
Company Title

Company Name LTD

Company Tag Line

Client Name _____

The following questionnaire is a financial risk tolerance assessment. It seeks to establish your level of financial risk relative to the population. It is typically one part of a larger assessment your advisor is completing to give you advice. The results are not the sole determinant in your financial plan and thus other factors must be considered.



Assess Your Financial Risk Profile











Takes 5-10 minutes



15 Questions
Answer As Best As You Can

This questionnaire is designed to discover how much financial risk is suitable for you. It is one part of a larger assessment to give you financial advice.

1. Rank your top three financial goals by clicking on the icons below

 1. Wealth accumulation	 2. Retirement	 3. University savings	 4. Wealth preservation
 5. Large purchase	 6. More income	 7. Passing on an inheritance	 8. Other

2. Please answer all questions

What is the total value of your investment portfolio?

Your age

What is your annual income?

If retirement funding is one of your top three financial goals, what would you need to draw each month to fund a comfortable retirement? (you can skip the question)

Planned Retirement Year ? (you can skip the question)

3. If you were invested 60% in U.S. stocks and 40% in U.S. bonds during the 2008 financial crisis, your portfolio would have fallen 20.1%. If a similar event happened again, what might you do with your investments after the fall in value?

Sell everything - Sell a lot - Sell some - Neither buy nor sell - Buy some - Buy a lot - Buy as much as I can

4. If your investments increased 12% in year one, then 18% in year two, what are you most likely to do in year three?

Sell everything - Sell a lot - Sell some - Neither buy nor sell - Buy some - Buy a lot - Buy as much as I can

5. Have you ever sold investments solely because of a stock market decline?

Yes, I sold everything - Yes, I sold a lot - Yes, I sold some - I neither bought nor sold - No, I bought some more - No, I bought a lot more - No, I bought as much as I could

6. The chart below is a representation of U.S. stock and bond market performance from 2005 to 2016 (with dividends and interest reinvested, excluding fees and taxes).

Although past performance is no guarantee of future results, which portfolio best suits your desired level of risk and return?

	Average Annual Return	Best Year	Worst Year	Best average annual return over 3 years	Worst average annual return over 3 years
Portfolio A	3.5%	9.5%	-3.2%	6.2%	-0.5%
Portfolio B	4.4%	11.7%	-4.2%	7.6%	0.5%
Portfolio C	5.3%	16.5%	-13.3%	9.1%	-1.5%
Portfolio D	5.7%	18.9%	-17.8%	9.8%	1.8%
Portfolio E	6.2%	21.2%	-22.3%	10.5%	0.8%
Portfolio F	7.0%	26.0%	-31.3%	13.3%	-1.3%
Portfolio G	7.9%	30.8%	-40.3%	16.5%	-3.4%

7. To what extent do you agree with the following statements?

You have an excellent knowledge of investing.

Strongly Disagree - Disagree - Somewhat Disagree - Not Sure - Somewhat Agree - Agree - Strongly Agree

You are willing to invest in assets with a limited track record to get higher returns.

Strongly Disagree - Disagree - Somewhat Disagree - Not Sure - Somewhat Agree - Agree - Strongly Agree

You associate the word “risk” with “opportunity”.

Strongly Disagree - Disagree - Somewhat Disagree - Not Sure - Somewhat Agree - Agree - Strongly Agree

8. To what extent do you agree with the following statements?

You are more concerned with maximizing returns than minimizing losses.

Strongly Disagree - Disagree - Somewhat Disagree - Not Sure - Somewhat Agree - Agree - Strongly Agree

You would be comfortable investing in a new business venture.

Strongly Disagree - Disagree - Somewhat Disagree - Not Sure - Somewhat Agree - Agree - Strongly Agree

You are comfortable with financial risk, knowing there can be increases and decreases in the value of your investments.

Strongly Disagree - Disagree - Somewhat Disagree - Not Sure - Somewhat Agree - Agree - Strongly Agree

9. How long do you think you will remain invested before taking money out?

0-1 year, 2-3, years, 4-5, years, 6-7, years, 8-9 years, 10-11, years, 12 or more years

10. How secure are your current sources of income (e.g. job, investment property)?

Very insecure - Insecure - Somewhat insecure - Not sure - Somewhat secure - Secure - Very secure

11. How secure do you feel funding an unexpected event like a job loss or a large medical bill?

Very insecure - Insecure - Somewhat insecure - Not sure - Somewhat secure - Secure - Very secure

12. How would you describe your ability to save money?

Very poor - Poor - Somewhat poor - Not sure - Somewhat good - Good - Very good

13. Approximately what percentage of your existing investments are in the following asset classes?

Stocks __%, Bonds __%, Cash __%, Investment Property __%, Other __%

14. Investors can suffer poor investment performance because of a desire to switch investments on a frequent basis. This can happen when people overreact to good or bad news from the media and friends.

How good are you at sticking with your financial plans?

Very poor - Poor - Somewhat poor - Not sure - Somewhat good - Good - Very good

15. Anything else we should know about your financial situation (optional)?