

**INTREPID FINANCIAL PLANNING GROUP LLC  
RISK TOLERANCE QUESTIONNAIRE**

Advisor _____	Date _____	
Client Name _____	Birthdate _____	Est. Retirement Age ____
Spouse Name _____	Birthdate _____	Est. Retirement Age ____

1. Approximately how many years have you owned stocks and/or stock mutual funds?  
\_\_\_\_\_ years

2. If you now own stocks and/or stock mutual funds how often do you check their current value (prices)?

\_\_\_\_\_ daily    \_\_\_\_\_ weekly    \_\_\_\_\_ monthly    \_\_\_\_\_ quarterly    \_\_\_\_\_ other\*

If other\* please describe \_\_\_\_\_  
\_\_\_\_\_

3. A. How long do you plan to keep your money invested?

\_\_\_\_\_ Less than 5 years    \_\_\_\_\_ 5 to 10 years    \_\_\_\_\_ More than 10 years

B. Will you need to take a monthly income from this portfolio now or in the near future?  
\_\_\_\_\_ Yes    \_\_\_\_\_ No

C. Any other withdrawals anticipated?    \_\_\_\_\_ Yes    \_\_\_\_\_ No

Comments: \_\_\_\_\_  
\_\_\_\_\_

4. Did you own stocks and/or stock mutual funds during the 2008-2009 market downturn?  
\_\_\_\_\_ Yes    \_\_\_\_\_ No

If yes, what did you do with those investments during that time period?

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

5. Which best describes your debt level?

\_\_\_\_\_ High    \_\_\_\_\_ Reasonable    \_\_\_\_\_ None

6. In addition to this portfolio do you have money in a company retirement plan or other portfolios?  
\_\_\_\_\_ Yes                      \_\_\_\_\_ No

If yes, please provide approximate amounts and types of investments?

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### **INVESTMENT DEFINITIONS REVIEW WITH ADVISOR**

**NOTE:** We define equities as individual stocks or mutual funds which contain individual stocks

- \* **Conservative:** Emphasis on generating a stable level of current income and capital preservation. Future capital appreciation is a secondary objective. Modest annual principal fluctuation is expected and acceptable. Portfolio will consist of a determined allocation among equities, fixed income, and cash, with a primary emphasis on fixed income.
  
- \* **Moderate:** Emphasis on both current income and future capital appreciation. Principal risk and fluctuation is expected and acceptable over the intended investment time horizon (at least 3 years). Portfolio will consist of a determined allocation among equities, fixed income, and cash.
  
- \* **Growth:** Emphasis is on future capital appreciation. Principal risk and fluctuation is expected and acceptable over the intended long-term investment time horizon (in excess of 5 years). Portfolio will consist of a determined allocation among equities, fixed income, and cash, with a primary emphasis on equities, including private investment funds.
  
- \* **Aggressive Growth:** Emphasis on maximizing long-term capital appreciation returns. Ongoing principal risk and fluctuation is expected and acceptable over the intended long-term investment time horizon (in excess of 5 years). Portfolio will consist almost entirely of equities, including private investment funds.

## INVESTMENT PORTFOLIO OBJECTIVES

(select one and only one)

**CONSERVATIVE** An investment portfolio with Conservative objectives is characterized by substantial risk aversion. Minimizing volatility is a clear priority over growth. A Conservative portfolio may be appropriate for persons with a relatively short time horizon (under 5 years), with a need for more predictable income or, notwithstanding a longer time horizon, with a high sensitivity to short-term volatility. Over time portfolios with a Conservative objective can be expected to produce low average total returns on investment but have relatively low volatility. Investors with a Conservative objective are willing to sacrifice substantial return potential for long-term capital preservation. The equity allocation of a Conservative portfolio can range from 10%-30%.

**BALANCED** Portfolios with a Balanced objective are characterized as having dual goals. Balanced portfolios typically exhibit moderate growth of capital while simultaneously dampening volatility. Many holders of Balanced portfolios will have an intermediate time horizon of 5 to 10 years. They are willing to forego significant return potential in order to achieve more predictable income and total returns on investment. The equity allocation of a Balanced portfolio can range from 40%-60%.

**CAPITAL APPRECIATION** Investment portfolios with a Capital Appreciation objective involve a fair degree of risk in order to achieve higher long-term total returns on investment. Growth of capital is a clear priority over minimizing portfolio volatility. Investors with a Capital Appreciation objective understand, and are comfortable with, the fact that short-term volatility is a price to be paid for higher long-term returns. Investors who choose Capital Appreciation as an objective generally have a long-term time horizon, e.g. 10 years or more, and/or they wish to take advantage of the higher returns potentially offered by more volatile asset classes. The equity allocation of a Capital Appreciation portfolio can range from 65%-75%.

**AGGRESSIVE GROWTH** An Aggressive Growth portfolio provides the highest reasonable long-term total returns on investment and, at the same time, the greatest short-term capital risk. Aggressive Growth investors are aware of, and comfortable with, the significant risk volatility that high-return asset classes may produce over the short run. Most investors in Aggressive Growth portfolios have a time horizon in excess of 10 years. Long-term growth is clearly their highest priority and short-term volatility is viewed as being a price to be paid for the high potential growth. The equity allocation of a Conservative portfolio can range from 80%-95%.

**RESTRICTIONS/OTHER IMPORTANT INFORMATION:** (If none client writes none and initials)

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**Please Remember:** Past performance may not be indicative of future results. Different types of investments involve varying degrees of risk. Therefore, it should not be assumed that future performance of any specific investment or investment strategy (including the investments and/or investment strategies recommended by Intrepid Financial Planning Group, LLC) will be profitable or equal the corresponding indicated performance level(s). Please remember that it remains your responsibility to contact Intrepid Financial Planning Group, LLC if there are any changes in your personal/financial situation or investment objectives for the purpose of reviewing/evaluating/revising our previous recommendations and/or services, or if you would like to impose, add, or to modify any reasonable restrictions to our investment advisory services. Please also remember to advise us if you would like to impose, add, or to modify any reasonable restrictions to our investment advisory services.

\_\_\_\_\_  
Client

Date: \_\_\_\_\_

\_\_\_\_\_  
Client

Date: \_\_\_\_\_