

Risk Tolerance

Questionnaire (RTQ)



Your Priorities | Our Guidance

2259 N State Route 48 | Lebanon, OH 45036 | 513-572-8521 | sorumfinancial.com

Disclosure

This RTQ discusses HYPOTHETICAL situations and potential return / risk scenarios. This means that NOTHING in this questionnaire should be construed as any sort of guarantee or assurance or serve as any sort of investment advice or strategy. It is simply one tool that we make available to try and ascertain a client's willingness to accept investment risk. Past performance does not indicate future performance and investing always entails the potential for loss of principal over any time period.

Securities and advisory services offered through LPL Financial, a Registered Investment Advisor, Member FINRA/ SIPC.

Your Information

Your Name:	Prefer To Be Called:	Prefer to be contacted from? Cell <input type="checkbox"/> Home <input type="checkbox"/>
E-Mail:		
Cell Number:	Home Number:	

Question 1

Which of the statements below best describes your purpose for the investment accounts you hold through us?

Mark only one box.

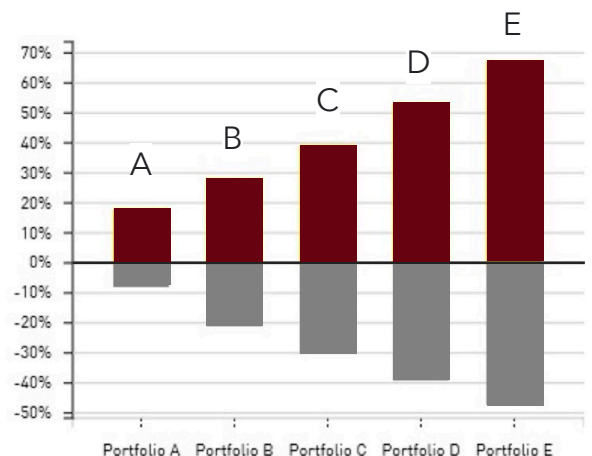
- I want to minimize potential declines and significant fluctuations in the value of my portfolio by investing in lower risk, more conservative investments.
- I want a moderately high level of income (interest and/or dividends) from the portfolio, with some modest growth opportunity over the long-term.
- I prefer a balance of income (interest and/or dividends) with longer-term growth.
- My primary goal is to maximize the value of my account as much as possible over a long-term timeframe.

Question 2

Which of the five sample portfolios best represent your goals and the most acceptable range of outcomes over a ONE-YEAR time period for your investments held through us? (The figures presented are hypothetical and do not represent actual returns of an investment portfolio. No guarantee is made regarding future performance.)

Mark only one box.

- Portfolio A: Average Return 4%, Best Return 18%, Worst Return -8%
- Portfolio B: Average Return 5%, Best Return 28%, Worst Return -21%
- Portfolio C: Average Return 7%, Best Return 39%, Worst Return -30%
- Portfolio D: Average Return 8%, Best Return 53%, Worst Return -39%
- Portfolio E: Average Return 10%, Best Return 67%, Worst Return -47%





Question 3

If your investments were to decline in value significantly (more than 15-20%) over just a THREE MONTH period, how might you react?

Mark only one box.

- I would consider this decline as an opportunity to add to my investments.
- Because I invest for long-term growth, I can accept temporary fluctuations, so I would sit tight.
- Although I invest for long-term growth, a short-term decline would concern me and I would consider selling at least some of my investments and/or move them more conservatively.
- I would be very concerned because I can't accept my account losing value. I would sell my investments, if possible, before losing that much.
- If the amount of income I receive was unaffected, it wouldn't bother me.

Question 4

In the last few years, how has your willingness to accept risk in your portfolio changed?

Mark only one box.

- I have become much more conservative in how I view investments and am much less willing to take risk compared to a few years ago.
- I have become somewhat more risk adverse in recent years.
- I feel my willingness to take investment risk has remained about the same.
- I feel that I have become more aggressive and willing to accept more risk than I used to be, along with accepting the fluctuations in investment value that come with more risk.

Question 5

How optimistic are you about the short-term (1-2 years) prospects for the economy?

Mark only one box.

- Very pessimistic
- Somewhat pessimistic
- Unsure
- Somewhat optimistic
- Very optimistic

Question 6

You are presented with 3 hypothetical investment choices. Which choice would you feel most comfortable putting all your money into for the next year?

Mark only one box.

- An investment that gives you a FIXED 4% return with no chance of earning more or less than 4%.
- An investment that AVERAGES a 4% return, but your actual return could be as low as a -5% but as high as 12% over the next year.
- An investment that AVERAGES an 8% return, but your actual return could be as low as a -20% or as high as a +35% over the next year.



Question 7

How much of a drop in portfolio value from current levels would you have to experience before you would want to start selling some investments to try and preserve the remaining value?

Mark only one box.

- No additional drop in value is acceptable.
- 5%
- 10%
- 15%
- 25%
- 40%
- I invest for the long-term, so I would not sell due to losses in portfolio value.

Any Additional Comments?

Please use this area to add any additional explanation/comments on why you answered any questions the way you answered them:

Any Concerns?

Please use this area if you have any financial planning, investment, and/or insurance / risk management-related concerns/issues/questions you wish to address with us at this time?

Question 8

Would you like to get together for a review and/or planning appointment at this time?

Mark only one box.

- Yes, please call to schedule.
- Yes, please email to schedule.
- Yes, I will use the online scheduling link <https://go.oncehub.com/NathanSorum> to Schedule.
- No, I do not want to meet at this time.
- I already have an appointment scheduled.