

RISK TOLERANCE QUESTIONNAIRE

The Risk Tolerance Questionnaire is designed to help you assess your client's risk tolerance and investment objective. The first six questions of the RTQ are assigned numerical weights to reflect each one's comparative importance in overall risk determination. Completing the questionnaire in its entirety will allow you to better evaluate your client's profile.

CLIENT NAME:

1. For these funds, which of the following closely aligns with your current financial goal? *Please select one.*

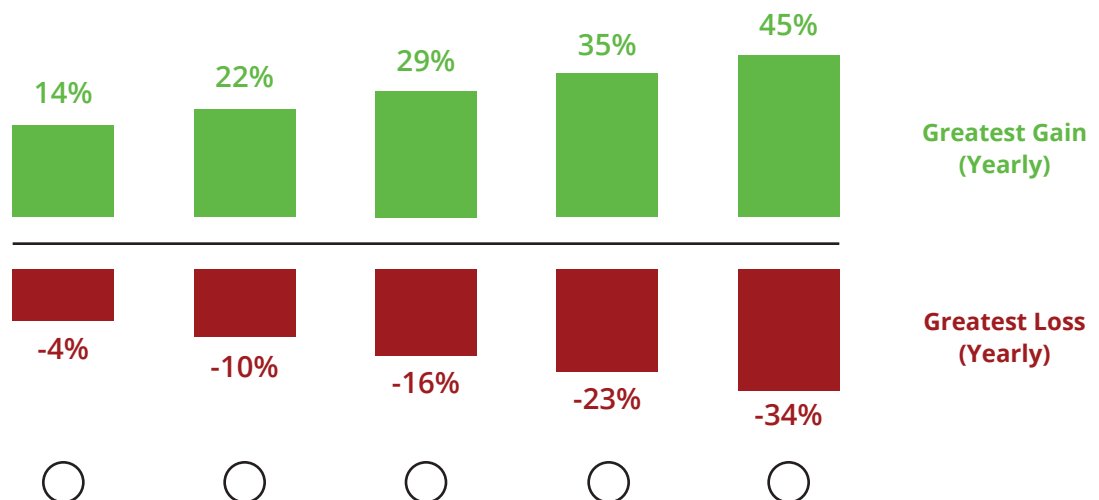
- Sustaining current income and account preservation
- Sustaining current income with possible growth opportunity
- Growing account value, not tied to current income needs
- Aggressive growth, maximizing accumulation

2. How long do you plan to keep these funds invested in order to achieve your financial goal?

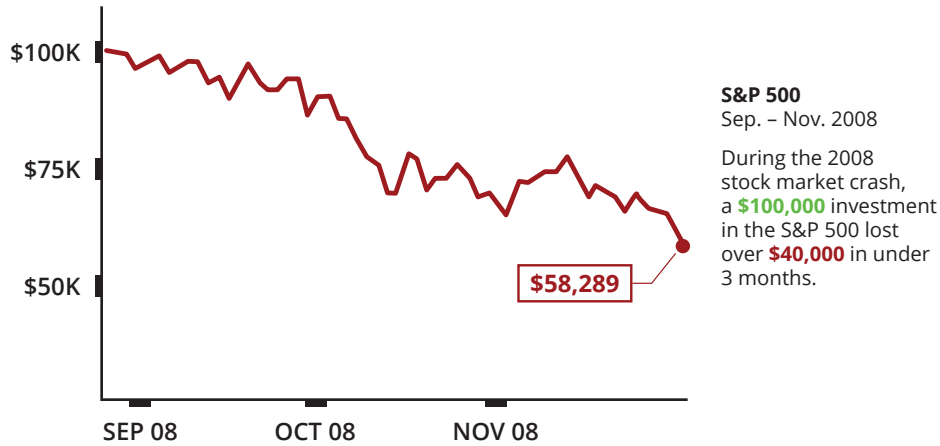
- Less than 1 year
- 1 to 2 years
- 3 to 5 years
- 6 to 10 years
- 11 to 20 years
- Greater than 20 years

3. The chart below shows the potential one-year loss or gain for five hypothetical portfolios. Select the option you are most comfortable with from a risk/return trade-off perspective.

Note: these numbers are not representative of your potential target portfolios. Please select one.



4. How would you react to a significant fall in the value of the stock market?



If the stock market were to drop 40% in value and your stock holdings did the same, what would you do with your stock investments for this goal?

- Sell All, Avoid Further Risk
- Sell Some, Reduce Exposure to Risk
- Sell Nothing, Remain Invested
- Buy More, Opportunity is Present

5. How soon would you need these funds to recover after experiencing a sudden meaningful loss in value?

- 0 to 6 months
- 6 months to 1 year
- 1 to 3 years
- 3 years or more

6. How would you respond to the following statement: I am comfortable investing during times of uncertainty.

- Strongly disagree
- Disagree
- Agree
- Strongly agree

YOUR SCORE

POINT SCALE

0 THROUGH 20
21 THROUGH 40
41 THROUGH 60
61 THROUGH 80
81 THROUGH 100

RISK TOLERANCE

CONSERVATIVE
MODERATELY CONSERVATIVE
MODERATE
MODERATELY AGGRESSIVE
AGGRESSIVE

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