

Personal Investment Profile



Taking your life and your
investments...**FORWARD**

Vision

Changing the view of global investing from Wall Street to Your Street by daring to earn your trust instead of asking for it.

Mission Statement

Our Global Vision, Our Expertise, Your Life...**FORWARD**. Our advisors strive to be the **FORWARD** thinking Financial Partners in helping our clients succeed in the rapidly evolving global financial markets.



PERSONAL INVESTMENT PROFILE

Selecting an appropriate investment strategy requires careful thought, attention and discipline. The Professionals at Global Asset Management Group are here to help investors develop their own personal investment profile and implement the investment strategy that align their financial goals with that strategy, then apply investment and market discipline based off of those financial goals.

This questionnaire is the integral part of the “U.P. PROCESS” developed by Global Asset Management Group to assist in your Personal Investment Profile. It is the beginning of developing your plan...**FORWARD.**
Developing Strategies and Managing Risk...**FORWARD**

Building Your Life Through Sound Investments...**FORWARD**

CLIENT

CO CLIENT

Anniversary _____

Children: _____

Date of Birth: _____

Grandchildren: _____

Date of Birth: _____

Hobbies: _____

Hobbies: _____

Favorite Food: _____

Favorite Food: _____

Favorite Beverage: _____

Favorite Beverage: _____

Favorite Vacation Destination: _____

Favorite Vacation Destination: _____

Favorite Sport/Team: _____

Favorite Sport/Team: _____

Favorite Restaurant: _____

Favorite Restaurant: _____

Education (High School): _____

Year Graduated: _____

Education (High School): _____

Year Graduated: _____

Education (Undergrad): _____

Year Graduated: _____

Education (Undergrad): _____

Year Graduated: _____

Degree: _____

Degree: _____

Education (Additional Education): _____

Year Graduated: _____

Education (Additional Education): _____

Year Graduated: _____

Certifications: _____

Certifications: _____

Pets: yes no pet type: _____

Pets: yes no pet type: _____

pet name: _____

pet name: _____

Military Service: yes no

Military Service: yes no

Branch: _____

Branch: _____

Rank: _____

Rank: _____

Served in line of Duty? _____

Served in line of Duty? _____

Years Active: _____

Years Active: _____

TIME HORIZON

1. How long will these assets be committed to your stated portfolio objective? (Check one)

- 3 years or less
- 3-5 years
- 5-10 years
- More than 10 years

2. In how many years will you begin taking withdrawals from your portfolio?

- Less than 1 year
- 1-2 years
- 3-5 years
- 6-9 years
- 10-15 years
- 16-20 years
- More than 20 years

3. In determining the general success of a "single investment" (not your total portfolio) what would you consider a reasonable time frame?

- Less than 1 year
- 1-2 years
- 3-5 years
- 6-9 years
- More than 10 years

4. In determining the general success of a "total portfolio" what would you consider a reasonable time frame?

- Less than 1 year
- 1-2 years
- 3-5 years
- 6-9 years
- More than 10 years

5. Which phase best represents your position in the Investor Life Cycle:

- | | |
|---|--|
| <input type="checkbox"/> Early Accumulation (20-40 years before retirement) | <input type="checkbox"/> Early Retirement (0-10 years into retirement) |
| <input type="checkbox"/> Mid Accumulation (10-20 years before retirement) | <input type="checkbox"/> Mid Retirement (10-20 years into retirement) |
| <input type="checkbox"/> Pre-Retirement (0-10 years before retirement) | <input type="checkbox"/> Senior Retirement (20-30 years into retirement) |

RISK TOLERANCE - RISK/RETURN TRADEOFF

1. Investment decisions are generally determined by a risk/return tradeoff. Risk is any possibility of loss to the value of your portfolio. Return is the amount earned or profit on an investment. How would you respond to the following statement?

* Managing risk in my portfolio from loss is more important to me than achieving high returns.

- Strongly Agree
- Agree
- Risk & Return are Equally Important
- Disagree
- Strongly Disagree

2. Riskier investments have the potential to experience higher long-term capital appreciation. Likewise, less risky investments have less potential for high long-term capital appreciation.

* With this in mind, which of the following statements is most consistent with your investment attitude?

- I am willing to endure losses to maximize the chance of experiencing high long-term capital appreciation.
- I am equally concerned with avoiding losses and experiencing long-term capital appreciation.
- Avoiding losses is more important to me than experiencing long-term capital appreciation.

3. Historically, investors who have received higher long-term returns have also experienced major changes in the value of their investments. Higher long-term returns come with a greater chance of loss.

Which of the following statements best describes your investment philosophy?

- I feel most comfortable with lower risk investments that generate consistency, but lower returns year-to-year. I prefer to assume as a little risk as possible.
- I am willing to withstand some fluctuations in the value of my portfolio, but I prefer to be invested in less risky investments that reduce the likelihood of large losses.
- I seek substantial investment returns and am willing to accept occasional short-term declines associated with this strategy.
- I seek potentially high investment returns and am willing to accept the higher risk of potential losses associated with this strategy.

RANGE OF RETURNS

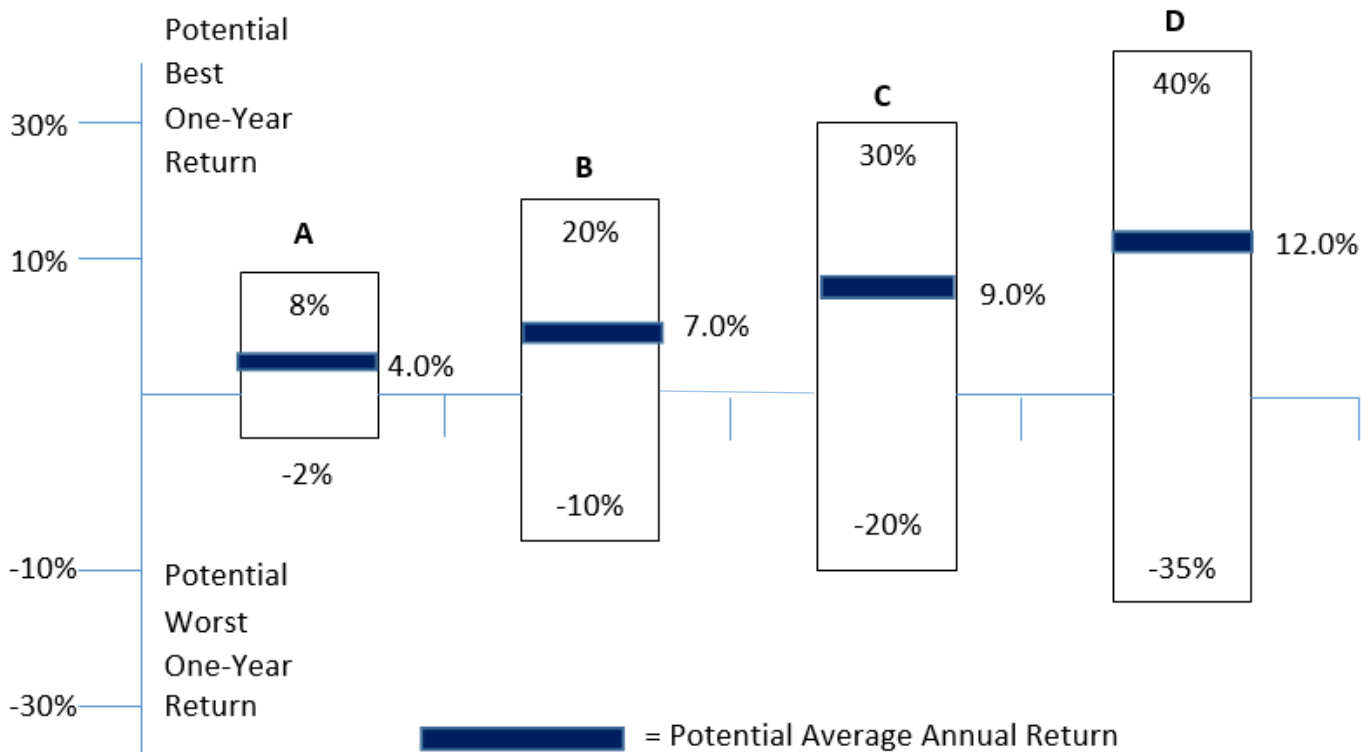
1. The following table shows the ending values of \$500,000 invested in four hypothetical portfolios over a three-year period. The returns for these portfolios may fall anywhere within these ranges.

Which of the four hypothetical portfolios would you feel most comfortable accepting?

VALUE OF \$500,000 AFTER THREE YEARS			
	Worst Case Value	Likely Value	Best Case Value
<input type="checkbox"/> Portfolio A	\$430,000	\$580,000	\$710,000
<input type="checkbox"/> Portfolio B	\$390,000	\$600,000	\$790,000
<input type="checkbox"/> Portfolio C	\$360,000	\$620,000	\$880,000
<input type="checkbox"/> Portfolio D	\$320,000	\$640,000	\$980,000

2. Of the hypothetical portfolios shown, choose the one that is most consistent with your investment expectations over a 10-year time horizon.

(These are hypothetical portfolios and do not reflect the performance of any individual investment.)



Portfolio A

Portfolio B

Portfolio C

Portfolio D

3. Realizing that any market-based investments may move up or down in value over time, with which of the hypothetical portfolios below would you feel most comfortable?

	YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5	Average Annual Return
<input type="checkbox"/> A	3%	3%	3%	3%	3%	3%
<input type="checkbox"/> B	2%	6%	6%	-1%	7%	4%
<input type="checkbox"/> C	-6%	7%	21%	2%	8%	6%
<input type="checkbox"/> D	14%	-9%	-4%	28%	18%	8.5%
<input type="checkbox"/> E	-15%	-9%	18%	40%	31%	11%

4. The value of most investments fluctuates from year-to-year as well as over the short-term. How would you feel if an investment you had committed to for ten years lost 20% of its value during the first year?

- I would be extremely concerned and would sell my investment
- I would be concerned and may consider selling my investment
- I would be concerned, but I would not consider selling my investment
- I would not be overly concerned given my long-term investment philosophy

5. I am comfortable with investments that may frequently experience large declines in value if there is a potential for higher returns. These frequent and large declines may be experienced at an inopportune time such as at the end of the investment horizon.

- Strongly Disagree
- Disagree
- Agree
- Strongly Agree

6. Sometimes investment losses are prolonged and sometimes they are short-lived. How might you respond when you experienced investment losses?

- I would sell my investments immediately if they suffered substantial declines
- Although declines in investment value make me uncomfortable, I would wait several quarters or possibly one year before adjusting my portfolio
- Even if my investment suffered a significant decline over several years, I would continue to follow my long-term strategy and not adjust my portfolio

ABILITY TO STAY THE COURSE

Most investments fluctuate over the short term. Suppose you invested \$300,000 in an investment this year with the intention of holding it for ten years. If this investment lost value during the first year, at what value of your initial \$300,000 investment would you sell and move to lower risk investment?

\$285,000	\$270,000	\$255,000	\$240,000 or less	I would not sell
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CLIENT'S GOALS: PERSONAL

What's important to you?

Please check the three items that are the most important to you.

- Having enough income during retirement
- Purchasing a retirement property or secondary residence
- Providing for education of children or grandchildren
- Making sure that my family will be secure in the event of a catastrophe, i.e., death or disability
- Restructuring or eliminating debt
- Passing my estate to my heirs smoothly without court battles
- Protecting my estate from estate taxes and transfer costs
- Providing a legacy and financial resources for successor generations
- Position myself to enjoy more of the things in life I value
- Providing capital for the charitable organizations that I support
- Avoiding capital gains or excessive taxes on the sale of business interests or investments
- Determine where and how to withdraw funds from investments to provide for my retirement income
- Reducing the income taxes that are generated from my investments
- Having a complete review of my investment portfolio to see what type of returns I have been getting and what type of risk I have been taking
- Having someone study my investment profile and make a recommendation on what type of portfolio I should have
- Protecting my assets from creditors and liability law suits
- Knowing where to put old and new investment funds to maximize tax efficiency
- Having a plan in place for my financial future
- Getting ideas about funding and starting my own business

Past performance may not be indicative of future results. Every investor's situation is unique and you should consider your investment goals, risk tolerance and time horizon before making any investment. Investing involves risk including the possible loss of capital.

Please note changes in tax laws may occur at any time and could have a substantial impact upon each person's situation. While we are familiar with the tax provisions of the issues presented herein, as Financial Advisors of RJFS, we are not qualified to render advice on tax or legal matters. Please consult your tax or legal advisor for your particular situation.

Please Sign Below

Client Signature:

Date

Co Client Signature:

Date

You have completed the Personal Investment Profile.

If you are filling this out digitally:

1. Save this PDF to your desktop.
2. Once saved, send to
globalassetmanagement@raymondjames.com
with the subject:
"Personal Investment Profile Questionnaire."

If you received this via mail:

1. Send it to
Global Asset Management Group
P.O. Box 1369
Lake Charles, LA 70602.

**Once we receive
your Questionnaire,
we will contact you to
schedule your meeting.**

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