

Portfolio Series™

Investor Profile Questionnaire



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This questionnaire is designed to help you select the portfolio from Portfolio Series that best meets your investment goals. Simply complete the questionnaire, add up your points, and select your tailored portfolio from the back page.

1. Complete the Questionnaire

Complete the questionnaire by circling the most appropriate response to each question. Your advisor can help you with your answers. The more accurately you respond, the better the questionnaire works.

2. Total Your Score

Add up the points from your responses. Your answers to the questionnaire will generate a score. Your score determines which portfolio is best suited to you by calculating how much risk you can comfortably assume in order to achieve your return objectives.

3. Select Your Portfolio

Select the portfolio that corresponds to your score. Your advisor will help you with the portfolio selection process by considering all relevant factors.

For more information, please refer to the Portfolio Series brochure.

1. Personal and Financial Situation

ANSWERS

SCORE

Question 1. What is your age?

Description: In general, there is less need for older investors to assume significant investment risk than there is for younger investors. While other circumstances such as wealth may counter this assumption, advancing age generally reduces risk tolerance.

30 and under	8
31 to 40	6
41 to 50	4
51 to 65	2
Over 65	0

Question 2. What is your annual household income (before tax)?

Description: Your financial advisor must understand your financial situation in order to provide you with a tailored investment strategy that reflects your current situation, and enables you to achieve your financial goals.

Less than \$40,000	0
\$40,001 to \$75,000	4
\$75,001 to \$125,000	9
\$125,001 to \$200,000	14
Over \$200,000	17

Question 3. How much does your household have in investable assets (total assets less your principal residence, business assets, and personal property)?

Description: Greater wealth and investable assets typically imply higher “financial” risk tolerance. However, some wealthy investors may be risk averse and have low “psychological” risk tolerance.

Less than \$35,000	0
\$35,001 to \$75,000	4
\$75,001 to \$150,000	9
\$150,001 to \$300,000	14
Over \$300,000	17

2. Investment Objectives and Risk Tolerance

ANSWERS

SCORE

Question 4. What is your primary investment objective?

Description: Determining your investment objective enables your financial advisor to select a suitable asset allocation to maximize your portfolio’s return and minimize its risk.

Preserve capital	0
Generate maximum income with modest asset growth	4
Achieve moderate growth and income	9
Achieve strong asset growth with modest income	14
Achieve maximum asset growth	17



Question 5. For how long do you plan to invest these funds before you begin withdrawing a substantial portion from your portfolio (e.g., a withdrawal of more than half)?

Description: If you plan to invest for less than three years, you may experience a declining part of a market cycle without the opportunity to take advantage of longer-term market trends.

1 to 3 years.	0
4 to 5 years.	5
6 to 10 years.	11
11 to 15 years.	16
More than 15 years	25

Question 6. Given your financial goals, how much volatility (risk) are you willing to assume to achieve your portfolio's expected return?

Description: Any well-diversified portfolio is subject to some volatility (risk), where the portfolio will likely have negative returns in certain years.

Low volatility, since you require positive returns each year	0
Low to medium volatility, such as negative returns in 1 of every 8 years.	5
Medium volatility, such as negative returns in 1 of every 6 years	11
Medium to high volatility, such as negative returns in 1 of every 5 years.	16
High volatility, such as negative returns in 1 of every 4 years	25

Question 7. How much of a temporary decline in your investment portfolio could you tolerate over a one-year period?

Description: Your portfolio will likely have a negative return in certain years. A portfolio with higher volatility (risk) will likely have higher negative returns in any one year. You will need to have both the “psychological” and “financial” risk tolerance to withstand these negative returns.

0%	0
-5%	4
-10%	9
-15%	14
More than -15%	17

3. Investment Knowledge and Experience

ANSWERS SCORE

Question 8. What do you expect the overall average return on your investment portfolio to be over the long term (10+ years), before tax but after inflation?

Description: Your financial advisor can help you align your return expectations with your risk tolerance. Ideally, you should focus on the long-term returns of your investment portfolio after inflation (i.e., the real rate of return).

0% to 2%	0
1% to 3%	2
4% to 7%	4
5% to 9%	6
More than 9%	8

Question 9. Which statement best describes your level of investment knowledge about financial markets and products?

Description: Knowing your level of investment knowledge helps your financial advisor communicate with you at an appropriate level. Further, your knowledge level helps your advisor assess how much background information is required when discussing investment strategies and products.

Very limited knowledge	0
Basic knowledge and minimal experience	2
Good knowledge and some investment experience	4
Strong knowledge and experience	6
Advanced knowledge and extensive experience	8

Question 10. Which of the following statements best describes your current investment portfolio (individual securities and/or mutual funds)?

Description: Information on your previous investment experience helps your financial advisor assess your investment knowledge and your attitude toward investment risk.

Mainly Canadian money market securities (e.g., cash, GICs, CSBs)	0
Mainly Canadian fixed-income securities (e.g., government and/or corporate bonds)	2
Equal amounts of fixed-income and equity securities	4
Mainly Canadian and international blue-chip equities	6
Mainly aggressive Canadian and international securities	8

Portfolio Series Investor Profile Questionnaire Scorecard

Client Name: _____

Advisor: _____

Date Completed: _____



After reviewing the results of the Investor Profile Questionnaire you have just completed, your advisor will ensure that relevant factors have been considered in order to recommend one of the Portfolios.

(1) _____

(2) + _____

(3) + _____

(4) + _____

(5) + _____

(6) + _____

(7) + _____

(8) + _____

(9) + _____

(10) + _____

Total = _____

Scoring Summary at a Glance

(See back page for more details about the portfolios.)

Portfolio Series Income Fund	< 11 Points
Portfolio Series Conservative Fund	12-30 Points
Portfolio Series Conservative Balanced Fund	31-59 Points
Portfolio Series Balanced Fund*	60-87 Points
Portfolio Series Balanced Growth Fund*	88-114 Points
Portfolio Series Growth Fund*	115-135 Points
Portfolio Series Maximum Growth Fund*	136-150 Points

All Portfolios available in SunWise Elite and select Portfolios (*) available in T-Class

Portfolio Series Investor Profile Questionnaire

You have your own unique blend of financial needs and resources

Making a wise portfolio choice is dependent on a proper and prudent assessment of your profile as an investor. This Investor Profile Questionnaire is a starting point for you and your advisor to work together to prepare your investment plan. The questions encompass the major areas: your current personal and financial situation; your investment objectives and risk tolerance; your investment knowledge and experience.

When thoughtfully and accurately completed, this profile can be an effective tool that will assist your advisor in recommending the Portfolio that is appropriate for you.

The information provided through this exercise is used to prepare your Investment Policy Statement (IPS)—a document generated to reflect an investment strategy that might be appropriate for you. Your IPS details your proposed asset allocation, which is an important step in structuring your portfolio. The IPS becomes the baseline against which you will be able to measure the ongoing performance of your investments.

Our research and experience illustrates that investment success over the long term is directly related to your ability to tolerate and understand volatility in the short term. Achieving greater returns often means taking greater risk, which can lead to more volatility in the value of the investment. If you do not have a portfolio that you can live with during down markets, then you'll be less likely to stay the course in the long run. That is why many of the questions we've included focus on your tolerance for risk.

Before you begin completing this questionnaire there are two important points to consider:

- Portfolio Series was created to meet long-term investment objectives. You should be prepared to be invested for a full economic cycle (which typically lasts five to ten years). Some investment vehicles require an entire economic cycle to mature and a five-year time horizon allows most short-term market fluctuations to even out and reduce the risk that you may have to make substantial withdrawals at an inopportune time. If you are fairly certain that you will require a substantial portion (20% or more) of your portfolio in less than five years, you should speak to your advisor about your needs.
- Your personal and financial circumstances change over time and it will be important for you to review your portfolio on a regular basis with your advisor.

Portfolios to meet any investor's needs.

Portfolio Series Income Fund* 70% Income, 30% Equity Suited for investors whose primary need is income and capital preservation.	< 11 Points
Portfolio Series Conservative Fund 55% Income, 45% Equity Suited for investors whose primary objective is capital preservation and income with moderate growth.	12-30 Points
Portfolio Series Conservative Balanced Fund 45% Income, 55% Equity Suited for investors whose primary objective is capital preservation with some growth.	31-59 Points
Portfolio Series Balanced Fund 35% Income, 65% Equity For investors pursuing long-term capital growth who are conscious of volatility.	60-87 Points
Portfolio Series Balanced Growth Fund 25% Income, 75% Equity For investors pursuing long-term capital growth while remaining conscious of volatility.	88-114 Points
Portfolio Series Growth Fund 20% Income, 80% Equity For long-term investors seeking strong capital growth while comfortable with some short-term volatility.	115-135 Points
Portfolio Series Maximum Growth Fund 100% Equity For aggressive investors looking to maximize returns and can tolerate higher volatility.	136-150 Points

*Portfolio Series Income Fund is created specifically for transitioning investors who have reached a point in their lives where they want or need to convert their "nest egg" or retirement assets into a reliable income stream. If you are at this stage, the questionnaire may not be necessary.

Fund Codes

Fund Name	Class A, CDN \$ ISC / DSC / LSC	Class A, US \$ ISC / DSC / LSC	Class F, CDN \$ ISC	Class F, US \$ ISC
Portfolio Series Income Fund	7740 / 7745 / 1745	–	7746	–
Portfolio Series Conservative Fund	7770 / 7775 / 1775	–	7776	–
Portfolio Series Conservative Balanced Fund	2600 / 3600 / 1600	2700 / 3700 / 1707	4600	4700
Portfolio Series Balanced Fund*	7710 / 7715 / 1715	–	7716	–
Portfolio Series Balanced Growth Fund*	2601 / 3601 / 1601	2701 / 3701 / 1708	4601	4701
Portfolio Series Growth Fund*	2602 / 3602 / 1602	2702 / 3702 / 1702	4602	4702
Portfolio Series Maximum Growth Fund*	2603 / 3603 / 1603	2703 / 3703 / 1704	4603	4703

All Portfolios available in SunWise Elite and select Portfolios (*) available in T-Class

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