1. Have you ever invested before; self-guided or with another investment professional?

Yes No

2. What is the estimated value you plan on investing?

$

3. What percentage of net worth (the amount by which assets exceed liabilities) does the investment amount from question 2 represent?

%

4. if you are employed what is your salary?

$

6. Do you own any real estate?

YesNo

7. A high level of fluctuation in the value of an investment over short periods of time is defined as ‘volatility’. Do you understand that most short-term ‘volatility’ has little to no impact on your investments when held for many years?

Ye sNo

8. ‘Risk’ is traditionally defined by our industry as losing some or all of your money once invested. ‘Risk’, however, is only realized when an investment is sold below the price at which it was purchased, usually in reaction to market ‘volatility’ as defined in the previous question. Therefore, because the overall market trend is positive, if invested for the long-term, ‘risk’ is mitigated through the length of time which an investment is held. Would you agree?

Yes No

9. Please state your investment objective:

Growth - Growth in the value of your portfolio with minimal emphasis on income.

Growth & Income - Growth in the value of your portfolio with equal emphasis on income.

Income with Growth - An emphasis on income producing investments with some expectation of growth.

10. Do you anticipate needing your invested monies in the next five years?

Yes No

11. At what age do you expect to retire?

Age

1. What is your primary goal for this portfolio:
   1. I want to keep the money I have invested safe from short-term losses or readily available for short-term needs. *(Safety – Investments that will satisfy this objective include GICs and money market funds)*
   2. I want to generate a steady stream of income from my investments and I am less concerned about growing the value of my investments*.  (Income – Investments that will satisfy this objective include fixed income investments such as funds that invest in bonds)*
   3. I want to generate some income with some opportunity for the investments to grow in value. (*Balanced*– *A balanced fund or a portfolio that includes at least 40% in fixed income investments and no more than 60% in equity funds  will satisfy this objective)*
   4. I want to generate long-term growth from my investments.  *(Growth – A portfolio with a relatively high proportion of funds that invest in equities will satisfy this objective if you also have a long time horizon and are willing and able to accept more risk)*
2. When you are faced with a major financial decision, are you more concerned about the possible losses or the possible gains?
   1. Always the possible losses (0 points)
   2. Usually the possible losses (3 points)
   3. Usually the possible gains (6 points)
   4. Always the possible gains (10 points)