



Questionnaire

1. How much investment experience do you have specifically to stocks, bonds, and mutual funds?

	Score
<input type="checkbox"/> None	01
<input type="checkbox"/> 1 to 3 years	02
<input type="checkbox"/> 4 to 7 years	03
<input type="checkbox"/> 8 to 10 years	04
<input type="checkbox"/> More than 10 years	04

2. How many months of living expenses do you have available in cash?

<input type="checkbox"/> Less than 3 months	01
<input type="checkbox"/> 3 to 6 months	02
<input type="checkbox"/> 6 to 12 months	03
<input type="checkbox"/> More than 12 months	04

3. What is the intended use of your VIP Ultra account?

<input type="checkbox"/> Wealth Building	04
<input type="checkbox"/> Current Income	01
<input type="checkbox"/> Dependent's Education	02
<input type="checkbox"/> Future Capital expenditure (e.g. a second home)	02
<input type="checkbox"/> Retirement	03
<input type="checkbox"/> Other	01

4. Which one of the following descriptions best summarizes the primary objective of your account?

<input type="checkbox"/> Preservation of capital	01
<input type="checkbox"/> Balance between capital growth and income (50/50 growth to income)	02
<input type="checkbox"/> Capital growth and income (70% or more growth to 30% or less income)	03
<input type="checkbox"/> Maximum capital appreciation	04

5. In how many years do you estimate that you will begin to need the money you are investing?

<input type="checkbox"/> Within 1 year.	01
<input type="checkbox"/> From 1 to 7 Years.	02
<input type="checkbox"/> More than 7 Years.	03
<input type="checkbox"/> Never – I plan on leaving it to my heirs.	04

6. Once you begin making withdrawals, over how many years do you expect to draw down assets from this portfolio?

- Lump sum. 01
- Less than five years. 02
- Five to ten years. 03
- More than ten years. 04

7. If a unique circumstance were to require an amount of capital equal to at least one-fourth the value of this portfolio, where would you obtain the money?

- All from this portfolio. 01
- The majority from this portfolio. 02
- Less than half from this portfolio, and the remainder from other savings and investments. 03
- From other savings/investments. 04

8. Investments with higher short-term risk are more likely to have a greater chance of meeting long-term investment goals. Conversely, investments likely to provide stable returns and minimal short-term losses are less likely to meet long-term investment goals. With this in mind, which of the following statements is most consistent with your investment attitudes?

- I am willing to endure short-term losses to maximize the chance of meeting my long term investment goals. 04
- I am equally concerned with avoiding short-term losses and meeting my long-term investment goals. 03
- Avoiding short-term losses is more important to me than achieving my long-term investment goals. 01

9. You are given a choice between two portfolios. The total values of BOTH portfolios fluctuate by roughly the SAME amount, but the fluctuations in value of the individual positions is much wider. Which portfolio would you be most comfortable with?

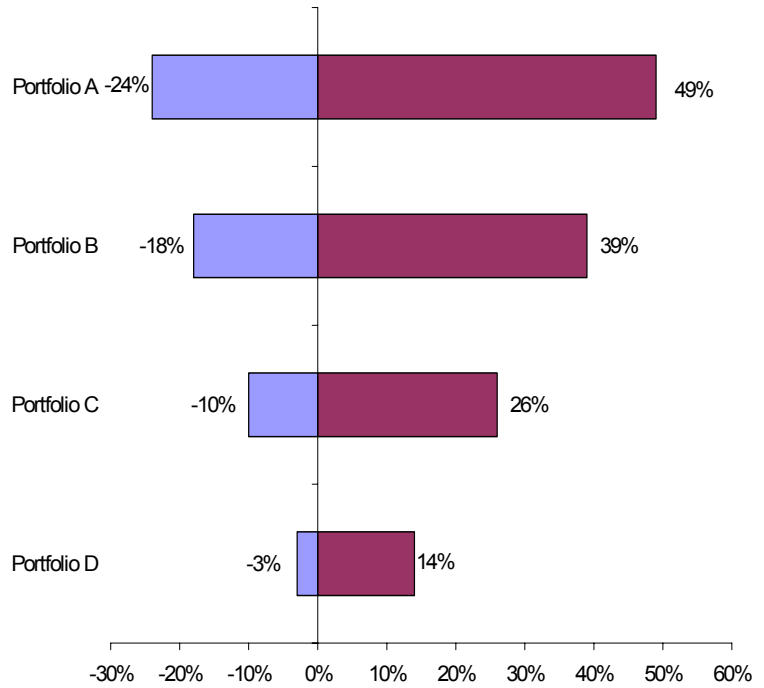
- A portfolio with an annualized return of 10% where the returns of the individual holdings range from 0% to 15%. 02
- A portfolio with a slightly higher annualized return of 11% but where the returns of the individual holdings range from a 10% loss to a 20% gain. 04
- Neither. I would prefer a portfolio with little or no fluctuation, even if it meant a lower overall return. 01

10. Which of the following statements best describes what you did during the most recent investment losses you suffered?

- Bought more. 04
- Sold quickly to avoid further losses. 01
- Continued to hold the investment. 03
- Held too long then sold close to the bottom. 02
- Not applicable. 01

11. The following graph shows the hypothetical results of four sample portfolios over a one-year holding period. The best potential and worst potential gains and losses are presented. Note that the portfolio with the best potential gain also has the largest potential loss. Which of these portfolios would you prefer to hold?

- Portfolio A 04
- Portfolio B 03
- Portfolio C 02
- Portfolio D 01



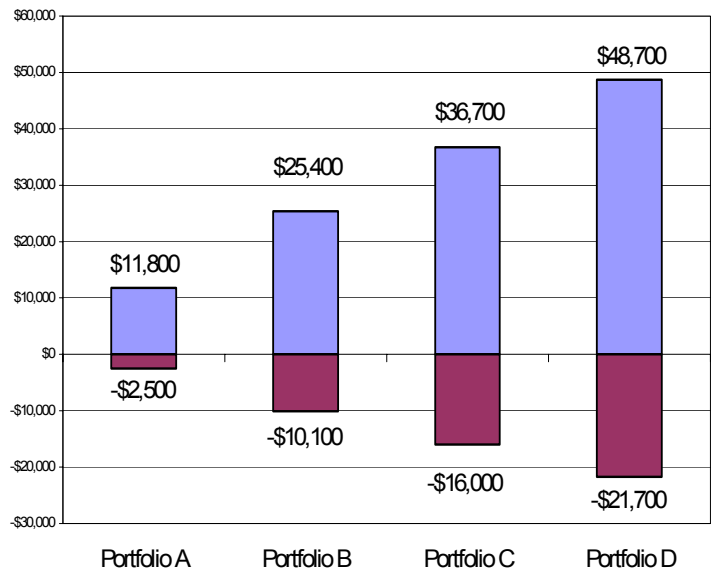
12. Is your ability to accept risk different now than it was before the stock-market weakness began in early 2000?

- I am more concerned with risk today and inclined to invest more conservatively. 01
- I can accept more risk today because the investment opportunities are better. 04
- My willingness to take on risk is no different today than it was prior to the bear market. 03

13. This graph shows the potential range of gains or losses of a \$100,000 investment in each of four hypothetical portfolios at the end of a 1-year period. The number above each bar shows the best potential gain for that portfolio, while the number below each bar shows the worth potential loss. Given that this is the only information that you have on these four hypothetical portfolios, which one would you choose to invest in?

- Portfolio A 01
- Portfolio B 02
- Portfolio C 03
- Portfolio D 04

One-Year Change in \$100,000 Investment



14. How would you most likely react to losses in your portfolio?

- I would probably buy more since prices would be lower. 04
- As long as the losses are in the range of what I knew was possible, I feel it is important to have the stomach to stay the course and that my long-term success will probably be compromised if I don't. 03
- I am not sure how I would react. 02
- During difficult periods I have a harder time sticking to my guns and feel safer taking a temporary defensive position until things improve. 01

15. Portfolios with the highest average returns also tend to have the highest chance of losing money. The table below provides the average return and possibility of losing money for an investment in four different portfolios over a one-year holding period. Please select the portfolio with which you are most comfortable.

Probabilities After 1 Year

	Possible Average Return	Chance of Losing Money
<input type="checkbox"/> Portfolio A	8.1%	2.8%
<input type="checkbox"/> Portfolio B	21.7%	10.1%
<input type="checkbox"/> Portfolio C	36.6%	13.6%
<input type="checkbox"/> Portfolio D	43.3%	16.7%

A=01, B=02, C=03, D=04

16. The portfolio we recommend for you may fluctuate over the short term. Hypothetically, if you invested \$100,000 and it was performing in line with world financial markets and lost value during a year, at what point would you sell?

- I would not sell 04
- \$95,000 01
- \$90,000 02
- \$85,000 03

Date: _____

ADVISORY CLIENT: _____

ADVISORY CLIENT: _____

Gēneos Wealth Management, Inc.

Investment Advisor Associate

Authorized Company Signature

Page Total _____

Grand Total _____

Model Scoring:

01-16 Preservation of Capital

17-32 Balance between capital growth and income (50/50 growth to income)

33-44 Capital growth and income (70% or more growth to 30% or less income)

45-64 Growth