Annexure 9

**Process for risk profiling of the client**

 Client Risk Analysis

**Name :-\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**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

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, Public sector,

Government sector,Business ,

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

**Name of the company\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**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 Money Capital Height Research Private Limited.**