



## Risk Profile Questionnaire and Client Financial Data

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

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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.