

HOW TO DETERMINE YOUR INVESTMENT OBJECTIVES AND RISK TOLERANCE

CLIENT INFO

NAME	PHONE	E-MAIL
ADDRESS	CITY/PROV	POSTAL CODE
ACCOUNT TYPE	CURRENT PORTFOLIO VALUE	ANNUAL EXPECTED CONTRIBUTION OR ANNUAL WITHDRAWAL REQUIRED

TIME AND GOALS

What is your time frame for wanting to reach your financial goals? Answer

1 1 year or less
 2 2-5 years
 3 5-10 years
 4 10-15 years
 5 15 years or longer

What is your age?

1 60+ years
 2 50-59
 3 40-49
 4 30-39
 5 20-29

What is your primary financial goal?

1 Capital Protection
Protection against decline in market value of your investments.
 3 Current Income
Income generated from investments.
 5 Capital Appreciation
Increase in market value of your investments is primarily through price appreciation.

Time and Goals Total: _____

INVESTMENT RISK ATTITUDE

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
1. I would like to get as much long-term growth from my investment funds as possible, even if it means dramatic ups and downs on a year-to-year or month-to-month basis in my investment results.	5	4	3	2	1
2. I believe I will have enough money to reach my goal; therefore, I must protect what I have.	1	2	3	4	5
3. I believe I will not have enough money to reach my goal; therefore, I must take some risks to get ahead.	5	4	3	2	1
4. I would like to protect the money that I invest even if it means getting very little long-term growth.	1	2	3	4	5
5. I believe I will have enough money to reach my goal; therefore, I can afford to take some risks.	5	4	3	2	1
6. I believe I will not have enough money to reach my goal; therefore, I cannot afford to risk what I have.	1	2	3	4	5

Investment Risk Total: _____

INVESTMENT OBJECTIVE ATTITUDE

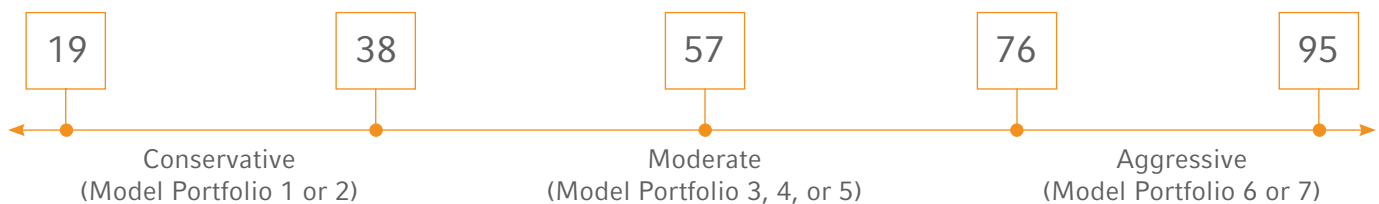
	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
1. Earning the highest possible return is the first priority, even if it requires taking some risks to do so.	5	4	3	2	1
2. I prefer an investment strategy designed to grow steadily and avoid sharp ups and downs, even if it lowers the long-term returns.	1	2	3	4	5
3. Short-term losses are acceptable if I have confidence that the long-term returns will be good.	5	4	3	2	1
4. Protecting the money I have is a higher priority for me rather than making it grow.	1	2	3	4	5
5. If I inherited a large sum of money, I would put it in the bank rather than invest it in stocks.	1	2	3	4	5
6. For the right opportunity, I would quit my job and start my own business.	5	4	3	2	1
7. I do not think I will need to spend any of my principal before the end of my planning horizon.	5	4	3	2	1
8. I have other substantial assets, such as a pension, personal saving account or inheritance, that make up a large portion of my net worth.	5	4	3	2	1
9. Apart from this investment, I expect my earnings to increase over the next 5 years.	5	4	3	2	1
10. I have a very adequate emergency fund that would cover most emergencies.	5	4	3	2	1

Investment Objective Total: _____

Time and Goals Total (Front Side)	Investment Risk Total (Front Side)	Investment Objective Total (Above)	GRAND TOTAL
	+	+	=

TOTALS

APPLY YOUR GRAND TOTAL ON THE CONTINUUM BELOW



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