

**FINANCIAL RISK PROFILER- FOR
 GROUP A**

1. Your current age is:	
a. Under 30 years	<input type="checkbox"/>
b. 31–40 years	<input type="checkbox"/>
c. 41–50 years	<input type="checkbox"/>
d. 51–60 years	<input type="checkbox"/>
e. Over 60 years	<input type="checkbox"/>
2. Your current annual take home income is:	
a. Under Rs. 10,00,000	<input type="checkbox"/>
b. Between Rs. 10,00,001 and Rs. 15,00,000	<input type="checkbox"/>
c. Between Rs. 15,00,001 and Rs. 20,00,000	<input type="checkbox"/>
d. Between Rs. 20,00,001 and Rs. 30,00,000	<input type="checkbox"/>
e. Over Rs. 30,00,001	<input type="checkbox"/>
3. The number of years you have until retirement is:	
a. 3 years or less	<input type="checkbox"/>
b. 3 to 5 years	<input type="checkbox"/>
c. 5 to 10 years	<input type="checkbox"/>
d. 10 to 15 years	<input type="checkbox"/>
e. 15 years or more	<input type="checkbox"/>
4. Your present job or business is:	
a. Is not dependable	<input type="checkbox"/>
b. Is relatively secure	<input type="checkbox"/>
c. Is secure	<input type="checkbox"/>
d. Doesn't matter as you already have enough wealth	<input type="checkbox"/>
e. Doesn't matter as you can easily find an equally good new job/career	<input type="checkbox"/>
5. What are your expectations of how your future earnings would be?	
a. It would far outpace inflation	<input type="checkbox"/>
b. It would be somewhat ahead of inflation	<input type="checkbox"/>
c. It would keep pace with inflation	<input type="checkbox"/>
d. It may not be able to keep pace with inflation	<input type="checkbox"/>
6. How good is your knowledge of finance?	
a. I'm an expert in the field of finance	<input type="checkbox"/>
b. I'm proficient in finance	<input type="checkbox"/>
c. I don't know much about finance but I keep myself updated through newspapers, journals, TV, etc	<input type="checkbox"/>
d. Limited to knowing things like how the stock market or certain select script is /are moving	<input type="checkbox"/>
e. I'm totally zero as far as knowledge of finance is concerned	<input type="checkbox"/>
7. If you lose your job or stop working today, how long do you think your savings can support you?	
a. Less than 3 months	<input type="checkbox"/>
b. 3–6 months	<input type="checkbox"/>
c. 6 months to 1 year	<input type="checkbox"/>
d. 1–3 years	<input type="checkbox"/>
e. More than 3 years	<input type="checkbox"/>
8. You are financially responsible for (exclude dependents who can be supported by your spouse's income)?	
a. Only yourself	<input type="checkbox"/>
b. 1 person besides yourself	<input type="checkbox"/>
c. 2 to 3 persons besides yourself	<input type="checkbox"/>
d. 4 to 5 persons besides yourself	<input type="checkbox"/>
e. More than 5 persons besides yourself	<input type="checkbox"/>

GROUP B

9. How would you describe yourself as a risk-taker?		
a. I do not mind speculating	<input type="checkbox"/>	
b. Willing to take risks for higher returns	<input type="checkbox"/>	
c. Can take calculated risks	<input type="checkbox"/>	
d. Low risk taking capability	<input type="checkbox"/>	
e. Extremely averse to risk	<input type="checkbox"/>	
10. If you had Rs. 25 Lacs to invest, which of the following choices would you make?		
a. Put the money in Bank Fixed Deposit and Bonds	<input type="checkbox"/>	
b. Invest the money in Mutual Funds	<input type="checkbox"/>	
c. Invest the money in Shares	<input type="checkbox"/>	
d. Invest in the combination of above with higher proportion of Bank FDs and Bonds	<input type="checkbox"/>	
e. Invest in the combination of above with higher proportion of Mutual Funds and Shares	<input type="checkbox"/>	
11. You have a market tip on the price appreciation of certain scrip, you:		
a. Immediately invest in the scrip	<input type="checkbox"/>	
b. Invest if you feel that the source of the tip is an experienced / expert market player	<input type="checkbox"/>	
c. Do some enquiry and analysis and then decide	<input type="checkbox"/>	
d. Want to invest but are generally unable to take decision in such cases	<input type="checkbox"/>	
e. You don't rely on such tips or totally ignore it	<input type="checkbox"/>	
12. You are on a TV game show and you win Rs. 50 Lacs. You have a choice to keep the money or risk it to win a higher amount. You:		
a. Are happy with Rs. 50 Lacs that you have earned	<input type="checkbox"/>	
b. Risk the Rs. 50 Lacs on a 50% chance of winning Rs 1.50 Cr	<input type="checkbox"/>	
c. Risk the Rs. 50 Lacs on a 25% chance of winning Rs 3.75 Cr	<input type="checkbox"/>	
d. Risk the Rs. 50 Lacs on a 10% chance of winning Rs Cr .5	<input type="checkbox"/>	
13. Which one of the following bets describes your feeling immediately after making an investment, you:		
a. Are not bothered—it's just another investment for you	<input type="checkbox"/>	
b. Are satisfied and content with the decision	<input type="checkbox"/>	
c. Are not very sure whether you made the right decision	<input type="checkbox"/>	
d. Are worried	<input type="checkbox"/>	
e. Generally regret your decision	<input type="checkbox"/>	
14. The stock market has dropped 25% and a share that you own also dropped 25%, but the market expects the share to go up again. What would you do?		
a. Sell all the shares	<input type="checkbox"/>	
b. Sell some of them	<input type="checkbox"/>	
c. Buy more of them	<input type="checkbox"/>	
d. Keep all of them as you expect the price to reach the earlier level	I	<input type="checkbox"/>
e. Keep all of them as you are afraid of booking a loss	<input type="checkbox"/>	
15. You have a substantial sum of money spare for about 6months after which you need this sum to repay a loan, this sum is currently not invested anywhere. You would:		
a. Keep the money in your bank fixed deposit or money market funds	<input type="checkbox"/>	
b. Invest the money in Debt mutual funds	<input type="checkbox"/>	
c. Invest the money in Equity shares / Equity mutual funds	<input type="checkbox"/>	
d. Loan the money at market rates to businessmen	<input type="checkbox"/>	
e. Invest the money in a combination of above	<input type="checkbox"/>	

16. Please tick mark the additional applicable category to you	
a. Non-resident client	<input type="checkbox"/>
b. High net-worth client (having networth of more than Rs. 7 crore)	<input type="checkbox"/>
c. Trust, Charities, NGO's and organizations receiving donations.	<input type="checkbox"/>
d. Company having close family shareholdings or beneficial ownership	<input type="checkbox"/>
e. Civil Servant or family member or close relative of civil servant	<input type="checkbox"/>
f. Bureaucrat or family member or close relative of bureaucrat	<input type="checkbox"/>
g. Current or Former MP or MLA and MLC or their family member or close relative	<input type="checkbox"/>
h. Politician or their family member or close relative	<input type="checkbox"/>
i. Current or Former head of state or of Governments or their family member or close relative	<input type="checkbox"/>
j. Senior government/judicial/military officers or their family member or close relative	<input type="checkbox"/>
k. Senior executives of state-owned corporations or their family member or close relative	<input type="checkbox"/>
l. Companies offering foreign exchange offering	<input type="checkbox"/>
m. None of the above	<input type="checkbox"/>

FINANCIAL RISK PROFILER - FOR INDIVIDUALS ANALYSIS

Your Risk taking capacity based on your life seems to be	
1. Low	<input type="checkbox"/>
2. Low-Medium	<input type="checkbox"/>
3. Medium	<input type="checkbox"/>
4. High	<input type="checkbox"/>
5. Very High	<input type="checkbox"/>
Your attitude to risk based on your inputs seems to be	
1. Low	<input type="checkbox"/>
2. Low-Medium	<input type="checkbox"/>
3. Medium	<input type="checkbox"/>
4. High	<input type="checkbox"/>
5. Very High	<input type="checkbox"/>
INVESTMENT PROFILE	
1. CONSERVATIVE	<input type="checkbox"/>
2. MODERATE	<input type="checkbox"/>
3. BALANCED	<input type="checkbox"/>
4. AGGRESSIVE	<input type="checkbox"/>
5. HIGHLY AGGRESSIVE	<input type="checkbox"/>

Name of the RM _____ Signature _____

I/We hereby acknowledge that my/our investment profile has been determined as _____ based on the information provided by me/us. However I/we declare that my/our risk profile to be charged to set up as _____

I/We would like to avail of leverage for trading in equities and Derivatives as may be offered by the member

I/We hereby further confirm/undertake that the investments/trading done in securities market are from my/our own/borrowed sources of funds and confirm that the funds utilized for trading activity is in compliance with the rules, regulations and guidelines stipulated under PMLA.

F18 

Signature of the Client (First Holder)

S13 

Signature of the Second Holder

T13 

Signature of the Third Holder