



RISK ASSESSMENT QUESTIONNAIRE TEMPLATE

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TEMPLATE
[Insert Company Name]
Risk Assessment Questionnaire

NOTE: This questionnaire should be used to create an inventory of risks that apply to the Adviser. The Adviser should prioritize these risks and determine how each risk is addressed by its compliance program and make any necessary changes.

Personnel

- How does the Adviser screen or verify information on employees or prospective employees?
- What effect would the departure of one or more portfolio managers or any other personnel have on the Adviser?
- Are there certain personnel who are given less supervision and/or monitored less frequently than others?
- Are the Adviser's personnel required to be properly licensed (e.g., with any state authority)?
- Do all personnel receive training on the Adviser's compliance manual/code of ethics related to their responsibilities?
- If the Adviser has branch or remote offices, how and how often does the Adviser supervise the staff in such locations?

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ADV/Disclosure

- What measures does the Adviser take to monitor whether all material information is properly disclosed to clients (e.g., in its Form ADV, offering materials and marketing materials)?
- What measures does the Adviser take to monitor whether all statements of material fact set forth in the Adviser's Form ADV, offering materials, marketing materials and any other relevant documents are true and not misleading?
- How does the Adviser monitor whether it is engaging in any act, practice or course of business that is fraudulent, deceptive or manipulative with respect to any client?
- What measures does the Adviser take to monitor whether information set forth on its Form ADV is cross checked for consistency with its marketing materials, offering materials and any other relevant documents?
- Do the Adviser's Form ADV, offering materials, marketing materials and any other relevant documents accurately describe the Adviser's portfolio strategies?
- Is the Adviser sending required reports to clients on a timely basis?
- Does the Adviser furnish each client and prospective client with Part 2A of its Form ADV prior to entering into any written or oral investment advisory contract with such client or prospective client?
Does the Adviser comply with annual delivery requirements with respect to Part 2A?
- Does the Adviser furnish each client and prospective client with the applicable Part 2B of its Form ADV prior to entering into any written or oral investment advisory contract with such client or prospective client?
- If the Adviser has adopted a policy and practice of delivering Part 2A of its Form ADV [and/or Part 2B] to investors in private investment vehicles, how does the Adviser monitor whether it is following this policy and practice?

Investment Advisory Contracts

- How does the Adviser handle the review of new and proposed investment advisory contracts?
What department reviews the investment advisory contracts?
- How does the Adviser monitor compliance with its investment advisory contracts?

Portfolio Management

- How does the Adviser monitor whether each client's portfolio is consistent with agreed upon or specified investment objectives, strategies and restrictions, or any applicable legal or regulatory restrictions?
- Is the Adviser responsible for monitoring any legal obligations of a client?
How does the Adviser monitor these responsibilities?
- How does the Adviser evaluate new types of securities or new types of financial instruments before placement into a client account (e.g., credit default swaps, collateralized debt obligations)?

Allocation of Investment Opportunities and Allocation of Securities in Aggregated Orders

- Are the Adviser's allocation and aggregation policies and procedures clearly disclosed or referenced