

Risk Tolerance Questionnaire

Name:					<u> </u>				
Primary Risk Assessiclient regarding fina process.		_	_	-		-		-	
For "joint" clients, p	olease have e	ach pa	rty complete a q	uestion	naire sepa	rately.			
1. What type of invo	estor do you	consid	ler yourself?						
☐ 1 ☐ 2 Conservative	□ 3	□ 4	☐ 5 Moderat	□ 6 te	□7	□ 8	□ 9	□ 10 Aggressive	
2. Based on my expe	erience of in	vestin	g in stock and b	ond po	ortfolios, I	would co	nsider my	self:	
☐ 1 ☐ 2 Very Inexperienced	□ 3	□ 4	☐ 5 Somewhat Exp	□ 6 erience	□ 7 ed	□ 8	□ 9 Very E	☐ 10 xperienced	
3. I consider myself	knowledgea	ble ab	out economic is	sues a	nd persona	ıl investir	ıg:		
☐ 1 ☐ 2 Strongly Disagree	□ 3	□ 4	☐ 5 Somewhat A	□ 6 Agree	□ 7	□ 8	□ 9 Stron	☐ 10 ngly Agree	
4. Rank the followin (1 most important,	_	•	ctives in order o	of impo	ortance:				
Income:			Growth:				Safety:		
5. My investment ti	me horizon i	s:							
□ 0-3 years	☐ 3-5 years		☐ 5-10 years		□ 10-20	☐ 10-20 years		☐ 20+ years	
6. I plan to retire in	:								
□ 0-3 years	s □ 3-5 years		☐ 5-10 years		☐ 10-20 years		☐ 20+ years		
7. I have adequate l	iquid cash p	ositior	s to cover	m	onth(s) of p	personal o	expenses:		
☐ 1 month	☐ 3 months		☐ 6 months		□ 12 mo	☐ 12 months		☐ 12+ months	
8. My income stream	m for the for	eseeal	ole future is:						
☐ Very Stable				☐ Somewhat Stable					
☐ Not Very Stable				☐ Not Applicable					



9. I plan on withdrawing income from assets under management earmarked for retirement in: \square 0-3 years \square 3-5 years ☐ 5-10 years ☐ 10-20 years \square 20+ years 10. The chart below shows the greatest one-year gain and loss per \$100,000 on three different hypothetical portfolios. Given the potential gain or loss in any one year, I would invest in: □ Portfolio C ☐ Portfolio A ☐ Portfolio B \$6,000 \$19,300 \$42,400 42.4% MAX GAIN 6.0% 19.3% -\$1,700 -\$10,300 -\$33,900 **MAX LOSS** -1.7% -10.3% -33.9% 11. If an investment loses money over the course of a year, I can easily resist the temptation to sell it: $\square 9$ \square 1 $\square 2$ $\square 3$ $\Box 4$ $\prod 5$ \square 6 \Box 7 \square 8 \Box 10 Strongly Disagree Somewhat Agree Strongly Agree 12. Do you agree or disagree with the following comment? "I am willing to risk significant declines in the value of my investment if it will increase the likelihood of achieving significantly higher long-term returns." \Box 1 $\square 2$ $\square 3$ \square 5 \square 7 \square 8 \square 9 $\prod 10$ Strongly Disagree Somewhat Agree Strongly Agree 13. Which situation best describes your return expectations from your portfolio? ☐ I just want to preserve my investment capital. My return should keep pace with inflation (minimum volatility). ☐ My return should be slightly more than inflation (some volatility). ☐ My return should significantly exceed inflation (I accept volatility). 14. Please choose the phrase that best describes your current state. "These assets are:" ☐ Critical to my current and future financial well-being; I have few other assets and/or few sources of current and future income. A significant portion of my wealth; I have other assets and additional sources of current and future

☐ Fairly small in relation to my overall wealth and my other sources of current and future income.



Questions and Comments:	