (0 Points)
  - B) Agree (5 Points)
  - C) Disagree (9 Points)
  - D) Strongly Disagree (13 Points)

**RISK AVERSION  
TOTAL SCORE**  
(Point total for questions 1-8)

- Points \_\_\_\_\_ 9. In how many years will you begin to withdraw funds from your portfolio for retirement?
- A) 2 years or less (0 Points)
  - B) 3 to 5 years (2 Points)
  - C) 6 to 8 years (8 Points)
  - D) 9 to 11 years (10 Points)
  - E) 12 years or more (12 Points)

- Points \_\_\_\_\_ 10. Once you begin to withdraw fund from your portfolio for retirement purposes, for how many years will you continue to make withdrawals?
- A) 2 years or less (0 Points)
  - B) 3 to 5 years (2 Points)
  - C) 6 to 8 years (4 Points)
  - D) 9 to 11 years (5 Points)
  - E) 12 years or more (6 Points)

**TIME HORIZON  
TOTAL SCORE**  
(Point total for questions 9-10)

RISK AVERSION TOTAL SCORE	TIME HORIZON TOTAL SCORE				
	0-2	3-5	6-8	9-11	12+
0-14	Model 1	Model 1	Model 1	Model 1	Model 1
15-40	Model 1	Model 2	Model 2	Model 2	Model 2
41-66	Model 1	Model 2	Model 3	Model 3	Model 3
67-89	Model 1	Model 2	Model 3	Model 4	Model 4
90-100	Model 1	Model 2	Model 3	Model 4	Model 5

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**Confirm Your Asset Allocation Model:**

Model 1 – Conservative	
<b>Objective:</b> Primarily preservation of capital	
<b>Asset Class Breakdown</b>	
Fixed Income: 80%	Equity: 20%
Cash & Equivalents	30%
Intermediate Bonds	45%
High-Yield Bonds	5%
Large-Cap Value	8%
Large-Cap Growth	4%
International Equity	5%
Mid-Cap Equity	3%
Small-Cap Equity	0%
<b>Total</b>	<b>100%</b>

Model 2 – Moderate-Conservative	
<b>Objective:</b> Moderate growth	
<b>Asset Class Breakdown</b>	
Fixed Income: 59%	Equity: 41%
Cash & Equivalents	20%
Intermediate Bonds	34%
High-Yield Bonds	5%
Large-Cap Value	13%
Large-Cap Growth	8%
International Equity	11%
Mid-Cap Equity	6%
Small-Cap Equity	3%
<b>Total</b>	<b>100%</b>

Model 3 – Moderate	
<b>Objective:</b> Steady growth in asset values	
<b>Asset Class Breakdown</b>	
Fixed Income: 41%	Equity: 59%
Cash & Equivalents	10%
Intermediate Bonds	27%
High-Yield Bonds	4%
Large-Cap Value	18%
Large-Cap Growth	12%
International Equity	16%
Mid-Cap Equity	8%
Small-Cap Equity	5%
<b>Total</b>	<b>100%</b>

Model 4 – Moderate-Aggressive	
<b>Objective:</b> Moderately high growth in asset values	
<b>Asset Class Breakdown</b>	
Fixed Income: 24%	Equity: 76%
Cash & Equivalents	0%
Intermediate Bonds	21%
High-Yield Bonds	3%
Large-Cap Value	21%
Large-Cap Growth	16%
International Equity	22%
Mid-Cap Equity	10%
Small-Cap Equity	7%
<b>Total</b>	<b>100%</b>

Model 5 – Aggressive	
<b>Objective:</b> High growth in asset values	
<b>Asset Class Breakdown</b>	
Fixed Income: 6%	Equity: 94%
Cash & Equivalents	0%
Intermediate Bonds	6%
High-Yield Bonds	0%
Large-Cap Value	24%
Large-Cap Growth	19%
International Equity	28%
Mid-Cap Equity	13%
Small-Cap Equity	10%
<b>Total</b>	<b>100%</b>

Investment Model Selected:                      Model: \_\_\_\_\_

\_\_\_\_\_

Client Signature

\_\_\_\_\_

Client Signature

\_\_\_\_\_

Representative Signature

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