



**RISK TOLERANCE ASSET ALLOCATION ACKNOWLEDGEMENT WORKSHEET**

NAME: \_\_\_\_\_ AGE: \_\_\_\_\_ DOB: \_\_\_\_\_.

ADDRESS: \_\_\_\_\_.

EMAIL: \_\_\_\_\_.

DAYTIME PHONE: \_\_\_\_\_.

CELL PHONE: \_\_\_\_\_.

1. When making a long-term investment, I plan to hold the investment for:

- \_\_\_\_\_ a. 1 to 2 years
- \_\_\_\_\_ b. 3 to 4 years
- \_\_\_\_\_ c. 5 to 6 years
- \_\_\_\_\_ d. 7 to 8 years
- \_\_\_\_\_ e. 9 to 10+ years

2. If you owned an investment that fell 20% over a short period of time, what would you do?

- \_\_\_\_\_ a. Sell all of the investment
- \_\_\_\_\_ b. Sell a portion of the investment
- \_\_\_\_\_ c. Sell nothing
- \_\_\_\_\_ d. Buy more of the investment

3. Generally, I prefer an investment with little or no fluctuation in value, and I am willing to accept the lower return associated with these investments.

- \_\_\_\_\_ a. I strongly agree
- \_\_\_\_\_ b. I agree
- \_\_\_\_\_ c. I disagree
- \_\_\_\_\_ d. I strongly disagree

4. When it comes to investing in stocks and bonds, I would describe myself as a:

- \_\_\_\_\_ a. Very inexperienced investor
- \_\_\_\_\_ b. Somewhat inexperienced investor
- \_\_\_\_\_ c. Somewhat experienced investor
- \_\_\_\_\_ d. Experienced investor
- \_\_\_\_\_ e. Very experienced investor

5. How optimistic are you about the long-term prospects of the economy?

- x \_\_\_\_\_ a. Pessimistic
- x \_\_\_\_\_ b. Unsure
- x \_\_\_\_\_ c. Somewhat optimistic
- x \_\_\_\_\_ d. Optimistic

6. What do you hope your portfolio value will be 10 years from now?

- x \_\_\_\_\_ a. A little higher than it is today
- x \_\_\_\_\_ b. Moderately higher than it is today
- x \_\_\_\_\_ c. Substantially higher than it is today

7. What is your current income requirement from this portfolio?

\_\_\_\_\_

\_\_\_\_\_

8. Excluding insurance products, what is the approximate value of your brokerage accounts? \_\_\_\_\_

9. Do you know your current asset allocation at your other brokerage accounts?

CASH % \_\_\_\_\_

EQUITY% \_\_\_\_\_

BONDS% \_\_\_\_\_

10. Current Investment time horizon = \_\_\_\_\_ years.

**I acknowledge the review and answers of the above risk tolerance questions.**

**X** \_\_\_\_\_  
SIGNATURE

\_\_\_\_\_  
NAME PRINTED

**DATE:** \_\_\_\_\_

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