

KYC UPDATE QUESTIONNAIRE

As per regulatory requirements and as agreed in the MIAA we signed with you, CFG is required to contact you directly to discuss your investment portfolio if anything of significance has changed regarding your personal or financial circumstances, investment needs or objectives, risk profile or investment time horizon. Even if answers are all “No” below, we encourage you to contact CFG directly at any time if you feel your circumstances have changed or if you would like to discuss your investments.

All household members who signed the original Management Agreement (MIAA) with Croft must be included on this form:

Name	Email	Phone
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Name	Email	Phone
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Address (if changed)

Please check Yes or No for each question **YES** **NO**

1. Are you planning any significant deposits or withdrawals in the next 12 months?

Sale of property or investments, purchase of a house or car, etc.

2. Have your employment circumstances or occupation changed?

Change or promotion in job or self-employment, planning retirement, etc.

3. Has your net worth or level of income changed significantly?

Marriage, divorce, birth of a child, loss of job or downturn in your business, serious health issue, disability or death.

4. Has there been a significant change in your family circumstances?

Marriage, divorce, birth of a child, loss of job or downturn in your business, serious health issue, disability or death.

5. Have you taken on or modified any other significant financial commitments?

New spousal or child support, mortgage, remortgage, personal loans or lines of credit, co-signed credit, funding for a child or dependent's education or other significant obligations (housing, lifestyle).

6. Have your financial objectives changed?

Need for income, planning for a significant purchase or gift, etc.

7. Has there been any change in your willingness and/or ability to accept market risk with respect to your current Investment Mandate?

8. Has there been any change in the information you have previously provided to Croft Financial Group that you wish to update us on?

9. Have you, an immediate family member or a close associate become a Domestic or Foreign Politically Exposed Person / Head of an International Organization as defined under AML regulations?

Answering **YES** to any question above will require an update call with a Portfolio Manager.

For any questions regarding this form or the KYC Update process, please contact compliance@croftgroup.com

Date

Client Signature(s)

Compliance

Client Signature(s)

Please sign & e-mail to kycupdate@croftgroup.com or upload as an attachment using the KYC Update form found on the Client Service Request page for advisors.