



RISK PROFILE QUESTIONNAIRE

1. Over 1 calendar year, if the Dow Jones Industrial Average were to decline by 10%, how would you feel your portfolio should perform?
 - A) My portfolio would decrease by over 10%
 - B) My portfolio would decrease by 10%
 - C) My portfolio would decrease by 5%
 - D) My portfolio would not decrease, but also not increase
 - E) My portfolio would gain a small margin

2. Over 1 calendar year, if the Dow Jones Industrial Average were to increase by 10%, how would you feel your portfolio should perform?
 - A) My portfolio would increase by over 10%
 - B) My portfolio would increase by 10%
 - C) My portfolio would increase by 5%
 - D) My portfolio would not increase, but also not decrease
 - E) My portfolio would decrease by a small margin

3. Over the next 5 years, which statement best describes the overall goal of your portfolio.
 - A) My portfolio would outperform the Dow Jones Industrial Average
 - B) My portfolio would keep pace with the Dow Jones Industrial Average
 - C) My portfolio would under-perform the Dow Jones Industrial Average, but generate some income
 - D) My portfolio would stay relatively flat, but generate income

4. What portion of your overall estate does this portfolio represent?
 - A) Less than 25%
 - B) Greater than 25% less than 50%
 - C) Greater than 50% less than 75%
 - D) Greater than 75%

5. When will you be drawing income out of this portfolio?
 - A) I am currently drawing income
 - B) I will need to draw income within the next 2 years
 - C) I will need to draw income within the next 5 years
 - D) I will not need to draw income for over 5 years
 - E) I do not ever plan on drawing income from this portfolio

6. What is your overall goal of this portfolio? (Select all that apply)
 - A) To keep pace with the market
 - B) To preserve my principal
 - C) To generate income
 - D) To generate some gains, while also generating income
 - E) To maximize my potential for gains

7. How would you classify your knowledge of investing?

- A) I have extensive knowledge of investing
- B) I have a good understanding on investing
- C) I have some knowledge of investing
- D) I have limited knowledge of investing
- E) I have no knowledge of investing

8. Suppose the stock market performs unusually poorly over the next decade, what would you expect from this portfolio?

- A) To lose money
- B) To make very little or nothing
- C) To make a little gain
- D) To make a modest gain
- E) To be little affected by what happens to the market

9. On a scale from 1 to 10, with 1 being the most conservative and 10 being the most aggressive, what number would you consider yourself as an investor? (Please Circle)

1 2 3 4 5 6 7 8 9 10

Additional comments: _____

Name: _____

Signature: _____

Title (If Applicable): _____

Date: ____/____/_____

Name: _____

Signature: _____

Title (If Applicable): _____

Date: ____/____/_____