PETRA BENEFITS
FINANCIAL SERVICES

PRE-MEETING INFORMATION

1. What about your current circumstance is motivating you to seek advice and counsel?

2. What are your core principles and/or primary financial goals?

3. What areas would you most like to improve upon?

Personal Information

Full Name:	Date of Birth:
Home Address:	City/Zip:
Email Address:	Phone:
Employer:	Annual Income:
Occupation:	
Spouse Name:	Spouse Date of Birth:
Email Address:	Phone:
Employer:	Annual Income:

Children Names and Ages:

Investment Information

How much do you have in each of the following:		Savings	401k
IRA	ROTH	529	After-tax
ESOP	Real Estate	Other	

How much do you save annually into: Retirement Accts Non Retirement

Do you own a business?

Any additional information you want to share:

PETRA BENEFITS FINANCIAL SERVICES
Phone 281-357-8788 ● Fax 281-357-8744 ● 14015 Park Drive, Ste 107, Tomball TX 77377 ● www.PetraBenefits.com

RISK TOLERANCE QUESTIONNAIRE

The Risk Tolerance Questionnaire is designed to help you assess your client's risk tolerance and investment objective. These questions are assigned numerical weights to reflect each one's comparative importance in overall risk determination. These weights are identified in parentheses next to each answer choice. Completing the questionnaire in its entirety will allow you to better evaluate your client's profile.

Client Name: ______________________________

Registered Representative: ______________________ Number: ______________

Statement of Investment Selection (SIS) Number *(Optional)*: ______________________

1. For these funds, which of the following closely aligns with your current financial goal? *Please select one*.

- ○ Sustaining current income and account preservation (0)
- ○ Sustaining current income with possible growth opportunity (10)
- ○ Growing account value, not tied to current income needs (20)
- ○ Aggressive growth, maximizing accumulation (30)

2. How long do you plan to keep these funds invested in order to achieve your financial goal?

- ○ Less than 1 year (0)
- ○ 1 to 2 years (3)
- ○ 3 to 5 years (8)
- ○ 6 to 10 years (15)
- ○ 11 to 20 years (23)
- ○ Greater than 20 years (30)

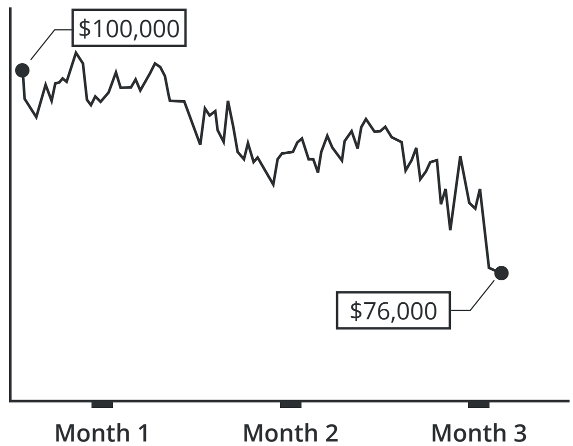
3. Every investment has an opportunity for both risk and reward. The chart below represents a one-year hypothetical risk and reward scenario for five portfolios with incremental levels of risk and reward for a hypothetical initital investment of $100,000. Select the option with which you are most comfortable.

Note: these numbers are not representative of your potential target portfolios. *Please select one*.

Risk to Reward

Portfolio #1 (0)	Portfolio #2 (3)	Portfolio #3 (5)	Portfolio #4 (8)	Portfolio #5 (10)
○	○	○	○	○

4. How would you react to a significant fall in the value of the stock market?



If your hypothetical investment of **$100,000** experienced a sudden and unexpected drop of **24%** over a three-month period, what would your reaction be?

- ◯ Sell All, Avoid Further Risk (0)
- ◯ Sell Some, Reduce Exposure to Risk (3)
- ◯ Sell Nothing, Remain Invested (7)
- ◯ Buy More, Opportunity is Present (10)

5. How soon would you need these funds to recover after experiencing a sudden meaningful loss in value?

- ◯ 0 to 6 months (0)
- ◯ 6 months to 1 year (3)
- ◯ 1 to 3 years (7)
- ◯ 3 years or more (10)

6. How would you respond to the following statement: I am comfortable investing during times of uncertainty.

- ◯ Strongly disagree (0)
- ◯ Disagree (3)
- ◯ Agree (7)
- ◯ Strongly agree (10)

YOUR SCORE	POINT SCALE	RISK TOLERANCE
0	0 THROUGH 20	CONSERVATIVE
	21 THROUGH 40	MODERATELY CONSERVATIVE
	41 THROUGH 60	MODERATE
	61 THROUGH 80	MODERATELY AGGRESSIVE
	81 THROUGH 100	AGGRESSIVE