



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

Registration Number/Registration Type \_\_\_\_\_

Date \_\_\_\_\_

Financial Professional Name \_\_\_\_\_

Rep Number \_\_\_\_\_

**Risk tolerance is an important factor in determining suitable investments for you. To assist in assessing your risk tolerance, answer the following questions.**

**Q1. If you could increase your chances of improving your investment returns by increasing the investments that may fluctuate in value over time, such as stocks, and take on more risk in your portfolio, would you:**

- A. Be unlikely to take more risk?
- B. Be willing to take a little more risk with some of my overall portfolio?
- C. Be willing to take a lot more risk with some of my overall portfolio?
- D. Be willing to take a lot more risk with my entire portfolio?

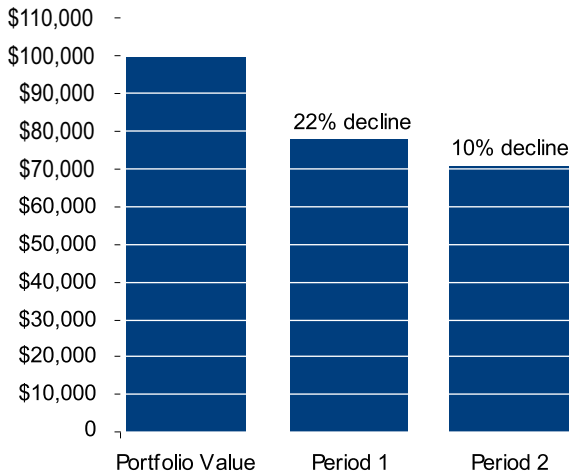
**Q2. If your portfolio, valued at \$100,000, declined in value to \$78,000 within a one-year period, as Period 1 represents (i.e., down 22%), what would you most likely do?**

- A. Sell all the positions and move the money to safer investments.
- B. Sell only the losing investments.
- C. Sell nothing and wait for the markets to recover.
- D. Buy more as the losing investments may represent opportunity.

**Q3. If the above portfolio declined by an additional 10% to \$70,200 the following year, what would you most likely do?**

- A. Sell all the positions and try to avoid investments with steep decline possibilities.
- B. Sell only the losing investments and move the money to safer investments.
- C. Sell nothing and wait for the markets to recover.
- D. Buy more as the losing investments may represent opportunity.

**Use the following graph to answer questions 2 and 3.**



**Once your client has answered the questions above, use the scoring grid below to assess their risk tolerance.**

Q1	Score	Q2	Score	Q3	Score
A	4	A	4	A	5
B	5	B	5	B	6
C	6	C	6	C	7
D	8	D	7	D	8

Your score is: \_\_\_\_\_

Score	Tolerance
13-15	Conservative
16-17	Moderately Conservative
18-19	Moderate
20-21	Moderately Aggressive
22-23	Significant Risk

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