

# Risk Tolerance Questionnaire



INVESTMENT  
MANAGEMENT

Please take a few minutes to complete this short questionnaire, which will create a recommended portfolio with the appropriate mix of assets.

If you own a home, do you have more than 30% equity?

- no
- yes
- I don't own a home

Which of the following best describes your current employment situation?

- full-time
- part-time
- retired
- unemployed

Do you plan to work during retirement?

- full-time, for as long as possible
- full-time, for a few years
- part-time
- not at all

From an original investment of \$15,000, your portfolio now worth \$25,000 suddenly declines \$3,750 or 15%, which best describes your response?

- I would look for a way to invest more
- I would take no action
- I would be somewhat concerned
- I would avoid any investment that could suddenly lose 15% of its value  
(choose last answer for next question)

Your portfolio, from previous question, now worth \$21,250 suddenly declines another \$2,125 or 10%, which best describes your response?

- I would look for a way to invest more
- I would take no action
- I would be somewhat concerned
- I would probably sell
- I would never have made this investment (chosed last answer on previous question)

Have you invested in equities?  Yes  No

Have you invested in fixed incomes?  Yes  No

Have you invested in mutual funds?  Yes  No

Have you invested in options, futures or derivatives?  Yes  No

How would you describe your level of investment knowledge?

- none
- limited
- good
- extensive

How much investment experience do you have?

- none
- limited (1 to 3 years)
- good (4 to 5 years)
- extensive (more than 5 years)

Do you have current income needs from your investments?

- yes
- no

When will you begin to use your invested funds?

- less than 2 years
- 2 to 5 years
- 6 to 10 years
- more than 10 years

Client Name: \_\_\_\_\_

Client Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Joint Client Name: \_\_\_\_\_

Joint Client Signature: \_\_\_\_\_ Date: \_\_\_\_\_