



## CLIENT RISK QUESTIONNAIRE

This series of questions will be used to provide Stratos a firm understanding of your financial needs, including your tolerance and capacity for taking risk. Your responses will also provide your advisor with a more thorough understanding of your investment objectives and preferences. There is no guarantee that either the historical or future performance of the investment strategy suggested by your recommended risk profile will match the indicated performance targets for any specific question. Please select one answer from each question.

CLIENT NAME(S): \_\_\_\_\_ IAR NAME: \_\_\_\_\_ DATE: \_\_\_\_\_

1. What is the primary goal for your portfolio?

- To protect capital (1)                      To generate stable income (2)                      To fund a major expenditure (3)
- To accumulate wealth (4)                      To achieve a different goal not listed above (5)

2. Over what period do you expect to fulfill your goals?

- Less than 1 year (1)                      1 to 5 years (3)                      5 to 10 years (5)

3. Risk Aversion – When making decisions do you give more emphasis on gains or losses?

- Potential losses only (1)                      Potential losses more than potential gains (2)
- Balanced between gains and losses (3)                      Potential gains more than potential losses (4)
- Potential gains only (5)

4. Disposition Towards Risk – What would you consider your willingness to accept risk?

- Low (1)                      Below Average (2)                      Average (3)
- Above Average (4)                      High (5)

5. Risk Tolerance – What would you consider your ability to accept risk?

- Low (1)                      Below Average (2)                      Average (3)
- Above Average (4)                      High (5)

6. Volatility – What degree of returns volatility do you believe you can tolerate?

- Low (1)                      Below Average (2)                      Average (3)
- Above Average (4)                      High (5)

7. Drawdown – What is the maximum loss you would be able to tolerate in a financial crisis?

- Less than 10% (1)                      No more than 20% (2)                      No more than 30% (3)
- No more than 40% (4)                      50% or more (5)

8. Loss Persistence – How long would you be able to tolerate sustained losses in your portfolio?

- Less than 1 year (1)                      1 to 5 years (3)                      5 to 10 years (5)

9. Liquidity Constraints – What statement best fits your need to withdraw funds from your portfolio?

- I require funds to be available within one year (1)
- I may require some funds to be available within one year (2)
- I do not anticipate a need, but would like a small portion available for emergencies (3)
- It is unlikely that I will need any funds over the next one to three years (4)
- It is unlikely that I will need any funds over the next three of more years (5)

TOTAL SCORE: \_\_\_\_\_

9 to 16	Income with Capital Preservation
17 to 24	Income with Moderate Growth
25 to 32	Growth with Income
33 to 40	Growth
41 to 45	Aggressive Growth

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