



GRYPHON ASSET MANAGEMENT

Step 1 INVESTOR PROFILE

The purpose of this questionnaire is to ascertain your investor profile, so together, we can create your optimal portfolio.

Please circle the number next to the best answer.

1. My current age range is:

- ☐ 4 Under 30 Yrs
- ☐ 5 30-40
- ☐ 3 41-50
- ☐ 2 51-65
- ☐ 1 Over 65

2. I will need to use the money in ____ Yrs.

- ☐ 1 Less than 2 years
- ☐ 4 2-5 years
- ☐ 7 6-10 years
- ☐ 10 After 10 Years

3. I would characterize my investment knowledge to be:

None	Some	Average	Sophisticated
<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 5

4. If the value of my investment fluctuates, I would:

- ☐ 1 Immediately liquidate my investment as soon as it loses value
- ☐ 3 Sell an investment if it declines in value for a 3-6 month period
- ☐ 6 Allow an investment to fluctuate for a year prior to making any changes
- ☐ 10 I would stay invested even if negative market conditions resulted in losses to keep with a long-term growth strategy that maximizes returns over the long run

5. Please choose the hypothetical investment returns over a 5 yr term that you would be most comfortable with recognizing investments with higher potential returns involve greater risk.

	5 yr profit	5 yr loss
<input type="radio"/> 0	3%	0%
<input type="radio"/> 2	46%	-23%
<input type="radio"/> 4	100%	-46%

6 Please choose the statement that best describes the investment goals:

- ☐ 0 Perservation of capital is of utmost importance and I do not require to draw income from my investments
- ☐ 1 Income from my investments is required as my sole source of income
- ☐ 2 Income from my investments is required to supplemental my income and growth over time
- ☐ 3 I am interested in long-term growth and income is not a concern at this moment
- ☐ 5 I wish to maximize the growth potential of my portfolio and am willing to accept a higher degree of risk to achieve that goal

7 My current investments most closely resemble the following portfolio:

- ☐ Little or no investments
- ☐ 0 T-bills, CDs, savings account
- ☐ 1 Primarily bonds, strip bonds, or fixed income products
- ☐ 2 A combination of money market, bonds and stock securities or
- ☐ 3 mutual funds and ETFs
- ☐ 5 Primarily stocks, stock mutual funds and or ETFs

8. My personal annual income is:

- ☐ 1 Under \$30,000
- ☐ 2 \$30,000 - \$74,000
- ☐ 3 \$75,000-\$124,000
- ☐ 4 \$125,000-\$199,000
- ☐ 5 Over \$200,000

9. P The approximate value of my entire portfolio both with Gryphon Asset Mangement and elswwhere is:

- ☐ 1 Under \$50,000
- ☐ 2 \$50,000-\$99,000
- ☐ 3 \$100,000-\$199,000
- ☐ 4 \$200,000-\$500,000
- ☐ 5 Over \$500,000

10. The approximate value of my net worth (including real estate) (Assets - Liabilites) is:

- ☐ 1 Under \$100,000
- ☐ 2 \$100,000-\$249,000
- ☐ 3 \$250,000-\$499,000
- ☐ 4 \$500,000-\$1,000,000
- ☐ 5 Over \$1,000,000

☐ Total Score: (add scores for questions 1-10)

Next Step: Match your Total Score Calculated above to the corresponding portfolio below.

	Safety	Income	Growth
7-16pts SAFETY OF PRINCIPAL	70%	30%	0%
17-25pts INCOME	5%	70%	25%
25-40pts BALANCED	0%	50%	50%
40+pts AGGRESSIVE GROWTH	0%	20%	80%

Investment Objective:

Safety	%
Income	%
Growth	%