

Risk Profile Questionnaire - New Client

April 2018

How do you feel about risk?

Client's name(s)

Please tick the most appropriate answer:

Strongly
Disagree

Disagree

Niether
Agree or
Disagree

Agree

Strongly
Agree

Compared to the average person I would say
I take more risks

I would be willing to risk a percentage of my income/
capital in order to get a good return on an investment

To achieve high returns, it is necessary to choose high
risk investments

I have been extremely cautious in my past financial
investments

Even if I experienced a substantial loss on an
investment I would not be put off making risky
Investments

I believe it is reckless to take financial risks

When I'm faced with a financial decision I am generally
more concerned about the possible losses than the
probable gains

I would rather know I was getting a guaranteed rate of
return than be uncertain about my investments

Compared to the average person I take lower
financial risks

I would rather put my money in a bank account than
invest in shares

Please tick the most appropriate answer:

Strongly
Disagree

Disagree

Neither
Agree or
Disagree

Agree

Strongly
Agree

I do not feel comfortable with
financial uncertainty

If my investment portfolio dropped significantly in
value during the first three months it would not
bother me

I would never take a chance with any amount of
money

I would accept potential losses in order to pursue
long term investment growth

I believe the only way to make money is to take
financial risk

Taking financial risk is important to me

I would be happy investing a large proportion of my
income/capital in a high risk investment

I would feel comfortable investing in shares

Please tick the most appropriate answer:

Not at all
comfortable

Slightly
comfortable

Moderately
comfortable

Comfortable

Very
comfortable

How comfortable do you feel when you take
a financial risk

Please tick the most appropriate answer:

Risk averse

Somewhat
risk averse

Neither risk
averse nor
a risk taker

Moderate
risk taker

Risk taker

Overall, how would you place yourself on the
following scale?

What is your capacity for risk?

The following questions are not part of the psychometric attitude assessment and have no direct impact on the questionnaire results or selected risk profile.

However the answers will help the investor and adviser identify areas that should also be considered when assessing suitability and choosing a risk level

When do you intend to use the invested money?

Short term
(0-5 years)

Medium term
(5-10 years)

Long term
(10+ years)

No fixed term

How much of this investment could you stand to lose without having a significant impact on your future standard of living?

None or very
limited losses

Small/ Medium losses
could be tolerated

Large losses would have a low
impact on future lifestyle

If you needed sudden access to a lump sum how likely is it that you would need to encash this investment?

I have other savings and
investments which I can use
for most needs

I may need this investment if I
needed access to a significant
amount of money quickly

I would almost certainly
need access to this
investment

Please admin use only:

Clients risk level

Partners risk level

Agreed risk level

Notes

Client signature

Date