

## Stacey Muirhead Capital Management Ltd. Know Your Client Questionnaire

Securities regulations require us to collect the following information on a regular basis. All information will be kept strictly confidential in accordance with our privacy policies. Please see Subscription Agreement for details.

New Application       Update

### UNITHOLDER INFORMATION

#### ENTITY

Name: \_\_\_\_\_ Name of Signing Officer: \_\_\_\_\_

Address: \_\_\_\_\_ Phone Number  
of Signing Officer: \_\_\_\_\_

Phone Number  
of Business: \_\_\_\_\_

Nature of Entity  
(corporation, trust, partnership, etc): \_\_\_\_\_ Residency: \_\_\_\_\_

Date of Formation (i.e. incorporation,  
trust settlement, partnership) \_\_\_\_\_ Nature of business: \_\_\_\_\_

#### REPORTING ISSUER:

Are you an insider of a "reporting issuer" or a company whose securities are traded in any public market? If yes, please provide details.

Yes. Indicate how and provide name(s) of the issuer(s): \_\_\_\_\_  
 No.

#### INVESTOR PROFILE:

##### Investment Time Horizon

- Short Term (< 3 years)  
 Medium Term (3-5 years)  
 Long Term (over 5 years)

##### Liquidity Need

- < 1 yr  
 1-3 yrs  
 4-5 yrs  
 > 5 yrs

##### Investment Knowledge (see Appendix)

- Limited/Novice  
 Fair  
 Good  
 High/Sophisticated

##### Investment Objective (equal 100%)

- \_\_\_\_\_ % Safety  
\_\_\_\_\_ % Income  
\_\_\_\_\_ % Growth  
\_\_\_\_\_ % Balanced  
\_\_\_\_\_ % Speculation

##### Risk Tolerance (See Appendix)

- Low  
 Medium  
 High

##### Other Investments

- Bonds (including Bond Mutual Funds)  
 Stocks (including Equity Mutual Funds)  
 Mortgages  
 Real estate  
 Alternative investment products  
 Term deposits

##### Percentage of Total Portfolio in Fund

- <10%  
 10-25%  
 25-50%  
 50-75%  
 >75%

#### FINANCIAL INFORMATION:

##### Annual Income

(In each of the last two years)

- Under \$200,000  
 Over \$200,000

##### Net Financial Assets

(Cash, stocks, bonds, mutual funds etc., less related liabilities)

- Under \$1,000,000  
 Over \$1,000,000

##### Net Worth

(Total assets less total liabilities)

- Under \$5,000,000  
 Over \$5,000,000

**OTHER QUESTIONS**

**Account's Intended Use:** \_\_\_\_\_  
(i.e.: capital growth, capital preservation, retained earnings, etc.)

**Third-Party Determination**

Will a third party be providing instructions to you with respect to making this investment?

- Yes. Please complete the below.
- No.

\_\_\_\_\_  
Name of Third Party                      Date of Birth, if applicable                      Business Identification Number, if applicable

\_\_\_\_\_  
Primary Business/Occupation                      Relationship with Subscriber                      Jurisdiction of Incorporation, if applicable

\_\_\_\_\_  
Street Address, City, Province, Postal Code, and Country

**UNITHOLDER SIGNATURE:**

\_\_\_\_\_  
Authorized Signatory Name (please print)

\_\_\_\_\_  
Position (please print)

\_\_\_\_\_  
Signature - I have the authority to legally bind the entity

\_\_\_\_\_  
Date

## **APPENDIX**

### **Investment Knowledge:**

*Limited/Novice* – You have only invested in simple securities such as savings bonds or well-known common shares largely based on the advice of others.

*Fair* – You have some knowledge or experience with investments and/or credit products, including bonds, stocks, mutual funds, term deposits or real estate.

*Good* – You have either traded in or have reasonable knowledge of the characteristics of both fixed income securities and common shares, as well as an understanding of the degree of risk and reward inherent in these types of securities.

*High/Sophisticated* – You have a good business background, follow the markets regularly and have traded in and understand most types of investment securities.

### **Risk Tolerance:**

*Low* – The low risk rating applies to investors who are willing to accept lower returns in order to preserve their principal. Investments under the low risk rating include investments with low volatility such as money market funds and/or Canadian fixed income funds.

*Low to Medium* – The low to medium risk rating applies to investors who are seeking a balance between safety and return on their investment. Investments under the low to medium risk rating include investments with a low to medium volatility and may include fixed income securities or balanced funds.

*Medium* – The medium risk rating applies to investors who are seeking moderate growth over a longer period of time. Investments under the medium risk rating include investments with medium volatility and may include equity portfolios that are well diversified across a broad number of Canadian and/or international equity securities and across a number of economic sectors.

*Medium to High* – The medium to high risk rating applies to investors who are seeking long-term growth. Investments under the medium to high risk rating include investments with medium to high volatility and may include investments in equity funds that concentrate their investments in specific regions or in specific sectors of the economy.

*High* – The high risk rating applies to investors who are growth oriented and are willing to accept significant short-term fluctuations in portfolio value in exchange for potentially higher long-term returns. Investments under the high risk rating include investments with high volatility and may include investment funds that concentrate their investments predominantly in specific regions or in specific sectors of the economy where there is a substantial risk of loss (i.e., emerging markets and precious metals); labour-sponsored venture capital funds, or funds that engage in speculative trading strategies including hedge funds that invest in derivatives, short sell or use leverage.