

Client Name/s: _____

Advisor Name: _____

Please select ONE answer to each of the following questions.

SECTION 1: FINANCIALS

TOTAL

1. What is your approximate net worth (excluding your principal residence)?

- | | | |
|--|--|---|
| <input type="checkbox"/> Under \$100K | <input type="checkbox"/> \$500K - \$750K | <input type="checkbox"/> Over \$3M |
| <input type="checkbox"/> \$100K - \$300K | <input type="checkbox"/> \$750K - \$1.0M | If greater than \$3M enter amount: \$ _____ |
| <input type="checkbox"/> \$300K - \$500K | <input type="checkbox"/> \$1.0M - \$3.0M | |

2. What is your liquid net worth? (assets that can be readily converted to cash)

- | | | |
|--|--|---|
| <input type="checkbox"/> Under \$25K | <input type="checkbox"/> \$50K - \$100K | <input type="checkbox"/> Over \$500K |
| <input type="checkbox"/> \$25K - \$50K | <input type="checkbox"/> \$100K - \$250K | If greater than \$500K enter amount: \$ _____ |
| | <input type="checkbox"/> \$250K - \$500K | |

3. What is your current household income?

- | | | |
|---|--|--|
| <input type="checkbox"/> Under \$50K | <input type="checkbox"/> \$100K - \$150K | <input type="checkbox"/> \$250K - 500K |
| <input type="checkbox"/> \$50K - \$100K | <input type="checkbox"/> \$150K - \$250K | <input type="checkbox"/> Over \$500K |

4. What is your federal income tax bracket?

- | | | | |
|------------------------------|------------------------------|------------------------------|------------------------------|
| <input type="checkbox"/> 10% | <input type="checkbox"/> 22% | <input type="checkbox"/> 32% | <input type="checkbox"/> 37% |
| <input type="checkbox"/> 12% | <input type="checkbox"/> 24% | <input type="checkbox"/> 35% | |

5. If you needed immediate funds equal to 1/4 the value of your investment accounts, where would you obtain the money?

- | | | |
|--|---|---|
| <input type="checkbox"/> All from this portfolio (0) | <input type="checkbox"/> 50% from this portfolio and the remainder from other savings and investments (2) | <input type="checkbox"/> All from other savings and investments (4) |
| <input type="checkbox"/> At least 75% from this portfolio and the remainder from other savings and investments (1) | <input type="checkbox"/> Less than 25% from this portfolio and the remainder from other savings and investments (3) | |

SECTION TOTAL

SECTION 2: GOALS

1. What is your investment objective?

- | | | |
|---|--|---|
| <input type="checkbox"/> Preserve Principal (0) | <input type="checkbox"/> Income and Growth (6) | <input type="checkbox"/> Aggressive Growth (12) |
| <input type="checkbox"/> Income (3) | <input type="checkbox"/> Growth (9) | |

SECTION 2: GOALS (Continued)

TOTAL

2. When do you expect to begin withdrawals on a regular basis from your investment accounts?

- Less than 1 year (0) 4-6 years (6) More than 10 years (12)
- 1-3 years (3) 7-10 years (9)

3. Today, how much do you rely on income from your investment accounts?

- Heavily (0) Slightly (2)
- Moderately (1) Not at all (4)

SECTION TOTAL

SECTION 3: RISK TOLERANCE

1. What is your investment experience?

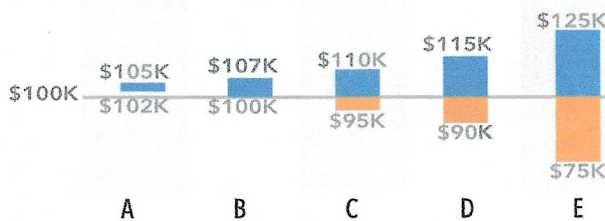
- None Moderate
- Limited Extensive

2. Indicate the response that you feel best describes your risk tolerance.

- Conservative (0)
 - Accepting of lower returns for a higher degree of stability
 - Seeks principal preservation and minimizing risk
- Moderate (4)
 - Accepting of modest risks to seek higher long-term returns
 - Accepting of short-term losses of principal in exchange for long-term appreciation
- Aggressive (8)
 - Willing to accept substantial risk
 - Maximizing long-term returns is more important than protecting principal
- Moderately Conservative (2)
 - Comfortable accepting a small degree of risk and volatility
 - Accepting of lower returns in exchange for minimal losses
- Moderately Aggressive (6)
 - Willing to accept significant risk
 - May endure large losses in favor of potentially higher long-term returns

3. Which hypothetical portfolio are you most comfortable with, considering the possible range of returns, for \$100,000 invested, over a 1-YEAR period?

- A (0)
- B (1)
- C (2)
- D (3)
- E (4)



4. Generally, investments with the highest potential for gains carry the greatest risk of loss. Which hypothetical portfolio are you most comfortable with, considering the possible outcomes of \$100,000 invested for 5-YEARS:

- A (0)
- B (3)
- C (6)
- D (9)
- E (12)



SECTION 3: RISK TOLERANCE (Continued)

TOTAL

5. Historically, markets have experienced sharp, short-term downturns. If your investment portfolio lost 25% of its value over TWO DAYS, how would you react?

- | | | |
|--|---|--|
| <input type="checkbox"/> I would immediately move all my holdings to cash (0) | <input type="checkbox"/> I would wait at least 3 months before deciding to make any changes (6) | <input type="checkbox"/> I would immediately add to my investment portfolio and buy more equities to take advantage of the lower prices (12) |
| <input type="checkbox"/> I would immediately change to strategies that are more conservative (3) | <input type="checkbox"/> I would immediately change to strategies that are more aggressive (9) | |

6. Historically, markets have experienced prolonged periods of declines. If your investment portfolio lost 33% of its value over the last 3 MONTHS, how would you react?

- | | | |
|--|---|--|
| <input type="checkbox"/> I would immediately move all my holdings to cash (0) | <input type="checkbox"/> I would wait at least 3 months before deciding to make any changes (6) | <input type="checkbox"/> I would immediately add to my investment portfolio and buy more equities to take advantage of the lower prices (12) |
| <input type="checkbox"/> I would immediately change to strategies that are more conservative (3) | <input type="checkbox"/> I would immediately change to strategies that are more aggressive (9) | |

SECTION TOTAL

TOTAL ALL SECTIONS

SCORING

SCORE 0-12: Conservative

- Accepting of lower returns for a higher degree of stability
- Seeks principal preservation and minimizing risk

SCORE 13-28: Moderately Conservative

- Comfortable accepting a small degree of risk and volatility
- Accepting of lower returns in exchange for minimal losses

SCORE 29-51: Moderate

- Accepting of modest risks to seek higher long-term returns
- Accepting of short-term losses of principal in exchange for long-term appreciation

SCORE 52-67: Moderately Aggressive

- Willing to accept significant risk
- May endure large losses in favor of potentially higher long-term returns

SCORE 68-80: Aggressive

- Willing to accept substantial risk
- Maximizing long-term returns is more important than protecting principal

CLIENT ACKNOWLEDGEMENT

I understand that the above-referenced Risk Profile Questionnaire acts as a guide only to building an overall financial solution. I recognize that there are other factors to consider besides my score on this questionnaire when making portfolio decisions.

I understand that my responses to the Risk Profile Questionnaire provided by my investment advisor representative indicates that my risk tolerance is: _____

I disagree with this assessment and would like to indicate my risk tolerance as: _____

My reasoning for disagreeing with this assessment is: _____

Please provide any additional details for your decision (if needed): _____

Client's Signature

Date

Client's Signature

Date

Investment Advisor Signature

Date

Approved By Brookstone Capital Management

Date