

## Investment questionnaire

The information collected with the Investment Questionnaire will be used by your advisor to help identify an asset mix that best suits your tolerance for risk. Please complete the following three simple steps with the help of your advisor.

Client name \_\_\_\_\_ Date \_\_\_\_\_

Client address \_\_\_\_\_

Client phone number (H) \_\_\_\_\_ (W) \_\_\_\_\_ Client email \_\_\_\_\_

### Step 1 – Complete the investment questionnaire

#### Financial objectives and time horizon

**1. Which of the following statements best describes your objective for the money you are investing?**

- |   |            |                      |
|---|------------|----------------------|
| a) Preservation of capital                              | = 0 points | # of Points          |
| b) Growth through a balance of capital gains and income | = 3 points | <input type="text"/> |
| c) Growth through capital gains and some income         | = 4 points |                      |
| d) Growth primarily through capital gains               | = 8 points |                      |

**2. How long do you plan to leave this money invested?**

- |                  |             |                      |
|------------------|-------------|----------------------|
| a) Under 2 years | = 0 points  | # of Points          |
| b) 2 – 5 years   | = 3 points  | <input type="text"/> |
| c) 6 – 10 years  | = 6 points  |                      |
| d) 11 – 15 years | = 8 points  |                      |
| e) Over 15 years | = 10 points |                      |

Note: If you have selected "Under 2 Years" as the time horizon for this investment, regardless of your score, a 100% fixed-income product may be the most suitable investment option. Please discuss with your advisor.

**3. What is the chance that you may wish to cash in a significant portion of this investment earlier than anticipated?**

- |                                 |            |                      |
|---------------------------------|------------|----------------------|
| a) Low (less than 10%)          | = 5 points | # of Points          |
| b) Medium (between 10% and 25%) | = 3 points | <input type="text"/> |
| c) High (over 25%)              | = 0 points |                      |

#### Investment experience and knowledge

**4. Which of the following best describes your level of investment knowledge?**

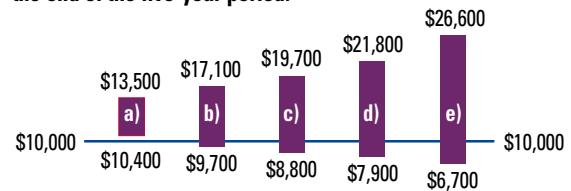
- |                             |            |                      |
|-----------------------------|------------|----------------------|
| a) Novice                   | = 0 points | # of Points          |
| b) Some familiarity         | = 1 point  | <input type="text"/> |
| c) Reasonably knowledgeable | = 2 points |                      |
| d) Quite knowledgeable      | = 4 points |                      |
| e) Very knowledgeable       | = 5 points |                      |

#### Attitude toward risk

**5. Typically, investments which are more volatile (i.e., tend to go up and down in value) will, over the long term, have greater potential for return. With regards to this investment, how much of a drop in value over one year could you tolerate before becoming uncomfortable?**

- |                  |            |                      |
|------------------|------------|----------------------|
| a) Less than 1%  | = 0 points | # of Points          |
| b) 1% to 3%      | = 1 point  | <input type="text"/> |
| c) 4% to 6%      | = 3 points |                      |
| d) 7% to 10%     | = 4 points |                      |
| e) More than 10% | = 5 points |                      |

**6. Investments that offer the highest potential returns typically have the greatest variability of returns. Given this statement, assuming you had a \$10,000 investment, please select one of the following gain/loss scenarios that you would be most comfortable with after a five-year investment time period. The gain/loss scenarios below show the range of the potential value of the \$10,000 investment at the end of the five-year period.**



- |               |               |                      |
|---------------|---------------|----------------------|
| a) = 0 points | d) = 3 points | # of Points          |
| b) = 1 point  | e) = 5 points | <input type="text"/> |
| c) = 2 points |               |                      |

#### Personal information

**7. Which of the following best describes your employment circumstances?**

- |                  |            |                      |
|------------------|------------|----------------------|
| a) Full-time     | = 5 points | # of Points          |
| b) Self-employed | = 3 points | <input type="text"/> |
| c) Part-time     | = 2 points |                      |
| d) Retired       | = 0 points |                      |
| e) Other         | = 1 point  |                      |

**8. Your personal income, before taxes, is in which of the following ranges:**

- a) Under \$25,000 = 0 points # of Points
- b) \$25,001 – \$50,000 = 1 point
- c) \$50,001 – \$80,000 = 2 points
- d) \$80,001 – \$125,000 = 4 points
- e) Over \$125,000 = 5 points

**10. Your current age is within which of the following categories:**

- a) Under 30 = 4 points # of Points
- b) 30 – 39 = 5 points
- c) 40 – 54 = 3 points
- d) 55 – 71 = 1 point
- e) Over 71 = 0 points

**9. The current value of your investments (i.e., registered, non-registered, mutual funds, segregated funds, chequing/savings accounts), excluding real estate, is:**

- a) Under \$25,000 = 0 points # of Points
- b) \$25,001 – \$50,000 = 1 point
- c) \$50,001 – \$100,000 = 2 points
- d) \$100,001 – \$250,000 = 4 points
- e) Over \$250,000 = 5 points

**Step 2 – Total your score**

Simply add up your total points from the 10 questions above to determine your investment profile score.

**Total points**

**Step 3 – Determine your investment risk profile**

Using your total score from Step two, please refer below to the corresponding recommendations. Once you have determined your Investment Risk Profile, your advisor can work with you to determine appropriate investments.

Score	Investment risk profile	Asset mix	Product offerings		
			Mutual funds	Segregated funds	Universal life
11 or less	Very conservative	100% income	imaxx™ Money Market Fund	Transamerica Canadian Money Market GIF	Treasury Bill Interest Option
Between 12 and 20	Conservative	60% income & 40% equities	imaxx TOP™ Conservative Portfolio	Transamerica TOP Conservative GIP*	imaxx TOP Conservative Portfolio Interest Option
Between 21 and 33	Moderate	40% income & 60% equities	imaxx TOP Balanced** Portfolio	Transamerica TOP Balanced GIP*	imaxx TOP Balanced Portfolio Interest Option
Between 34 and 46	Aggressive	25% income & 75% equities	imaxx TOP Growth Portfolio	Transamerica TOP Growth GIP	imaxx TOP Growth Portfolio Interest Option
47 and greater	Very aggressive	100% equity	imaxx TOP Aggressive Growth Portfolio	Transamerica TOP Aggressive Growth GIP‡	imaxx TOP Aggressive Growth Portfolio Interest Option

\* An alternative is Transamerica TOP Canadian Balanced GIP.

‡ Alternatives include Transamerica TOP Canadian Managers GIP, Transamerica TOP U.S. Managers GIP and Transamerica TOP Global Managers GIP.

\*\* An alternative is imaxx TOP Income Portfolio.

I understand that the results of this questionnaire do not constitute a recommendation by Transamerica Life Canada, AEGON Fund Management or any of its affiliates or subsidiaries.

Client signature

Date

**Any amount that is allocated to a segregated fund is invested at the risk of the contract holder(s) and may increase or decrease in value.**

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Transamerica Life Canada and AEGON Fund Management have developed this questionnaire to assist you in developing guidelines for your investment strategy. This questionnaire does not form part of a contract and should be completed with the assistance of an advisor. All calculations are based on assumptions believed to be reasonable at the time of development. Transamerica Life Canada and AEGON Fund Management are not acting in the capacity of an advisor to the individual investor. AEGON Canada ULC is not responsible for any damages resulting from the use of this questionnaire by you or any other person.

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