



Mote Wealth Management, LLC

Fee Only Financial Planning

CONFIDENTIAL

INVESTMENT SURVEY

Client Name(s):

Client 1 responses _____

Client 2 responses _____

**Please check the appropriate box or boxes indicating your answers*

1 My level of confidence regarding current and future income sources (salary, pension, Social Security, 401k and IRAs) is ...

NOTES

- | | | |
|-------------------------------------|--------------------------|--------------------------|
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | Extremely low confidence |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | Low confidence |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | Somewhat confident |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | Confident |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | Very confident |

2 The money in my portfolio will be spent over a period of ...

- | | | |
|-------------------------------------|--------------------------|--------------------|
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | 1 to 2 years |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | 3 to 5 years |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | 6 to 10 years |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | 11 to 15 years |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | More than 15 years |

3 My timeframe to begin making withdrawals from this portfolio is ...

- | | | |
|-------------------------------------|--------------------------|--------------------|
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | Less than 1 year |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | 1 to 2 years |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | 3 to 5 years |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | 6 to 10 years |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | 11 to 15 years |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | More than 15 years |

4 I consider a long-term investment to be ...

- | | | |
|-------------------------------------|--------------------------|-----------------|
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | 1 to 2 years |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | 3 to 4 years |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | 5 to 6 years |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | 7 to 8 years |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | 9 or more years |

5 I consider reasonable average percentage returns on my investments to be ...

- | | | |
|-------------------------------------|--------------------------|-------------------|
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | Not sure |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | 0 to 3% per year |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | 4 to 6% per year |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | 7 to 9% per year |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | 9 to 12% per year |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | 13% plus per year |

6 When it comes to investing, I think in terms of a global economy

- | | | |
|--------------------------|--------------------------|--|
| <input type="checkbox"/> | <input type="checkbox"/> | I don't have an opinion related to foreign investments |
| <input type="checkbox"/> | <input type="checkbox"/> | I only want to invest in US companies |
| <input type="checkbox"/> | <input type="checkbox"/> | I rarely consider foreign companies for my investments |
| <input type="checkbox"/> | <input type="checkbox"/> | I want a minor part of my portfolio invested in foreign securities |
| <input type="checkbox"/> | <input type="checkbox"/> | I view foreign and US companies as equally important investments |
| <input type="checkbox"/> | <input type="checkbox"/> | I believe foreign investments should be a major part of my portfolio |

7 When it comes to investing my money, the thing I worry about the most is

- | | | |
|--------------------------|--------------------------|--|
| <input type="checkbox"/> | <input type="checkbox"/> | My investments losing value |
| <input type="checkbox"/> | <input type="checkbox"/> | I am equally concerned about losing or gaining value |
| <input type="checkbox"/> | <input type="checkbox"/> | My investments gaining value |

8 My reaction to an investment that fell by 20% in a couple of months would be to ...

- | | | |
|--------------------------|--------------------------|--|
| <input type="checkbox"/> | <input type="checkbox"/> | Sell all of the remaining investment |
| <input type="checkbox"/> | <input type="checkbox"/> | Sell a portion of the remaining investment |
| <input type="checkbox"/> | <input type="checkbox"/> | Hold the investment and sell nothing |
| <input type="checkbox"/> | <input type="checkbox"/> | Buy more of the investment |

9 On average, for every five years the stock market has positive gains there will be one year the market experiences a loss.

How would you describe your attitude toward a losing year for your portfolio?

- | | | |
|--------------------------|--------------------------|---|
| <input type="checkbox"/> | <input type="checkbox"/> | I do not want to experience any losses |
| <input type="checkbox"/> | <input type="checkbox"/> | I could live with a small loss |
| <input type="checkbox"/> | <input type="checkbox"/> | I know losses will occur and am comfortable knowing I am a long term investor |
| <input type="checkbox"/> | <input type="checkbox"/> | I look at a down market as a buying opportunity |

10 Based on the fact that the stock market has, on average, one negative year for every five positive growth years...

- | | | |
|--------------------------|--------------------------|---|
| <input type="checkbox"/> | <input type="checkbox"/> | I am not willing to experience any loss in my portfolio |
| <input type="checkbox"/> | <input type="checkbox"/> | I could tolerate a 5% loss in a 12 mo. period |
| <input type="checkbox"/> | <input type="checkbox"/> | I could tolerate a 10% loss in a 12 mo. period |
| <input type="checkbox"/> | <input type="checkbox"/> | I could tolerate a 20% loss in a 12 mo. period |
| <input type="checkbox"/> | <input type="checkbox"/> | I could tolerate a 30% loss in a 12 mo. period |
| <input type="checkbox"/> | <input type="checkbox"/> | I could tolerate a 40% loss in a 12 mo. period |

11 I dislike investments that swing substantially up and down. Even knowing the overall returns may be lower, I prefer stable investments.

- I strongly agree
- I agree
- I somewhat agree
- I disagree
- I strongly disagree

12 In a down market, I prefer to sell some of my higher risk investments and put the money into safer ones.

- I strongly agree
- I agree
- I somewhat agree
- I disagree
- I strongly disagree

13 A portfolio has a volatility factor based on historical performance. Previous returns do not guarantee future returns. In which of these three portfolios would you choose to invest? (Potential gains and losses represent a one year investment of \$10,000.)

- Portfolio A
- Portfolio B
- Portfolio C

Portfolio	One Year Gain	One Year Loss
A	\$600	-\$200
B	\$2,000	-\$1,000
C	\$4,200	-\$3,700

14 The risk associated with owning small company stocks is somewhat higher than large company stocks, but over long periods of time the rewards have also been slightly better. How do you feel about investing in small company stocks or mutual funds?

- I do not want to invest in small company stocks or mutual funds.
- I don't have a preference for small company stocks over large company stocks.
- I want some portion of my investments allocated to small company stocks or mutual funds.

15 Performance of small company stocks tends to be dissimilar to large company stocks. In other words, when large company stocks are performing well, small company stocks often do poorly. Likewise, when small company stocks are performing well, their large company counterparts may be underperforming. How do you feel about small company stocks as a part of your portfolio?

- I have no definite thoughts related to small company versus large company stocks
- I am not comfortable with small company stocks
- I am willing to consider small company stocks for my portfolio
- I feel no different about small company or large company stocks
- I feel some small company stocks should be in my portfolio
- I feel the majority of my portfolio should be small company stocks

16 I will be happy if my investments just keep up with inflation

- I agree
- I somewhat agree
- I disagree

17 Foreign stocks equal slightly more than 50% of the total world wide capital markets, including all US securities.

How do you feel about investing in Foreign markets.

- I have no definite thoughts about foreign investments
- I am not willing to consider foreign investments for my portfolio
- I am somewhat willing to consider foreign investments for my portfolio
- I feel no different toward foreign investments than I do toward US based investments.
- I believe some foreign investments should be in my portfolio
- I feel strongly about having over 50% foreign investments in my portfolio.

18 Emerging Markets are found in countries with trading systems similar to the US and European markets and with stable political environments. They are generally well organized and liquid. Emerging Markets countries include: Mexico, South Korea, Brazil, Argentina and Greece. These markets can be rewarding to investors not bothered by the potential for extreme volatility. These markets sometimes provide dissimilar movement to other markets and may lessen overall portfolio volatility.

- | | | |
|--------------------------|--------------------------|---|
| <input type="checkbox"/> | <input type="checkbox"/> | I don't want any of my investments allocated to Emerging Markets |
| <input type="checkbox"/> | <input type="checkbox"/> | I have no definite thoughts on Emerging Markets investments |
| <input type="checkbox"/> | <input type="checkbox"/> | I would feel comfortable with a small portion of my investments allocated to Emerging Markets |

19 Do you have a desire to invest in a particular market sector?

Please indicate any market sectors that apply.

- | | | |
|--------------------------|--------------------------|--------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | Financial |
| <input type="checkbox"/> | <input type="checkbox"/> | Technical |
| <input type="checkbox"/> | <input type="checkbox"/> | Telecommunications |
| <input type="checkbox"/> | <input type="checkbox"/> | Healthcare |
| <input type="checkbox"/> | <input type="checkbox"/> | Biotech |
| <input type="checkbox"/> | <input type="checkbox"/> | Precious Metals |
| <input type="checkbox"/> | <input type="checkbox"/> | Energy |
| <input type="checkbox"/> | <input type="checkbox"/> | Other _____ |

20 Some investors like to hold a component of their assets separate from their "Core Investments." Sometimes called "play money," it is self-directed to speculate in securities that are in the news or received as a hot tip. Does your investing style incite you to keep some play money available for speculation?

- | | | |
|--------------------------|--------------------------|--|
| <input type="checkbox"/> | <input type="checkbox"/> | I don't care to separate my investments |
| <input type="checkbox"/> | <input type="checkbox"/> | I want to maintain a small amount for this purpose |
| <input type="checkbox"/> | <input type="checkbox"/> | I want to self-direct a sizeable portion of my investments |

21 Would you invest in the stock of an individual company, a bond or a mutual fund based solely on a tip from a friend or acquaintance?

- | | | |
|--------------------------|--------------------------|---------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | Absolutely |
| <input type="checkbox"/> | <input type="checkbox"/> | Probably |
| <input type="checkbox"/> | <input type="checkbox"/> | I would consider it |
| <input type="checkbox"/> | <input type="checkbox"/> | Probably not |
| <input type="checkbox"/> | <input type="checkbox"/> | Absolutely not |

22 I have either owned or presently own the following types of investments. Select all that apply.

- | | | |
|--------------------------|--------------------------|--|
| <input type="checkbox"/> | <input type="checkbox"/> | Certificates of deposit (CD's) |
| <input type="checkbox"/> | <input type="checkbox"/> | Money Markets funds |
| <input type="checkbox"/> | <input type="checkbox"/> | Bonds or bond funds |
| <input type="checkbox"/> | <input type="checkbox"/> | Stocks or stock funds |
| <input type="checkbox"/> | <input type="checkbox"/> | Real estate investment trusts (REITs) |
| <input type="checkbox"/> | <input type="checkbox"/> | Gold, silver or other precious metals or funds |
| <input type="checkbox"/> | <input type="checkbox"/> | Limited partnerships |
| <input type="checkbox"/> | <input type="checkbox"/> | Foreign stocks or stock funds |
| <input type="checkbox"/> | <input type="checkbox"/> | Other, please indicate _____ |

23 Some investors want to be very involved in their investment decisions while others are more hands-off except for reviewing results. How would you describe your style and expectations working with a Financial Planner.

- | | | |
|--------------------------|--------------------------|---|
| <input type="checkbox"/> | <input type="checkbox"/> | Hands-Off. I require a minimum amount of information |
| <input type="checkbox"/> | <input type="checkbox"/> | Partnership. I want to participate in decisions regarding my investments and have alternatives provided to me |
| <input type="checkbox"/> | <input type="checkbox"/> | I want to direct the major portion of my investments with some input and validation from a Financial Planner |

24 What are your views on investing in socially responsible mutual funds, such as those refusing to invest in companies associated with alcohol, tobacco or weapons; or who have violated environmental issues or human rights or who use animal testing. These funds often underperform their less restrictive counterparts which do not discriminate on the same social issues.

- | | | |
|--------------------------|--------------------------|---|
| <input type="checkbox"/> | <input type="checkbox"/> | This is an issue that is very important to me when choosing investments |
| <input type="checkbox"/> | <input type="checkbox"/> | This is an issue of some importance to me when choosing investments |
| <input type="checkbox"/> | <input type="checkbox"/> | This is not something I consider when investing |

25 I am most familiar with the following investment techniques
Please indicate all that apply

- | | | |
|--------------------------|--------------------------|--|
| <input type="checkbox"/> | <input type="checkbox"/> | I am not familiar with any investment techniques |
| <input type="checkbox"/> | <input type="checkbox"/> | Fundamental analysis/security selection |
| <input type="checkbox"/> | <input type="checkbox"/> | Technical analysis/market timing |
| <input type="checkbox"/> | <input type="checkbox"/> | Modern Portfolio Theory/Asset allocation |

26 My previous investment experience includes

<input type="checkbox"/>	Investing through a local Broker
<input type="checkbox"/>	investing through my online brokerage account
<input type="checkbox"/>	Investing through my Insurance Agent
<input type="checkbox"/>	Investing through my CPA/Accountant
<input type="checkbox"/>	Direct purchases from mutual fund companies
<input type="checkbox"/>	Investing in a 401k or similar employer sponsored plan
<input type="checkbox"/>	Member of an investment club
<input type="checkbox"/>	Attended financial planning courses
<input type="checkbox"/>	Other _____

27 As an investor, either in individual stocks and bonds or in stock or bond mutual funds, I can best be described as ...

<input type="checkbox"/>	A very inexperienced investor
<input type="checkbox"/>	A somewhat inexperienced investor
<input type="checkbox"/>	A somewhat experienced investor
<input type="checkbox"/>	An experienced investor
<input type="checkbox"/>	A very experienced investor

Notes:

Client 1 Print Name

Client 2 Print Name

Client 1 Signature

Client 2 Signature

MWM, LLC Representative

Date