

Prism Financial Advice Limited – Attitude to Risk Questionnaire

Client Details

Client (1) Name:	(A)	Company Name:	Prism Financial Advice Limited
Client (2) Name:	(B)	Adviser Name:	

Client Address:	
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Attitude to Risk Questionnaire

Completion Note: As an individual you should complete the column that relates to you only. As a couple you should also complete the 'Joint' column to indicate your joint attitude to risk which may be different than your individual attitude to risk.

For each question, circle the score that more closely reflects your current view/strength of feeling i.e., Probably = (4). Total the scores in each column to give an indicative assessment of your tolerance to investment risk.

Assessment / Questions	Client 1	Client 2	Joint
1. I/We accept that if I/we invest, in funds where returns are driven by market movements the value of my/our portfolio will fluctuate, and returns are not guaranteed.	<ul style="list-style-type: none"> ● Definitely-5 ● Probably-4 ● Maybe-3 	<ul style="list-style-type: none"> ● Probably Not-2 ● Definitely Not-1 	<ul style="list-style-type: none"> ● Definitely-5 ● Probably-4 ● Maybe-3
2. I/We would be prepared to invest in funds that use a measured mix of low, medium, and high-risk assets, if my/our portfolio is within my/our appetite for risk.	<ul style="list-style-type: none"> ● Definitely-5 ● Probably-4 ● Maybe-3 	<ul style="list-style-type: none"> ● Probably Not-2 ● Definitely Not-1 	<ul style="list-style-type: none"> ● Definitely-5 ● Probably-4 ● Maybe-3
3. If investing now, what is the <u>highest</u> level of <u>overall</u> risk you would be willing to take, given your financial position today and past investment experience (if any)?	<ul style="list-style-type: none"> ● High-5 ● Medium-High-4 ● Medium-3 	<ul style="list-style-type: none"> ● Low-Medium-2 ● Low-1 	<ul style="list-style-type: none"> ● High-5 ● Medium-High-4 ● Medium-3
4. To reach my/our financial goals I/we prefer an investment portfolio that is not high risk, even if it would mean potentially lower returns overall.	<ul style="list-style-type: none"> ● Definitely-1 ● Probably-2 ● Maybe-3 	<ul style="list-style-type: none"> ● Probably Not-4 ● Definitely Not-5 	<ul style="list-style-type: none"> ● Definitely-1 ● Probably-2 ● Maybe-3
5. In the quest for even greater investment returns for my/our money I/we would be willing to accept the possibility of greater losses in the process.	<ul style="list-style-type: none"> ● Definitely-5 ● Probably-4 ● Maybe-3 	<ul style="list-style-type: none"> ● Probably Not-2 ● Definitely Not-1 	<ul style="list-style-type: none"> ● Definitely-5 ● Probably-4 ● Maybe-3
6. If you had picked an investment with potential for large gains but also the risk of large losses how would you feel?	<ul style="list-style-type: none"> ● Relaxed-5 ● Mild Concern-4 ● Concerned-3 	<ul style="list-style-type: none"> ● Worried-2 ● Very Worried-1 	<ul style="list-style-type: none"> ● Relaxed-5 ● Mild Concern-4 ● Concerned-3
7. Which statement best describes the way you would feel about market movements that result in a fall of 10% in the value of your portfolio?	<ul style="list-style-type: none"> ● Relaxed-5 ● Mild Concern-4 ● Concerned-3 	<ul style="list-style-type: none"> ● Worried-2 ● Very Worried-1 	<ul style="list-style-type: none"> ● Relaxed-5 ● Mild Concern-4 ● Concerned-3
8. In the past, what do you consider is the highest level of risk you have taken with important family and/or personal financial decisions?	<ul style="list-style-type: none"> ● High-5 ● Medium-High-4 ● Medium-3 	<ul style="list-style-type: none"> ● Low-Medium-2 ● Low-1 	<ul style="list-style-type: none"> ● High-5 ● Medium-High-4 ● Medium-3
9. If asked, how would a close friend or someone who knows you well, describe your typical attitude to taking financial risks?	<ul style="list-style-type: none"> ● Speculative-5 ● Adventurous-4 ● Measured-3 	<ul style="list-style-type: none"> ● Careful-2 ● Cautious-1 	<ul style="list-style-type: none"> ● Speculative-5 ● Adventurous-4 ● Measured-3

Notes	Total Score: ▶	()	Total Score: ▶	()	Total Score: ▶	()
	<ul style="list-style-type: none"> ● 0-10 Risk Averse √□ ● 11-15 Very Defensive √□ ● 16-20 Defensive √□ ● 21-25 Cautious √□ ● 26-30 Cautious/Moderate √□ ● 31-35 Moderate √□ ● 36-40 Moderate/Adventurous √□ ● 41-45 Adventurous √□ 		<ul style="list-style-type: none"> ● 0-10 Risk Averse √□ ● 11-15 Very Defensive √□ ● 16-20 Defensive √□ ● 21-25 Cautious √□ ● 26-30 Cautious/Moderate √□ ● 31-35 Moderate √□ ● 36-40 Moderate/Adventurous √□ ● 41-45 Adventurous √□ 		<ul style="list-style-type: none"> ● 0-10 Risk Averse √□ ● 11-15 Very Defensive √□ ● 16-20 Defensive √□ ● 21-25 Cautious √□ ● 26-30 Cautious/Moderate √□ ● 31-35 Moderate √□ ● 36-40 Moderate/Adventurous √□ ● 41-45 Adventurous √□ 	

Signatures

Client (1) Signature:	(A)	Adviser Name:	
Client (2) Signature:	(B)	Date:	