

## RISK PROFILING FORM

Clients are classified only in two categories Medium risk and High risk clients with respective scores 51-80, 81-140 and accordingly product is recommended to them.

<b>Name</b>	
<b>PAN</b>	
<b>Mobile</b>	
<b>Services</b>	
<b>Risk Appetite</b>	
<b>Total Score</b>	

Investors are categorized on the basis of this questionnaire and weights allotted

Questions			Weight Allotted / Answer	Score
1	<b>What is your Age Group ?</b>			
	Under 35	<input type="checkbox"/>	5	
	Under 45	<input type="checkbox"/>	4	
	46-55	<input type="checkbox"/>	3	
	55-60	<input type="checkbox"/>	2	
	60+	<input type="checkbox"/>	2	
2	<b>Marital Status</b>			
	Single	<input type="checkbox"/>	5	
	Married	<input type="checkbox"/>	3	
3	<b>Occupation</b>			
	Private Sector	<input type="checkbox"/>	2	
	Public Sector	<input type="checkbox"/>	3	
	Government Service	<input type="checkbox"/>	3	
	Buissness	<input type="checkbox"/>	5	
	Proffessional	<input type="checkbox"/>	5	
	Agriculturalist	<input type="checkbox"/>	2	
	Retired	<input type="checkbox"/>	2	
	Housewife	<input type="checkbox"/>	2	
	Student	<input type="checkbox"/>	2	
	Dealer	<input type="checkbox"/>	4	
	Other	<input type="checkbox"/>	3	
4	<b>Primary Source of Income</b>			
	Salary	<input type="checkbox"/>	3	
	Buissness	<input type="checkbox"/>	5	
5	<b>Secondary Source of Income</b>			
	Royalties/Rentals/Dividends	<input type="checkbox"/>	5	
	any other proffession	<input type="checkbox"/>	3	
6	<b>Investment goal</b>			
	Capital Appreciation	<input type="checkbox"/>	5	
	Regular Income	<input type="checkbox"/>	2	
	Capital Appreciation & Regular Income	<input type="checkbox"/>	3	

7	<b>Preferred Investment Type</b>			
	Short Term Positional	<input type="checkbox"/>	3	
	Long Term Positional	<input type="checkbox"/>	2	
	Intraday	<input type="checkbox"/>	5	
8	<b>Gross Annual Income</b>			
	< 2 lac	<input type="checkbox"/>	1	
	2-5 lac	<input type="checkbox"/>	2	
	5-10 lac	<input type="checkbox"/>	3	
	>10 lac	<input type="checkbox"/>	5	
9	<b>Current Investment Amount</b>			
	< 2 lac	<input type="checkbox"/>	1	
	2-5 lac	<input type="checkbox"/>	2	
	5-10 lac	<input type="checkbox"/>	3	
	>10 lac	<input type="checkbox"/>	5	
10	<b>Market value of portfolio held</b>			
	< 2 lac	<input type="checkbox"/>	1	
	2-5 lac	<input type="checkbox"/>	2	
	5-10 lac	<input type="checkbox"/>	3	
	>10 lac	<input type="checkbox"/>	5	
11	<b>Investment experience</b>			
	< 2 Years	<input type="checkbox"/>	1	
	2-5 Years	<input type="checkbox"/>	2	
	5-10 Years	<input type="checkbox"/>	3	
	>10 Years	<input type="checkbox"/>	5	
12	<b>Experience with equity investment</b>			
	Extensive Experience	<input type="checkbox"/>	5	
	Moderate Experience	<input type="checkbox"/>	4	
	Very Less Experience	<input type="checkbox"/>	3	
	No Experience	<input type="checkbox"/>	0	
13	<b>Experience with commodity investment</b>			
	Extensive Experience	<input type="checkbox"/>	5	
	Moderate Experience	<input type="checkbox"/>	4	
	Very Less Experience	<input type="checkbox"/>	3	
	No Experience	<input type="checkbox"/>	0	
14	<b>Experience with forex investment</b>			
	Extensive Experience	<input type="checkbox"/>	5	
	Moderate Experience	<input type="checkbox"/>	4	
	Very Less Experience	<input type="checkbox"/>	3	
	No Experience	<input type="checkbox"/>	0	
15	<b>Experience with investment in past</b>			
	Very Good	<input type="checkbox"/>	5	
	Good	<input type="checkbox"/>	4	
	Moderate	<input type="checkbox"/>	3	
	Bad	<input type="checkbox"/>	1	
	Very Bad	<input type="checkbox"/>	0	
17	<b>Experience in market products</b>			
	Commodity	<input type="checkbox"/>	5	

	Stock	<input type="checkbox"/>	3
	Derivatives Stock	<input type="checkbox"/>	4
	Forex	<input type="checkbox"/>	4
	All	<input type="checkbox"/>	5
18	<b>Size of Emergency Funds</b>		
	Do not have	<input type="checkbox"/>	0
	< 1 Month Income	<input type="checkbox"/>	1
	1-3 Month Income	<input type="checkbox"/>	2
	3-6 Month Income	<input type="checkbox"/>	4
	> 6 Month Income	<input type="checkbox"/>	5
19	<b>Preference W.R.T securities with low risk, low return over high risk, high return?</b>		
	Strongly Prefer	<input type="checkbox"/>	1
	Prefer	<input type="checkbox"/>	2
	Indifferent	<input type="checkbox"/>	3
	Do not prefer	<input type="checkbox"/>	4
	Strongly do not prefer	<input type="checkbox"/>	5
20	<b>Market is not performing well do you prefer to buy risky investments and sell less risky investments?</b>		
	Strongly Prefer	<input type="checkbox"/>	5
	Prefer	<input type="checkbox"/>	4
	Indifferent	<input type="checkbox"/>	3
	Do not prefer	<input type="checkbox"/>	2
	Strongly do not prefer	<input type="checkbox"/>	1
21	<b>Risk Tolerance</b>		
	High	<input type="checkbox"/>	5
	Medium	<input type="checkbox"/>	3
	Low	<input type="checkbox"/>	1
22	<b>What percentage of monthly income is allocated to pay off debt [all EMIs]</b>		
	None	<input type="checkbox"/>	5
	Between 0%-20%	<input type="checkbox"/>	4
	Between 20%-35%	<input type="checkbox"/>	3
	Between 35%-50%	<input type="checkbox"/>	2
	>50%	<input type="checkbox"/>	1
23	<b>How long do you want to stay invested into Pointed investment?</b>		
	less than a month	<input type="checkbox"/>	1
	1-6 Months	<input type="checkbox"/>	3
	6-12 Months	<input type="checkbox"/>	4
	beyond 12 Months	<input type="checkbox"/>	5
24	<b>How secure is your current and future income from sources?</b>		
	Not Secure	<input type="checkbox"/>	1
	Somewhat Secure	<input type="checkbox"/>	2
	Fairly Secure	<input type="checkbox"/>	3
	Very Secure	<input type="checkbox"/>	5
25	<b>How familiar are you with your investment matters?</b>		
	Not familiar at all With Investment and feel uncomfortable with Complexity	<input type="checkbox"/>	1
	Somewhat familiar. I don't fully understand Investments	<input type="checkbox"/>	2

	Fairly Familiar. I understand the various factors which influence investment performance	<input type="checkbox"/>	3
	Very Familiar. I Use Research to make investment decrsion. I understand va nous factors which Influence investment performance	<input type="checkbox"/>	5
26	<b>Assume that you have invested Rs 1,00,000 in a share that goes down by 10% the next day..</b>		
	Average your cost by investing another Rs 1,00,000 at a lower price	<input type="checkbox"/>	1
	Do not bother because you had done enough research on the company	<input type="checkbox"/>	4
	Book your loss and invest in fixed deposits or bonds.	<input type="checkbox"/>	2
	Hold on till the share comes back to your cost price and sell It	<input type="checkbox"/>	5
27	<b>How would you 'honestly' describe yourself as a risk -taker?</b>		
	Reckless ( I don't mind If I lose money )	<input type="checkbox"/>	5
	Willing to take evaluated risks (I can't tolerate a some loss)	<input type="checkbox"/>	4
	Low risk talking capability. (I'd have a hard time tolerating any losses)	<input type="checkbox"/>	2
	Extremely averse to risk. (I need to see at least some return)	<input type="checkbox"/>	0
28	<b>How would you describe your overall income status ?</b>		
	About manage to make ends meet; no monthly savings	<input type="checkbox"/>	0
	PF and other employment benefits are my only source of savings.	<input type="checkbox"/>	1
	Put aside at least 10% of my take - home salary every month in savings	<input type="checkbox"/>	2
	Have more than 30% of my take - home salary every month	<input type="checkbox"/>	3
	Income from my wealth more than adequately provides for my cost of living	<input type="checkbox"/>	5
29	<b>Are you any of the following, or are directly or indirectly related to any of the following?</b>		
	Civil Servant	<input type="checkbox"/>	3
	Politician	<input type="checkbox"/>	3
	Current or former head of state	<input type="checkbox"/>	3
	Bureaucrat (Tax authorities, Foreign Services, IAS etc)	<input type="checkbox"/>	3
	Current or former MP/MLA/MLC	<input type="checkbox"/>	3
	Connected to Media	<input type="checkbox"/>	3
	Connected to any company/promoter group/ group of companies listed on any stock exchange	<input type="checkbox"/>	3
	NA		0

30	Any specific commodities or shares in which you have experience and are willing to trade, if yes Name of	
Clients with Long term Investment goal or capital appreciation as investment objectives are not accepted at MCX Advisory.		
Risk	Classification	
MEDIUM		
HIGH		
	Digital Signature(OFFICE USE ONLY)	CLIENT SIGNATURE AND THUMB IMPRESSION