

ECS Financial Services (India) Private Limited

Investor Name :	phone :
Email :	Date of Birth :
Pan :	
Address	
RM Tel : +91-	RM Email :
Address :	

1. How old are you?
 - Above 60 Years
 - Between 30 - 45 Years
 - Between 45 - 60 Years
 - Less than 30 Years
2. How many years away is your nearest goal?
 - Less than 2 Years
 - Between 5 - 10 Years
 - Between 2 - 3 years
 - Above 10 Years
 - Between 3 - 5 Years
3. My current and future source of income are
 - Very unstable
 - Somewhat stable
 - Unstable
 - Stable
 - Very Stable
4. How familiar are you with financial markets?
 - I have no idea about financial markets
 - I have very basic idea about investing & no experience, I understand the risks and basic investment concepts like diversification
 - I have a fair knowledge & experience, have invested on my own and understand the risk and return characteristics of different asset '—' classes
 - I have through knowledge & experience with most investment avenues. I have my own investment philosophy
5. Have you invested any money in the past? If yes, What has been your experience so far?
 - I have just started investing and do not have any prior investment experience (a)
 - I invest mainly in fixed deposits, post office savings (b)
 - Option b plus debt-based mutual funds, monthly income plans and traditional insurance plans (c)
 - Option b & c plus equity-based mutual funds and ULIPs (d)
 - Option b, c & d plus a mix of equity shares, real estate and derivatives
6. What percentage of your monthly income is generally available for investments?
 - <10%
 - 11% - 20%
 - 21% - 30%
 - 31% - 40%
 - >41%
7. When you think of the word "risk" in a financial context, which of the following words comes to mind first?
 - Danger
 - Uncertainty
 - Opportunity
 - Thrill
8. Insurances can cover a wide variety of life's major risks- theft, fire, accidents, illness, death etc. how much coverage do you have?
 - Very little
 - Some
 - Considerable
 - Complete.
9. Choose your investment preference/Objective
 - Principal protection
 - Can consider a loss of 4% if the expected gains are of 10%
 - Can consider a loss of 8% if the expected gains are of 20%
 - Can consider a loss of 15% if the expected gains are of 30%
 - Can consider a loss of 25% if the expected gains are of 50%

10. If a few months after investing, the value of your portfolio goes down due to market decline by 20%, what would you do?
- Cut losses and Sell completely. Capital preservation is primary objective
 - Sell partially and transfer investments to safer asset classes
 - You would be worried, but would give your investments a little more time
 - Retain fully, you are OK with volatility and accept decline in portfolio value as a part of investing
 - Buy more to bring down the average buying price and not bothered by notional losses
11. Volatile investments usually provide higher returns and tax efficiency. What is your desired balance?
- Preferably guaranteed returns, before tax efficiency
 - Stable returns, minimal tax efficiency
 - Some variability in returns, some tax efficiency
 - Moderate variability in returns, reasonable tax efficiency
 - Unstable but potentially higher returns, maximizing tax efficiency
12. If your investment outlook is long-term (more than 5 years), how long will you hold on to a poorly performing portfolio before cashing in?
- Not hold and cash in immediately if there is erosion in capital
 - Will hold for 3 months
 - Will hold for one year
 - Will hold for 6 months
 - Will hold for more than 2 years
13. Describe your Risk Range. What level of losses and profits you would be comfortable with?
- Worst Year = 1% and Best Year = 15 %
 - Worst Year = -10% and Best Year = 25%
 - Worst Year = -18% and Best Year = 35%
 - Worst Year = -5% and Best Year = 20%
 - Worst Year = -15% and Best Year = 30%
 - Worst Year = -22% and Best Year = 45%
14. What is the current market value of your net worth (please consider all your assets & subtract from the total the sum of your debts and liabilities) ?
- Less than Rs.50 lakhs
 - Between Rs. 1 Crore - 3 Crore
 - More than 5 Crores
 - Between Rs.50 lakhs - 1 Crore
 - Between 3 Crores - 5 Crores
15. In recent years, how have your personal investments changed?
- Always towards lower risk
 - No changes or changes with no clear directions.
 - Always towards higher risk.
 - Mostly towards lower risk
 - Mostly towards higher risk
16. Assume that you have bought an equity share and its values fell by more than 25%, but there is no change in the fundamentals of the company. what will you do ?
- Sell the entire holding
 - Sell part of the holdings and wait and watch further before deciding any things
 - Increase holdings as fundamentals continue to be good
 - Buy very aggressively, to bring down the average cost of acquisition

Date :

Signature :