

KTG FINANCIAL RESEARCH

(INVESTMENT ADVISOR)

RISK PROFILING AND RISK ASSESMENT FORM



Client Name		PAN	
DOB		Father/Spouse Name	
Contact No.		Marital Status	
E-mail ID			
Address			

Process for Risk Profiling of the Client

Please note that the questionnaire is only suitable for customers that are comfortable with taking on some form of investment risk. Clients are classified under three categories low risk, medium risk and high risk clients and accordingly product is recommended to them.

Sr. No	Items	Particulars	Score	Answer
1	Age	<ul style="list-style-type: none">➤ <35➤ 35-50➤ 50-65➤ 65+	4 3 2 1	
2	Investment Objective/Purpose of Investment/Goals	<ul style="list-style-type: none">➤ Regular Income.➤ Capital Appreciation .➤ Capital Appreciation and Regular Income.	4 3 2	
3	Proposed Investment Amount	<ul style="list-style-type: none">➤ <1 Lac➤ 1-2 Lac➤ 2-10 Lac➤ >10 Lac	1 2 3 4	
4	Preferred Investment Type	<ul style="list-style-type: none">➤ Intraday➤ 2-10 Days➤ 11-30Days➤ >30 Days	4 3 2 1	
5	Gross Annual Income	<ul style="list-style-type: none">➤ <2 Lac➤ 2-5 Lac➤ 5-10 Lac	1 2 3	

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		➤ >10 Lac	4	
6	Sources of Income	<ul style="list-style-type: none"> ➤ Salary ➤ Business ➤ Capital Gain/ House Property /Royalty ➤ Other Sources 	(Subjective Question)	
7	Occupation	<ul style="list-style-type: none"> ➤ Self Employed/Business ➤ Professional/Employees-Private, Public or Government ➤ Student/ Senior Citizen/House Wife ➤ Others 	(Subjective Question)	
8	All Assets Details (FD, House, Shares etc)	<ul style="list-style-type: none"> ➤ <20 Lac ➤ 20-35 Lac ➤ 35-50 Lac ➤ >50 Lac 	<p>1</p> <p>2</p> <p>3</p> <p>4</p>	
9	Market Value Of Portfolio Held	<ul style="list-style-type: none"> ➤ <1 Lac ➤ 1 – 2 Lac ➤ 2 - 5 Lac ➤ >5 Lac 	<p>1</p> <p>2</p> <p>3</p> <p>4</p>	
10	Your Willingness to Accept Market Risk	<ul style="list-style-type: none"> ➤ Low ➤ Moderate ➤ High ➤ Extreme High 	<p>1</p> <p>2</p> <p>3</p> <p>4</p>	
11	When market is not performing well do you prefer to buy risky investments and sell less risky investments	<ul style="list-style-type: none"> ➤ Strongly Prefer ➤ Prefer ➤ Indifferent ➤ Do not Prefer 	<p>4</p> <p>3</p> <p>2</p> <p>1</p>	

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12	What is your preference W.R.T securities with medium risk, medium return over high risk, high return	<ul style="list-style-type: none">➤ Do not Prefer➤ Indifferent➤ Prefer➤ Strongly Prefer	<p>4 3 2 1</p>	
13	Your Risk Tolerance Capacity, In Terms of Loss In Your Investment Amount Which You Can Bear	<ul style="list-style-type: none">➤ Less Than 20% On Your Investment Amount .➤ 20 To 30% On Your Investment Amount.➤ 30 To 40% On Your Investment Amount .➤ More Than 40% On Your Investment Amount.	<p>1 2 3 4</p>	
14	Size of Emergency Fund	<ul style="list-style-type: none">➤ < 1 Month Income➤ 1-3 Month Income➤ 3-6 Month Income➤ > 6 Month Income	<p>1 2 3 4</p>	
15	Liability/Borrowing Details	<ul style="list-style-type: none">➤ Nil➤ 1-10Lac➤ 10-20 Lac➤ >20 Lac	<p>4 3 2 1</p>	
16	Number of Dependent you Financially Support	<ul style="list-style-type: none">➤ None➤ 1-2➤ 2-5➤ >5	<p>4 3 2 1</p>	
17	Percentage of Monthly Income Allocated to Pay off Debt(all EMI's)	<ul style="list-style-type: none">➤ None➤ 0%-20%➤ 20%-50%➤ >50%	<p>4 3 2 1</p>	
18	Experience in Market	<ul style="list-style-type: none">➤ No Experience(0 Year)➤ Beginner(0-1 Year)	<p>1 2</p>	

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		<ul style="list-style-type: none"> ➤ Medium Experienced(1-3 Years) ➤ Extensive Experienced(>3 Years) 	<p style="text-align: center;">3</p> <p style="text-align: center;">4</p>	
19	Experience in Market Product	<ul style="list-style-type: none"> ➤ Stocks ➤ Commodity ➤ Derivatives ➤ All 	(Subjective Question)	
20	Experience with investments in past	<ul style="list-style-type: none"> ➤ Very Good ➤ Good ➤ Moderate ➤ Bad 	<p style="text-align: center;">4</p> <p style="text-align: center;">3</p> <p style="text-align: center;">2</p> <p style="text-align: center;">1</p>	
Other Information				
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 Service, 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	<p style="text-align: center;">No</p> <hr/> <p style="text-align: center;">Name of the company-</p> <p style="text-align: center;">No</p>	
22	Any other info affecting risk assessment you want to share	No		

Any specific commodities or shares in which you have experience and are willing to trade, if yes
Name of the securities _____ **No** _____

Clients with long term Investment goal or capital appreciation as investment objectives are not accepted at KTG Financial Research (Investment Advisor).

CLIENT DECLARATION

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I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.

RISK DISCLOSURE

Investments in Securities and commodities are subject to market and other risks and there is no assurance or guarantee that the objectives of any Services will be achieved. Traders/Investors in the services are not being offered any guaranteed/assured returns. Past performance[s] of these types of investments does not guarantee any future results. We do not have any refund & cancellation policy. All sales are final. Before subscriptions ensure that our products and services will meet your needs without the need to purchase, there will be absolutely no refund & cancellations. We do not offer refunds on subscriptions that have already been taken. By registering for service on website you have accepted all the terms and conditions. Prior to trading securities and commodities you must be aware of the risks involved. The high degree of leverage associated with these types of investments means that the degree of risk compared to other financial products is higher. Leverage (or margin trading) may work against you resulting in substantial loss. KTG Financial Research (Investment Advisor) accepts no liability for any loss, tax, commission, brokerage you may be required to pay on any profits/loss made during the service tenure with us. Trading on Margin involves a high level of risk and is not suitable for all investors. The high degree of leverage can work against you as well as for you and the speeds which profits and losses can occur, means that clients should monitor positions closely – it is the clients' sole responsibility to monitor open trades. Before trading, you should carefully consider your investment objectives, level of financial experience, risk appetite and suitability of service offered by KTG Financial Research (Investment Advisor). If you are at all unsure as to the suitability of the products offered by KTG Financial Research (Investment Advisor). Please seek other/independent Financial Advisor. Only surplus funds should be placed at risk and anyone who does not have such funds should not participate in trading securities and commodities.

RISK APPETITE:-

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LOW (17 – 25)

MEDIUM (26 – 40)

HIGH (41 – 68)

TOTAL SCORE	RISK APPETITE
43	HIGH RISK

As Per Your Risk Profiling Score, Your current Risk Appetite is **HIGH RISK**

Date:/...../.....

Client Signature:.....