



Field Financial StrategiesSM

Live Confidently.

Investment Questionnaire

Confidential Questionnaire

Client Name: _____ Date: _____

This document does not constitute a recommendation about insurance, investments, securities. Rather, it is intended to assist us in understanding your particular situation so we are able to advise you on appropriate insurance solutions, life insurance coverage, investment advisory services through Eagle Strategies, LLC or brokerage services through NYLIFE Securities, LLC.

Section I - Client Information

CLIENT NAME:				
DATE OF BIRTH:				
ADDRESS:				
PHONE NUMBER:				
MARITAL STATUS:	Married/Domestic Partnership	Single/Not Married	Divorced	
WHEN DO YOU PLAN TO RETIRE?				
PLEASE SELECT YOUR PRIMARY TWO FINANCIAL CONCERNS FROM OPTIONS BELOW:				
Longevity	Income Generation	Volatility Management	Inflation Management	Taxation
CO-CLIENT NAME:				
DATE OF BIRTH:				
ADDRESS:				
PHONE NUMBER:				
MARITAL STATUS:	Married/Domestic Partnership	Single/Not Married	Divorced	
WHEN DO YOU PLAN TO RETIRE?				
PLEASE SELECT YOUR PRIMARY TWO FINANCIAL CONCERNS FROM OPTIONS BELOW:				
Longevity	Income Generation	Volatility Management	Inflation Management	Taxation



Section II - Investments

1. How much investment risk are you willing to take in pursuit of greater returns?
 - ☐ I want little risk with this investment and am willing to accept lower but more stable average returns as a result.
 - ☐ I am willing to take some but not much risk with this investment because I am concerned about significant market fluctuations.
 - ☐ I am willing to take a moderate amount of risk with this investment because I understand the relationship between investment risk and return.
 - ☐ I am willing to take a greater amount of risk with this investment because I accept that to achieve higher returns, I may have to also risk significant fluctuations.
2. Which of the following best describes how you would like this investment to perform during your planned holding period?
 - ☐ Capital preservation with little volatility.
 - ☐ Modest return while experiencing lower volatility.
 - ☐ Average return and volatility.
 - ☐ Above average return with the potential for significant volatility.
3. How optimistic are you about the long-term prospects for the U.S. economy?
 - ☐ Very pessimistic
 - ☐ Unsure
 - ☐ Somewhat optimistic
 - ☐ Very optimistic
4. Which of the following better describes your attitude about investments outside the U.S.?
 - ☐ I believe that investing in foreign markets involves risk
 - ☐ I believe that overseas markets provide attractive investments opportunities
5. “If the securities portion of my portfolio were to lose 10% of its value over a one-month period, I would prefer to cut my losses and shift into a more conservative investment strategy.” How do you feel about the previous statement?
 - ☐ Strongly Agree
 - ☐ Agree
 - ☐ Disagree
 - ☐ Strongly Disagree
6. Choose the answer that best describes your response to the following statement: “I am comfortable with investments that may decline in value if there is equivalent potential for higher returns.”
 - ☐ Strongly Disagree
 - ☐ Disagree
 - ☐ Agree
 - ☐ Strongly Agree

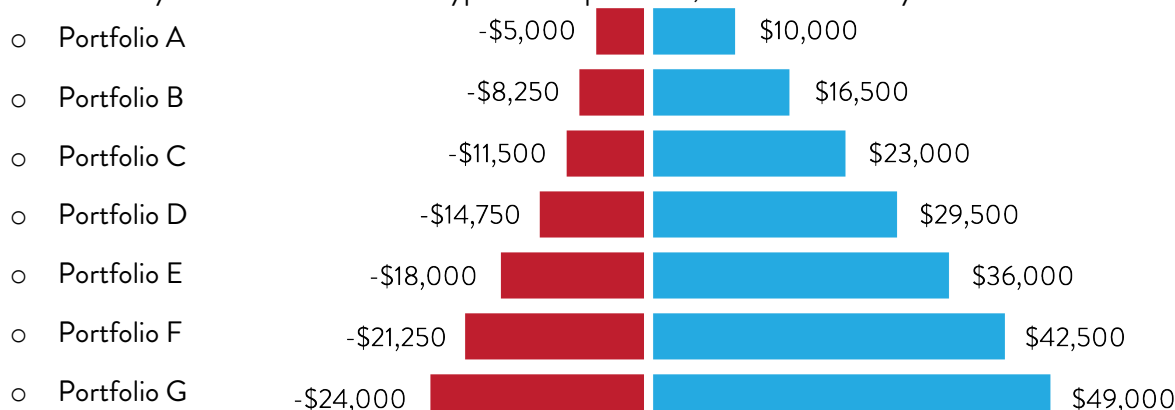


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7. Which of the following best describes your investment objective for this purchase?
- ☐ Preserving Capital while earning income
 - ☐ Earning Income while generating Moderate Growth
 - ☐ Steady Long-term Growth with a low level of earned income
 - ☐ Aggressive Growth with no income
8. What do you expect your standard of living to be 10 years from now as compared to your standard of living today?
- ☐ Lower than it is today
 - ☐ The same as it is today
 - ☐ Somewhat higher than it is today
 - ☐ Substantially greater than it is today
9. Between today and the end of your anticipated holding period for this investment, your goal for the value of this purchase is to be:
- ☐ More than it is today
 - ☐ Somewhat greater than it is today
 - ☐ Greater than it is today
 - ☐ Substantially greater than it is today
10. What is your age?
- ☐ 56 or older
 - ☐ 46-55
 - ☐ 36-45
 - ☐ 18-35
11. What is your primary financial goal for this purchase?
- ☐ Retirement planning
 - ☐ Wealth accumulation
12. What is the time frame for you to achieve your financial goals for this purchase?
- ☐ 0-6 years
 - ☐ 7-14 years
 - ☐ 15 years or more



Section III-Risk Tolerance Questionnaire

1. The graph below shows the potential range of gains or losses of a \$100,000 investment in each of the seven hypothetical portfolios at the end of a 1-year period. The number to the right of each bar shows the best potential gain for that portfolio, while the number to the left of each bar shows the worst potential loss. Given that this is the only information that you have on these seven hypothetical portfolios, which one would you choose to invest in?



2. Inflation (rising prices for goods and services) can have a significant effect on your investments by decreasing their potential purchasing power over time. Aggressive investments have historically outpaced inflation over the long run, but have had more instances of short-term losses than more conservative investments. How do you feel about inflation and its potential impact on your investments?
- ☐ You are satisfied with your investments keeping pace with inflation. Limiting the potential for short-term loss is your main goal, and you are willing to sacrifice the potential for higher returns.
 - ☐ You would like your investments to outpace inflation. You are willing to assume some potential for short-term loss in order to pursue that goal.
 - ☐ You prefer that your investments significantly outperform inflation. You are willing to assume a greater potential for short-term loss in order to pursue that goal.
3. Suppose that a substantial portion of your investment portfolio is invested in securities. If the stock market were to experience a prolonged down market, losing 50 percent of its value over a 3-year period, what would you do (assuming your securities behaved in a similar fashion)?
- ☐ Sell all the securities in your portfolio. You are afraid that the stock market is in a downturn and you cannot afford the decreased value.
 - ☐ Sell half of the securities in your portfolio. You think that the market may rebound, but you are not willing to leave all your investment exposed to further loss.
 - ☐ Hold the securities in your portfolio. You understand that your investment may be subject to short-term price swings and are comfortable 'weathering the storm'.
 - ☐ Buy more securities for your portfolio to take advantage of their low price. You are comfortable with market fluctuations and assume that the securities will potentially regain their previous value or increase in value.



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4. Once again, assume you have a substantial portion of your investment portfolio in securities. If the stock market were to gradually decline at an average of 2 percent per month, eventually losing 24% of its value over a year, which of the following would you do?
- Sell the securities in your portfolio and realize the 24% loss. You wish to avoid the risk of further loss.
 - Sell half the securities in your portfolio. You are not willing to leave all your investment at risk for further loss.
 - Do nothing. You are comfortable waiting for the securities to regain their previous value or to increase value.
 - Invest more now because securities are selling for approximately 24% less than they were 12 months ago. You believe that the securities will potentially regain their value or possibly appreciate even higher over the long-term.
5. Aggressive investments have historically provided higher returns while exhibiting greater short-term price fluctuations and potential for loss. How do you feel about fluctuations in the value of your portfolio?
- You want to minimize the possibility of loss in the value of the portfolio. You understand that you are sacrificing higher long-term returns by holding investments that reduce the potential for short-term loss and price fluctuation.
 - You can tolerate the risk of moderate losses in order to pursue potentially favorable returns.
 - You can tolerate the risk of large losses in your portfolio in pursuit of greater potential gains.
6. What is the investment time horizon on your investment assets?
- Less than 3 years
 - 3-5 years
 - 6-9 years
 - 10+ years
7. Compare your own health status, family history, and lifestyle with a typical or average person the same age as you. Based upon that comparison, which statement do you agree most with?
- I am likely to outlive most people my age.
 - I am likely to live about as long as most people my age.
 - I am less likely to outlive most people my age.



To Be Completed by Your Advisor

INVESTMENT ACCOUNT INFORMATION:

Investment Amount \$ _____

Account Registration (ex. John Doe-IRA) _____

Source of Funds:

- ☐ Deposit by check, bank wire, or electronic funds transfer.
- ☐ Transfer from existing account within the same broker-dealer and custodian.
- ☐ Transfer from another broker-dealer or custodian
- ☐ Other

ADVISOR #1		ADVISOR #2	
ADVISOR NAME	Joel Field	ADVISOR NAME	
AGENT CODE	088411	AGENT CODE	
PHONE	502-640-0918	PHONE	
SPLIT ADV %		SPLIT ADV %	
TOTAL ADVISOR EXPENSE			

Total Score	
Risk Tolerance	

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