

This form will be used to determine risk tolerance when making financial recommendations. Please choose the option that best describes you.

Client 1 Name:		Client 2 Name:	
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RISK TOLERANCE QUESTIONNAIRE

1. Which of the statements below best describes your purpose for your investment account(s)?

- ☐ I want to minimize potential declines and significant fluctuations in the value of my account by investing in lower risk, more conservative investments 2
- ☐ I want a moderately high level of income (interest and dividends) from the account, with some modest growth opportunity over the long-term..... 4
- ☐ I prefer a balance of income (interest and dividends) with longer-term growth..... 6
- ☐ My primary goal is to maximize the value of my account as much as possible over a long-term time frame 8

2. If you received a large amount of money today, how would you invest it?

- ☐ I would invest it in something that offers moderate current income and is very conservative 3
- ☐ I would invest it in something that offers high current income with a moderate amount of risks 6
- ☐ I would invest it in something that offers high total returns (current income & capital appreciation) with moderately high risks 9
- ☐ I would invest in something that offers substantial capital appreciation even though it has high amounts of risk 12

Client 1 Score:	
Client 2 Score:	

Client 1 Score:	
Client 2 Score:	

3. If your investments were to decline in value significantly over a three month period, how might you react?

- ☐ I would be very concerned because I can't accept my account losing value 3
- ☐ Although I invest for long-term growth, a short-term decline would concern me 6
- ☐ Because I invest for long-term growth, I can accept temporary fluctuations 9
- ☐ I would consider this decline as an opportunity to add to my investments 12

4. Which of the five sample portfolios best represents your goals for the investment account(s) and the most acceptable range of outcomes over a 1 year period?*

- ☐ Return = Avg 4%, Best 18 %, Worst -8% 3
- ☐ Return = Avg 5%, Best 28 %, Worst -21% 6
- ☐ Return = Avg 7%, Best 39 %, Worst -30% 9
- ☐ Return = Avg 8%, Best 53 %, Worst -39% 12
- ☐ Return = Avg 10%, Best 67 %, Worst -47% 15

Client 1 Score:	
Client 2 Score:	

Client 1 Score:	
Client 2 Score:	

*(The figures presented are hypothetical and do not represent actual returns of an investment portfolio. No guarantee is made regarding future performance.)

5. What is your current age group?

- ☐ 60 and Over 2
- ☐ 50-59 4
- ☐ 40-49 6
- ☐ 20-39 8

Client 1 Score:	
Client 2 Score:	

7. When will you begin withdrawing money from these specific investment account(s)?

- ☐ Less than 1 year 1
- ☐ 1 to 3 years 2
- ☐ 3 to 5 year 3
- ☐ 5 to 10 years 4
- ☐ 10+ years 5

Client 1 Score:	
Client 2 Score:	

RISK TOLERANCE TOTAL

Add together your scores and then match your total score with one of the investment objectives below.

- ☐ Income with Capital Preservation 18-38
- ☐ Income with Moderate Growth 39-53
- ☐ Growth with Income 54-64
- ☐ Growth 65-75
- ☐ Aggressive Growth 76+

Client 1 TOTAL Score:	
Client 2 TOTAL Score:	

6. How optimistic are you about the long-term prospects for the economy?

- ☐ Very pessimistic 2
- ☐ Unsure 4
- ☐ Somewhat optimistic 6
- ☐ Very optimistic 8

Client 1 Score:	
Client 2 Score:	

8. Over the next several years, you expect your annual income (salary, rental properties, pensions, social security, etc.) to:

- ☐ Decrease substantially 2
- ☐ Decrease moderately 4
- ☐ Stay about the same 6
- ☐ Grow moderately 8
- ☐ Grow substantially 10

Client 1 Score:	
Client 2 Score:	

FINANCIAL QUESTIONS

Please list any questions you might have below.

Client 1 Signature:		Date:	
Client 2 Signature:		Date:	

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