



## Risk Tolerance Questionnaire

Name of Client: \_\_\_\_\_ Date: \_\_\_\_\_

**1. How would you rank the following in order of importance (Rank 1-2, 1 being the most important):**

\_\_\_\_ **Maintaining account value**  
\_\_\_\_ **Growth and Inflation Protection**

**2. In the handling of your finances, would you be willing to experience significant fluctuations month to month in your account value in order to obtain greater growth potential long term?**

Yes \_\_\_\_\_ No \_\_\_\_\_

**3. What is the worst one year performance you would want to tolerate for your portfolio?**

- a. -50%
- b. -40%
- c. -30%
- d. -20%
- e. Any loss is unacceptable to me.

**4. Which of the following best describes how you evaluate the performance of your investments?**

- a. I check to see how my portfolio did over the last month.
- b. I track my portfolio's gains and losses on a regular basis.
- c. I don't at all.

**5. Do you need income from your investments now?**

Yes \_\_\_\_\_ No \_\_\_\_\_

**6. If answered no to Question 5, how soon in the future will you be making withdrawals from your account to accommodate your goal for this portfolio?**

- a. 0-3 years**
- b. 4-7 years**
- c. 8-12 years**
- d. 13-20 years**
- e. 20+ years**

**7. Which of the following three statements best describes your feelings about investing?**

**a. I prefer conservative investments which will minimize the chance of losing any principal in a given year. (I realize this may limit my portfolio's long-term growth).**

**b. I am comfortable with a moderate amount of risk and am willing to tolerate periodic market downturns in order to increase chances of future growth.**

**c. I seek maximum future growth and am not concerned about short term fluctuations in value. I am willing to incur significant short-term losses to maximize long term gains.**

**8. In 2008, if you had investments, how did you react to the market decline?**

**a. You immediately sold all or most of your investments.**

**b. You looked at some changes but did not liquidate everything.**

**c. You were concerned and monitored the market and made no changes. You felt that the market was likely to go up again at some time in the future.**

**d. You were not invested in any securities which fluctuate with the market.**

**e. You invested more into the market.**

**9. I would rank my investment knowledge as follows:**

- a. None**
- b. Limited.**
- c. Some knowledge and experience.**
- d. Very knowledgeable about all types of investments.**

**10. Which statement is true?**

- a. I prefer to handle my own investment decisions.**
- b. I like to handle it on my own with some assistance.**
- c. I feel like investments are best handled by professionals.**