



Mench  
Financial,  
Inc.

## POLICY GUIDELINES QUESTIONNAIRE

ACCOUNT NAME: \_\_\_\_\_

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

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

HOME PHONE: \_\_\_\_\_ WORK PHONE: \_\_\_\_\_

TAX ID#: \_\_\_\_\_ DATE OF BIRTH: \_\_\_\_\_

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

REFERRAL FROM: \_\_\_\_\_ FIRM: \_\_\_\_\_

WHO IS YOUR ACCOUNTANT? \_\_\_\_\_ FIRM: \_\_\_\_\_

WHO IS YOUR LAWYER? \_\_\_\_\_ FIRM: \_\_\_\_\_

WHO IS YOUR BROKER? \_\_\_\_\_ FIRM: \_\_\_\_\_

WHO IS YOUR CUSTODIAN? \_\_\_\_\_ FIRM: \_\_\_\_\_

TOTAL VALUE OF INVESTMENT PORTFOLIO? \$ \_\_\_\_\_

**DO THE ASSETS TO BE PLACED WITH MFI CONSTITUTE THE ENTIRE PORTFOLIO?**

YES \_\_\_\_\_

NO \_\_\_\_\_ IF NO, WHAT AMOUNT? \$ \_\_\_\_\_

**IS THERE ANY PLANNED MAJOR WITHDRAWALS OR CONTRIBUTION TO THE ACCOUNT IN THE NEXT 3 YEARS? IF SO, WHAT IS THE TIMING AND AMOUNT?**

\_\_\_\_\_

**IS THERE ANY EXISTING INVESTMENT POLICY STATEMENT? YES \_\_\_ NO \_\_\_**

**IF YES, PLEASE SUPPLY FOR REVIEW.**

**WHAT IS THE PRIMARY GOAL OF THE ACCOUNT?**

RETIREMENT PLAN ASSETS \_\_\_\_\_ IRA \_\_\_ DB \_\_\_ 401K \_\_\_

SUPPLEMENT RETIREMENT INCOME \_\_\_\_\_

USED TO FUND COLLEGE TUITION \_\_\_\_\_

NO SPECIFIC PURPOSE \_\_\_\_\_

**PORTFOLIO HORIZON AND OBJECTIVES**

**HOW WOULD YOU GENERALLY CATEGORIZE YOUR INVESTMENT OBJECTIVES?**

- \_\_\_\_\_ (5)      MAXIMUM CAPITAL APPRECIATION, EVEN THOUGH THE LEVEL OF RISK MIGHT BE HIGHER AND THE LEVEL OF CURRENT INCOME MIGHT BE LOWER.
- \_\_\_\_\_ (4)      CAPITAL APPRECIATION WITH LOWER CURRENT YIELD BUT A VIEW TO CAPITAL PRESERVATION.
- \_\_\_\_\_ (3)      A BALANCE BETWEEN CAPITAL APPRECIATION, PRESERVATION OF CAPITAL AND CURRENT INCOME.
- \_\_\_\_\_ (2)      PRESERVATION OF CAPITAL AND RELATIVELY HIGH CURRENT INCOME.
- \_\_\_\_\_ (1)      RELATIVELY HIGH CURRENT INCOME AND PRESERVATION OF CAPITAL.

**PROVIDING THAT MFI MEETS YOUR EXPECTATIONS, WHAT IS THE LENGTH OF TIME THAT YOU WOULD ANTICIPATE KEEPING THESE ASSETS INVESTED IN THIS RELATIONSHIP?**

- UNDER 2 YEAR \_\_\_\_\_ (1)                      3-4 YEARS \_\_\_\_\_ (2)                      5-7 YEARS \_\_\_\_\_ (3)  
8-10 YEARS \_\_\_\_\_ (4)                      10 + YEARS \_\_\_\_\_ (5)

**FOR THE ASSETS YOU ARE PLACING WITH MFI, WHAT IS YOUR ANNUALIZED RETURN EXPECTATIONS FOR THE NEXT FIVE YEARS?**

- 5% \_\_\_\_\_ (1)      7% \_\_\_\_\_ (2)      9% \_\_\_\_\_ (3)      11% \_\_\_\_\_ (4)      13% \_\_\_\_\_ (5)

**FOR THE ASSETS YOU ARE PLACING WITH MFI, WHAT IS YOUR MINIMUM SINGLE YEAR RETURN EXPECTATION?**

- 5% \_\_\_\_\_ (1)      -7% \_\_\_\_\_ (2)      -9% \_\_\_\_\_ (3)      -11% \_\_\_\_\_ (4)      -13% \_\_\_\_\_ (5)

**FOR THE ASSETS YOU ARE PLACING WITH MFI, WHAT IS THE TAX STATUS?**

- \_\_\_\_\_ TAXABLE (3)      \_\_\_\_\_ TAX DEFERRED (5)

**WHAT IS A REASONABLE TIME PERIOD TO MEASURE YOUR RETURN GOALS?**

- 90 DAYS \_\_\_\_\_ (1)                      1 YEAR \_\_\_\_\_ (2)                      3 YEARS \_\_\_\_\_ (3)  
5 YEARS \_\_\_\_\_ (4)                      7 YEARS \_\_\_\_\_ (5)

**PREPARED BY:** \_\_\_\_\_ **DATE:** \_\_\_\_\_

**PROFILE OBJECTIVES**

- (1) 8 TO 14 \_\_\_\_\_                      (2) 15 TO 22 \_\_\_\_\_                      (3) 23 TO 30 \_\_\_\_\_