



Know-Your-Client Form

The following information will be kept private and confidential

Name: _____ **Individual** **Corporation** **Trust**
 Address: _____ City/Province: _____ Postal Code: _____
 E-mail: _____ Telephone : _____
 Employer: _____ Occupation: _____
 Marital Status: **married** **single** **divorced** **Number of Dependants:** _____
 Alternate Contact Name: _____ Relation: _____
 E-mail: _____ Telephone : _____

What is your investment knowledge?

- Sophisticated Good Limited None

What is your risk tolerance? **See below for Risk Description

- High Medium to High Medium Low to Medium Low

What is your time horizon for investments, in general?

- < 3 Years 3-5 Years 5-10 Years > 10 Years

What are your investment objectives?

- Safety Income Growth

What is your individual/corporate annual income in the two most recent calendar years?

- < \$200,000 \$200,000 – \$500,000 > \$500,000

What is your household annual income in the two most recent calendar years?

- < \$300,000 \$300,000 – \$500,000 > \$500,000

Please give us an indication of your net financial assets (excluding real estate):

- < \$1 Million \$1 – 5 Million > \$5 Million

What is the approximate portion of this investment as a percentage of your net worth?

- < 10% 11%-20% > 20%

Do you plan to withdraw part of your holdings on a regular basis?

- Yes No If Yes, specify frequency and percentage: _____ % / _____

Are you an officer or director (insider) of a company listed on a stock exchange or in the OTC markets?

- Yes No If Yes, please specify: _____

Is there any additional information that we should know about you?

I warrant that the information contained herein is correct and upon any material changes, will notify Spartan in writing.

Client Signature: _____ Date: _____

If signing on behalf of corporation/trust, Name: _____ Position: _____

**RISK DESCRIPTION

High	High risk investors are those who are growth oriented and willing to accept significant short-term fluctuations in portfolio value in exchange for potentially higher long-term returns. [i.e. high volatility, concentrated investments where there is substantial risk of loss, hedge funds investing in derivatives, short selling, leverage]
Medium to High	Medium-high risk investors are those who are seeking long-term growth. [i.e. medium to high volatility, equity funds concentrated by region or sector]
Medium	Medium risk investors are those who are seeking moderate growth over a longer period of time. [i.e. medium volatility, well diversified equity portfolios]
Low to Medium	Low-medium risk investors are those who are seeking a balance between safety and return on their investment. [i.e. low volatility, fixed income securities or balanced funds]
Low	Low risk investors are those who are willing to accept lower returns in order to preserve their principal. [i.e. money market funds and/or fixed income funds]



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To Be Completed by Spartan

Fund Invested: _____

Amount Invested: _____

1. Is the client's investment a disproportionate amount of the client's net worth?
 Yes No
 2. Is the client's investment consistent with their risk tolerance and investment objective?
 Yes No
 3. Is the client's investment suitable?
 Yes No
 4. Other considerations:
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