

# CAPITAL INVESTMENT MANAGEMENT

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*Registered Investment Advisor*

## **Confidential Personal & Financial Profile**

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**Securities offered through SECURITIES SERVICE NETWORK, INC.  
Member NASD/SIPC**

## BUILDING YOUR FINANCIAL FOUNDATION

Whether building a new house or an investment portfolio, you first need to establish a solid foundation. Gaining an in-depth understanding of your financial goals is key to this process.

This questionnaire is designed to determine your investment objective, which serves as the foundation of your portfolio and guides us in making investment recommendations. Your investment objective is based on many factors, including your financial goals, Tolerance for risk and time horizon.

To build your portfolio, you must clearly define your financial goals. Short-term goals may include buying a house or financing a dream vacation. Long-term goals may include saving for your child's education or planning for your retirement.

Your time horizon defines when you want to achieve a goal. It could be 1-5 years, 5-10 years, 15 years, 30 years or more.

Risk is an unavoidable part of investing. Historically, investments with higher returns have required a higher tolerance for risk. Therefore, by clearly defining your risk tolerance, we will be better prepared to choose the most appropriate investments for your portfolio.

Over time, your goals and financial situation may change. It's important for us to discuss any changes, as your original investment objective may need to be re-evaluated.

**REMINDERS**

Please bring the following items to your complimentary consultation:

- 1. Copy of most recent tax return.
- 2. Investment Statements:
  - IRA / Roth
  - 401(k)
  - 403(b)
  - Pension / Profit Sharing
  - Brokerage accounts
  - Mutual funds
  - Annuities
  - Bank accounts
  - Life insurance
  - Social Security projection

**Confidential  
Personal & Financial  
Profile**

*Please complete the information in this booklet and return to us in the envelope provided.*

NAME(S): \_\_\_\_\_

ADDRESS: \_\_\_\_\_

CITY: \_\_\_\_\_ STATE: \_\_\_\_\_ ZIP: \_\_\_\_\_

PHONE (daytime): \_\_\_\_\_ (Evening): \_\_\_\_\_

HOW DID YOU HEAR ABOUT US? \_\_\_\_\_

E-MAIL: \_\_\_\_\_



**INCOME STATEMENT**

Annual Income – his \_\_\_\_\_  
 Annual Income – hers \_\_\_\_\_  
 Dividends & Interest \_\_\_\_\_  
 G/L re:sale of securities \_\_\_\_\_  
 Other Income \_\_\_\_\_  
 TOTAL INCOME \$ \_\_\_\_\_

**ANNUAL INVESTMENTS**

	<i>HIS</i>	<i>EMPLOYER MATCHING</i>	<i>HERS</i>	<i>EMPLOYER MATCHING</i>
IRA	\$ _____	_____	\$ _____	_____
Roth	_____	_____	_____	_____
401(k)	_____	_____	_____	_____
403(b)	_____	_____	_____	_____

**LIFE INSURANCE**

Company Name	Death Benefit	Cash Value	Premium
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

**LONG TERM CARE INSURANCE**

Company Name	Benefit	Premium
_____	_____	_____
_____	_____	_____

**HEALTH INSURANCE**

Company Name	Deductible	Premium
_____	_____	_____
_____	_____	_____

10. When do you expect to use the bulk of the money you are accumulating in your investments?
  - At any time now – high level of liquidity important
  - Probably in the near future – 1 to 5 years from now
  - In 6 to 10 years
  - Probably 11 to 20 years from now
  
11. Over the next several years, do you expect your household annual income to:
  - Stay about the same     Grow moderately     Grow substantially
  - Decrease moderately     Decrease substantially
  
12. Due to a general market correction, one of your investments loses 14% of its value a short time after you buy it. What do you do?
  - Sell the investment so you won't have to worry if it will continue to decline
  - Hold on to it and wait for it to climb back up
  - Buy more of the same investment at the new low price – it looks even better than when you bought it
  
13. When thinking about investments, it is important to recognize that the opportunity for increased reward comes at the expense of an increase in risk. Indicate your concern level in accepting a short term (12 month or less) loss of capital.
  - Very concerned     Pretty concerned     Moderately concerned
  - A little concerned     Not concerned at all
  
14. Assuming you're investing in only one bond, which bond do you choose?
  - A 'tax-free bond', since minimizing taxes is your primary investment objective.
  - A 'treasury bond', which pays the lowest interest rate of the four types of bonds, but is backed by the U.S. Government.
  - The bond of a well-established company that pays a rate of interest somewhere between the three other bonds.
  - A 'junk bond' that pays a higher interest rate than the other three bonds, but also gives you the least sense of security with regard to possible default
  
15. You have just reached the \$10,000 plateau on a TV game show. Now you must choose between quitting with the \$10,000 in hand or betting the entire \$10,000 in one of three alternate scenarios. Which do you choose?
  - The \$10,000 – take the money and run
  - A 50% chance of winning \$50,000
  - A 20% chance of winning \$75,000
  - A 5% chance of winning \$100,000

16. How large a temporary decline in your portfolio are you willing to accept before changing your investment strategy, assuming you start with \$100,000?

- 5% decline (portfolio value is now \$95,000)
- 10% decline (portfolio value is now \$90,000)
- 15% decline (portfolio value is now \$85,000)
- 20% decline (portfolio value is now \$80,000)
- 25% decline (portfolio value is now \$75,000)

17. By what percentage do you expect your portfolio to grow annually over the long term, 10+ years?

- 6% to 8%       8% to 10%       10% to 12%
- 12% to 14%       14% to 16%

18. I am expecting an inheritance of approximately \$ \_\_\_\_\_ in:

- 0 to 5 years       5 to 10 years       10 to 15 years
- More than 15 years

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Date

\_\_\_\_\_  
Date

**MONETARY ASSETS**

	<i>HIS</i>	<i>HERS</i>	<i>JOINT</i>
Checking	\$ _____	\$ _____	\$ _____
Savings	_____	_____	_____
Money Market	_____	_____	_____
CD's	_____	_____	_____
Savings Bonds	_____	_____	_____
IRA / Roth	_____	_____	_____
401(k)/403(b)/457	_____	_____	_____
Stocks/Bonds/ Mutual Funds	_____	_____	_____
Annuities	_____	_____	_____
<i>SUB-TOTALS</i>	_____	_____	_____

**CHILDREN'S ACCOUNTS**

	Child #1	Child #2	Child #3
Mutual Funds UGMA / 529	_____	_____	_____
<i>SUB-TOTALS</i>	_____	_____	_____

**FIXED ASSETS**

Home & Property	\$ _____
Other Real Estate	_____
Autos	_____
Business	_____
Personal Property	_____
<i>SUB TOTALS</i>	_____

**LIABILITIES**

Unpaid Bills	\$ _____
Loans	_____
Tax Liability	_____
Mortgage	_____
<i>SUB TOTALS</i>	_____

**TOTAL ASSETS** \_\_\_\_\_

**TOTAL LIABILITIES** \_\_\_\_\_

**NET WORTH**  
**(Assets – Liabilities)**      \$ \_\_\_\_\_