
Risk Assessment Questionnaire

Please answer the following questions as they pertain to your investable assets.

Time Horizon

Your current situation and future income needs.

1 What is your current age?

- ☐ Less than 45
- ☐ 45 to 55
- ☐ 56 to 65
- ☐ 66 to 75
- ☐ Older than 75

2 When do you expect to start drawing income from your investments?

- ☐ Not for at least 20 years
- ☐ In 10 to 20 years
- ☐ In 5 to 10 years
- ☐ Not now, but within 5 years
- ☐ Immediately

Long-Term Goals and Expectations

Your views of how an investment should perform over the long term.

3 In general, what is your goal for your investment assets?

- ☐ To grow aggressively
- ☐ To grow significantly
- ☐ To grow moderately
- ☐ To grow with caution
- ☐ To avoid losing money

4 Assuming normal market conditions, what would you expect from your investments over time?

- ☐ To generally keep pace with the stock market
- ☐ To slightly trail the stock market, but make a good profit
- ☐ To trail the stock market, but make a moderate profit
- ☐ To have some stability, but make modest profits
- ☐ To have a high degree of stability, but make small profits

5 Suppose the stock market performs unusually poorly over the next decade, What would you expect from your investments?

- ☐ To lose money
- ☐ To make very little or nothing
- ☐ To make out a little gain
- ☐ To make a modest gain
- ☐ To be little affected by what happens in the stock market

Short-Term Risk Attitudes

Your attitude toward short-term volatility.

6 Which of these statements would best describe your attitudes about the next three years' performance of your investments?

- ☐ I don't mind if I lose money
- ☐ I can tolerate a loss
- ☐ I can tolerate a small loss
- ☐ I'd have a hard time tolerating any losses
- ☐ I need to see at least a little return

7 Which of these statements would best describe your attitudes about the next three months' performance of your investments?

- ☐ Who cares? One calendar quarter means nothing
 - ☐ I wouldn't worry about losses in that time frame
 - ☐ If I suffered a loss of greater than 10%, I'd get concerned
 - ☐ I can only tolerate small short-term losses
 - ☐ I'd have a hard time stomaching any losses
-