Sales suitability summary - segregated funds

Client name(s): ____________________

Documentation should be descriptive, detailed and thorough to adequately support the sale. Completion of this document alone does not replace a full fact-find or needs analysis for more complex sales.

Client facts

Approximate annual income:	Approximate net worth (includes spouse Y/N):	Investment knowledge:	Risk tolerance:
☐ Under $30,000 ☐ $30,000 - $60,000 ☐ $60,001 - $90,000 ☐ $90,001 - $120,000 ☐ Over $120,000	☐ Under $50,000 ☐ $50,000 - $99,999 ☐ $100,000 - $200,000 ☐ Over $200,000	☐ None ☐ Limited ☐ Good ☐ Excellent	☐ Low ☐ Low/Medium ☐ Medium ☐ Medium/High ☐ High

Additional client facts (e.g., date of birth/age, occupation, dependants, financial obligations - assets, liabilities):

Amount to invest: $

Need identification

Reason(s) for selecting segregated funds:	Purpose of investment:	Time horizon for investment:
☐ Guarantees (maturity/death benefit) ☐ Probate bypass (N/A in Quebec) ☐ Creditor protection ☐ Other ____________________	☐ Savings ☐ Estate planning ☐ Retirement fund ☐ RESP ☐ Other ____________________	☐ 1 - 3 years ☐ 4 - 5 years ☐ 6 - 10 years ☐ More than 10 years

Risk profile (as determined by discussions/details provided by client)

☐ **Conservative** (values a primary emphasis on income over a shorter term investment horizon, typically 75% fixed income investments and 25% equities)

☐ **Moderate** (values income more than growth over a medium term investment horizon, typically 60% fixed income investments and 40% equities)

☐ **Balanced** (values a longer term balance between growth and income at reduced volatility levels, typically 60% equities and no more than 40% fixed income investments)

☐ **Advanced** (values income in the near term but is more interested in long-term capital appreciation, typically 80% equities and 20% fixed income investments)

☐ **Aggressive** (values the potential for maximum long-term growth while being unconcerned with short-term volatility, typically 100% equities)

Funds recommended	Guarantees (maturity/death benefit)	Fee structure
	☐ 75/75 guarantee ☐ 75/100 guarantee ☐ 100/100 guarantee	☐ Front-end load ☐ Deferred sales charge ☐ Low-load deferred sales charge ☐ Other ____________________

Support and rationale of fund selection/risk profile/fee structure

(e.g., if funds selected is inconsistent with client's risk profile or if the client's decision is inconsistent with the advisor's recommendation)

Client signature(s): ____________________ Date: ____________________

Advisor signature: ____________________ Date: ____________________

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