



Please enter your name

Today's Date

Complete this form and email or print and bring with you to your meeting. Your Financial Advisor will review it with you as you discuss potential investment strategies. All information supplied will remain CONFIDENTIAL.

- What is your investment time horizon?
- 3 to 5 years
  - 5 to 10 years
  - 10 years or more

Which investment approach to achieving your financial goals would you be most comfortable with?

- Conservative: I am willing to accept only modest portfolio value fluctuation with infrequent quarterly losses in exchange for the potential of more consistent average returns.
- Moderate: I am willing to accept short-term portfolio value fluctuation with an occasional year of negative returns in exchange for the potential of positive returns over the long-term.
- Aggressive: I am willing to accept a higher degree of short-term portfolio value fluctuation with periodic years of negative returns in exchange for the potential of higher positive returns over the long-term.

Six months after you make a \$100,000 investment, it decreases in value by \$10,000 in a down market period. How would you feel?

- Very uncomfortable. I would consider selling my investment.
- Uncomfortable, yet I will stay with the investment if my financial advisor recommends it.
- I would want to buy more of the investment, since this is a good investment opportunity.

Is it important for you to receive money from your account on a monthly basis?

- Yes, it is highly important, and it must be the same amount each month.
- It is important, but growth of my portfolio is also an important factor.
- It is not important, because growth of my portfolio is my primary goal.

Although past performance is no guarantee of future results, stocks have historically provided better protection against inflation than bonds. Additionally, diversification using a portfolio of stocks or stock mutual funds also provides the potential for less volatility in returns. Given these factors, complete the following statement: "I would be comfortable if a well diversified position in stocks or stock mutual funds represented ..."

- A small percentage of my portfolio.
- A significant percentage of my portfolio.
- A dominant percentage of my portfolio.



The table below shows four hypothetical portfolios with fictitious yearly and 5-year average annual return numbers. With which hypothetical portfolio (A to D) would you feel most comfortable? The rates of return shown below are purely hypothetical and do not represent the performance of any individual investment or portfolio of investments. They are for illustrative purposes only and should not be used to predict future product performance. Specific rates of return, especially for extended time periods, will vary over time. There is also a higher degree of risk associated with investments that offer the the potential for higher rates of return.

	Year 1	Year 2	Year 3	Year 4	Year 5	Avg Annual Return
0. <input type="radio"/>	4%	4%	4%	4%	4%	4%
1. <input type="radio"/>	12%	-2%	9%	1%	15%	7%
2. <input type="radio"/>	16%	-6%	13%	2%	20%	9%
3. <input type="radio"/>	19%	-9%	15%	4%	26%	11%

Based on your overall situation, do you want fixed income investments included in your portfolio?

- Yes  
 No

Based on your selections (adding the numbers of your answers to the six questions) your Risk Profile Score is

**5-7** indicates your Investor Profile is **Conservative Income**  
**8-10** indicates your Investor Profile is **Income**  
**11-13** indicates your Investor Profile is **Conservative Growth**  
**14-16** indicates your Investor Profile is **Growth**  
**17-18** indicates your Investor Profile is **Maximum Growth**

Special Instructions or Portfolio Restrictions

Client(s) acknowledges that the questions, as answered above, are true to the best of their knowledge and present a reasonable profile of their financial situation. No material facts have been omitted. Client(s) agrees to notify H.D. Vest, in writing, in the event that this information becomes inaccurate or outdated. Client(s) further acknowledges and agrees that the answers are not to be construed as investment instructions in the event that the scenarios depicted actually occur and that this Client Risk does not make or imply any guarantee of attainment of their investment goals.