1. Your age is an important factor in your ability to take on investment risk. Your age is:

- ☐ 35 or under
- ☐ 36 - 45
- ☐ 46 - 55
- ☐ 56 – 64
- ☐ 65 or over
- ☐ Client is NOT an Individual

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2. What is your time horizon?

- ☐ Less than two years
- ☐ Two to five years
- ☐ Five to seven years
- ☐ More than seven years

3. What is your risk tolerance? It is important to understand that the less short-term risk you are willing to take on, the lower your long-term returns are likely to be.

- ☐ I am very risk-averse. I am not comfortable taking on risk that might result in rare losses of more than 2.5% over any one-year period.
- ☐ I am very risk-averse. I am not comfortable taking on risk that might result in rare losses of more than 5% over any one-year period.
- ☐ I am moderately risk-averse. I am not comfortable taking on risk that might result in rare losses of more than 10% over any one-year period.
- ☐ I am not too risk-averse. I am willing to take on risk that might result in losses of up to 15% over any one-year period as long as these losses are vary rare.
- ☐ I am not at all concerned with short-term risk. I understand that stocks can be volatile and that on very rare occasions stocks can lose 20% or more of their value over a one-year period.

4. What is your return objective?

- ☐ I do not have a high return objective. I am willing to accept lower long-term returns in order to preserve capital in bad market environments.
- ☐ When stocks are performing well, I want some participation, but I am also somewhat concerned with short-term risk.
- ☐ I am looking for high long-term returns and only mildly concerned with short-term risk.
- ☐ I am looking for high returns and I am not concerned with short-term risk.
- ☐ I am looking for maximum returns and I am not concerned with short-term risk or being out of sync with equity markets.

5. Once withdrawals begin, how long should they last?

- ☐ Lump sum
- ☐ Less than one year
- ☐ One to five years
- ☐ Six to ten years
- ☐ Eleven or more years

6. What is the investment amount?

- ☐ Less than $200,000
- ☐ Greater than $200,000

7. Is the investment:

- ☐ Standard
- ☐ Tax Sensitive

Certain investment and trading strategies used for highly dynamic tactical asset allocation are considered more aggressive and in many cases are shown to be more volatile than more conservative, less frequent trading.

8. Are you willing to subject your assets to these highly dynamic strategies, to accept more risk for the possibility of higher returns?

- ☐ Yes
- ☐ No

9. How would you balance the importance of maximum possible exposure to gain with the increased exposure to market loss?

- ☐ I am risk adverse and give more weight to prevention of loss than to gain.
- ☐ I am risk neutral and would give equal importance to gain and prevention of loss.
- ☐ I am less concerned with risk than with gain and would give approximately 60% importance to gain while giving 40% importance to prevention of loss.
- ☐ I am only slightly concerned with risk and would give 75% importance to gain and 25% importance to loss prevention.
- ☐ I am unconcerned with risk and would give 100% importance to gain and 0% importance to loss prevention.

Name____Date__________________