



## **Investor Information – Risk Assessment**

It is our mission at **ASCEND MIC** to protect the interests of our valued investors. To that end, we need to ask you a few basic questions to determine how your financial situation matches with the level of risk you're willing to take. As a result, we can then make sound investment decisions on your behalf to aim for a rate of return that is suited to your needs.

The information you provide is strictly confidential and will only be used as stipulated by governing laws and regulations. As always, we want to develop a relationship of trust with you, the investor, and will always protect your information and safeguard your interests in the conduct of all our affairs.

### **Identification and Contact Information**

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**Investor's Name**                      **Social Insurance Number**                      **Age (years)**

\_\_\_\_\_  
**Date of Birth (mm/dd/yy)**                      **Phone Number**                      **Cell Number**

\_\_\_\_\_  
**Fax**                      **E-mail**

\_\_\_\_\_  
**Address (Number, Street, Town/City, Province, Postal Code)**

\_\_\_\_\_  
**I.D. types and number (e.g., Driver's license #xxxxxxxxxx, Passport #xxxxxxxxxx, etc.)**



## **Financial Information**

### **Investor's Income**

- Under \$20,000
- \$20,000 to \$39,999
- \$40,000 to \$79,000
- \$80,000 to \$124,999
- \$125,000 to \$174,999
- \$175,000 to \$250,000
- Above \$250,000

### **Investor's Net Worth**

- Under \$20,000
- \$20,000 to \$39,999
- \$40,000 to \$79,000
- \$80,000 to \$124,999
- \$125,000 to \$174,999
- \$175,000 to \$250,000
- Above \$250,000

### **Financial Situation**

#### **How would you describe your current financial situation?**

- Not financially secure
- Somewhat financially secure
- Financially secure
- Very financially secure

#### **How soon would you like to redeem/sell-back your investment?**

- 30 days
- 60 days
- 90 days
- 120 days
- 150 days
- 180 days
- 1 year
- 2 years
- 3 years
- 4 years
- 5 years
- 6 to 9 years
- 10 years



### **Financial Knowledge**

How would you rate your general knowledge of *investments*?

- Poor  • Below Average  • Average  • Above Average  • Excellent

How would you rate your general knowledge of *mortgages*?

- Poor  • Below Average  • Average  • Above Average  • Excellent

### **Risk Assessment**

Which best describes your preferred approach to investing?

- Steady income, low risk  • Modest rate of return, moderate risk   
• Higher rate of return, higher risk  • Highest rate of return, speculative risk

How would you rate yourself as an investor on a scale of risk, with **1 equalling minimal risk taker**, and **10 equalling highest risk taker**.

- 1  • 2  • 3  • 4  • 5  • 6  • 7  • 8  • 9  • 10

### **Investor Declaration**

I, as an investor with **ASCEND MIC**, declare the statements I have made above on this form to be true and accurate.

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**Investor Signature**

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**Date**