The Discovery Profile™

HUTTON Financial Advisors

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Thank you for taking the time to complete The Discovery Profile™. The information you provide is strictly confidential and will only be used for your individual planning purposes. We ask that you complete this profile as fully as you are comfortable with. If you have any questions, please call our office for assistance.

Basic Information

Your Name | Nickname | Age | Birthdate | Social Security # (optional)

Your Job Title | Employer (last, if retired) | # of Years | Work Phone | Retirement Date

Spouse's Name | Nickname | Age | Birthdate | Social Security # (optional)

Spouse's Job Title | Employer (last, if retired) | # of Years | Work Phone | Retiremet

Residence Address | City | State | Zip Code

Mailing Address | City | State | Zip Code

Home Phone | Cell Phone | Fax | Email Address

Referred By: ____________________ ❍ Newspaper ❍ Magazine ❍ Website

Annual Income

Your Wages: $ ____________

Spouse's Wages: $ ____________

Other Income $ ____________ Source: ____________

Other Income $ ____________ Source: ____________

Other Income $ ____________ Source: ____________

Do you anticipate additional income that you are not currently receiving? ❍ Yes ❍ No ❍ Uncertain

If yes, please indicate the source of the income: ____________

Retirement

1. At what age do you want to retire? ________________ Your Spouse? __________________

2. What is the minimum income you will need, in today's dollars, at retirement? $ _______________

3. If you plan on working after retirement, estimate your expected income: $ ___________________

4. What interest rate would you like to earn on your investments? You: _____________ % Spouse: ____________ %

5. What do you think inflation will average in the future? _______________ %

Balance Sheet

Assets & Investments *(i.e., checking & savings accounts, money market, IRAs, 401(k)s, stocks, bonds, mutual funds, etc.)*

You may attach statements instead of filling this section out.

	Account Type	Location	Approximate Value
1.			
2.			
3.			
4.			
5.			
6.			
7.			

Liabilities & Outstanding Debt *(i.e., home, business, credit cards, loans, other long-term debt, etc.)*

You may attach statements instead of filling this section out.

	Type of Liability	Name of Debtor	Interest Rate	Approximate Balance Due
1.				
2.				
3.				
4.				
5.				
6.				
7.				

Other

Do you have any other financial concerns that need to be addressed? If so, please describe the issue(s) below:

Risk Assessment Questionnaire

The Risk Assessment Questionnaire helps to determine the best asset mix for an investment, based on the answers given to the questions below.

Client Name: ____

Time Horizon
Your current situation and future income needs.
Please choose only one answer per question.

1. What is your current age?
   - ❍ Less than 45
   - ❍ 45 to 55
   - ❍ 56 to 65
   - ❍ 66 to 75
   - ❍ Older than 75

2. When do you expect to start drawing income?
   - ❍ Not for at least 20 years
   - ❍ In 10 to 20 years
   - ❍ In 5 to 10 years
   - ❍ Not now, but within 5 years
   - ❍ Immediately

Long-Term Goals and Expectations
Your views of how an investment should perform over the long term.
Please choose only one answer per question.

3. What is your goal for this investment?
   - ❍ To grow aggressively
   - ❍ To grow significantly
   - ❍ To grow moderately
   - ❍ To grow with caution
   - ❍ To avoid losing money

4. Assuming normal market conditions, what would you expect from this investment over time?
   - ❍ To generally keep pace with the stock market
   - ❍ To slightly trail the stock market, but make a good profit
   - ❍ To trail the stock market, but make a moderate profit
   - ❍ To have some stability, but make modest profits
   - ❍ To have a high degree of stability, but make small profits

5. Suppose the stock market performs unusually poorly over the next decade. What would you expect from this investment?
   - ❍ To lose money
   - ❍ To make very little or nothing
   - ❍ To eke out a little gain
   - ❍ To make a modest gain
   - ❍ To be little affected by what happens in the stock market

Short-Term Risk Attitudes
Your attitude toward short-term volatility.
Please choose only one answer per question.

6. Which of these statements would best describe your attitudes about the next three years' performance of this investment?
   - ❍ I don't mind if I lose money
   - ❍ I can tolerate a loss
   - ❍ I can tolerate a small loss
   - ❍ I'd have a hard time tolerating any losses
   - ❍ I need to see at least a little return

7. Which of these statements would best describe your attitudes about the next three months' performance of this investment?
   - ❍ Who cares? One calendar quarter means nothing
   - ❍ I wouldn't worry about losses in that time frame
   - ❍ If I suffered a loss of greater than 10%, I'd get concerned
   - ❍ I can only tolerate small short-term losses
   - ❍ I'd have a hard time stomaching any losses

Targets Details:

8. Target Needs $______________________________
   Current Needs $______________________________
   Annual Investment $______________________________
   Time Horizon ________________________ Years

____ ______________
Signature Date

Paul Hutton is an Investment Advisor Representative of and Securities and Investment Advisory Services offered through Transamerica Financial Advisors, Inc.,
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