



StoneRidge

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Investor Risk Profile Questionnaire

Name: _____
Address _____
Date: _____

This questionnaire is meant to assess your risk with respect to mortgage investments and your understanding.

1. How many years do you expect to maintain at least your current income level?
 - a. 5 years or less
 - b. 5 to 10 years
 - c. 10 years or more

2. Your financial stability is important when determining how much risk you can tolerate in your investments. Do you feel that your current financial situation is:
 - a. Very secure
 - b. Relatively secure
 - c. Secure
 - d. Not secure



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3. Your age is:
- a. Under 30
 - b. 30 to 42
 - c. 43 to 54
 - d. 55 to 64
 - e. Over 64

Investment Objectives and Goals

4. When investing, you may chose investments that provide a regular stream of income and/or investments that offer the potential for growth. Currently you need this investment to:
- a. Not decrease from your initial investment
 - b. Provide a stream of income
 - c. Provide a mix of income and growth
 - d. Grow, since income is not important to you at this time
 - e. Grow as much as possible
5. How many years will you keep this investment before you need to make withdrawals from the original amount?
- a. 3 years or less
 - b. 3 to 8 years
 - c. 8 to 12 years
 - d. 12 years or more



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Risk Tolerance

6. When evaluating the performance of your investment, you review your holdings:
 - a. Frequently(at least monthly) and sell investments that performed poorly since your last review
 - b. Annually and sell investments that perform poorly since your last review
 - c. At least annually to assess performance and change your portfolio only if investments have performed poorly for a long time and you do not expect them to recover their value
 - d. Infrequently or never

7. Last year, you purchased units in a mutual fund. Since then, it has underperformed, which is consistent with the performance of similar mutual funds. What is your reaction?
 - a. I would sell my units
 - b. I would keep my units
 - c. I would buy more units

8. Which statement best applies to you?
 - a. I must achieve my financial goal by my target date
 - b. I would like to come close to achieving my financial goal by my target date
 - c. I have flexibility to move the target date further into the future if my investment value is below my goal
 - d. I re-evaluate my financial goal and my target date regularly and have the flexibility to adjust either to align them with the performance of my investments



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9. Which statement best describes your preferred approach to investing?
- a. I would rather accept a lower rate of return to avoid fluctuations in the value of my account
 - b. I am will to accept day to day fluctuations associated with an investment in the stock market for the potential to earn a higher rate of return
 - c. I would like to achieve above-average returns on my investments and I am willing to accept some fluctuations in the value of my investment
 - d. I don't have a preferred approach

The Investor Risk Profile reflects your investment objectives, risk tolerance, investment time horizon and personal circumstances that you provided to us. StoneRidge Lending Inc. uses your Risk Profile to ensure your transactions are suitable

Name: