



## Know Your Client Investor Information Form

The Know Your Client (KYC) rule was established by Canadian securities regulators to protect you, the investing public. It was designed to protect you by ensuring your investment decisions are in line with your financial and personal situation. When you opened a McLean Budden mutual fund account, you were asked questions about your age, income, family situation, employment, understanding of market-based investing, expected length of your investment and tolerance for market volatility. This information helped determine your investing risk profile – from conservative to very aggressive. It is collected and reviewed to ensure that your investments in our funds are suitable, given your personal situation.

Any significant changes in your personal information can affect the suitability of your account. As such, McLean Budden asks that the below form be completed and returned when these changes occur so we can ensure your account is in line with your needs.

\_\_\_\_\_  
Name (Please Print)

\_\_\_\_\_  
Account Number

Gross Annual Income:

<\$20,000     \$20,000-\$49,999     \$50,000-\$99,999     \$100,000-\$250,000     >\$250,000

Approximate Net Worth (excluding residence):

<\$25,000     \$25,000-\$49,999     \$50,000-\$99,999     \$100,000-\$250,000     >\$250,000

Investment Knowledge:

Excellent     Good     Fair     Low     Nil

Investment Time Horizon:

<1yr     1yr-3yrs     4yrs-5yrs     6yrs-9yrs     >10yrs

Risk Tolerance:

Low \_\_\_\_\_% *(Low risk investments demonstrate a low volatility and are for investors who are willing to accept lower returns for greater safety of capital and may include such investments as money market mutual funds.)*

Low-Medium \_\_\_\_\_% *(Low to medium risk investments demonstrate a low to medium volatility but a higher volatility than those described above and may include bond funds or a balanced profile.)*

Medium \_\_\_\_\_% *(Medium risk investments demonstrate a medium volatility and are for investors that are looking for moderate growth over a longer period of time and may include Canadian equity, U.S. equity and certain international equity funds.)*

Medium-High \_\_\_\_\_% *(Medium to high risk investments demonstrate a medium to high volatility and are for investors that are looking for long term growth and may include funds that invest in smaller companies, specific market sectors or geographic areas.)*

High \_\_\_\_\_% *(High risk investments demonstrate a high volatility and are for investors who are growth oriented and are willing to accept significant short term fluctuations in portfolio value in exchange for potentially higher long term returns.)*

Total \_\_\_\_\_ 100 %

\*As compared to the Canadian Mutual Fund marketplace, McLean Budden Funds are, in the aggregate, considered Low-Medium risk.

Investment Objectives:

Income \_\_\_\_\_% *(Your objective is to generate current income from your investments and you are less concerned with capital appreciation. Investments that will satisfy this objective include fixed income investments such as funds that invest in bonds or money market instruments.)*

Balanced \_\_\_\_\_% *(Your objective is a combination of income and growth. An account with a balanced objective should typically include at least 25%-55% in fixed income investments and no more than 45%-75% in equity investments.)*

Growth \_\_\_\_\_% *(Your objective is capital appreciation and current income from investments is not a requirement. This may lead you to hold a relatively high proportion of funds that invest in equities if you also have a high risk tolerance and long term time horizon.)*

Total \_\_\_\_\_ 100 %

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Other Investments (including Mutual Funds):  No     Yes – What type? \_\_\_\_\_

\_\_\_\_\_  
Account Holder Signature

\_\_\_\_\_  
Date

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