

# Portfolio Questionnaire

Client Name: \_\_\_\_\_

Client Signature: \_\_\_\_\_ Date: \_\_\_\_\_

This comprehensive questionnaire will help assess your investment goals and identify what strategies are right for you.

As your financial goals change, you may find it useful to periodically review your questionnaire responses with us to ensure your investment choices match your current needs.

## Your Investment Profile

### SCORE

#### 1. What is your investment time horizon?

- |                     |                         |
|---------------------|-------------------------|
| 1 year (score = 0)  | 4 years (score = 5)     |
| 2 years (score = 2) | 5–10 years (score = 10) |
| 3 years (score = 3) | 10+ years (score = 13)  |

#### 2. What average annual return do you expect?

- |                |                |
|----------------|----------------|
| 4% (score = 0) | 8% (score = 4) |
| 6% (score = 3) | 9% (score = 5) |

#### 3. How much of a short-term (less than one year) decline in your assets can you tolerate?

- |                  |                   |
|------------------|-------------------|
| -5% (score = 0)  | -15% (score = 10) |
| -10% (score = 6) | -20% (score = 17) |

#### 4. Are you willing to increase your risk for potentially higher returns?

- |                                                                             |             |
|-----------------------------------------------------------------------------|-------------|
| No, I am not willing to risk my capital.                                    | (score = 0) |
| Yes, if returns are likely to remain positive.                              | (score = 3) |
| Yes, if returns over my indicated time horizon are unlikely to be negative. | (score = 6) |
| Yes, I am willing to undertake a degree of capital risk.                    | (score = 9) |

#### 5. What is the minimum amount you need to withdraw annually for income purposes?

- |                                  |
|----------------------------------|
| A significant amount (score = 0) |
| A moderate amount (score = 2)    |
| None (score = 5)                 |

#### 6. What portion of your assets do you expect to have to liquidate over your indicated time horizon?

- |                  |                 |
|------------------|-----------------|
| None (score = 7) | 6% (score = 4)  |
| 2% (score = 6)   | 8% (score = 3)  |
| 4% (score = 5)   | 10% (score = 0) |

#### Sub Total Section One

## Your Personal Profile

SCORE

### 7. How many dependants do you have?

None (score = 5)      Two (score = 1)  
One (score = 3)      More than two (score = 0)

### 8. What is your approximate annual income?

Under \$50,000 (score = 0)      \$100,00–\$150,000 (score = 5)  
\$50,000–\$100,000 (score = 2)      Over \$150,000 (score = 7)

### 9. What are your current sources of income?

Employment (score = 2)      Investments (score = 1)  
Pension (score = 1)      Other – please define (score = 1)  
Benefits (score = 1)

### 10. What is the net value of your additional assets (real estate, business, etc.)?

Less than \$500,000 (score = 0)      \$1 million–\$2 million (score = 5)  
\$500,000–\$1 million (score = 2)      Over \$2 million (score = 7)

### 11. How would you describe your level of investment knowledge?

Non-existent (score = 0)      Average (score = 3)  
Limited (score = 1)      Sophisticated (score = 5)

### 12. Which statement best describes your investment goals?

I want to preserve my capital (score = 0)  
I want to grow my capital and generate income (score = 10)  
I want to generate income (score = 4)  
I want to grow my capital (score = 17)

## Analysis and Recommendations

Subtotal – Section I

Subtotal – Section II

Total Score:

### Recommended Portfolio Type

Diversified Income	0–30	Growth	61–74
Balanced Income	31–45	Global Growth	75–89
Balanced Growth	46–60	Maximum Growth	90–100

Commissions, trailing commissions, management fees and expenses all may be associated with mutual fund investments. Please read the simplified prospectus before investing. Mutual funds are not guaranteed and are not covered by the Canadian Deposit Insurance Corporation or by any other government deposit insurer. There can be no assurances that the fund will be able to maintain its net asset value per security at a constant amount or that the full amount of your investment in the fund will be returned to you. Fund values change frequently and past performance may not be repeated. Mutual funds provided through Fundex Investments Inc.

Labour Sponsored Funds have tax credits that are subject to certain conditions and are generally subject to recapture, if shares are redeemed within eight years.

