



RISK PROFILE QUESTIONNAIRE & Investment Election

(This form can be used in place of the RiskPro online proposal)

1. ACCOUNT INFORMATION

Client Name, <i>First M.I. Last</i>	SSN/Tax ID#
Co-Client Name, <i>First M.I. Last</i>	SSN/Tax ID#
Estimated Account Value \$	

2. ACCOUNT MINIMUMS

Platform	Custodian/Company	Account Minimum	Buy Rebalance (Cash Sweep) Minimum
401(k) Pre-Retirement Solutions	BOK Financial, Empower, Hewitt/Alight Solutions, Principal, Prudential, TIAA-CREF, T. Rowe Price	\$25,000	\$10,000
401(k) Pre-Retirement Solutions	Vanguard Brokerage	\$100,000	\$10,000
401(k) Pre-Retirement Solutions	Aspire, Charles Schwab, Fidelity, TD Ameritrade	No Minimum	No Minimum
Managed Strategists Program	Charles Schwab, Fidelity, Pershing, TD Ameritrade	No Minimum	No Minimum
Variable Annuity Optimization	All Annuity Companies	\$10,000	n/a
Core Retirement Optimization	All Retirement Companies	No Minimum	n/a

3. RISK PROFILE QUESTIONNAIRE Featuring **RISKPRO**

This questionnaire is designed to gather information that helps identify your investment objectives, time horizon and investment risk profile, in order to assist your advisor in constructing a portfolio that is suited to meet your investment needs.

Instructions: Review each question and check the radio button next to the answer that is most applicable to you. Once you have completed the form, a Risk Analysis Score will be calculated for you. If you are completing the form in hard copy, add the points assigned to each response. Should you wish to determine an Estimated Annual Dollar Tolerance based on your account value, override the results of the questionnaire, and/or create a risk appropriate custom allocation, please use our online software with the assistance of your Financial Professional.

1. What is your age?

- ☐ Over 66 (2.5)
☐ 56-65 (5)
☐ 45-55 (7.5)
☐ Under 45 (10)

2. How much cash reserves do you have outside of your investment plan?

- ☐ 3 months (2.5)
☐ 6 months (5)
☐ 9 months (7.5)
☐ Over 12 months (10)

3. Indicate approximately how many years from today until you need to reach your primary investment goals?

- ☐ Within 1 to 4 years (2.5)
☐ Within 5 to 10 years (5)
☐ Within 11 to 20 years (7.5)
☐ More than 20 years (10)



4. Which of the following statements best describes your reaction if the value of your portfolio suddenly declined by 15%?

- ☐ I would be very concerned because I cannot accept fluctuations in the value of my portfolio (2)
- ☐ I invest for long-term growth, and some income, but would be concerned about even a temporary decline (4)
- ☐ I invest for long-term growth but would be very concerned if the downturn were more than 15% (6)
- ☐ I invest for long-term growth and can accept some market fluctuation (8)
- ☐ I invest for long-term growth and accept market fluctuations as normal market risk for an aggressive portfolio (10)

5. Which of the following statements most accurately reflects your feelings about the stock market?

- ☐ I am uncomfortable investing in the stock market and would prefer money markets for investments (2.5)
- ☐ While I would like the ability to participate in the stock market, I prefer more conservative positions and want a sizable portion of my holdings to be in fixed incomes (5)
- ☐ I want to participate in the stock market but prefer a mix of fixed incomes and growth-oriented equities (7.5)
- ☐ I am committed to the stock market and am comfortable that, overtime, I should be rewarded for the extra risks involved in growth-oriented investing (10)

6. When do you plan to begin withdrawing money from your investments?

- ☐ Less than 3 years (2.5)
- ☐ 3 to 5 years (5)
- ☐ 6 to 10 years (7.5)
- ☐ 11 years or more (10)

7. How optimistic are you about the long-term prospects for the economy?

- ☐ Pessimistic (2.5)
- ☐ Unsure (5)
- ☐ Somewhat optimistic (7.5)
- ☐ Very optimistic (10)

8. How long are you prepared to wait for your account to return to its original value after a down market?

- ☐ Less than 18 months (2.5)
- ☐ Between 18 months and two years (5)
- ☐ Between two and three years (7.5)
- ☐ More than three years (10)

9. Which of the following best describes your investment objectives?

- ☐ Preserving principal and earning a moderate amount of current income (0)
- ☐ Generating a high amount of current income (2.5)
- ☐ Generating some current income and growing my assets (5)
- ☐ Moderately growing my assets (7.5)
- ☐ Growing my assets substantially (10)

10. What is your current annual income requirement from this portfolio?

- ☐ More than 4% (2.5)
- ☐ 2% to 4% (5)
- ☐ 0% to 2% (7.5)
- ☐ I don't need current income (10)

RPQ Score: _____

