

Risk Questionnaire for: _____

1. I plan to begin taking money from my investments in . . .

- A. 1 year or less
- B. 1-2 years
- C. 3-5 years
- D. 6-10 years
- E. 11-15 years
- F. More than 15 years

2. As I withdraw money from these investments, I plan to spend it over a period of . . .

- A. 2 years or less
- B. 3-5 years
- C. 6-10 years
- D. 11-15 years
- E. More than 15 years

3. When making a long-term investment, I plan to keep the money invested for . . .

- A. 1-2 years
- B. 3-4 years
- C. 5-6 years
- D. 7-8 years
- E. More than 8 years

4. From September 2008 through November 2008, stocks lost more than 31% of their value.

If I owned a stock investment that lost about 31% of its value in three months, I would . . . (If you owned stocks during this period, please select the answer that matches your actions at that time.)

- A. Sell all of the remaining investment
- B. Sell some of the remaining investment
- C. Hold on to the investment and sell nothing
- D. Buy more of the investment

5. Generally, I prefer an investment with little or no ups or downs in value, and I am willing to accept the lower returns these investments may make.

- A. I strongly disagree
- B. I disagree
- C. I somewhat agree
- D. I agree
- E. I strongly agree

6. When the market goes down, I tend to sell some of my riskier investments and put the money in safer investments.

- A. I strongly disagree
- B. I disagree
- C. I somewhat agree
- D. I agree
- E. I strongly agree

7. Based only on a brief conversation with a friend, coworker, or relative, I would invest in a mutual fund, stock or other investment.

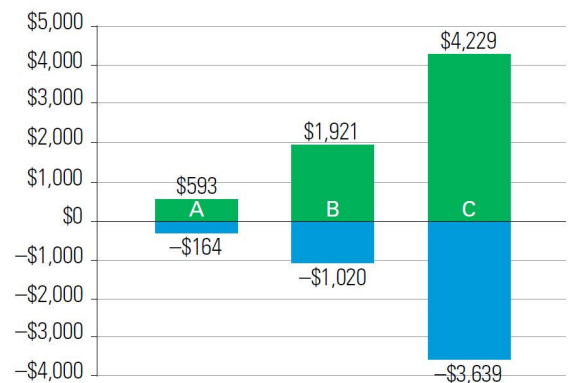
- A. I strongly disagree
- B. I disagree
- C. I somewhat agree
- D. I agree
- E. I strongly agree

8. From September 2008 through October 2008, bonds lost nearly 4% of their value. If I owned a bond investment that lost almost 4% of its value in two months, I would . . . (If you owned bonds during this period, please select the answer that matches your actions at that time.)

- A. Sell all of the remaining investment
- B. Sell some of the remaining investment
- C. Hold on to the investment and sell nothing
- D. Buy more of the investment

9. The chart to the right shows the highest one-year loss and one-year gain on three different hypothetical investments of \$10,000. Given the potential gain or loss in any one year, I would invest my money in ...

- A. Investment A
- B. Investment B
- C. Investment C



10. My current and future income sources (such as salary, Social Security, pension) are . . .

- A. Very unstable
- B. Unstable
- C. Somewhat stable
- D. Stable
- E. Very stable

11. When it comes to investing in stock or bond mutual funds (or individual stocks or bonds), I would describe myself as ...

- A. Very inexperienced
- B. Somewhat inexperienced
- C. Somewhat experienced
- D. Experienced
- E. Very experienced

Client Signature: _____

Date Completed: _____ / _____ / 2014 (Internal use: _____)