BUILDING FINANCIAL FUTURES

CLIENT INVESTMENT INFORMATION

CONFIDENTIAL

Client	Client	
	Private wealth counsellor or RIS manager	
	Financial security advisor (name and company)	
	Date	

CLIENT ONE					CLIENT TWO				
Fitle: Mr / Mrs / Ms / Dr Sex: M / F Date of birth:					Title: Mr / Mrs / Ms / Dr S	_		irth:	
Occupation:				(3)	Occupation:				П
Citizenship:					Citizenship:				П
ncome certainty*: /	AC QC	NS SU	EU		Income certainty*: AC	QC	NS	SU	EU
Annual income:				(4)	Annual income:				П
Business phone:					Business phone:				П
Home phone:					Home phone:				П
E-mail address:					E-mail address:				П
Home address:					Home address:				П
City:					City:				П
Province:	Posta	al code:			Province:	Pos	tal code:		П
Business address:					Business address:				П
City:					City:				П
Province:	Posta	al code:			Province:	Pos	tal code:		П
CHILDREN/GRA	ANDCHILDR NAME	EN			DATE OF BIRTH	H GEN	DER M	ARITAL ST	ATU
CHILDREN/GR/		EN			DATE OF BIRTH	H GEN	DER M	ARITAL ST	ATU
CHILDREN/GRA	NAME				DATE OF BIRTH			ARITAL ST	FATU
	NAME	CLIENT ONE					ENT TWO		TATU
	NAME		Mother		DATE OF BIRTH		ENT TWO	ARITAL ST	FATU
P A R E	NAME		Mother				ENT TWO		FATU
PARE Age Financial	NAME		Mother				ENT TWO		FATU
PARE inancial bligations	NAME		Mother				ENT TWO		FATU
PARE Inancial bligations Potential heritances Do you consider this	NAME ENTS Father	CLIENT ONE		Y/N	Father		ENT TWO		ATU
PARE Age Financial obligations Potential oberitances Do you consider this	NAME ENTS Father information in yo	CLIENT ONE		Y/N	Father		ENT TWO		ATU
Age Financial obligations Potential inheritances Do you consider this Details:	NAME ENTS Father information in yo	CLIENT ONE			Father		ENT TWO		TATU

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1. Would you prefer:
One investment plan combining your registered retirement savings plan (RRSP) and non-registered investments?
Separate investment plans – one for each of you?
2. If you have a work pension, do you want your pension assets considered in your investment plan? Y / N
3. Pension details (plan type, commuted value, current investment allocation):
4. Do your children have investments in their own names? Y / N Details: Informal in-trust Formal trust Personal savings
If so, how would you like us to treat these assets for planning purposes?
5. Do you currently have a relationship with a financial advisor at another financial institution? Y/ N
How would you describe your relationship with your other financial advisor(s):
6. Do you currently have a written financial or investment plan in place? Y / N
When was it last updated? By whom?
May I have a copy? Y / N
7. Do you have a will? Y / N
When was it last updated? Who are the beneficiaries?

SECTION C: GOALS & OBJECTIVES

8. How do you envision your future? Consider both activities and financial aspects.
9. Specific goals and priority (1)
Income today Income at a later date Estate transfer
Large future cash outlay, please specify Other Other
10. What percentage of years income do you regularly cove?
10. What percentage of your income do you regularly save?% Please provide any other information you feel is important:
Please provide any other information you leef is important.
In how many years will you begin using your investments for the primary purposes stated in question eight?(6)
11. Over how long will you withdraw funds?(7)
12. At what age do you plan to retire?
13. At that time, how much income will you require? \$
Will you take income:MonthlyAnnuallyBefore taxAfter tax
14. Which of the following statements most correctly describes your investment philosophy?(12)
I cannot accept any fluctuation in principal.
I prefer to invest in safer, lower return investments.
I am willing to tolerate some ups and downs in the value of my investments to achieve overall higher returns in the long run. My main interest is high, long-term returns. I am not concerned about short-term decreases in the value of my investments.
wy main interest is high, long-term returns. I am not concerned about short-term decreases in the value of my investments.
15. Do you have specific charities or causes to which you regularly contribute? Y / N
If so, have you ever considered these in your estate planning? Y / N
Please provide any details you feel important:

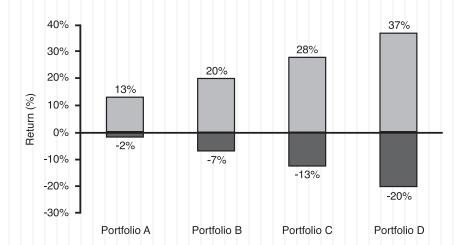
16. How importa	ant is it for your p	portfolio to co	ontinually reflect your tolerance for risk and need for return?			
Very important Somewhat important Not important						
What processes	What processes or plans are in place to ensure your portfolio maintains these attributes (i.e. rebalancing etc.)?					
17. To what exte	ent do you choos	se your invest	tments to minimize your personal income tax?			
Not at all		A little	Somewhat Mostly Primary reason			
Would you like u	us to consider ta	ax minimizatio	on strategies in your investment plan? Y / N			
Please provide	copies of your la	ast three tax r	eturns.			
10.0						
18. On average,	, what annual re	turn do you e	expect from your investment portfolio over the next 10 years? %			
19. What is the	main goal for yo	ur investmen	t portfolio? ₍₂₎			
To ensure	my portfolio rem	ains secure				
To see my	portfolio grow a	nd to avoid flu	uctuating returns			
To balance	growth and sec	curity, and to I	keep pace with inflation			
To provide	growth potentia	l, and to acce	ept some fluctuation in returns			
To provide	the sole objective	ve of potentia	l long-term growth			
			SECTION D: INVESTMENT KNOWLEDGE & EXPERIENCE			
			SECTION D: INVESTMENT KNOWLEDGE & EXPERIENCE			
			pwledge of investments?(9)			
I have very	/ little knowledge	e and I rely ex	owledge of investments?(9) xclusively on the recommendations of financial advisors.			
I have very	/ little knowledge ted knowledge o	e and I rely ex	owledge of investments? ⁽⁹⁾ xclusively on the recommendations of financial advisors. bonds, but I do not follow financial markets.			
I have very I have limit	/ little knowledge ted knowledge o ood working kno	e and I rely ex of stocks and wledge and I	owledge of investments?(9) xclusively on the recommendations of financial advisors. bonds, but I do not follow financial markets. regularly follow financial markets.			
I have very I have limit	/ little knowledge ted knowledge o ood working kno	e and I rely ex of stocks and wledge and I	owledge of investments? ⁽⁹⁾ xclusively on the recommendations of financial advisors. bonds, but I do not follow financial markets.			
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I have very I have limit I have a go	r little knowledge ted knowledge o bod working kno nd completely ho	e and I rely ex of stocks and I wledge and I ow different in	owledge of investments?(9) xclusively on the recommendations of financial advisors. bonds, but I do not follow financial markets. regularly follow financial markets.			
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I have very I have limit I have a go I understar 21. How importa Not at all 0 0	r little knowledge of ted knowledge of ted knowledge of the ted knowledge of ted knowledge of	e and I rely exif stocks and I wledge and I ow different in wing investment Very 2 2	owledge of investments?(9) sclusively on the recommendations of financial advisors. bonds, but I do not follow financial markets. regularly follow financial markets. nvestment products work including stocks and bonds, and follow financial markets closely. ent features to you: Professional management Diversification			
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I have very I have limit I have a go I understar 21. How importa Not at all 0 0 0 0	v little knowledge of ted knowledge of ted knowledge of the ted knowledge of ted knowledge of	e and I rely exif stocks and I wledge and I ow different in wing investment very 2 2 2 2 2	owledge of investments?(9) Acclusively on the recommendations of financial advisors. bonds, but I do not follow financial markets. regularly follow financial markets. nvestment products work including stocks and bonds, and follow financial markets closely. ent features to you: Professional management Diversification Simplicity Liquidity			
I have very I have limit I have a go I understar 21. How importa Not at all 0 0 0 0 0	v little knowledge of ted knowledge of t	e and I rely exif stocks and I whedge and I ow different in wing investment very 2 2 2 2 2 2	owledge of investments?(9) Acclusively on the recommendations of financial advisors. Bonds, but I do not follow financial markets. Tregularly follow financial markets. Investment products work including stocks and bonds, and follow financial markets closely. Professional management Diversification Simplicity Liquidity Flexibility – partial withdrawals, specific income creation, etc.			
I have very I have limit I have a go I understar 21. How importa Not at all 0 0 0 0 0 0	r little knowledge of ted knowledge of t	e and I rely exif stocks and I whedge and I ow different in wing investment very 2 2 2 2 2 2 2 2	owledge of investments?(9) Acclusively on the recommendations of financial advisors. bonds, but I do not follow financial markets. regularly follow financial markets. Investment products work including stocks and bonds, and follow financial markets closely. Professional management Diversification Simplicity Liquidity Flexibility – partial withdrawals, specific income creation, etc. Deferring taxes as long as possible			

22. After deducting all loans, mortgages and other debt, what is your total household net worth?(5) \$					
Current investments (or provide copie	es of current statements)				
Non-registered					
Account/Policy name	Financial institution	Amount			
Specific investment holdings					
Name of investment	Туре	Units/Unit value	Value		
Name of investment	туре	Offits/Offit value	value		
Registered					
Account/Policy name	Financial Institution	Amount			
Specific investment holdings					
Name of investment	Туре	Units/Unit value	Value		
What do you like or dislike about your	current non-registered investment holdings?				

23. What are you intentions regarding withdrawals and/or additional contributions over the next five years?(8)								
I plan to withdraw money at regular intervals, and not make any additional contributions								
I will likely make a lump sum withdrawal, and not make any additional contributions								
I will likely m	I will likely make contributions and withdraw from this investment and/or policy							
	I will likely make contributions and not withdrawls							
		ılar, additional contribution	s and not	withdrawle				
		nds from your investment a			c what will vo	ou do with this manay?		
ii you pian on wii	indrawing ful	ids from your investment a	iria/or por	cy within live year	s, what will yo	d do with this money:		
24. What system	atic investme	ent or withdrawal plans do	you curre	ntly have in place?	,			
PAC*	\$	M/Q//	A Det	ails				
SWP**	\$	M/Q//	A Det	ails				
ESPP***	\$	M/Q//	A Det	ails				
27. Liquidity: Wha	at is your obj	your current assets in equective for current cash bala			%			
Emergency	fund	Systematic investm	ent	Investment opp	ortunities	Other		
	vill be downtu	urns in the market, in the e nation of a recovery in valu		significant loss, ho	ow long are yo	ou prepared to hold your		
Less than th	ree months	Three to six months	s [Six months to a	year			
One to two	years	Two to three years		Three years or	more			
Assuming you intolerate in any given			it is the m	aximum drop in yc	our portfolio's	value that you could comfortably		
29. Please respo	kperience po	tentially large and frequen	t declines	in the value of my	investment if	it will increase the likelihood of		
Strongly agr	ee	Agree		Disagree		Strongly Disagree		
		- 						

^{*}Pre-authorized Chequing (PAC) **Systematic Withdrawal Plan (SWP) ***Employee Share Purchase Plan (ESPP)

30. A portfolio is a basket containing different investments. The returns earned by a specific portfolio depend on the mix of investments that make it up. The following graph shows the probable range of returns (from best to worst) of four hypothetical portfolios over a one-year period.



In which of these portfolios would you prefer to invest?(13)

Portfolio A	Portfolio B	Portfolio C	Portfolio D	

31.	What type of process do you use when it comes to investing?
32.	a) Inclusions: Would you prefer to have certain securities, investments and/or policies included in your portfolio (e.g. current holdings)?
	b) Exclusions: Would you prefer to have certain securities, investments and/or policies excluded from your portfolio?

33. What real estate do you own?								
Re	esidentia	ıl 🔲 Ir	ndustria	ı 🗀	Commercial			
What is the equity value for each? \$ \$ \$								
What is the	What is the mortgage owing on each? \$ \$ \$							
Should the	ese real	estate hold	lings be	consider	ed in your investment plan? If so, how?			
++++								
How impor	Investment protection features How important are the following features to your investment plans? (Please circle the appropriate number).							
Not at all		omewhat	4	Very	Detantial avaditar pretaction minimizing avangura to personal and/or			
1	2	3	4	5	Potential creditor protection – minimizing exposure to personal and/or professional liability			
1	2	3	4	5	Reduced estate (probate) costs			
1	2	3	4	5	Protecting your investments' value at death or maturity			
1	2	3	4	5	Privacy – avoid asset transfer becoming public record (probate)			
1	2	3	4	5	Expediency – assets transferred quickly to beneficiaries			

35. How frequently do you prefer:	
To review your holdings?	
To meet and review your plan personally?	
For us to contact you?	
Tor us to contact you?	
Do you have other specific service requirements?	
36. Is there any specific investment topic(s) on which you would be interested in receiving more information?	
37. Are you interested in attending investment seminars or workshops? On which topics?	

38. Is there anything else we haven't discussed that might be relevant to your investment plan?						

Important information

This questionnaire and fact-finding document have been developed to assist you in the assessment of your financial circumstances, investment time frame and attitude toward risk for the purpose of allocating funds. While reasonable efforts have been made to ensure the accuracy of the information and calculations used to arrive at an appropriate asset allocation, the responsibility for determining the most appropriate allocation to meet your needs remains with you. Your product providers, any of its representatives, or any other person, are not responsible for any damages resulting from the use of this tool, however caused.

Clients' privacy

I consent to the collection and use of personal information concerning me, as well as information I may have provided with respect to others (e.g., family members), that is included on this form. I understand that this information is obtained for the purpose of helping me plan for financial security, and is to be used for no other purpose unless I consent. You will not retain this form, and the information it contains, longer than required for financial security planning and for related record-keeping purposes. Subject to legal and contractual considerations, I may withdraw this consent at any time. In the event I complete an application with London Life Insurance Company, The Great-West Life Assurance Company and/or Quadrus Investment Services Ltd., I understand that this form, as completed by or for me, or a copy of it, may be retained by such company. I also understand that the form and the information contained in it will be subject to the personal information and related consent provisions contained in the application or in related documentation, and to the provisions of applicable law.

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