



7601 France Avenue South, Suite 100  
Edina, MN 55435  
(952) 252-4692

## Introduction

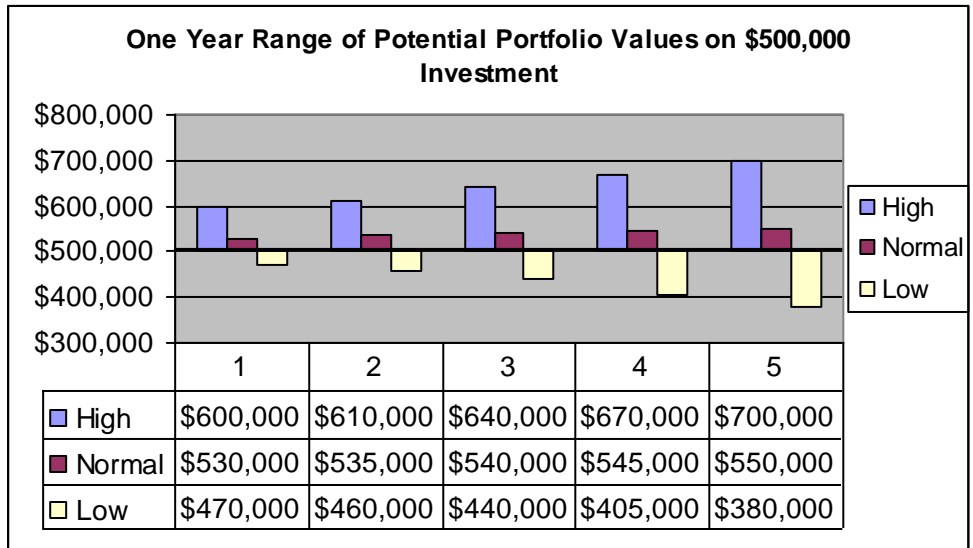
This questionnaire is designed to promote discussion between you (the client) and your financial advisor. This profile focuses on your investment objectives and your tolerance for risk. This is done by discussing your investment time horizon and your feelings about taking risks. Discussion on this questionnaire will help us to develop an appropriate asset allocation policy.

## Risk Tolerance Questionnaire

1. Your age:
  - 35 or under
  - 36 to 45
  - 46 to 55
  - 56 to 64
  - 65 and over
  
2. When do you need to start taking distributions from this portfolio to meet your goals?
  - 0-3 years
  - 4-6 years
  - 7+ years
  
3. What is your primary objective for this portfolio?
  - To assure the safety of this portfolio
  - To generate income (Amount: \_\_\_\_\_)
  - Growth
  - Other \_\_\_\_\_
  
4. Do you have other investments and/or income that you are using for your immediate cash flow needs?
  - Yes
  - No

5. Given the following historical returns (U.S. stocks 10-11%, U.S. bonds 5-6%, money markets 3-4%, and inflation of 3%), what do you expect the total return of your investments to be over the long-term?
- 0-5%
  - 6-10%
  - 11-14%
  - 15+%
6. Which of the following securities have you invested in in the past?
- Cash and money market funds
  - Government and municipal bonds
  - Corporate and high-yield bonds
  - U.S. stocks
  - International securities
  - Mutual funds
  - Alternative investments (stock options, private equity, venture capital, hedge funds)
7. What influences your investment decision more: the potential loss or the potential gain?
- Potential loss
  - Potential gain
  - Both equally
8. If your portfolio were to decline 15% over a short timeframe, which of the following would be your most likely reaction?
- I would be very upset. I cannot accept a loss of this amount.
  - My focus is on the long-term. I do not react to short-term losses.
  - My focus is on the long-term, but I would still be very upset by this loss.
9. Which of the following risk profiles do you have in mind for this portfolio?
- High risk/High return potential
  - Medium risk/Medium return potential
  - Low risk/Low return potential

10. Which of the following portfolios would you choose?



*The illustration is for informational purposes only and does not represent any specific investments.*

- \_\_\_ Portfolio #1 (Normal return of 6%, high return of 20%, low return of -6%)
- \_\_\_ Portfolio #2 (Normal return of 7%, high return of 22%, low return of -8%)
- \_\_\_ Portfolio #3 (Normal return of 8%, high return of 28%, low return of -12%)
- \_\_\_ Portfolio #4 (Normal return of 9%, high return of 34%, low return of -19%)
- \_\_\_ Portfolio #5 (Normal return of 10%, high return of 40%, low return of -24%)

Client Name \_\_\_\_\_  
 Signature \_\_\_\_\_  
 Date \_\_\_\_\_

Advisor Name \_\_\_\_\_  
 Signature \_\_\_\_\_  
 Date \_\_\_\_\_