

Client Information

(Securities legislation requires that the general investment objectives and the needs of mutual fund investors be determined and updated on a regular basis. This information will remain strictly confidential.)

☐ Mr ☐ Mrs. ☐ Miss ☐ Ms. ☐ Dr. ☐ Other Account Number _____

Last Name _____ First Name _____ Initials _____

Address _____

City _____ Province _____ Postal Code _____

Telephone: Res. () _____ Bus. () _____ Email _____

Social Insurance Number _____ Date of Birth

Y	Y	Y	Y	M	M	D	D
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Joint Owner Information (if applicable):

Last Name _____ First Name _____ Initials _____

Social Insurance Number _____ Date of Birth

Y	Y	Y	Y	M	M	D	D
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Address (same as above) ☐

Address _____ City _____ Province _____ Postal Code _____

Know Your Client Information

(Applicable securities laws require us to determine the general investment needs and objectives of potential purchasers before executing purchase orders. This information will be held in strict confidence.)

Investment Knowledge

P**

S**

- ☐ Sophisticated
☐ Good
☐ Fair
☐ Poor

Investment Objective**

- ☐ Income _____ %
☐ Medium Term (Balanced) _____ %
☐ Long Term Growth _____ %
(**must add up to 100%)

Investment Risk Tolerance*

- ☐ High
☐ Medium
☐ Low

Marital Status

- ☐ Married
☐ Single
☐ Other

Investment Time Horizon*

- ☐ 1-2 years
☐ 3-5 years
☐ 6-9 years
☐ over 10 years

Gross Annual Income

P** _____

S** _____

Net Worth* (includes spouse ☐)

Liquid Assets _____

Fixed Assets + _____

Liabilities - _____

Net Worth = _____

Name of Employer: _____

Occupation: _____

Spouse's Name: _____

Spouse's Occupation: _____

Number of Dependents: _____

*Please refer to Appendix A for more information

**P is the primary account holder; S is the secondary or joint account holder

Client Signature _____

Y	Y	Y	Y	M	M	D	D
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Date

Sales Representative's Signature _____

Y	Y	Y	Y	M	M	D	D
---	---	---	---	---	---	---	---

Date

Joint Signature (if required) _____

Y	Y	Y	Y	M	M	D	D
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Date

Compliance Officer's Approval _____

Y	Y	Y	Y	M	M	D	D
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Date of Approval



Risk Tolerance

Risk tolerance can be defined by how comfortable you are with fluctuations in the value of your investments. Please refer to the risk categories below to assist you in determining your own acceptable level of risk.

- **Low:** Demonstrate a low volatility and are for investors who are willing to accept lower returns for greater safety of capital and may include money market funds as well as some fixed income funds.
- **Medium:** Demonstrate a medium volatility and are for investors looking for moderate growth over a longer period of time and may include balanced funds as well as certain Canadian and U.S. Equity funds.
- **High:** 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. Examples may include labour-sponsored venture capital funds or funds that invest in specific market sectors or geographic areas such as emerging markets and science and technology funds.

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 bond or money market instruments.
- **Medium term:** You are seeking a combination of income and growth by investing in fixed income securities and equity funds. An account with growth and income objectives will typically hold at least 40% in fixed income investments and 60% in equity mutual funds.
- **Long-term growth:** You are seeking capital appreciation over the long term and current income 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 higher risk tolerance and long-term time horizon.

Time Horizon

Time Horizon is the period between now and the point when you will need to access a significant portion of the money you have accumulated.

Net Worth

Your Net Worth is calculated as estimated liquid assets (*i.e. investments, cash*) plus fixed assets (*i.e. real estate, registered plan assets*) less estimated liabilities (*i.e. mortgage, car loan*).