

BMO NESBITT BURNS

Lee Rorabeck Investment Advisory

[www.leerorabeck.ca](http://www.leerorabeck.ca)

— CONFIDENTIAL —

## Investment Profile

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Name: \_\_\_\_\_

Date: \_\_\_\_\_

The information contained herein is confidential and for internal use only.

**W**e believe that the best way to manage your finances effectively is to have a thorough understanding of your overall financial picture. This includes all aspects that are currently affecting your finances, and those that will have an impact in the future – banking, investments and insurance to name a few. If our knowledge of your situation is very complete, and kept current, it greatly enhances our ability to provide optimal service and ultimately, to achieve the objectives that we set out together.

We have developed this investment questionnaire specifically for our clients. The information that you provide will be kept strictly confidential and used solely for the purpose of your investment planning.

Our first goal is to get to know you better - to understand your financial circumstances and objectives – and also your non-financial obligations, interests and concerns. Over time, we have observed that the caliber of solutions that we can recommend directly relates to the information that you provide. Please answer as completely as possible.

## Personal Profile

	<u>Client</u>	<u>Spouse</u>
Last Name:	_____	_____
First Name:	_____	_____
Date of Birth:	MM____/DD____/YYYY_____	MM____/DD____/YYYY_____
Marital Status:	<input type="checkbox"/> Single <input type="checkbox"/> Married	<input type="checkbox"/> Divorced <input type="checkbox"/> Separated
Social Insurance Number:	_____	_____
Employer:	_____	_____
Home Address:	_____	_____
Telephone:	_____	_____
E-mail:	_____	_____
	<i>Name</i>	<i>Date of Birth</i>
Children:	_____	_____
	_____	_____
	_____	_____

Telephone Number

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Spouse

\$\_\_\_\_\_

\$\_\_\_\_\_

\$\_\_\_\_\_

§

%

\_\_\_\_\_ %

\$\_\_\_\_\_

expect to require at retirement? (Net) \$\_\_\_\_\_

[illegible]

**Non Registered Assets**

	<u>Client</u>	<u>Spouse</u>
What is the current value of your non-sheltered investments?	\$ _____	\$ _____
Adjusted Cost Base:	\$ _____	\$ _____
What is your expected annual contribution to these funds?	\$ _____	\$ _____

**Other possible sources of retirement income** (including the sale of assets such as businesses, residences and other property):

What is the approximate current value of such property?	\$ _____
Approximately how many years to disposition?	_____

**Future assets** (including such items as inheritances):

What is the approximate current value of such items?	\$ _____
Approximately how many years to disposition?	_____

**Registered Assets**

Because of the power of tax sheltered compound growth your registered assets are one of the most important components of your retirement plan. A strategy of careful planning, consistent maintenance and making your maximum allowable contributions on a consistent basis is essential to make the most of these investment vehicles.

	<u>Client</u>	<u>Spouse</u>
What is the total current value of your RRSPs & RRIFs?	\$ _____	\$ _____
How much do you plan to contribute each year until retirement?	\$ _____	\$ _____
Do you have outstanding RRSP carry forward entitlement?	\$ _____	\$ _____
What is the total value of your TFSA's?	\$ _____	\$ _____
How much do you plan to contribute each year to TFSA's?	\$ _____	\$ _____
What is the total value of your RESP's?	\$ _____	\$ _____
Do you have outstanding RESP contribution room?	\$ _____	\$ _____
What is the current value of your other sheltered plans?	\$ _____	\$ _____

**Mortgages**

Mortgages comprise a large portion of many individuals' financial landscape. How your mortgage is set up and maintained is of great importance to your financial stability and piece of mind. It is therefore of critical importance that the terms of your new mortgage be to your satisfaction when it comes time to renew.

When does your present mortgage mature?	_____	Not applicable <input type="checkbox"/>
When will your present mortgage be paid off?	_____	Not applicable <input type="checkbox"/>
Where do you hold your present mortgage?	_____	Not applicable <input type="checkbox"/>

Are you planning to purchase a cottage or second home within the next two years for which you will require a new mortgage? Yes ☐ No ☐

Do you foresee any upcoming events in the next three years that may require financing? (for example, a child's education, a wedding, a business venture, or a large purchase) Yes ☐ No ☐

If yes, please describe: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

## Estate Planning

Like many Canadians, you will likely want to preserve and pass on as much of your estate as possible by creating a plan that protects the estate from taxes and passes more of it on to your beneficiaries. Estate Planning is a basic component of any well developed financial plan, much like the development of a properly structured investment portfolio. Our in-house insurance specialist can help you decide what insurance approach is best suited to your needs.

	<u><b>Client</b></u>		<u><b>Spouse</b></u>
Do you have a current Will?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>
Last Update:	MM ____ /DD ____ /YYYY ____		MM ____ /DD ____ /YYYY ____
	<i>Name</i>		<i>Relationship</i>
Beneficiary:	_____		_____
	_____		_____
	_____		_____

What steps have you taken to minimise the taxation of your estate at your death?

- Had an estate review* ☐  
*Calculated estate costs at your passing away* ☐  
*Established a testamentary trust* ☐  
*Arranged estate to minimise* ☐ taxes ☐ probate  
 Do you presently have life insurance? ☐ Yes ☐ No

If yes, what is the face amount of your insurance?

		Term	Whole Life	Universal Life	Critical Illness	Disability
<b>Client</b>	Personal					
	Group					
<b>Spouse</b>	Personal					
	Group					

If you own a business.

- Do you have: A Buy/Sell Agreement? Yes ☐ No ☐  
                   Is it insured? Yes ☐ No ☐  
                   Any significant retained earnings? Yes ☐ No ☐  
                   Keyman Insurance? Yes ☐ No ☐  
 Do you have a holding company? Yes ☐ No ☐  
 Do you have any highly appreciated assets?  
 (i.e., business, real estate, secondary residences, cottages, art, etc.) Yes ☐

Please list: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

What assets do you have in other countries?

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

[illegible]

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