

# Investment Profile Questionnaire

## Investment Advisory Service/KiwiSaver Advisory Service

Please complete both sections of this document before signing and returning it to us.

**Part 1: Investment Profile Questionnaire:** This questionnaire helps you identify your overall investment risk profile.

**Part 2: Selecting your Investment Profile:** When you have completed the questionnaire, please select the investment profile you would like us to use when we give you advice under your Investment Advisory Service and/or KiwiSaver Advisory Service account by ticking the relevant circle for the profile shown at the bottom of page two.

For further details about the Investment Advisory Service and the KiwiSaver Advisory Service, please read the **Scope of Service** documents which can be found on our website at [www.forsythbarr.co.nz/sos](http://www.forsythbarr.co.nz/sos).

If you have any questions, please ask your Investment Adviser on 0800 367 227.

Please select which Advisory Service(s) you wish to complete this questionnaire for

☐ Investment Advisory Service ☐ KiwiSaver Advisory Service

Account Name:

**Account Number:** Please note your Forsyth Barr account number can be up to ten characters long.

Account Number (if known):

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## Part 1: Investment Profile Questionnaire

What's your overall investment profile?

The following questions provide an assessment of your overall capacity to expose your investments to risk and your attitude towards investment volatility. Please select the single best option for each question and complete each question. We apply points to each answer as shown in brackets after each individual response option with the score listed on the right-hand side boxes and totalled at the bottom of the page.

**Age group:** What is your age group (or the average age of the income beneficiaries)?

☐ 80+ years (1) ☐ 65 – 80 years (2) ☐ 50 – 64 years (3) ☐ 35 – 49 years (4) ☐ Under 35 years (5)

**Investing interest and experience:** How interested and experienced are you in investing in financial markets?

☐ No experience and interest (1) ☐ Limited experience and interest (2) ☐ Some experience and interest (3) ☐ Highly experienced and interested (4) ☐ Professional investor/highly experienced (5)

**Return expectations:** For the time period you intend to invest, you:

☐ Seek returns consistent with only the most secure fixed interest issuers (1) ☐ Seek returns that reflect prevailing deposit rates (2) ☐ Seek a modest margin (1-2%) over deposit rates (3) ☐ Seek a clear margin (3-5%) over deposit rates (4) ☐ Seek returns that reflect local and global sharemarket performance (5)

**Downside risks:** You could accept the following downturn in the overall value of your investments in any one year:

☐ 0 – 5% downturn (1) ☐ 5 – 10% downturn (2) ☐ 10 – 15% downturn (3) ☐ 15 – 20% downturn (4) ☐ 20%+ downturn (5)

**Reaction to market downturn:** If your investments fell by 15-20% in a relatively short timeframe you would be:

☐ Very concerned, and cash up immediately (1) ☐ Concerned, and sell the most affected investments (2) ☐ Willing to hold, and wait for a turn around (3) ☐ Interested in any sharemarket opportunities that may arise (4) ☐ Actively shifting investments to the sharemarket to take advantage of any recovery (5)

Total Score:

**Your Total Score:** Please add the numbers that relate to each question to calculate your total score.

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Please turn over

## What your score suggests

### Defensive Investor (Scored 5 – 10 points)

*You seek to preserve the dollar amount invested, over the longer term.*

While accepting that all investments involve an element of risk, you wish to minimise any volatility (variation in the value of your overall capital) and you seek to maintain the nominal (dollar) value of the sum invested. You accept that lower rates of return are associated with lower levels of investment risk and that the sum invested may not keep pace with inflation.

### Conservative Investor (Scored 10 – 15 points)

*You seek a degree of conservation of the real (inflation adjusted) value of your investment, over the longer term.*

While you seek a degree of capital appreciation in addition to the interest and dividend income earned, you prefer a predominantly lower risk investment approach. You appreciate that seeking some capital growth may result in a degree of volatility (variation in the value of your overall capital), but wish that to be limited by the more stable returns of the lower risk component of your investments.

### Balanced Investor (Scored 15 – 20 points)

*You seek to actively grow the value of your investment over the longer term, but with some constraints on the overall level of risk involved.*

While you appreciate that your accumulated investments may exhibit significant volatility (variation in the value of your overall capital), you wish to ensure that a moderate component is invested in those markets which have the greater expected rate of return, balanced by the presence of a more conservatively invested component. You understand that performance may vary significantly in the shorter term (with valuations moving both up and down) in the process of seeking enhanced returns.

### Growth Investor (Scored 20 points or over)

*You seek to invest where long term growth potential is the greatest, without being concerned about the extent of short term fluctuations or the unpredictability of those markets.*

While you appreciate the greater investment risks involved, your financial situation and personal circumstances enable you to concentrate your investments in those markets which have the greater expected rate of return, without requiring the capital for other purposes. You understand the sensitivity of these markets to short term events and the extent to which the value of your overall capital may vary, as part of the process of seeking superior returns.

## Part 2: Selecting your Investment Profile

*What investment profile do you want us to use when giving you advice under this account?*

You may wish to select an investment profile for your account that is different from your overall investment profile. Please select the investment profile you would like us to use when we give you investment advice under your Investment Advisory Service and/or KiwiSaver Advisory Service account.

☐ Defensive
 ☐ Conservative
 ☐ Balanced
 ☐ Growth

### Important Note:

**Your answers provide an assessment of your sensitivity to investment risk. Should you require investment advice which is not described in the Scope Of Service for the Investment Advisory Service and/or the KiwiSaver Advisory Service, please contact your Investment Adviser.**

#### Signature:

- For the KiwiSaver Advisory Service only one person can sign as an Account Holder.
- For the Investment Advisory Service more than one Account Holder signature is permitted.
- Where not all Investment Advisory Service account holders are signing, those signing are confirming that they are authorised by the other account holders to complete this form.

#### Signature

Signature of Account Holder

Date: 

DAY		MONTH		YEAR			

Signature of Account Holder

Date: 

DAY		MONTH		YEAR			

Signature of Account Holder

Date: 

DAY		MONTH		YEAR			

Signature of Account Holder

Date: 

DAY		MONTH		YEAR			