

Investment strategy questionnaire



Our investment strategy questionnaire helps you and your advisor address the most critical stage of the investment process: **defining your investment profile and goals, and choosing the most appropriate investment strategy for your particular needs.**

Guide to the questionnaire and decision tree

As you review each question with your financial advisor, indicate your answers in the corresponding box on the “decision tree.” Trace your way through the decision tree by following the path indicated by your answers.

- ▶ If an answer is in the top of the box, trace the line up to the next question.
- ▶ If an answer is in the middle of the box, move straight ahead to proceed.
- ▶ If an answer is in the bottom of the box, take the line down to the next question.

The decision tree helps you visualize the assessment process.

You can see how certain answers lead to a more conservative investment strategy, and others to a more growth-oriented strategy.

The summaries of the different investment strategies and the corresponding asset allocations indicate the trade-off between risk and return: Higher equity exposure is a must for investors seeking higher returns; higher bond exposure reflects a greater need to preserve capital.

The completed questionnaire serves to document the assessment process – and will provide a reference point for future meetings between you and your advisor.

The questionnaire defines your investment profile and strategy

A series of simple yet insightful questions ensures a thorough assessment of your:

- ▶ **time horizon and financial objectives,**
- ▶ **overall financial situation and income requirements, and**
- ▶ **need for returns and tolerance for short-term volatility.**

Your questionnaire answers lead to a specific investment strategy – and a proposed target allocation. Choosing the most appropriate asset allocation can help balance your need for returns with your tolerance for market volatility.

Investment strategy questionnaire and decision tree

1 Time horizon

I may need the total amount invested and the investment revenue from this account within the next three years.

3 Financial stability

My personal and financial situations allow me to incur the risk of short-term losses for up to three years without compromising my financial stability.

4 Liquidity needs

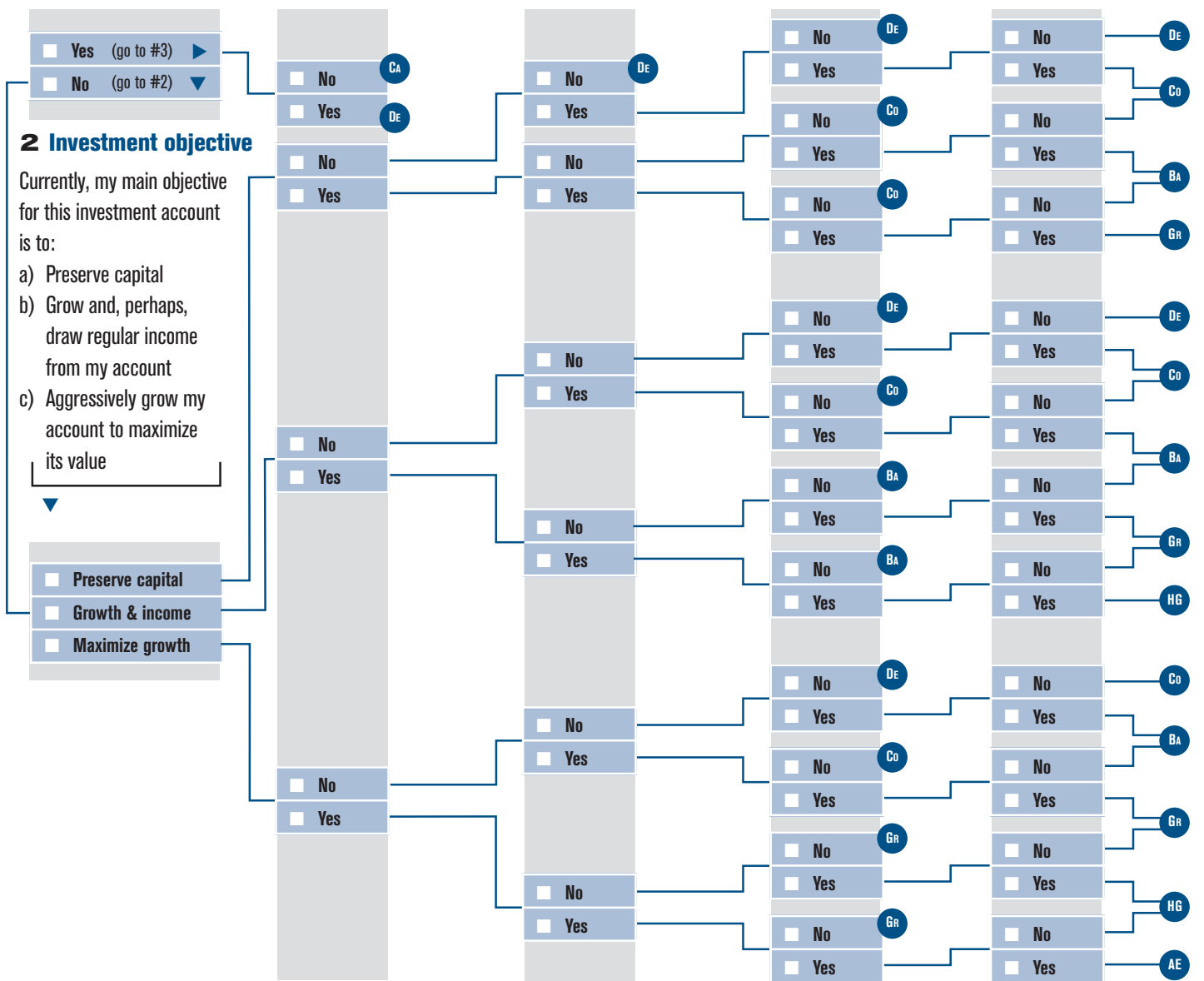
I will cover my current expenses without using this portfolio.

5 Short-term risks

If the return from this account was negative over a year, thus generating paper financial losses in the short run of 15% or more, I would adhere to my initial investment strategy.

6 Tolerance

I understand that the value of an investment in the stock market will change daily. I am, however, prepared to accept these fluctuations and extended periods of low or negative returns in order to earn a potentially higher return over the mid-to long-term.



Investor profiles and investment strategies

		Target asset allocation
CA	Cash You have short-term cash flow needs and want to preserve capital and maintain liquidity.	100% money market securities
DE	Defensive Preservation of capital is your most important consideration and you have very little tolerance for downside risk and portfolio volatility.	80% bonds 20% equities
CO	Conservative Your objective is to preserve capital while generating consistent returns from a combination of income and capital growth. You want to limit downside risk and portfolio volatility.	65% bonds 35% equities
BA	Balanced You are comfortable with a portfolio balanced between stocks for long-term capital growth and bonds for income – a mix that helps control downside risk and offset market volatility.	50% bonds 50% equities
GR	Growth Your priority is long-term capital growth and you are willing to take on some downside risk, but still want to hold a significant position in bonds to mitigate stock market volatility.	35% bonds 65% equities
HG	High growth Your objective is high long-term growth, and you are willing to take on the downside risk of an equity-oriented portfolio, but still want to hold some bonds to reduce volatility.	20% bonds 80% equities
AE	All equity To maximize long-term capital growth, you are willing to take on the short-term downside risk and high volatility of investing exclusively in equities.	100% equities

Investor information



- Mr. Mrs. Miss Ms Dr.
 Company (Attach Corporate Resolution) English French

Surname

First name & initials

Address

City

Province

Postal Code

Social Insurance Number (required by Canada Revenue Agency)

Birth Date (Day Month Year)

Home Telephone

Business Telephone

Email Address

This discussion is not a substitute for the complete or formal Dundee Pilot process, which is available only to Dundee clients, and is intended to provide only preliminary, basic information to Dundee financial advisors, whom you may not have yet retained. It is not, and should not be construed as, financial advice. If you are not a Dundee financial advisor, please consult a Dundee financial advisor to discuss how the elements of this questionnaire, including the Investor Profile Models and Target Asset Mixes, may apply to your personal circumstances.