

### Know Yourself: The Facts and Figures (Questions 1 - 19)

1. COMPANY NAME: \_\_\_\_\_

2. ADDRESS: \_\_\_\_\_

\_\_\_\_\_

3. TELEPHONE: \_\_\_\_\_

Business

Fax

e-mail

Website

4. TYPE OF BUSINESS: \_\_\_\_\_

5. STRUCTURE OF BUSINESS: PRIVATE  PUBLIC

6. WHERE INCORPORATED: \_\_\_\_\_

7. PRINCIPLES' A \_\_\_\_\_ % of Personal Net Worth \_\_\_\_\_  
OWERSHIP%

B \_\_\_\_\_ % of Personal Net Worth \_\_\_\_\_

C \_\_\_\_\_ % of Personal Net Worth \_\_\_\_\_

*Please provide attachments if there are more than three principles.*

8. SIGNING OFFICERS

\_\_\_\_\_  
Name Telephone E-Mail

\_\_\_\_\_  
Name Telephone E-Mail

\_\_\_\_\_  
Name Telephone E-Mail

9. COMPANY ANNUAL INCOME: \_\_\_\_\_

10. COMPANY TOTAL LIABILITIES: \_\_\_\_\_

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

\_\_\_\_\_

12. PROFESSIONAL ADVICE

Accountant \_\_\_\_\_

Lawyer \_\_\_\_\_

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

13. FINANCIAL INFORMATION - MAJOR ASSETS & LIABILITIES

MAJOR ASSETS, REAL ESTATE

+ INVESTMENTS

+ OTHER ASSETS, COLLECTIBLES, CHATTLES

+ PRIVATE COMPANIES

- LIABILITIES, MORTGAGES, LOANS ("Soft liabilities; alimony, allowances etc.)

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

## Schedule D - Corporate Questionnaire

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

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

15. What are your financial goals for this account?

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16. Amount of money you anticipate needing, if any, to have available from this corporate investment portfolio as a cash reserve for either emergency purposes (ie within a few days):

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

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

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

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

18. Periodic payments required from this corporate investment portfolio as follows:

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

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

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

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

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

### Know Yourself: Investment Experience (Question 20 A(a-e) - C(a-e))

20 A. a) NAME: \_\_\_\_\_ 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: Investment Experience (Question 20 A(a-e) - C(a-e))

20 B. a) NAME: \_\_\_\_\_ 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: Investment Experience (Question 20 A(a-e) - C(a-e))

20 C. a) NAME: \_\_\_\_\_ 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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*Please provide attachments if there are more than three principles.*

### Know Yourself: Risk Tolerance of Company Principles (Question 21 A-C)

#### 21 A. INVESTMENT RISK ASSESSMENT

NAME: \_\_\_\_\_

Which of the following statements best describes your attitude towards risk? (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.

#### 21 B. INVESTMENT RISK ASSESSMENT

NAME: \_\_\_\_\_

Which of the following statements best describes your attitude towards risk? (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.

#### 21 C. INVESTMENT RISK ASSESSMENT

NAME: \_\_\_\_\_

Which of the following statements best describes your attitude towards risk? (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.

### Overall Risk Management Profile

Now we combine the Principles' **Investment Risk Assessment** with the Principles' **Investment Experience** to establish guidelines and constraints for how your investments should be managed.

#### Know Yourself: Preferences and Restrictions (Question 22 - 25)

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

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

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

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

\_\_\_\_\_

\_\_\_\_\_

24. How many hours per week do you currently spend monitoring or managing company's investments?

\_\_\_\_\_

25. 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?)

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

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

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

\_\_\_\_\_  
PRINCIPLE A

\_\_\_\_\_  
PRINCIPLE B

\_\_\_\_\_  
PRINCIPLE C