

Client Risk Profile

About You

First Name:	Last Name:	
Address:		
City:	State:	Zip:
E-Mail:	Phone:	

The Client Risk Profile is a series of questions designed to assist an investor, portfolio manager, or financial advisor, in assessing investment risk tolerance. The questions are designed to uncover the ability, need, and desire for investment risk based on several relevant factors.

Not intended to be a substitute for firm records. It is a tool designed to assist in planning for investment goals and risk tolerance. If a change to stated objectives/tolerance for risk or other information is required, please contact your Financial Advisor to update your official client profile that is part of your account records.

Please complete all the questions on this questionnaire and return to your Financial Advisor.

Goal:

1. What is the primary purpose for this investment:
 - ☐ Increase the value of my investment
 - ☐ Increase value of my investment and provide reliable income
 - ☐ Provide reliable income
2. How would you describe the target amount you are trying to achieve:
 - ☐ Achievable with my current investments
 - ☐ Somewhat larger than my current investments
 - ☐ Much larger than my current investments

Investment and Insurance Products are:

- **Not Insured by the FDIC or Any Federal Government Agency**
- **Not a Deposit or Other Obligation of, or Guaranteed by, the Bank or Any Bank Affiliate**
- **Subject to Investment Risks, Including Possible Loss of the Principal Amount Invested**

3. When do you expect to need to use a large portion of the investments? If you are using this investment to generate income, how long do you need the income to last?
- ☐ 0-1 Years
 - ☐ 1-3 Years
 - ☐ 3-5 Years
 - ☐ 5-10 Years
 - ☐ 10+ Years

Risk-Taking Ability:

4. If something unplanned were to happen where you need a large amount of money quickly, how would you handle the situation:
- ☐ I have other funds that could cover the immediate need (or this is not relevant in my situation)
 - ☐ I have some other funds, but I may need to use some of this investment as well
 - ☐ I will need to use this investment to cover a large portion of the unplanned expense
5. What portion of your overall wealth does this investment represent:
- ☐ The majority (60-100%)
 - ☐ A large portion (30-60%)
 - ☐ A small portion (0-30%)

Behavioral Risk Tolerance:

6. Given that more risk can lead to higher returns, which of the following best describes how much risk you are willing to take when making financial investments:
- ☐ High risk (hoping to earn high returns)
 - ☐ Somewhat high risk (hoping to earn above average returns)
 - ☐ Moderate risk (expecting to earn average returns)
 - ☐ Low risk (though I might earn below average returns)
 - ☐ No risk (though I might earn low returns)
7. If your portfolio lost 20% of its value, what actions might you take:
- ☐ Sell to cash
 - ☐ Get more conservative
 - ☐ Maintain strategy
 - ☐ Get slightly more aggressive
 - ☐ Get much more aggressive

Important Disclosures: The Client Risk Profile is not intended to be a client-specific suitability analysis or a recommendation and offer to participate in any investment, or a recommendation to buy, hold, or sell securities.

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