

## Risk Tolerance Questionnaire

### CLIENT INFORMATION

Client Name:		
Address:		
Telephone number:		
Email:		
Birth Date:		
SSN:		

QUESTIONS		ADD NOTES/SPECIFICS
<input type="checkbox"/> 1) What is the expected investment amount? <input type="checkbox"/> Less than \$100,000 <input type="checkbox"/> More than \$100,000		
<input type="checkbox"/> 2) In what manner do you want this investment managed? <input type="checkbox"/> Standard <input type="checkbox"/> Tax Managed <input type="checkbox"/> Tax Sensitive <input type="checkbox"/> Socially Responsibly *Socially responsible investing, also known as sustainable, socially conscious or ethical investing, describes an investment strategy which seeks to maximize both financial return and social good. ( <a href="http://en.wikipedia.org/wiki/Socially-responsible_investing">http://en.wikipedia.org/wiki/Socially-responsible_investing</a> )		
<input type="checkbox"/> 3) Your age is an important factor in your ability to take on investment risk. Your age(s) is/are: <input type="checkbox"/> 35 or under <input type="checkbox"/> 36-45 <input type="checkbox"/> 46-55 <input type="checkbox"/> 56-65 <input type="checkbox"/> 66-75 <input type="checkbox"/> 75 or over		

<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<p><b>4) What is your time horizon (how long before you will need to withdraw or spend income)?</b></p> <p>Immediately</p> <p>Within 5 yrs</p> <p>5-10 yrs</p> <p>10-20 yrs</p> <p>Over 20 yrs</p>	
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<p><b>5) What is your goal for this investment?</b></p> <p>To grow aggressively</p> <p>To grow significantly</p> <p>To grow moderately</p> <p>To grow with caution</p> <p>To avoid losing money</p>	
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<p><b>6) Assuming normal market conditions, what would you expect from this investment over time?</b></p> <p>To generally keep pace with the stock market</p> <p>To slightly trail the stock market, but make a good profit</p> <p>To trail the stock market, but make a moderate profit</p> <p>To have some stability, but make modest profits</p> <p>To have a high degree of stability, but make small profits</p>	
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<p><b>7) Suppose the stock market performs unusually poor over the next decade. What would you expect from this investment?</b></p> <p>To lose money</p> <p>To make very little or nothing</p> <p>To eke out a little gain</p> <p>To make a modest gain</p> <p>To be little affected by what happens in the stock market</p>	
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<p><b>8) Which of these statements would best describe your attitudes about the next three years' performance of this investment?</b></p> <p>I don't mind if I lose money</p> <p>I can tolerate a loss</p> <p>I can tolerate a small loss</p> <p>I'd have a hard time tolerating any losses</p> <p>I need to see at least a little return</p>	

<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<p><b>9) Which of these statements would best describe your attitude about the next three months' performance of this investment?</b></p> <p>Who cares? One calendar quarter means nothing</p> <p>I wouldn't worry about the losses in that time frame</p> <p>If I suffered a loss of greater than 10%, I'd get concerned</p> <p>I can only tolerate small short-term losses</p> <p>I'd have a hard time stomaching any losses</p>	
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<p><b>10) What is your return objective?</b></p> <p>I do not have a high return objective. I am willing to accept lower long-term returns in order to preserve capital in bad market environments.</p> <p>When stocks are performing well, I want some participation, but I am also somewhat concerned with short-term risk.</p> <p>I am looking for high long-term returns and only mildly concerned with short-term risk.</p> <p>I am looking for high returns and I am not concerned with short-term risk.</p> <p>I am looking for maximum returns and I am not concerned with short-term risk or being out of sync with equity markets.</p>	
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<p><b>11) How would you balance the importance of maximum possible exposure to gain with the increased exposure to market loss?</b></p> <p>I am risk averse and give more weight to prevention of loss than to gain</p> <p>I am risk neutral and would give equal importance to gain and prevention of loss</p> <p>I am less concerned with risk than with gain and would give approximately 60% importance to gain while giving 40% importance to loss.</p> <p>I am only slightly concerned with risk and would give 75% importance to gain and 25% importance to loss prevention.</p> <p>I am unconcerned with risk and would give 100% importance to gain and 0% importance to loss prevention.</p>	

Please bring a copy of this form to our initial meeting, or you may fax or mail this form to the following address:  
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