

**Risk Assessment Questionnaire**  
**Netting & Pace, CPAs**

F:\Users\\_N&P Request Forms\Excel\[Risk Analysis.xls]Risk Results

6/10/2008

**Client:** \_\_\_\_\_

Please respond to the seven statements. Circle the answer which reflects your position. When finished, sign and date the form and return to Netting & Pace. Thank you.

|  | <u>Strongly<br/>Agree</u> | <u>Agree</u> | <u>Neutral</u> | <u>Disagree</u> | <u>Strongly<br/>Disagree</u> |
|--|---------------------------|--------------|----------------|-----------------|------------------------------|
| 1. I desire maximum growth in principal for future needs. Therefore, I am willing to take substantial risk in the short-term to achieve above average returns in the long run.                           | 5                         | 4            | 3              | 2               | 1                            |
| 2. I do not have grown children or elderly parents who depend on me for financial assistance.  | 5                         | 4            | 3              | 2               | 1                            |
| 3. I do not require a high level of current income from my investment.   | 5                         | 4            | 3              | 2               | 1                            |
| 4. My major investment goals have horizons beyond five years.  | 5                         | 4            | 3              | 2               | 1                            |
| 5. I am willing to tolerate sharp up and down swings in the return on my investments, in order to seek a potentially higher average return than would normally be expected from more stable investments. | 5                         | 4            | 3              | 2               | 1                            |
| 6. I am willing to risk a short-term loss in return for a potentially higher long-term rate of return.   | 5                         | 4            | 3              | 2               | 1                            |
| 7. I am financially able to accept a low level of liquidity in my investment portfolio.  | 5                         | 4            | 3              | 2               | 1                            |

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

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The \_\_\_\_\_ Family

The above client measured the risk statements below on a scale from one to five as follows:

1-Strongly Disagree 2-Disagree 3-Neutral 4-Agree 5-Strongly Agree

| <b>Portfolio Allocation Scores</b> |  | <u>Client</u> | <u>Spouse</u> |
|------------------------------------|--|---------------|---------------|
| 1                                  | Substantial risk to achieve above average returns. | _____         | _____         |
| 2                                  | No dependents with financial needs.                | _____         | _____         |
| 3                                  | Doesn't require high current investment income.    | _____         | _____         |
| 4                                  | Major investment goals are relatively long-term.   | _____         | _____         |
| 5                                  | Tolerate sharp swings in return on investments.    | _____         | _____         |
| 6                                  | Risk short-term loss for higher long-term return.  | _____         | _____         |
| 7                                  | Accept low level of liquidity in portfolio.        | _____         | _____         |
| <b>Total Score</b>                 |  | =====         | =====         |
| <b>Average Score</b>               |  | _____         | _____         |
| <b>Score Used</b>                  |  | _____         | _____         |

| <b>Risk Tolerance Determined by Score</b> |                   |            |
|---|-------------------|------------|
| Score                                     | Tolerance         | Allocation |
| 7-11                                      | Very Conservative | 45/50/5    |
| 12-19                                     | Conservative      | 60/35/5    |
| 20-26                                     | Moderate          | 75/20/5    |
| 27-30                                     | Aggressive        | 80/15/5    |
| 31-35                                     | Very Aggressive   | 90/5/5     |

**Comments:** \_\_\_\_\_

\_\_\_\_\_

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