

NEI Select RS Portfolios

Investor Profile Questionnaire

NEI

These questions will help identify the NEI Select RS Portfolio that is right for you.

Clear form

1. What is your age?

- ☐ Less than 40 (15)
- ☐ 41 to 50 (15)
- ☐ 51 to 65 (10)
- ☐ Over 65 (0)

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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)

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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)

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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)

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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)

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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)

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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)

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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)

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5. How would you describe your level of investment knowledge?

- ☐ Low — you are unfamiliar with investing (0)
- ☐ Medium — you are familiar with stocks being higher risk than bonds (5)
- ☐ High — you are familiar with most financial instruments (10)

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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)

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NEI Select RS Portfolios leverage complementary approaches to responsible investing and include exclusionary screens, ESG evaluation and integration, corporate dialogue and ESG-focused proxy voting.

Total score

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

Advisor name: _____

Client name: _____

Date: _____

Client signature: _____

Commissions, trailing commissions, management fees and expenses all may be associated with mutual fund investments. Please read the prospectus before investing. Mutual funds are not guaranteed, their values change frequently and past performance may not be repeated.

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24-12-853022E