

# RISK PROFILE QUESTIONNAIRE

Date: (DD/MM/YYYY) \_\_\_\_\_

## CLIENT INFORMATION

Name of the Client: \_\_\_\_\_

Registered E-mail ID: \_\_\_\_\_

Registered Mobile No: \_\_\_\_\_

PAN No: \_\_\_\_\_

Address:

Street: \_\_\_\_\_ Town: \_\_\_\_\_ Pin: \_\_\_\_\_

District: \_\_\_\_\_ State: \_\_\_\_\_ Country: \_\_\_\_\_

**INSTRUCTIONS:** a) Select *one* answer for each question by placing tick mark. b) Sign all the pages.

### 1. What is your Age Group?

- a) Under 30 {Score 25}
- b) 31-40 Years {Score 20}
- c) 41-50 Years {Score 15}
- d) 51-60 Years {Score 10}
- e) Above 60 Years {Score 5}

### 2. Purpose / Objective of Investment?

- a) Regular Income {Score 10}
- b) Medium Term Financial Goal {Score 15}
- c) For Emergency Fund {Score 15}
- d) Short Term Goal {Score 5}
- e) Long Term Financial Goal {Score 20}

### 3. Investment Horizon / Time Period?

- a) Intraday (Same day) {Score 5}
- b) Short term (Up to 12 Months) {Score 10}
- c) Medium term (Up to 36 Months) {Score 15}
- d) Long term (More than 36 Months) {Score 20}

### 4. What is your Gross Annual Income?

- a) Below Rs. 1 Lac {Score 5}
- b) Rs. 1 Lac to Rs. 3 Lacs {Score 10}
- c) Rs. 3 Lacs to Rs. 5 Lacs {Score 15}
- d) Rs. 5 Lacs to Rs. 10 Lacs {Score 20}
- e) Rs. 10 Lacs above {Score 25}

### 5. What is your Main Source of Income?

- a) Salary {Score 5}
- b) Business or Profession {Score 5}
- c) Capital Gain {Score 5}
- d) Other Source {Score 5}
- e) House Property {Score 5}

**6. Stability of your Income Source?**

- a) Stable & Secure {Score 20}
- b) Somewhat Stable & Secure {Score 15}
- c) About to retire within 3 years {Score 10}
- d) Not Stable & Secure {Score 5}

**7. What are your existing Investments / Assets (in Rs)?**

- a) Below Rs 3 Lacs {Score 5}
- b) Rs. 3 Lacs to Rs. 5 Lacs {Score 10}
- c) Rs. 5 Lacs to Rs. 10 Lacs {Score 15}
- d) Rs. 10 Lacs above {Score 20}

**8. What are your existing Borrowings/Loans (in Rs)?**

- a) Nil {Score 25}
- b) Below Rs 3 Lacs {Score 20}
- c) Rs 3 Lacs to Rs 5 Lacs {Score 15}
- d) Rs 5 Lacs to Rs 10 Lacs {Score 10}
- e) More than Rs 10 Lacs {Score 5}

**9. Percentage of investment in Stock Market relative to total Investment?**

- a) Less than 10% {Score 20}
- b) Between 11% to 30% {Score 15}
- c) Between 31% to 50% {Score 10}
- d) More than 51% {Score 5}

**10. Percentage of monthly surplus you are investing?**

- a) Less than 20% {Score 5}
- b) Between 20% to 40% {Score 10}
- c) Between 40% to 60% {Score 15}
- d) More than 60% {Score 20}

**11. Preferred Investment Instrument?**

- a) Bank Deposit/NSC/PPF {Score 5}
- b) Debt Fund {Score 10}

- c) Equity/Mutual Fund/Commodity {Score 15}
- d) Future & Option {Score 20}

**12. Capacity of Risk appetite and tolerance?**

- a) Cannot take any Risk {Score 5}
- b) Low Risk {Score 10}
- c) Medium Risk {Score 15}
- d) High Risk {Score 20}
- e) Very High Risk {Score 25}

**13. Percentage (%) of loss on your investments you can bear?**

- a) Up to 5% Loss {Score 5}
- b) Up to 10% Loss {Score 10}
- c) 10% - 20% Loss {Score 15}
- d) 20% - 30% Loss {Score 20}
- e) More than 30% Loss {Score 25}

**14. About your Emergency Fund management?**

- a) Do not have {Score 5}
- b) Can manage from others {Score 10}
- c) Maintaining Fund {Score 15}
- d) I have existing fund {Score 20}

**15. How many dependents do you support financially?**

- a) None {Score 20}
- b) Between 1-2 {Score 15}
- c) Between 3-4 {Score 10}
- d) More than 4 {Score 5}

**16. Percentage (%) of Income allocated to pay off Loans (EMIs)?**

- a) None {Score 20}
- b) 0-20% {Score 15}
- c) 20-40% {Score 10}
- d) More than 40% {Score 5}

**17. Investment Knowledge?**

- a) None {Score 5}
- b) Low {Score 10}
- c) Medium {Score 15}
- d) High {Score 20}

**18. Investment Experience in years?**

- a) 0 to 1 years {Score 5}
- b) 1 to 5 years {Score 10}
- c) 5 to 10 years {Score 15}
- d) 10 Years above {Score 20}

**19. Past experience with the Capital Market?**

- a) Good {Score 5}
- b) Better {Score 5}
- c) Bad {Score 5}
- d) Worse {Score 5}

**20. Direct or Indirect Relation with (PEP/Media/Govt.)?**

a) Civil Servant {Score 5}

- b) Politician {Score 5}
- c) Current or former head of state {Score 5}
- d) Tax authorities, Foreign Services, IAS etc. {Score 5}
- e) Current or former MP/MLA/MLC {Score 5}
- f) Connected to Media {Score 5}
- g) Any company/promoter group {Score 5}
- h) None of the above{Score 5}

**OFFICE USE ONLY**

**Total Score** .....

**Total Score Obtained** .....

**Risk Profile Category** .....

**INVESTMENT ADVISER DETAILS:**

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**Standard Warning:** Investment in securities market are subject to market risks. Read all the related documents carefully before investing.

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