

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"/> 25%	<input type="checkbox"/> 33%	
<input type="checkbox"/> 15%	<input type="checkbox"/> 28%	<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

<p><b>1. What is your investment experience?</b></p> <p> <input type="checkbox"/> None    <input type="checkbox"/> Moderate  <input type="checkbox"/> Limited    <input type="checkbox"/> Extensive                 </p>	
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<p><b>2. Indicate the response that you feel best describes your risk tolerance.</b></p> <p> <input type="checkbox"/> Conservative (0)                      - Accepting of lower returns for a higher degree of stability                      - Seeks principal preservation and minimizing risk   <input type="checkbox"/> Moderately Conservative (2)                      - Comfortable accepting a small degree of risk and volatility                      - Accepting of lower returns in exchange for minimal losses   <input type="checkbox"/> Moderate (4)                      - 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"/> Moderately Aggressive (6)                      - Willing to accept significant risk                      - May endure large losses in favor of potentially higher long-term returns   <input type="checkbox"/> Aggressive (8)                      - Willing to accept substantial risk                      - Maximizing long-term returns is more important than protecting principal                 </p>	<input type="checkbox"/>
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<p><b>3. Which hypothetical portfolio are you most comfortable with, considering the possible range of returns, for \$100,000 invested, over a 1-YEAR period?</b></p> <p> <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>	<table border="1" style="margin: 10px auto;"> <caption>1-Year Hypothetical Portfolio Returns</caption> <thead> <tr> <th>Portfolio</th> <th>Gain</th> <th>Loss</th> </tr> </thead> <tbody> <tr> <td>A</td> <td>\$105K</td> <td>\$102K</td> </tr> <tr> <td>B</td> <td>\$107K</td> <td>\$100K</td> </tr> <tr> <td>C</td> <td>\$110K</td> <td>\$95K</td> </tr> <tr> <td>D</td> <td>\$115K</td> <td>\$90K</td> </tr> <tr> <td>E</td> <td>\$125K</td> <td>\$75K</td> </tr> </tbody> </table>	Portfolio	Gain	Loss	A	\$105K	\$102K	B	\$107K	\$100K	C	\$110K	\$95K	D	\$115K	\$90K	E	\$125K	\$75K	<input type="checkbox"/>
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<p><b>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:</b></p> <p> <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>	<table border="1" style="margin: 10px auto;"> <caption>5-Year Hypothetical Portfolio Returns</caption> <thead> <tr> <th>Portfolio</th> <th>Gain</th> <th>Loss</th> </tr> </thead> <tbody> <tr> <td>A</td> <td>\$120K</td> <td>\$105K</td> </tr> <tr> <td>B</td> <td>\$135K</td> <td>\$90K</td> </tr> <tr> <td>C</td> <td>\$145K</td> <td>\$85K</td> </tr> <tr> <td>D</td> <td>\$160K</td> <td>\$80K</td> </tr> <tr> <td>E</td> <td>\$180K</td> <td>\$70K</td> </tr> </tbody> </table>	Portfolio	Gain	Loss	A	\$120K	\$105K	B	\$135K	\$90K	C	\$145K	\$85K	D	\$160K	\$80K	E	\$180K	\$70K	<input type="checkbox"/>
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SECTION 3: RISK TOLERANCE (Continued)			TOTAL
<b>5. Historically, markets have experienced sharp, short-term downturns. If this 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 this 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 Consultant's Signature Date

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