

# Investor Profile Update

## \*REQUIRED INFORMATION

Full Name\*

Employer Name (if applicable)

Address\*

City or Town\*

Province\*

Postal Code\*

Date of Birth\*

Phone Number\*

E-Mail

S.I.N.\*

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## IMPORTANT >>> Please answer questions 1 through 15. Check only 1 BOX PER ANSWER except for QUESTION 15

### 1. What is your age?

- 1 Over 54 years
- 2 45 to 54 years
- 3 35 to 44 years
- 4 Under 35 years

### 2. What other savings plan do you have most of your retirement assets in?

- 5 An employer sponsored defined benefit plan
- 4 An employer sponsored defined contribution plan
- 3 A registered retirement savings plan
- 2 Personal retirement savings
- 1 None

### 3. Which one of these statements best describes your current investment experience?

- 5 I follow the markets regularly and actively manage my investment portfolio.
- 4 My long-term savings include investment funds or securities.
- 3 I have not invested much money, if any, in investment funds or securities.
- 2 I only have a basic understanding of investment principles.
- 1 I have only invested in term deposits or GICs.

### 4. Approximately how much money do you save each year (not including your retirement savings)?

- 4 More than 10% of your family's gross income
- 3 Between 5% and 10% of your family's gross income
- 2 Less than 5% of your family's gross income

### 5. What is your total family income?

- 5 Over \$120,000
- 4 \$91,000 to \$120,000
- 3 \$61,000 to \$90,000
- 2 \$30,000 to \$60,000
- 1 Under \$30,000

### 6. When do you plan to retire from work?

- 5 15 years or more
- 4 11 to 14 years
- 3 8 to 10 years
- 2 5 to 7 years
- 1 Less than 5 years or currently retired

### 7. Based upon your retirement plans, when will you most likely need to access your retirement savings?

- 5 20 years or more
- 4 11 to 19 years
- 3 5 to 10 years
- 2 Less than 5 years

### 8. What is your family's approximate net worth (assets less what you owe)?

- 5 More than \$250,000
- 4 Between \$100,000 and \$249,999
- 3 Between \$50,000 and \$99,999
- 2 Less than \$50,000

### 9. Which statement best describes your view on investing money?

- 5 I prefer higher long-term growth, so I am not concerned with my investments fluctuating up or down in the short term (6 to 12 month period).
- 3 A moderate level of fluctuation on my investments would be acceptable to achieve higher long-term (24+ months) growth.
- 1 I want to avoid fluctuation in my investments at all costs.

### 10. If your funds were to fluctuate in order to receive potentially higher returns, how comfortable would you feel?

Not Comfortable  1  2  3  4  5 Comfortable

### 11. Day-to-day changes in the value of my investments do not bother me.

Strongly disagree  1  2  3  4  5 Strongly agree

### 12. Although losses will occasionally occur in my investments, I believe they can be recovered by holding on to them.

Strongly disagree  1  2  3  4  5 Strongly agree

### 13. Even if my investments dropped in value in the short-term (6-12 months), I would hold them in my portfolio.

- 1 Definitely not
- 2 Probably not
- 3 Not sure
- 4 Probably
- 5 Definitely

### 14. Based upon your current situation, which of the following statements best describes your investment objectives?

- 4 I want to maximize my long-term growth.
- 3 Although I want some income to appear in my account, I am more interested in long-term growth.
- 2 My objectives include a combination of interest, dividend income and growth.
- 1 My primary goal is to provide regular interest and dividend income with a very low risk of investment loss.

### 15. Excluding this plan, do you own any of the following? (Please check all that apply)

- 1 GICs
- 2 Canada Savings Bonds
- 3 Mutual funds
- 4 Investment properties (excluding principal residence)
- 5 Common stocks

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Investor Signature

Y Y Y Y / M M / D D

Advising Representative Signature

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Total Score

CAP Profile