

Client Name/s: \_\_\_\_\_

Advisor Name: \_\_\_\_\_

Please select ONE answer to each of the following questions.

SECTION 1: FINANCIALS			TOTAL
<b>1. What is your approximate net worth (excluding your principal residence)?</b>			
<input type="checkbox"/> Under \$100K	<input type="checkbox"/> \$500K - \$750K	<input type="checkbox"/> Over \$3M	
<input type="checkbox"/> \$100K - \$300K	<input type="checkbox"/> \$750K - \$1.0M	If greater than \$3M enter	
<input type="checkbox"/> \$300K - \$500K	<input type="checkbox"/> \$1.0M - \$3.0M	amount: \$ _____	
<b>2. What is your liquid net worth? (assets that can be readily converted to cash)</b>			
<input type="checkbox"/> Under \$25K	<input type="checkbox"/> \$50K - \$100K	<input type="checkbox"/> Over \$500K	
<input type="checkbox"/> \$25K - \$50K	<input type="checkbox"/> \$100K - \$250K	If greater than \$500K enter	
	<input type="checkbox"/> \$250K - \$500K	amount: \$ _____	
<b>3. What is your current household income?</b>			
<input type="checkbox"/> Under \$50K	<input type="checkbox"/> \$100K - \$150K	<input type="checkbox"/> \$250K - 500K	
<input type="checkbox"/> \$50K - \$100K	<input type="checkbox"/> \$150K - \$250K	<input type="checkbox"/> Over \$500K	
<b>4. What is your federal income tax bracket?</b>			
<input type="checkbox"/> 10%	<input type="checkbox"/> 22%	<input type="checkbox"/> 32%	<input type="checkbox"/> 37%
<input type="checkbox"/> 12%	<input type="checkbox"/> 24%	<input type="checkbox"/> 35%	
<b>5. If you needed immediate funds equal to 1/4 the value of your investment accounts, where would you obtain the money?</b>			
<input type="checkbox"/> All from this portfolio (0)	<input type="checkbox"/> 50% from this portfolio and the remainder from other savings and investments (2)	<input type="checkbox"/> All from other savings and investments (4)	
<input type="checkbox"/> At least 75% from this portfolio and the remainder from other savings and investments (1)	<input type="checkbox"/> Less than 25% from this portfolio and the remainder from other savings and investments (3)		<input type="checkbox"/>
<b>SECTION TOTAL</b>			<input type="checkbox"/>

SECTION 2: GOALS			
<b>1. What is your investment objective?</b>			
<input type="checkbox"/> Preserve Principal (0)	<input type="checkbox"/> Income and Growth (6)	<input type="checkbox"/> Aggressive Growth (12)	
<input type="checkbox"/> Income (3)	<input type="checkbox"/> Growth (9)		<input type="checkbox"/>

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SECTION 2: GOALS (Continued)	TOTAL
<p><b>2. When do you expect to begin withdrawals on a regular basis from your investment accounts?</b></p> <p> <input type="checkbox"/> Less than 1 year (0)                      <input type="checkbox"/> 4-6 years (6)                      <input type="checkbox"/> More than 10 years (12)  <input type="checkbox"/> 1-3 years (3)                                      <input type="checkbox"/> 7-10 years (9)                 </p>	<input type="checkbox"/>
<p><b>3. Today, how much do you rely on income from your investment accounts?</b></p> <p> <input type="checkbox"/> Heavily (0)                                      <input type="checkbox"/> Slightly (2)  <input type="checkbox"/> Moderately (1)                                      <input type="checkbox"/> Not at all (4)                 </p>	<input type="checkbox"/>
<b>SECTION TOTAL</b>	<input type="checkbox"/>

## SECTION 3: RISK TOLERANCE

**1. What is your investment experience?**

None     Moderate  
 Limited     Extensive

**2. Indicate the response that you feel best describes your risk tolerance.**

<input type="checkbox"/> <b>Conservative (0)</b> - Accepting of lower returns for a higher degree of stability - Seeks principal preservation and minimizing risk	<input type="checkbox"/> <b>Moderate (4)</b> - Accepting of modest risks to seek higher long-term returns - Accepting of short-term losses of principal in exchange for long-term appreciation	<input type="checkbox"/> <b>Aggressive (8)</b> - Willing to accept substantial risk - Maximizing long-term returns is more important than protecting principal	<input type="checkbox"/>
<input type="checkbox"/> <b>Moderately Conservative (2)</b> - Comfortable accepting a small degree of risk and volatility - Accepting of lower returns in exchange for minimal losses	<input type="checkbox"/> <b>Moderately Aggressive (6)</b> - Willing to accept significant risk - May endure large losses in favor of potentially higher long-term returns		

**3. Which hypothetical portfolio are you most comfortable with, considering the possible range of returns, for \$100,000 invested, over a 1-YEAR period?**

<input type="checkbox"/> A (0) <input type="checkbox"/> B (1) <input type="checkbox"/> C (2) <input type="checkbox"/> D (3) <input type="checkbox"/> E (4)	<p>A                      B                      C                      D                      E</p>	<input type="checkbox"/>
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**4. Generally, investments with the highest potential for gains carry the greatest risk of loss. Which hypothetical portfolio are you most comfortable with, considering the possible outcomes of \$100,000 invested for 5-YEARS:**

<input type="checkbox"/> A (0) <input type="checkbox"/> B (3) <input type="checkbox"/> C (6) <input type="checkbox"/> D (9) <input type="checkbox"/> E (12)	<p>A                      B                      C                      D                      E</p>	<input type="checkbox"/>
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SECTION 3: RISK TOLERANCE (Continued)			TOTAL
<b>5. Historically, markets have experienced sharp, short-term downturns. If your investment portfolio lost 25% of its value over TWO DAYS, how would you react?</b>			
<input type="checkbox"/> I would <b>immediately move all my holdings to cash</b> (0)	<input type="checkbox"/> I would <b>wait at least 3 months</b> before deciding to make any changes (6)	<input type="checkbox"/> I would <b>immediately</b> add to my investment portfolio and buy more equities to take advantage of the lower prices (12)	<input type="checkbox"/>
<input type="checkbox"/> I would <b>immediately change</b> to strategies that are more conservative (3)	<input type="checkbox"/> I would <b>immediately</b> change to strategies that are more aggressive (9)		
<b>6. Historically, markets have experienced prolonged periods of declines. If your investment portfolio lost 33% of its value over the last 3 MONTHS, how would you react?</b>			
<input type="checkbox"/> I would <b>immediately move all my holdings to cash</b> (0)	<input type="checkbox"/> I would <b>wait at least 3 months</b> before deciding to make any changes (6)	<input type="checkbox"/> I would <b>immediately</b> add to my investment portfolio and buy more equities to take advantage of the lower prices (12)	<input type="checkbox"/>
<input type="checkbox"/> I would <b>immediately change</b> to strategies that are more conservative (3)	<input type="checkbox"/> I would <b>immediately</b> change to strategies that are more aggressive (9)		
<b>SECTION TOTAL</b>			<input type="checkbox"/>
<b>TOTAL ALL SECTIONS</b>			<input type="checkbox"/>

## SCORING

### SCORE 0-12: Conservative

- Accepting of lower returns for a higher degree of stability
- Seeks principal preservation and minimizing risk

### SCORE 13-28: Moderately Conservative

- Comfortable accepting a small degree of risk and volatility
- Accepting of lower returns in exchange for minimal losses

### SCORE 29-51: Moderate

- Accepting of modest risks to seek higher long-term returns
- Accepting of short-term losses of principal in exchange for long-term appreciation

### SCORE 52-67: Moderately Aggressive

- Willing to accept significant risk
- May endure large losses in favor of potentially higher long-term returns

### SCORE 68-80: Aggressive

- Willing to accept substantial risk
- Maximizing long-term returns is more important than protecting principal

## CLIENT ACKNOWLEDGEMENT

I understand that the above-referenced Risk Profile Questionnaire acts as a guide only to building an overall financial solution. I recognize that there are other factors to consider besides my score on this questionnaire when making portfolio decisions.

I understand that my responses to the Risk Profile Questionnaire provided by my investment advisor representative indicates that my risk tolerance is: \_\_\_\_\_

I disagree with this assessment and would like to indicate my risk tolerance as: \_\_\_\_\_

My reasoning for disagreeing with this assessment is: \_\_\_\_\_

Please provide any additional details for your decision (if needed): \_\_\_\_\_

\_\_\_\_\_  
Client's Signature Date

\_\_\_\_\_  
Client's Signature Date

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

\_\_\_\_\_  
Approved By Brookstone Capital Management Date