**Process for risk profiling of the client**

*Questionnaire for risk profiling of the client*

**Name: -** ------------ **Service: ------------ Risk: - --------------**

**Mobile: -** ------------- **Score:-\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

|  |  |  |
| --- | --- | --- |
| ***Questionnaire*** | ***Weight Allotted*** | **Rational for Weight** |
| **What is your Age Group?**   * Under 35 * Under 45 * 46-55 * 55-60 * 60+   **Investment Goal**   * Capital Appreciation * Regular Income * Capital Appreciation and Regular Income   **Proposed Investment Amount**   * <1 lacs * 1-2 lacs * 2-5 lacs * > 5 lacs   **Preferred Investment type**   * Short term Positional * Long term Positional * Intraday   **Gross Annual Income details:-**   * Below 1 lac, * 1-5 lac,**** * 5-10 lac, * 10-25 lac, * > 25 lac   **Sources of Income**   1. **Primary Source**   Salary  Business  Self Employed   Professional   1. **Secondary Source**   Royalties  Rental  Dividend  Others Specify**\_\_\_\_\_\_\_\_**  **Market Value of portfolio held**  <1 lacs  1-2 lacs  2-5 lacs  > 5 lacs  **Investment Experience**  < 3 years  3-5 years  >5 years  **Experience in market products**  Commodity  Stock  Derivatives Stocks  Forex  All  **How many dependents do you financially support ?**   * None * Between 1-3 * 4+   **What is the size of your emergency fund ?**   * A do not have * B < 1 month income * C 1-3 months income * D 3-6 months income * E > 6 months income   **What is your experience with equity investments?**   * Extensive experience * Moderate experience * Very less experience * No experience   **What is your experience with Commodity investments?**   * Extensive experience * Moderate experience * Very less experience * No experience   **What is your experience with Forex investments?**   * Extensive experience * Moderate experience * Very less experience * No experience   **What is your experience with investments in past ?**   * Very Good * Good * Moderate * Bad * Very Bad   **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   **When market is not performing well do you prefer to buy risky investments and sell less risky investments ?**   * Strongly prefer * Prefer * Indifferent * Do not prefer * Strongly do not prefer   **Risk Tolerance**   * High * Medium * Low   **What percentage of monthly income is allocated to pay off debt [all EMIs]?**   * None * Between 0% -20% * Between 20% - 35% * Between 35% - 50% * > 50%   **Occupation (please select the appropriate)**  Private sector service,  Government  Public sector,  Business ,  Self employed  Professional, Agriculturist,   Retired, Housewife,  Student,  Dealer,  Others  **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 | |  | | --- | | 2 | | 1.5 | | 1 | | 0.5 | | 0 |  |  | | --- | | 0 | | 2 | | 1 |  |  | | --- | | 0 | | 0.5 | | 1 | | 1.5 |  |  | | --- | | 0.5 | | 0 | | 1 |  |  | | --- | | 0 | | 0.5 | | 1 | | 1.5 | | 2 | | 0 |  |  | | --- | | 0.5 | | 1 | | 1.5 | | 2 |  |  | | --- | | 0 | | 0.5 | | 1 |  |  | | --- | | For Selection Of Services |  |  | | --- | | 1 | | 0.5 | | 0 | |  | | 0 | | 0 | | 0.5 | | 1 | | 1.5 | |  | | For Selection of Product | |  |  | | --- | | For Selection of Product |  |  | | --- | | For Selection of Product |  |  | | --- | | For Selection of Product |  |  | | --- | | 2 | | 1.5 | | 1 | | 0.5 | | 0 |  |  | | --- | | 0 | | 0.5 | | 1 | | 1.5 | | 2 |  |  | | --- | | 2 | | 1.5 | | 1 | | 0.5 | | 0 |  |  | | --- | | 2 | | 1 | | 0 |  |  | | --- | | 2 | | 1.5 | | 1 | | 0.5 | | 0 | | A younger person can take more risk as compared to an aged person.  Capital Appreciation requires longer term investment which is less riskier than intraday.  People with more investment have a higher risk appetite  People with higher income have more risk appetite.  No weight has been allotted this is for information purposes only. Since people with secondary income should have more risk appetite.  Larger the portfolio size more is the risk appetite thus higher weight age.  More investment experience allows the investor to take more risk.  For Selection Of Services to be offered and not weight age.  Less dependents gives more risk taking ability.  Higher emergency fund is gives more risk taking ability.  For Selection of Product to be offered and not weight age.  For Selection of Product to be offered and not weight age  For Selection of Product to be offered and not weight age  A person understand the ups and downs of market and has a good experience has more risk taking ability.  Direct Questions to ascertain risk appetite.  Direct Questions to ascertain risk appetite.  Direct Questions to ascertain risk appetite.  High dept reduces the risk taking capacity.  To understand the risk appetite of the clients via his earning source. No weight age allotted.  To understand the risk appetite of the clients via his earning source. No weight age allotted. |

Clients are classified only in three categories LOW RISK, MEDIUM RISK and HIGH RISK clients with respective score 10,11-15,16-24 and accordingly product is recommended to them.

**Name of the Company: TRADE NEXA RESEARCH INVESTMENT ADVISORY**

**Any specific commodities or shares in which you have experience and are willing to trade, if yes**

**Name of the securities\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Clients with Long term Investment goal or capital appreciation as investment objectives are not accepted at Trade Nexa Research Investment Advisor.**

**DISCLAIMER**

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