



Date \_\_\_\_\_

Client (1) \_\_\_\_\_

Client (2) \_\_\_\_\_

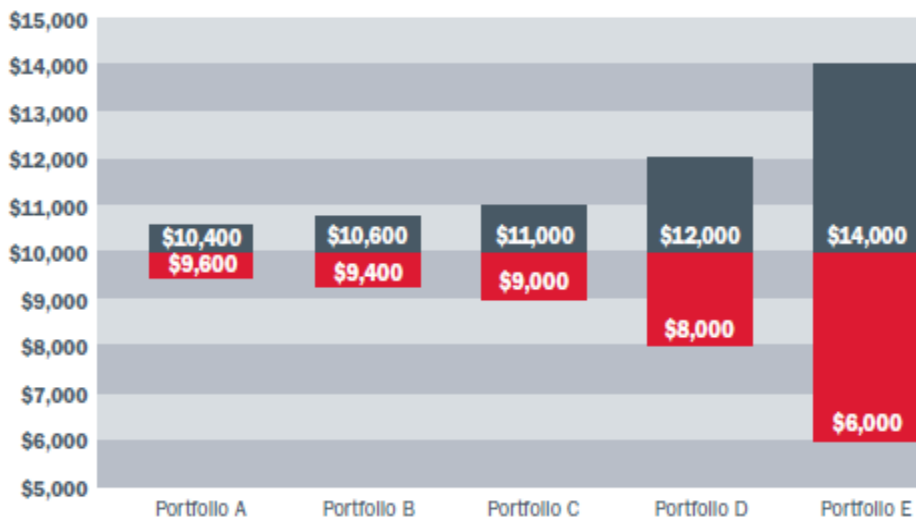
## ASSETMATCH® QUESTIONNAIRE

While this questionnaire is an indicator of your ability to tolerate risk in your investment portfolio, it is not a substitute for a thorough discussion of your financial needs, plans and concerns with your financial professional.

### 1. Which investment objective is most important to you?

- A. Preservation of wealth
- B. Current income with relative stability of principal
- C. Dividend income with some potential for growth of principal
- D. Moderate growth in principal
- E. Maximum potential growth in principal for future needs

Client (1) Answer	Client (2) Answer



2. The graph to the left shows the potential fluctuation in value of five hypothetical portfolios in a given year. The given amount invested was \$10,000. The amounts shown represent the potential range in values of this \$10,000 investment after one year.

In which of the five given portfolios would you prefer to invest?

- A. Portfolio A (+4%/-4%)
- B. Portfolio B (+6%/-6%)
- C. Portfolio C (+10%/-10%)
- D. Portfolio D (+20%/-20%)
- E. Portfolio E (+40%/-40%)

Client (1) Answer	Client (2) Answer

### 3. From September 2008 through November 2008, the stock market lost 30%. If you owned an investment that lost more than 20% in 3 months, you would:

- A. Sell all of the remaining investment
- B. Sell a large portion of the remaining investment
- C. Sell a small portion of the remaining investment
- D. Hold on to the investment and sell nothing
- E. Buy more of the investment

Client (1) Answer	Client (2) Answer

### 4. Generally, investments with higher potential returns also carry higher risk. How would you describe your tolerance for investment fluctuation?

- A. No tolerance. To minimize the chance for loss, I am willing to accept the lower long-term returns provided by conservative investments.
- B. Low tolerance. I am able to accept only infrequent and very modest losses during difficult phases in a market cycle.
- C. Moderate tolerance. I am able to accept only two or three quarters of negative returns during difficult phases in a market cycle.
- D. High tolerance. I am able to accept negative annual returns during difficult phases in a market cycle.
- E. Extreme tolerance. I am able to accept prolonged negative returns during difficult phases in a market cycle.

Client (1) Answer	Client (2) Answer

**5. When do you plan to begin taking withdrawals from your account?**

- A. Less than 2 years
- B. 2 to 5 years
- C. 6 to 10 years
- D. 11 to 20 years
- E. More than 20 years

Client (1) Answer	Client (2) Answer

**6. Once you begin withdrawing money from your investment account, how long do you expect the withdrawals to last?**

- A. I plan to take a lump-sum distribution of the entire amount
- B. 0 to 4 years
- C. 5 to 7 years
- D. 8 to 10 years
- E. 11 years or more

Client (1) Answer	Client (2) Answer

**7. Will you want to withdraw 20% or more of your original investment at any time?**

- A. Yes, within the next 3 years
- B. Yes, within 3 to 5 years
- C. Yes, within 6 to 10 years
- D. Yes, more than 10 years from now
- E. Not likely

Client (1) Answer	Client (2) Answer

**8. Excluding retirement dollars, you would be able to pay your bills for approximately how many month(s) after a loss of income due to an emergency.**

- A. I do not have any emergency savings
- B. 1 month
- C. 2 to 3 months
- D. 4 to 6 months
- E. 6 months or more

Client (1) Answer	Client (2) Answer

**9. What is your overall knowledge of investments?**

- A. I have no investment experience and a very low knowledge level regarding investments
- B. I have very little investment experience and a fairly low knowledge level
- C. I have some experience investing in mutual fund and am somewhat knowledgeable
- D. I have some experience investing in mutual funds, individual stocks and bonds and am somewhat knowledgeable
- E. I am an experienced investor, have a solid knowledge base regarding investments, and am aware that markets can be volatile and unpredictable

Client (1) Answer	Client (2) Answer

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