

Process of client risk profiling -

Questionnaire for risk profiling of the client

1) Full Name :

2) What is your Age Group?

- Under 35
- Under 45
- 46-55
- 56-60
- 60+

3) Current Investment Amount?

- <1 lacs
- 1-2 lacs
- 2-5 lacs
- >5 lacs

4) Preferred Investment type?

- Short term Positional
- Long term Positional
- Intraday

5) Gross Annual Income details?

- Below Rs 1 Lac
- 1-5 Lac
- 5-10 Lac
- 10-25 Lac

>25 Lacs

6) What is your experience with equity investments?

- Extensive experience
- Moderate experience
- Very less experience
- No experience

7) What is your experience with Commodity investments ?

- Extensive experience
- Moderate experience
- Very less experience
- No experience

8) What is your experience with Forex investments ? :

- Extensive experience
- Moderate experience
- Very less experience
- No experience

9) What is your experience with investments in past ?

- Very Good
- Good
- Moderate
- Bad
- Very Bad

10) Sources Of Income

(A) Primary Source :

- Salary

- Capital Gains Income
- House Rent Income
- From Others Sources
- Business & Profession

(B) Secondary Source :

- Royalties
- Rental
- Dividend
- Other Specify

11) Investment Goal :

- Capital Appreciation
- Regular Income
- Capital Appreciation and Regular Income

12) Market Value of portfolio held?

- <1 Lacs
- 1-2 Lacs
- 2-5 Lacs
- 5 Lacs

13) Investment Experience :

- <2 Years
- 2-5 Years
- > 5 Years

14) Experience in Market Products?

- Commodity
- Stock

- Derivatives Stocks
- Forex
- All

15) What is the size of your emergency fund?

- Do not have
- < 1 month income
- 1-3 months income
- 3-6 months income
- > 6 months income

16) What is your preference W.R.T securities with low risk, low return over high risk, high return?

- Strongly prefer
- Prefer
- Indifferent
- Do not prefer
- Strongly do not prefer

17) When market is not performing well would you like to invest in more risky investment instead of less risky investment to earn high return? :

- Strongly prefer
- Prefer
- Indifferent
- Do not prefer
- Strongly do not prefer

18) Risk Tolerance Ratio?

- High
- Medium
- Low

19) What percentage of monthly income is allocated to pay off debt [all EMIs]?

- None
- Between 0% -20%
- Between 20% - 35%
- Between 35% - 50%
- > 50%

20) Occupation (please select the appropriate) :

- Private sector service
- Public sector service
- Government sector
- Business
- Professional
- Agriculturist
- Retired
- Housewife
- Student
- Dealer
- Others

21) Are you any of the following, or are directly or indirectly related to any of the following :

- Civil Servant,
- Politician,
- Current or former head of state,
- Bureaucrat (Tax authorities, Foreign Services, IAS etc),
- Current or former MP/MLA/MLC,

- Connected to Media,
- Connected to any company/promoter group/ group of companies listed on any stock exchange.

Name Of Company :

Any specific commodities or shares in which you have experience and are willing to trade, if yes Name of the securities :