

Investor/Lender Risk Tolerance

CLIENT INFORMATION FORM - INVESTOR/LENDER

Our brokerage is ensuring that we provide you with suitable investments based on your needs and circumstances. To meet this objective and fulfill the suitability requirements as dictated **by law**, we require the following information. We are dedicated to the protection of our investors and this information is considered personal and confidential and will only be used to meet the objectives as provided and as required by law.

INVESTOR INFORMATION			
Name (First, Middle Initial, Last)		DOB (MM/DD/YYYY)	SIN
ID TYPE AND # (Attach all corporate documentation when necessary)		<input type="checkbox"/> I have viewed the original <input type="checkbox"/> I have attached a clear and legible photocopy <input type="checkbox"/> I have not physically met the investor/lender and cannot confirm <u>identity</u>	
Contact Information			
Tel:	Cell:	Email:	No of Years
Present Address			
Previous Address			No. of Years

INVESTOR PROFILE DISCLOSURE

Approximate Income

- ☐ Under \$25,000
- ☐ \$25,000 - \$49,999
- ☐ \$50,000 - \$74,999
- ☐ \$75,000 - \$99,999
- ☐ \$100,000 - \$124,999
- ☐ \$125,000 - \$200,000
- ☐ Over \$200,000

Approximate Net Worth

- ☐ Under \$25,000
- ☐ \$25,000 - \$49,999
- ☐ \$50,000 - \$74,999
- ☐ \$75,000 - \$99,999
- ☐ \$100,000 - \$124,999
- ☐ \$125,000 - \$200,000
- ☐ Over \$200,000

Risk Tolerance Scale

Choose the number that best reflects your level of risk tolerance.

- ☐ 0 LOW
- ☐ 1
- ☐ 2
- ☐ 3
- ☐ 4 MEDIUM
- ☐ 5
- ☐ 6 MEDIUM HIGH
- ☐ 7
- ☐ 8
- ☐ 9 HIGH

Mortgage Knowledge

- ☐ Sophisticated
- ☐ Good
- ☐ Fair
- ☐ Novice

Liquidity Requirement

- ☐ 1- 3 years
- ☐ 3 - 5 years
- ☐ 5-10 years
- ☐ 11- 20 years
- ☐ 20+ years

Objectives

- ☐ Safety
- ☐ Income
- ☐ Balance
- ☐ Growth
- ☐ Aggressive
- ☐ Speculation

1. Do you need all of your invested money back in the next year or two?

☐ Yes ☐ No

2. Your financial stability is important when determining how much risk you can tolerate in your investments. Do you feel that your current financial situation is?

☐ 1. Very secure ☐ 2. Relatively secure ☐ 3. Secure
☐ 4. Somewhat secure ☐ 5. Not secure

3. Your age is:

☐ Under 30 ☐ 30 to 42 ☐ 43 to 54
☐ 55 to 64 ☐ Over 64

4. Which statement best describes your preferred approach to investing?

☐ I would rather accept a lower rate of return to reduce my risk.
☐ I would like to achieve a high rate of return and am willing to accept a greater degree of risk

Certification

By signing below, you certify that the information in this form is accurate and will be considered current unless we are notified otherwise. We are compliant with current PIPEDA legislation and our "Privacy Policy" can be viewed on our website at www.rmabroker.ca. Personal information will be held in the strictest of confidence and only released to third parties to fulfill our obligations to you or to comply with regulatory requirements or when required to do so by law.

Client Signature:

Date_____

Mortgage Agent/Broker

Date_____

Compliance Approval (Head Office Use Only)

Date Reviewed: _____

Signature of Compliance Officer

Date