

## Know Yourself: The Facts and Figures (Questions 1 - 21)

1. INVESTOR NAME: \_\_\_\_\_

2. CO-INVESTOR / SPOUSE NAME: \_\_\_\_\_

3. ADDRESS: \_\_\_\_\_

\_\_\_\_\_

4. TELEPHONE: \_\_\_\_\_

Residence                      Business                      Cell

\_\_\_\_\_

e-mail    Fax

\_\_\_\_\_

Business (Co-Inv)                      e-mail (Co-Inv)                      Fax

5. Best times for us to call if we have any questions about this data: \_\_\_\_\_

6. DATE OF BIRTH: \_\_\_\_\_

(MM/DD/YYYY)    Investor    Co-Investor / Spouse

7. CITIZENSHIP: \_\_\_\_\_

Investor    Co-Investor / Spouse

8. DEPENDENTS: \_\_\_\_\_

(Name + Age)

\_\_\_\_\_

\_\_\_\_\_

9. INVESTOR'S INFORMATION:

EMPLOYER: \_\_\_\_\_

\_\_\_\_\_

Type of Business

\_\_\_\_\_

Position/Title

ANNUAL INCOME: \_\_\_\_\_

Are you member of a pension plan?    Yes     No

If yes, describe the plan: \_\_\_\_\_

\_\_\_\_\_

At what age do you plan to retire? \_\_\_\_\_

10. CO-INVESTOR'S / SPOUSE'S INFORMATION:

EMPLOYER: \_\_\_\_\_

\_\_\_\_\_  
Type of Business

\_\_\_\_\_  
Position/Title

ANNUAL INCOME: \_\_\_\_\_

Are you member of a pension plan?      Yes       No

If yes, describe the plan: \_\_\_\_\_

\_\_\_\_\_  
At what age does the co-investor/spouse plan to retire? \_\_\_\_\_

11. Do you/co-investor/spouse have a close affiliation with any public company?    Yes  No

If you answered yes, please provide details: \_\_\_\_\_

12. Do you/co-investor/spouse own options granted by a public company?      Yes  No

If yes, please provide details: \_\_\_\_\_

13. Is your general health good? Yes  No     Is the co-investor's/spouse's health good? Yes  No

14. Do you anticipate any changes to your overall financial circumstances in the foreseeable future?

\_\_\_\_\_  
\_\_\_\_\_

15. PROFESSIONAL ADVICE

Accountant \_\_\_\_\_

Lawyer \_\_\_\_\_

Other(s) \_\_\_\_\_

Other(s) \_\_\_\_\_

Other(s) \_\_\_\_\_

16. FINANCIAL INFORMATION - MAJOR ASSETS & LIABILITIES

INVESTMENTS

+ REAL ESTATE

+ OTHER ASSETS, COLLECTIBLES, CHATTLES

+ PRIVATE COMPANIES

- LIABILITES, MORTGAGES, LOANS (“Soft liabilities; alimony, allowances etc.)

= ESTIMATED NET WORTH \$ \_\_\_\_\_

## Schedule D – Individual(s) Questionnaire

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17. Are the portfolio assets used as collateral for a loan or line of credit? Yes  No

If yes, how much? \$ \_\_\_\_\_

18. What are your financial goals?

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19. Amount of money you anticipate needing, if any, to have available from your investment portfolio as a cash reserve for either emergency purposes (ie. Minimum available at all times):

\$ \_\_\_\_\_  
\_\_\_\_\_

20. Amount of money you anticipate needing, if any, for an expected major expenditure:

\$ \_\_\_\_\_

If so, when? \_\_\_\_\_

21. I require periodic payments from my investment portfolio as follows:

Monthly \$ \_\_\_\_\_

Quarterly \$ \_\_\_\_\_

Other \$ \_\_\_\_\_



### Know Yourself: Investment Experience (Question 22 a-e)

22. a) How do you rate your investment knowledge?

None     Limited     Average     Above Average     Sophisticated

b) What types of investments have you made in the past? (e.g. mutual funds, stocks, bonds, commodities or futures, options, real estate, GICs, CDs, tax shelters...)

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c) Outline your investment experience, likes and dislikes.

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d) Have you lost significant capital from equity investments in the past?

No                       Yes

Describe: \_\_\_\_\_

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e) Do you participate in an employee stock purchase plan? If so, provide details.

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### Know Yourself: Risk Tolerance. (Questions 23, 24, 25 a-e)

#### 23. INVESTMENT RISK ASSESSMENT

Which of the following statements best describes your attitude towards risk?  
(Please check ONE only)

- I am uncomfortable taking investment risks. I would prefer to avoid or minimize exposing capital to risk, recognizing that I may receive a lower rate of return as a result.
- I am willing to accept a moderate amount of investment risk in an effort to generate returns in excess of what I believe will be the long-term effects of inflation.
- I am comfortable assuming a fairly high level of investment risk in return for the opportunity of realizing potentially superior financial returns.

24. Are there any tax considerations or liabilities?    Yes                     No

If yes, Amount \$ \_\_\_\_\_ When \_\_\_\_\_

#### 25. LEVEL OF INVESTOR SOPHISTICATION

CastleMoore has identified Five Levels of Investor Sophistication among our clients. These five levels express the amount of experience you have in a variety of different ways of investing.

##### **“THE SAVER” - LEVEL 1**

The investment category “saver” refers to investors who wish to buy and sell securities that have specific maturity dates. On a specific date in the future, the issuer will pay a specified amount of money to the investor.

(a) What percentage of your current investments fit the “saver” risk category? \_\_\_\_\_%

##### **“THE B.I.P.” - LEVEL 2**

The investment category “BIP” refers to investors who are Buyers of Investment Products. Typically these are mutual or segregated funds bought through a sales agent and are held for many years, even through market down cycles.

(b) What percentage of your current investments fit the “BIP” risk category? \_\_\_\_\_%

### “THE CLASS INVESTOR” – LEVEL 3

The investment category “class investor” refers to investors who wish to buy and sell the various classes of investments as follows:

- I Cash money market instruments maturing in one year or less (or equivalent)
- II Fixed Income (as in “saver” above) with maturities longer than one year (or equivalent)
- III Equities/stocks as represented by exchange traded funds or mutual funds (or equivalent)
- IV Precious Metals exchange traded funds or mutual funds or certificates representing the ownership of precious metals or precious metals mines (or equivalent)

(c) What percentage of your current investments fit the “class investor” category? \_\_\_\_\_%

### “THE FOCUS INVESTOR” – LEVEL 4

The investment category “focus investor” refers to investors who wish to buy and sell all the securities available to the saver and the class investor plus individual stocks and securities that represent stock market sub-indices.

(d) What percentage of your current investments fit the “focus investor” category? \_\_\_\_\_%

### “THE TWO-WAY INVESTOR” – LEVEL 5

The investment category “two-way investor” refers to sophisticated investors who wish to buy, sell and sell short any of the securities listed above for other categories, plus derivative instruments.

(e) What percentage of your investments is invested in options, short selling or hedging? \_\_\_\_\_%

## Know Yourself: Personal Preferences. (Questions 26 – 29)

26. Are there any restrictions on the sale of existing investments? Yes  No

If yes, give details: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

27. Are there any restrictions on the future purchase of any securities? Yes  No

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## Schedule D – Individual(s) Questionnaire

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28. On average, how many hours per week do you currently spend monitoring or managing your investments?

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29. Is there anything we should have asked you about your financial position that we didn't ask?  
Is there anything we should take into account when we make our recommendations?  
(e.g. employee stock options, other specifics?)

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DATE: \_\_\_\_\_

\_\_\_\_\_  
INVESTOR

\_\_\_\_\_  
CO-INVESTOR

\_\_\_\_\_  
CASTLEMOORE INC.