

NEI **IMPACT** PORTFOLIOS

Investor Profile Questionnaire

NEI

You have indicated an interest in impact investing. The following questions will further help identify the NEI Impact Portfolio that is right for you.

- 1. What is your age?**
 - Less than 40 (15)
 - 41 to 50 (15)
 - 51 to 65 (10)
 - Over 65 (0)
- 2. What is your annual household income (before taxes)?**
 - Less than \$50,000 (0)
 - \$50,001 to \$100,000 (2)
 - \$100,001 to \$150,000 (3)
 - \$150,001 to \$200,000 (5)
 - More than \$200,000 (7)
- 3. What is the total estimated value of your household investable assets?**
 - Less than \$50,000 (1)
 - \$50,001 to \$100,000 (1)
 - \$100,001 to \$250,000 (2)
 - \$250,001 to \$500,000 (2)
 - More than \$500,000 (2)
- 4. What is your primary source of current income?**
 - Employment — eg: working for salary, wages, commission or working in one's own business (4)
 - Investments — eg: dividends, interest on GIC's or bonds, rental income from real estate, income from an estate or trust fund, etc (3)
 - Pension — eg: pension from employers, retirement benefits, Government pension, RRSP, etc (2)
- 5. How would you describe your level of investment knowledge?**
 - Low — you are unfamiliar (0)
 - Medium — you are somewhat familiar (5)
 - High — you have a high knowledge (10)
- 6. When do you plan to make withdrawals from your investment?**
 - Currently making withdrawals (0)
 - Less than 3 years (0)
 - 3 to 10 years (10)
 - More than 10 years (15)
- 7. How much decline in your assets would you be willing to tolerate over a one-year period?**
 - Less than 10% (0)
 - 10% to 20% (5)
 - More than 20% (10)
- 8. What rate of return do you think you will need to meet your investment goals?**
 - Don't know (0)
 - Less than 5% (0)
 - 5% to 9% (1)
 - More than 9% (2)
- 9. How much volatility (risk) are you willing to assume to achieve your financial goal?**
 - Low volatility / low potential return — due to low risk tolerance you are prepared to accept lower than average returns (0)
 - Medium volatility / medium potential return — due to medium risk tolerance you are prepared to accept average returns (10)
 - High volatility / high potential return — due to high risk tolerance you would like greater than average returns (15)
- 10. Which of the statements below best describe your current investment objective and risk tolerance?**
 - I need steady monthly income with minimum volatility (0)
 - I am a conservative investor, with low tolerance for risk (5)
 - I am willing to accept small losses to make money over time (10)
 - I am willing to accept larger losses for larger potential gains (15)
 - I have a high tolerance for risk and a longer time horizon for large potential gains (20)

Total score

Score	Investor profile	NEI Impact Portfolios
1 to 19	Income	NEI Impact Conservative Portfolio
20 to 36	Income & growth	NEI Impact Conservative Portfolio
37 to 57	Balanced	NEI Impact Balanced Portfolio
58 to 75	Growth & Income	NEI Impact Balanced Portfolio
76 to 90	Growth	NEI Impact Growth Portfolio
91 to 100	Maximum Growth	NEI Impact Growth Portfolio

Advisor Name: _____

Client Name: _____

Date: _____

Client Signature: _____

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