



## Risk Profile Questionnaire and Client Financial Data

Client Name: \_\_\_\_\_ Date of Birth: \_\_\_\_\_

Client Name: \_\_\_\_\_ Date of Birth: \_\_\_\_\_

Address: \_\_\_\_\_

Phone 1 \_\_\_\_\_ Phone 2 \_\_\_\_\_

Email 1 \_\_\_\_\_ Email 2 \_\_\_\_\_

### Tax information: Check the appropriate answer.

**Tax Filing:** ☐ Married ☐ Single

**Tax bracket:** ☐ 0% to 15% ☐ 16% to 25% ☐ 25% to 35% ☐ over 35%

**Current annual income?** ☐ < \$25,000 ☐ \$25,000 to \$75,000 ☐ \$75,000 to \$150,000 ☐ over \$150,000

**What is your level of investment experience?** ☐ Limited ☐ Average ☐ Extensive

**Your Net Worth, excluding home:** \$ \_\_\_\_\_

### My Financial Ability to Handle Risk: Circle the appropriate number.

**A. Of my gross household income, I spend the following percentage on debts like credit cards, car payments, and rent or mortgage payments:** 1. More than 33%. 2. Between 10% and 33%. 3. Less than 10%.

**B. In case of an emergency, I have savings available to pay:** 1. Less than three months of living expenses. 2. Three to Five months of living expenses. 3. Six months or more of living expenses.

**C. This managed portfolio will represent:** 1. More than 75% of my total investments. 2. Between 25% and 75% of my total investments. 3. Less than 25% of my total investments.

### My Willingness to Take Financial Risks: Circle the appropriate number.

**D. Regarding the risk of investing, I am likely to change to another investment if:** 1. The value drops by 5% during a given year. 2. The value drops by 20% during a given year. 3. No change is necessary just because the investment drops in value. Since prices are lower, buying more may be in order.

**E. The majority of household investments are currently in:** 1. CDs, Bank Savings, Money Market Funds or Treasury Bonds. 2. Balanced investments with a mix of stocks and bonds that are diversified. 3. Individual stocks or aggressive funds. 4. Private placements, private equity or debt, hedge funds

**F. Regarding my investment objectives:** 1. I prefer a mix of investments that exhibit the least amount of risk, where my principal investment is stable, even if it means I earn a lower rate. 2. I want investments that show steady long-term growth. I can assume some risk for the potential of long-term gain. 3. I prefer a more aggressive mix of investments, some with moderate growth, but mostly those that carry higher risk and the chance for the maximum capital appreciation.

**Time Horizon** What is the number of years before you expect to make a large withdrawal from your investments (not including required minimum distributions or dividend systematic withdrawals)? \_\_\_\_\_ Years

Investor Signature \_\_\_\_\_ Joint investor signature \_\_\_\_\_

Advisor Signature \_\_\_\_\_ Date \_\_\_\_\_

**Advisor Calculate Score** \_\_\_\_\_ Risk Profile 6 – 8 Conservative 9 – 12 Moderate 13 – 15 Growth 16+ Aggressive

\*While risk measures of investments tend to persist, there can be no guarantee of an investment's future risk characteristics or performance. Please Review Promontory ADV and Disclosures.