

Kindly complete the Questionnaire and provide us with as much detail as you can to assist us in providing you with bespoke investment advice. Please do not leave questions unanswered unless an answer is not applicable in which cases write "N/A".

Know Yourself: The Facts and Figures (Questions 1 – 25)

1. NAME: _____

2. SPOUSE: _____

3. ADDRESS: _____

4. CONTACT: _____

Residence Phone

Business Phone

Fax

Cell Phone

E-mail Address

Business Phone (spouse)

E-mail Address (spouse)

Best times for us to call if we have any questions about this data: _____

5. SOCIAL INSURANCE NUMBER _____ (Please leave blank if not yet a client.)

6. DATE OF BIRTH: _____
Self (MM/DD/YYYY) Spouse (MM/DD/YYYY)

7. CITIZENSHIP: _____

8. DEPENDENTS: _____

Name

Age

Name

Age

Name

Age

Name

Age

9. EMPLOYER: _____

Type of Business

Position/Title

10. ANNUAL INCOME: _____

11. Are you a member of a pension plan? Yes No

If yes, describe the plan: _____

12. At what age do you plan to retire? _____

13. **SPOUSAL INFORMATION**

A) EMPLOYER: _____

Type of Business	Position/Title
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B) ANNUAL INCOME: _____

C) Are they member of a pension plan? Yes No

D) If yes, describe the plan: _____

E) At what age do they plan to retire? _____

14. Do you have a close tie/affiliation with any public company? Yes No

If you answered yes, please provide details: _____

15. Do you own options granted by a public corporation? Yes No

If yes, please provide details: _____

16. Is your general health good? Yes No

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

18. **PROFESSIONAL ADVICE CONTACT INFORMATION**

Accountant _____

Lawyer _____

Other(s) _____

19. **FINANCIAL INFORMATION**

REAL ESTATE

INVESTMENTS *(Please include recent statements as an attachment if preferred)*

LIFE/LONG TERM DISABILITY INSURANCE *(amounts and cash values):*

OTHER ASSETS, COLLECTIBLES, CHATTLES

PRIVATE COMPANIES

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

ESTIMATED NET WORTH \$ _____

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

If yes, how much? \$ _____ *Lending Institution* _____

21. Do you have an up to date financial plan? Yes No

NAME OF PLANNER _____

CONTACT _____

If no, would you like a referral to one? Yes No Not Sure

22. What are your financial goals?

23. Amount of money you anticipate needing, if any, to have available from your investment portfolio for emergency purposes (i.e., within a few days): _____

24. Amount of money you anticipate needing, if any, for an expected major expenditure:
\$ _____ If so, when? _____

25. Do you require periodic payments from your investment portfolio? as follows:
Monthly \$ _____ Quarterly \$ _____ Other \$ _____

Know Yourself: Investment Experience (Questions 26A-D)

26. A) How do you rate your investment knowledge?
None Limited 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)

C) Outline your investment experience, likes and dislikes. _____

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

Please Describe: _____

Know Yourself: Risk Tolerance (Questions 27, 28, 29)

27. INVESTMENT RISK ASSESSMENT

A) Which of the following statements best describes your attitude towards risk?

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.

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

If yes, \$ _____ When _____

29. LEVEL OF INVESTMENT EDUCATION/SOPHISTICATION

CastleMoore identifies various levels of investor sophistication among our clients. These different levels, in part, express the amount of investment experience you have acquired, and help determine

SAVER (The Saver Portfolio)

The investment category Saver Investor refers to investors who wish to buy and sell securities that have specific maturity dates or **fixed income**. On a specific date in the future, the issuer will pay a specified amount of money to the investor.

What percentage of your current investments fit the **SAVER** investor category? _____%

Would you like to?: a) Increase it? b) Decrease it? c) Keep it the same?

CLASS INVESTOR (The Class Portfolio)

The investment category Class Investor refers to investors who wish to invest in the various asset classes at the index level only (no individual equities). These would include cash, fixed income, index ETF's only and precious metals. This is an asset allocation portfolio.

What percentage of your current investments fit the **CLASS** investor category? _____%

Would you like to: a) Increase it? b) Decrease it? c) Keep it the same?

FOCUSED INVESTOR (The Focus Portfolio)

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 ETF's that represent stock market sector and sub-sectors. This type of investor prefers to concentrate their portfolio in bullishly trending securities and avoid those bearishly trending. This is an asset allocation portfolio.

What percentage of your current investments fit the **FOCUSED** investor category? _____%

Would you like to: a) Increase it? b) Decrease it? c) Keep it the same?

CANADIAN & US EQUITY ONLY INVESTOR (The RMI Portfolios)

The investment category RMI Investor refers to risk tolerant investors whom only want focused Canadian or US Equity exposure through individual stocks, a higher long-term risk to reward profile yet also a portfolio that can go to 100% cash to protect capital when needed.

What percentage of your current investments fit the **EQUITY ONLY** investor category? _____%

Would you like to: a) Increase it? b) Decrease it? c) Keep it the same?

SEASONAL INVESTOR (The Seasonal Advantage Portfolio)

The investment category refers to investors aiming to be fully invested in the equity market during the favourable period for stocks and aiming to be invested in defensive assets (fixed income, high yielding equities, and gold) during the period of volatility for the equity market. A core position in either the equity or fixed income market is rotated into sector and subsector opportunities during periods of seasonal strength. The portfolio uses a 3-pronged approach incorporating fundamental, seasonal, and technical analysis to gauge whether the average annual tendencies are occurring and whether investment is appropriate.

What percentage of your current investments fit the **SEASONAL** investor category? _____%

Would you like to: a) Increase it? b) Decrease it? c) Keep it the same?

Which category and subcategory do you feel comfortable with? You may select several

Category: _____

Category: _____

Category: _____

Category: _____

Know Yourself: Personal Preferences (Questions 30 – 36)

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

If yes, give details: _____

Do you wish custom management for them? Yes No Not Sure

31. Are there any restrictions on the purchase or sale of any securities? Yes No

If yes, give details: _____

32. 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?)

33. Would you like international investments? Yes No

34. How much time do you currently spend monitoring or managing your investments?
Hours per week _____ Do you enjoy this task? _____

35. Do you enjoy reading and learning about investments, new companies, and financial opportunities? Or would you rather be doing something else? *Please provide your thoughts*

36. How would you spend your time if you enjoyed complete financial independence?

37. If we are meeting three years from today to review things what will have had to have occurred for you to think our progress has been a success?

Signature Section

Client Name(s)

Client Signature

Client Signature

Date _____

CastleMoore Inc.

Date _____