

LifeView® Risk Tolerance Questionnaire

This questionnaire will guide our analysis by helping us to define and understand your tolerance to risk.

NAME _____ DATE COMPLETED (MM/DD/YYYY) _____

Questions 1–4. Please rank the following Investment Objectives from Most Important (1) to Least Important (4).

- _____ Income
- _____ Aggressive Income
- _____ Capital Appreciation
- _____ Speculation

Question 5. Please choose the risk tolerance below that best describes your attitude toward investing.

- Conservative Moderate Aggressive

Question 6. Please choose the Primary Financial Need for the assets included in this analysis.

- Wealth Accumulation
- Retirement
- Major Purchase
- Education Planning
- Current Income
- Health Care/Long-Term Care
- Estate/Legacy Planning
- Charitable

Any information that you provide to us or that we provide to you is for investment education only. The information should not be viewed or relied upon as advice with respect to asset allocation or any particular investments.

A LifeView Goal Analysis or LifeView Financial Plan (“Financial Plan”) is based on the methodology, estimates, and assumptions, as described in your report, as well as personal data provided by you in this material. The report should be considered a working document that can assist you with your objectives. Morgan Stanley Smith Barney LLC (“Morgan Stanley”) makes no guarantees as to future results or that an individual’s investment objectives will be achieved. The responsibility for implementing, monitoring and adjusting your financial goal analysis or financial plan rests with you. After your Financial Advisor delivers your report to you, if you so desire, your Financial Advisor can help you implement any part that you choose; however, you are not obligated to work with your Financial Advisor or Morgan Stanley.

Important information about your relationship with your Financial Advisor and Morgan Stanley Smith Barney LLC when using LifeView Goal Analysis, LifeView Advisor, or LifeView Personal Wealth Advisor: When your Financial Advisor prepares and delivers a Financial Goal Analysis (i.e., when using

Question 7. In approximately how many years do you expect to begin withdrawing funds for your Primary Financial Need?

- Immediately
- Less than 2 Years
- 2–5 Years
- 6–10 Years
- 11–20 Years
- More than 20 Years

Question 8. Once you begin to withdraw funds for your Primary Financial Need, over how long of a period do you anticipate the withdrawals to continue?

- Immediately
- Less than 2 Years
- 2–5 Years
- 6–10 Years
- 11–20 Years
- More than 20 Years

LifeView Goal Analysis), they will be acting in a *brokerage* capacity. When your Financial Advisor prepares a Financial Plan (i.e., when using LifeView Advisor or LifeView Personal Wealth Advisor), they will be acting in an *investment advisory* capacity with respect to the delivery of your Financial Plan. This Investment Advisory relationship will begin with the delivery of the Financial Plan and ends thirty days later, during which time your Financial Advisor can review the Financial Plan with you. To understand the differences between brokerage and advisory relationships, you should consult your Financial Advisor, or review our *Understanding Your Brokerage and Investment Advisory Relationships* brochure, available at <https://www.morganstanley.com/wealth-relationshipwithms/pdfs/understandingyourrelationship.pdf>.

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