

RISK TOLERANCE QUESTIONNAIRE

CLIENT 1:

CLIENT 2:

1 Which best describes your financial goals? I plan to...

- A Preserve the principal (initial investment) & earn a moderate amount of income
- B Generate a high amount of current income
- C Generate some current income & grow assets over an extended time frame
- D Grow assets substantially over an extended time frame

2 I plan to begin withdrawing money from my investments in...

- A Less than a Year
- B 1 -3 Years
- C 3 -5 Years
- D 5 -10 Years
- E 10+ Years

3 Over the next several years, I expect my annual income to...

- A Decrease substantially
- B Decrease moderately
- C Stay about the same
- D Grow moderately
- E Grow substantially

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CLIENT 1:**CLIENT 2:**

4 Which of the following sample investments best represents your financial goals and most acceptable range of outcomes over a one-year period?

- A Gain: 18%, Average Return: 4%, Loss: -8%
- B Gain: 28%, Average Return: 5%, Loss: -21%
- C Gain: 39%, Average Return: 7%, Loss: -30%
- D Gain: 53%, Average Return: 8%, Loss: -39%
- E Gain: 67%, Average Return: 10%, Loss: -47%

5 If my investments were to decline in value significantly over a three-month period, I would...

- A Be very concerned because I can't accept my investment losing value
- B Be concerned about a short-term decline although I invest for long-term growth
- C Accept temporary fluctuation because I invest for long-term growth
- D Consider this decline an opportunity to add to my investments

6 In recent years, my personal investments have...

- A Shifted toward lower risk & lower return
- B Had no meaningful change in the risk or return profile
- C Shifted toward higher risk & higher return