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#### Risk Tolerance Questionnaire

*Instructions: You can use Microsoft Word to complete this form. Just tab through the document or click with your mouse and begin typing when you see the black rectangle. To check a box, click it or press the space bar.*

Name:      Date Completed:

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| Introduction | Many objective and subjective factors must be taken into account in an attempt to determine an individual’s risk tolerance level. This questionnaire is one of the tools we utilize. |

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| Investment Statements | Show how much you Agree or Disagree with each of the following investment statements by marking the appropriate box at the end of each sentence. |

|  |  |  |  |
| --- | --- | --- | --- |
|  | Disagree |  | Agree |
| Statement | **1** | **2** | **3** | **4** | **5** |
| #1 | I can accept minor fluctuations in my account value in exchange for more income. | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  |
| #2 | I can accept a small risk of loss and somewhat larger fluctuations in my account value in exchange for conservative growth opportunity and the possibility of more income. | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  |
| #3 | I can accept a greater risk of loss and greater fluctuations in my account value in exchange for more aggressive growth opportunities. | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  |
| #4 | I can accept the risk of significant losses and large fluctuations in my account value in exchange for very aggressive, rapid growth opportunities. | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  | **[ ]**  |

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| Investment Decisions | Please answer both **Part 1** and **Part 2** below: |

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| --- | --- |
| Part 1 | For each of the two investment decisions below, check the option with which you are most comfortable.  |
| **Decision 1** | **Choose between****[ ]  a.** A sure gain of $25,000OR**[ ]  b.** A 25% chance of winning $100,000 and a 75% chance of winning nothing. |
| **Decision 2** | **Choose between****[ ]  a.** A sure loss of $75,000OR**[ ]  b.** A 75% chance of losing $100,000 and a 25% chance of losing nothing. |

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| Part 2 | For each of the two investment decisions below, check the option with which you are most comfortable.  |
| **Decision 1** | **Choose between****[ ]  c.** A sure gain of $250 OR**[ ]  d.** A 25% chance of winning $1,000 and a 75% chance of winning nothing. |
| **Decision 2** | **Choose between****[ ]  c.** A sure loss of $750OR**[ ]  d.** A 75% chance of losing $1,000 and 25% chance of losing nothing. |

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| Investment Input |  |
| For current investments, what has been your annual rate of return?  |       |
| Have you been satisfied with that return?  |  [ ] Yes | [ ]  No |
| If no, why not?  |       |
|  |
| What percentage of your portfolio can you afford to lose or how much  |
| money can you afford to lose in any one year? |       |
|  |
| What action would you take if the market dropped 50% from its present value? |
|       |
|  |
| Regarding your finances, what, if anything, do you spend the most time  |
| thinking about? |       |
|  |
|  |
| Are there things in your financial life that you wish you had done differently? |
|       |
|       |
|  |
| Are you pleased with * your ability to manage and shelter your income from taxes?
 |
|       |
| * the diversification and performance of your portfolio?
 |
|       |
|  |
| What is the * best investment decision you have ever made?
 |       |
|  |
| * worst investment decision you have ever made?
 |       |
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| Are there any investments that you  |
| * will NOT sell (current holdings only)?
 |       |
| * will NOT buy (for social or other reasons)?
 |       |