

Client Name/s: _____

Advisor Name: _____

Please select ONE answer to each of the following questions.

SECTION 1: FINANCIALS			TOTAL
1. What is your approximate net worth (excluding your principal residence)?			
<input type="checkbox"/> Under \$100K	<input type="checkbox"/> \$500K - \$750K	<input type="checkbox"/> Over \$3M	
<input type="checkbox"/> \$100K - \$300K	<input type="checkbox"/> \$750K - \$1.0M	If greater than \$3M enter	
<input type="checkbox"/> \$300K - \$500K	<input type="checkbox"/> \$1.0M - \$3.0M	amount: \$ _____	
2. What is your liquid net worth? (assets that can be readily converted to cash)			
<input type="checkbox"/> Under \$25K	<input type="checkbox"/> \$50K - \$100K	<input type="checkbox"/> Over \$500K	
<input type="checkbox"/> \$25K - \$50K	<input type="checkbox"/> \$100K - \$250K	If greater than \$500K enter	
	<input type="checkbox"/> \$250K - \$500K	amount: \$ _____	
3. What is your current household income?			
<input type="checkbox"/> Under \$50K	<input type="checkbox"/> \$100K - \$150K	<input type="checkbox"/> \$250K - 500K	
<input type="checkbox"/> \$50K - \$100K	<input type="checkbox"/> \$150K - \$250K	<input type="checkbox"/> Over \$500K	
4. What is your federal income tax bracket?			
<input type="checkbox"/> 10%	<input type="checkbox"/> 22%	<input type="checkbox"/> 32%	<input type="checkbox"/> 37%
<input type="checkbox"/> 12%	<input type="checkbox"/> 24%	<input type="checkbox"/> 35%	
5. If you needed immediate funds equal to 1/4 the value of your investment accounts, where would you obtain the money?			
<input type="checkbox"/> All from this portfolio (0)	<input type="checkbox"/> 50% from this portfolio and the remainder from other savings and investments (2)	<input type="checkbox"/> All from other savings and investments (4)	
<input type="checkbox"/> At least 75% from this portfolio and the remainder from other savings and investments (1)	<input type="checkbox"/> Less than 25% from this portfolio and the remainder from other savings and investments (3)		<input type="checkbox"/>
SECTION TOTAL			<input type="checkbox"/>
SECTION 2: GOALS			
1. What is your investment objective?			
<input type="checkbox"/> Preserve Principal (0)	<input type="checkbox"/> Income and Growth (6)	<input type="checkbox"/> Aggressive Growth (12)	
<input type="checkbox"/> Income (3)	<input type="checkbox"/> Growth (9)		<input type="checkbox"/>

SECTION 2: GOALS (Continued)	TOTAL
<p>2. When do you expect to begin withdrawals on a regular basis from your investment accounts?</p> <p> <input type="checkbox"/> Less than 1 year (0) <input type="checkbox"/> 4-6 years (6) <input type="checkbox"/> More than 10 years (12) <input type="checkbox"/> 1-3 years (3) <input type="checkbox"/> 7-10 years (9) </p>	<input type="checkbox"/>
<p>3. Today, how much do you rely on income from your investment accounts?</p> <p> <input type="checkbox"/> Heavily (0) <input type="checkbox"/> Slightly (2) <input type="checkbox"/> Moderately (1) <input type="checkbox"/> Not at all (4) </p>	<input type="checkbox"/>
SECTION TOTAL	<input type="checkbox"/>

SECTION 3: RISK TOLERANCE

1. What is your investment experience?

None Moderate
 Limited Extensive

2. Indicate the response that you feel best describes your risk tolerance.

<input type="checkbox"/> Conservative (0) - Accepting of lower returns for a higher degree of stability - Seeks principal preservation and minimizing risk	<input type="checkbox"/> Moderate (4) - Accepting of modest risks to seek higher long-term returns - Accepting of short-term losses of principal in exchange for long-term appreciation	<input type="checkbox"/> Aggressive (8) - Willing to accept substantial risk - Maximizing long-term returns is more important than protecting principal	<input type="checkbox"/>
<input type="checkbox"/> Moderately Conservative (2) - Comfortable accepting a small degree of risk and volatility - Accepting of lower returns in exchange for minimal losses	<input type="checkbox"/> Moderately Aggressive (6) - Willing to accept significant risk - May endure large losses in favor of potentially higher long-term returns		

3. Which hypothetical portfolio are you most comfortable with, considering the possible range of returns, for \$100,000 invested, over a 1-YEAR period?

<input type="checkbox"/> A (0) <input type="checkbox"/> B (1) <input type="checkbox"/> C (2) <input type="checkbox"/> D (3) <input type="checkbox"/> E (4)	<p> \$100K \$105K \$102K \$107K \$100K \$110K \$95K \$115K \$90K \$125K \$75K A B C D E </p>	<input type="checkbox"/>
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4. Generally, investments with the highest potential for gains carry the greatest risk of loss. Which hypothetical portfolio are you most comfortable with, considering the possible outcomes of \$100,000 invested for 5-YEARS:

<input type="checkbox"/> A (0) <input type="checkbox"/> B (3) <input type="checkbox"/> C (6) <input type="checkbox"/> D (9) <input type="checkbox"/> E (12)	<p> \$100K \$120K \$105K \$135K \$90K \$145K \$85K \$160K \$80K \$180K \$70K A B C D E </p>	<input type="checkbox"/>
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SECTION 3: RISK TOLERANCE (Continued)			TOTAL
5. Historically, markets have experienced sharp, short-term downturns. If your investment portfolio lost 25% of its value over TWO DAYS, how would you react?			
<input type="checkbox"/> I would immediately move all my holdings to cash (0)	<input type="checkbox"/> I would wait at least 3 months before deciding to make any changes (6)	<input type="checkbox"/> I would immediately add to my investment portfolio and buy more equities to take advantage of the lower prices (12)	<input type="checkbox"/>
<input type="checkbox"/> I would immediately change to strategies that are more conservative (3)	<input type="checkbox"/> I would immediately change to strategies that are more aggressive (9)		
6. Historically, markets have experienced prolonged periods of declines. If your investment portfolio lost 33% of its value over the last 3 MONTHS, how would you react?			
<input type="checkbox"/> I would immediately move all my holdings to cash (0)	<input type="checkbox"/> I would wait at least 3 months before deciding to make any changes (6)	<input type="checkbox"/> I would immediately add to my investment portfolio and buy more equities to take advantage of the lower prices (12)	<input type="checkbox"/>
<input type="checkbox"/> I would immediately change to strategies that are more conservative (3)	<input type="checkbox"/> I would immediately change to strategies that are more aggressive (9)		
SECTION TOTAL			<input type="checkbox"/>
TOTAL ALL SECTIONS			<input type="checkbox"/>

SCORING

SCORE 0-12: Conservative

- Accepting of lower returns for a higher degree of stability
- Seeks principal preservation and minimizing risk

SCORE 13-28: Moderately Conservative

- Comfortable accepting a small degree of risk and volatility
- Accepting of lower returns in exchange for minimal losses

SCORE 29-51: Moderate

- Accepting of modest risks to seek higher long-term returns
- Accepting of short-term losses of principal in exchange for long-term appreciation

SCORE 52-67: Moderately Aggressive

- Willing to accept significant risk
- May endure large losses in favor of potentially higher long-term returns

SCORE 68-80: Aggressive

- Willing to accept substantial risk
- Maximizing long-term returns is more important than protecting principal

CLIENT ACKNOWLEDGEMENT

I understand that the above-referenced Risk Profile Questionnaire acts as a guide only to building an overall financial solution. I recognize that there are other factors to consider besides my score on this questionnaire when making portfolio decisions.

I understand that my responses to the Risk Profile Questionnaire provided by my investment advisor representative indicates that my risk tolerance is: _____

I disagree with this assessment and would like to indicate my risk tolerance as: _____

My reasoning for disagreeing with this assessment is: _____

Please provide any additional details for your decision (if needed): _____

Client's Signature Date

Client's Signature Date

Investment Advisor Signature Date

Approved By Brookstone Capital Management Date