



## Risk Tolerance Questionnaire

Show how much you **Agree** or **Disagree** with each of the following investment statements by marking the appropriate box at the end of each sentence.

I can accept minor fluctuations in my account value in exchange for more income.

**Disagree**                  **Agree**

I can accept a small risk of loss and somewhat larger fluctuations in my account value in exchange for conservative growth opportunity and the possibility of more income.

**Disagree**                  **Agree**

I can accept a greater risk of loss and greater fluctuations in my account value in exchange for more aggressive growth opportunities.

**Disagree**                  **Agree**

I can accept the risk of significant losses and large fluctuations in my account value in exchange for very aggressive, rapid growth opportunities.

**Disagree**                  **Agree**



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Please answer both **Part 1** and **Part 2** below:

**Part 1.** For each of the two investment decisions below, check the option with which you are most comfortable.

Decision 1 - Choose between

- a. A sure gain of \$25,000
- b. A 25% chance of winning \$100,000 and a 75% chance of winning nothing.

Decision 2 - Choose between

- a. A sure loss of \$75,000
- b. A 75% chance of losing \$100,000 and a 25% chance of losing nothing.

**Part 2.** For each of the two investment decisions below, check the option with which you are most comfortable.

Decision 1 - Choose between

- c. A sure gain of \$250
- d. A 25% chance of winning \$1,000 and a 75% chance of winning nothing.

Decision 2 - Choose between

- c. A sure loss of \$750
- d. A 75% chance of losing \$1,000 and a 25% chance of losing nothing.



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**Please answer the following questions:**

For your current investments, what has been your annual rate of return? \_\_\_\_\_

Have you been satisfied with that return? \_\_\_\_\_

If no, why not? \_\_\_\_\_

What percentage of your portfolio can you afford to lose or how much money can you afford to lose in any one year? \_\_\_\_\_

What action would you take if the market dropped 50% from its present value?  
\_\_\_\_\_

Regarding your finances, what, if anything, do you spend the most time thinking about?  
\_\_\_\_\_  
\_\_\_\_\_

Are there things in your financial life that you wish you had done differently?  
\_\_\_\_\_  
\_\_\_\_\_

Are you pleased with your ability to manage and shelter your income from taxes?  
\_\_\_\_\_

Are you pleased with the diversification and performance of your portfolio?  
\_\_\_\_\_

What is the best and worst investment decision you have ever made?  
Best: \_\_\_\_\_

Worst: \_\_\_\_\_

Are there any investments that you will NOT sell for past performance, personal or social reasons?  
\_\_\_\_\_

Are there any investments that you will NOT buy for social reasons?  
\_\_\_\_\_

## Investment Attitude Risk Questionnaire

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Circle a number in answer to each of the six risk tolerance questions below. These answers will help select your Asset Allocation Target Portfolio.

1. How important is capital preservation?

*Not at all*

 1 2 3 4 5 6 7 8 9

*Moderately important*

*Very important*

2. How important is growth?

*Not at all*

 1 2 3 4 5 6 7 8 9

*Moderately important*

*Very important*

3. How important is low volatility?

*Not at all*

 1 2 3 4 5 6 7 8 9

*Moderately important*

*Very important*

4. How important is inflation protection?

*Not at all*

 1 2 3 4 5 6 7 8 9

*Moderately important*

*Very important*

5. How important is current cash flow?

*Not at all*

 1 2 3 4 5 6 7 8 9

*Moderately important*

*Very important*

6. How much risk are you willing to take to achieve a higher return?

*Not at all*

 1 2 3 4 5 6 7 8 9

*A Moderate amount*

*A lot*

What Average Annual Rate of Return\* do you want to earn on your portfolio to reach your financial goals?

(Enter a number between 5% and 14%.)

Average Annual Rate of Return\* You Want: \_\_\_\_\_ %

\* This rate of return is hypothetical and used for comparison purposes only. It is not related to any specific investment and there is no guarantee you will actually receive this rate.