



Getting To Know You

Client Name _____

PRIMARY INVESTMENT OBJECTIVES

What do you want most from your investment plan?

☐ STABILITY A preference for low volatility, even it means lower income and/or growth.

☐ INCOME

☐ Current income with the potential for increased income and value growth over time.

☐ The highest current income, even if it means a lower potential for money to provide any increase in income over time and value growth.

☐ GROWTH

☐ A reasonable potential for the money to grow in value, with a reasonable degree of risk.

☐ The highest potential for growth, regardless of risk.

Notes:

TIME HORIZON

Client:

First Name _____ Age _____

Are you retired? ☐

If not, what age would you like to retire? _____

How long would you like to stay retired? _____

How long do you expect to live? _____

Spouse:

First Name _____ Age _____

Are you retired? ☐

If not, what age would you like to retire? _____

How long would you like to stay retired? _____

How long do you expect to live? _____

Do you expect inflation to be a problem over your lifetime? _____

Is it important that you maintain the buying power of your money? _____

How long would you like for your investments to continue meeting your financial goals?

☐ 1-3 years ☐ 3-5 years ☐ 5-10 years ☐ 10+ years

Looking back at your primary investment objective:

How long do you think it will be before you may need to change the plan/purpose of this money?

☐ 1-3 years ☐ 3-5 years ☐ 5-10 years ☐ 10+ years

Notes:

LIQUIDITY NEEDS

Assuming you have enough money elsewhere to cover an unexpected financial emergency, how likely are you to need to withdraw a portion of the money we invest?

☐ Not likely ☐ Maybe ☐ Probably

Notes:

RISK TOLERANCE

Which one is more frustrating?

☐ Holding on to cash in a rising market (missing out on gains)?

OR

☐ Holding on to stocks in a declining market (participating in losses)?

It is probably impossible to achieve maximum growth in the long-term and minimal declines in the short-term.

If you had to choose only one, would you prefer the potential for:

☐ More money accumulated at the end of your time-frame, with greater variations in returns and greater variations in account values over time?

OR

☐ Less money accumulated at the end of your time-frame, possibly with less variations in returns and account values over time?

Notes:

INVESTMENT STYLE

Should you "set it and forget it," or should you be tactical?

The Passive Management Process says you should attempt to stay within the parameters. After you've made that decision, you should ensure that all your investments are perfectly aligned with your stated investment objective.

The Active Management Process is more flexible. In addition to your risk tolerance, we work with investment managers to determine how assets should be allocated based on market conditions and implement risk mitigation.

Would you prefer passive or active management?

Notes:



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Definition of Paraclete: One called alongside to help.

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