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Risk Profile Form

Investment Objectives

Introduction

The first step in the portfolio design process is to determine your investment profile. This profile will help us define important factors such as your investment objectives, time horizon, and your attitude towards investing. This profile will also help build the base of information needed for you to proceed to the next step in the portfolio design process and the development of the appropriate allocation policy.

Investment Advisor:

Client:

Important Notice to Client

The Corporations Law requires that an Investment Advisor providing financial advice and recommendations must have reasonable grounds for providing those recommendations. This means that a Investment Advisor must conduct appropriate investigations as to the financial objectives, situation and particular needs of the client. The information requested in this form is necessary to enable recommendations be made and will be used solely for that purpose. We accept no liability for any advice given on the basis of inaccurate or incomplete information.

Privacy Statement

This Risk Profile Form is strictly confidential between you and Allgen Financial Services, Inc.

Disclaimer & Disclosure

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Investment Objectives

1) Which factor is most important to you in choosing a particular investment?

- How quickly I may be able to increase my wealth 3
- The amount of monthly income the portfolio can generate 2
- The safety of my investment principal..... 1

2) Five years from now, what do you expect your standard of living to be?

- The same as it is now 1
- Somewhat better than it is now 2
- Substantially better than it is now 3

3) Ten years from now, what do you expect your portfolio value to be?

- The same as or a little more than it is today..... 1
- Moderately greater than it is today 2
- Substantially greater than it is today 3

4) What is your current income requirement for this portfolio?

- More than 4% 1
- 2% to 4% 2
- 0% to 2% 3

5) What do you want to do with the income generated by your portfolio?

- Receive all the income 1
- Receive some and reinvest some..... 2
- Reinvest all income 3

INVESTMENT OBJECTIVE TOTAL:



Risk Tolerance

6) Which of the following statements best describes your overall approach to investing?

- Invest in something where the principal cannot decrease even if my return is low 1
- Invest in something that offered a little more return even if the principal fluctuates slightly..... 2
- Invest in something that offered some growth potential with the understanding that the principal will fluctuate..... 3
- Invest in something that offers maximum long-term growth potential even though it has a high amount of risk..... 4

7) Which of the following statements best describes your reaction if the value of your portfolio suddenly declines 15%?

- I would be extremely concerned because I cannot accept fluctuations in the value of my portfolio 1
- I would be moderately concerned and may consider selling and moving the investments..... 2
- I invest for long-term growth, but would be slightly concerned about even a temporary decline 3
- I invest for long-term growth and accept temporary changes due to market fluctuation 4

8) Which of the following investments would you feel most comfortable owning?

Year 1	Year 2	Year 3	Year 4	Year 5	Avg. Annual Return	
4%	4%	4%	4%	4%	4%	1
6%	8%	-2%	7%	5.5%	5.5%	2
-5%	21%	8%	2%	9%	7%	4
9%	-11%	26%	3%	18%	9%	6
15%	-19%	35%	-4%	28%	11%	7

9) How optimistic are you about the long-term prospects for the economy?

- Pessimistic..... 1
- Unsure..... 2
- Somewhat optimistic 3
- Very Optimistic 4

RISK TOLERANCE TOTAL:



Time Horizon

10) What is the time frame for you to achieve your financial goals?

0-5 years	1
5-10 years	2
10-15 years	5
15 years or longer	10

11) In about how many years do you expect to need the money you are investing?

Within 2 to 3 years.....	1
Within 4-7 years.....	2
Within 7-10 years.....	5
More than 10 years.....	7

12) What is your age?

Over 66	1
55-65.....	2
46-54.....	5
Under 46	10

13) How long do you expect to withdraw money from your investments?

1-10 years	1
11-15 years	3
More than 15 years.....	5

TIME HORIZON TOTAL:

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Investor Score

INVESTMENT OBJECTIVE TOTAL

RISK TOLERANCE TOTAL

TIME HORIZON TOTAL.....

TOTAL SCORE

Score Analysis

The score is provided as a tool to help determine which asset allocation portfolio may be best suited to meet your needs as an investor. This is based on your investment objectives, time horizon, and investment risk profile.

Investor's Total Score

Under 30	Income
28 – 43	Income & Growth
38 – 48	Growth & Income
44 – 56	Growth
50 – 66	Long-Term Growth

Investor's Name: (Printed)

Investment Advisor's Name: (Printed)

 Investor's Signature:

 Investment Advisor's Signature

 Date

 Date

We would like to thank you for providing us with this information. Please feel free to contact us with any questions you might have about this form or any other financial related questions.