



New Client Application Form: Personal

Identification information

Title: Mr. Ms. Mrs. Miss Dr. Other: _____

Last name: _____ First name: _____ Initial: _____

Social Insurance Number _____ Date of birth (dd/mm/yyyy) ____/____/____

Country of citizenship: _____

Home address: _____

Telephone: _____ Mobile: _____ Fax: _____

Email: _____

Spouse

Last name: _____ First name: _____ Initial _____

Number of dependents: _____

Employment

Employer name: _____ Self employed

Employer address: _____

Telephone: _____ Mobile: _____ Fax: _____

Type of business: _____

Occupation/Job Title: _____ Years with current employer: _____

To which address should information be sent: Home Business

Financial information

Financial institution name: _____

Branch address: _____

Your annual income: \$ _____ Other sources of income \$ _____

Spouse's annual income: \$ _____ Spouse's other sources of income: \$ _____

Your estimated net worth (excluding your primary residence) \$ _____

Your estimated net liquid assets (cash and securities less liabilities outstanding against securities) \$ _____

Politically Exposed Foreign Person

Are you a Politically Exposed Foreign Person (PEFP) as defined below?

You are a PEFP if you currently hold or have ever held any of the following positions in the government of any country other than Canada:

- | | |
|---|--|
| (a) head of state or head of government; | (f) judge; |
| (b) president of a state-owned company or a state-owned bank; | (g) ambassador or attaché or counsellor of an ambassador; |
| (c) member of the executive council of government or member of a legislature; | (h) leader or president of a political party represented in a legislature; |
| (d) head of a government agency; | (i) military officer with a rank of general or above; |
| (e) deputy minister or equivalent rank; | (j) holder of any prescribed office or position. |

You are also a PEFP if you are the spouse, common-law partner, child, mother, father, brother, sister (including half brother/sister), spouse's or common-law partner's mother or father of any such person.

Yes No If Yes, please indicate and give details:

Investing information

Do you or your spouse, own or control, directly or indirectly, 10% or more of the voting rights of any publicly-traded company?

Yes No If yes, provide details _____

Are you or your spouse, an insider, a director or officer of a publicly-traded company or an affiliate of publicly-traded company?

Yes No If yes, provide details _____

What is the purpose of your dealing with Capital Street Group? Long term investment Short term investment

Other (specify) _____

What is your investment knowledge? Limited Good High/Expert

Check **Limited** if you have only invested in simple securities such as savings bonds or well known common shares largely based on the advice of others.

Check **Good** if you have either traded in or have some knowledge of the basic characteristics of both fixed income securities and common shares, as well as basic understanding of the degree of risk and reward inherent in these types of securities.

Check **High/Expert** if you have a good business background, follow the markets regularly and have traded in and understand most types of investment securities.

Describe the types of investment instruments you have had experience with in the past. _____

Do you understand the concept of risk and return? Yes No

What would you prefer: Low risk/Low return Medium risk/Medium return High risk/High return

Note: high risk means you could lose your total investment,
medium risk means you may lose part of your investment,
low risk means you are unlikely to lose part of your investment.

What is your investment objective? _____

What is the time horizon of your investment objective in years? _____

Do you have investments outside of Capital Street Group? Yes No

If yes, are they: Low risk Medium risk High risk

What is the value of your investments outside of Capital Street Group? _____

Client Signature

I agree that Capital Street Group's liability will be limited to the fees earned in the event Capital Street Group is found through a legal proceeding to be liable for losses on investments or products purchased through it.

Signature: _____

Print Name: _____

Date: _____

For use by Capital Street Group Investment Services Inc.

Did you meet the client in person? Yes No.

How did you verify the client's identity:

1. Reviewed identity document in the client's presence:

Document type _____ Number: _____ Expiry Date _____

2. Non face-to-face verification

(a) Credit file in Canada over six months old (attach report)

(b) Attestation method (attach attested identity document copy)

(c) Verification of bank account: Bank _____ Account Number _____

Date verified _____ Name of bank employee _____

(d) Cheque verification (attach photocopy of cheque)

(Verification can be done by 1 alone or combinations of 2(a) and 2(b) or (c), 2(b) and 2(c) or 2(b) and 2(d))

Identity document reviewed by:

Print name: _____ Signature: _____

Date: _____

Application checked by:

Print name: _____ Signature: _____

Date: _____

Account Number: _____

Referral: Yes No Name of referrer: _____

Notes:

Schedule A Certificate of accredited investor

The Applicant certifies to CSG that the Applicant is an accredited investor as defined in NI 45-106 by virtue of being (please tick all applicable categories):

- (a) a person registered under the securities legislation of a jurisdiction of Canada as an adviser or dealer; or
- (b) an individual registered or formerly registered under the securities legislation of a jurisdiction of Canada as a representative of a person referred to in paragraph (a) other than a person registered solely as a limited market dealer under one or both of the *Securities Act* (Ontario) or the *Securities Act* (Newfoundland and Labrador); or
- (c) a person other than an individual or investment fund, that has net assets of at least \$5,000,000 as shown on its most recent prepared financial statement; or
- (d) an individual who, either alone or with a spouse, beneficially owns, directly or indirectly, financial assets¹ having an aggregate realizable value that before taxes, but net of any related liabilities, exceeds \$1,000,000; or
- (e) an individual whose net income before taxes exceeded \$200,000 in each of the two (2) most recent calendar years or whose net income before taxes combined with that of a spouse exceeded \$300,000 in each of the two (2) most recent calendar years and who, in either case, reasonably expects to exceed that net income level in the current calendar year; or
- (f) an individual who, either alone or with a spouse, has net assets of at least \$5,000,000.

The above representation is true and accurate as of _____, 20____

Signature of client

Signature of Capital Street Group
representative

Print name

Print name of Capital Street Group
representative

¹ **Financial assets** are defined in section 1.1 of NI 45-106 as:

- (a) cash,
- (b) securities, or
- (c) a contract of insurance, a deposit or an evidence of a deposit that is not a security for the purposes of securities legislation.

Schedule B
Certificate of permitted client

The Applicant certifies to CSG that the Applicant is a permitted client as defined in National Instrument 31-103 by virtue of being (please tick all applicable categories):

- (a) an individual registered as an adviser or dealer or the equivalent, other than as a scholarship plan dealer or a restricted dealer, under the securities legislation of a jurisdiction of Canada or a foreign jurisdiction; or
- (b) an individual acting on behalf of a managed account managed by the individual, if the individual is registered or authorized to carry on business as an adviser or the equivalent under the securities legislation of a jurisdiction of Canada or a foreign jurisdiction; or
- (c) an individual who beneficially owns financial assets¹ having an aggregate realizable value that, before taxes but net of any related liabilities, exceeds \$5 million.

The above representation is true and accurate as of _____, 20____

Signature of client

Signature of Capital Street Group representative

Print name of client

Print name of Capital Street Group representative

- As a permitted client, I waive my right to receive client disclosure information.

Signature of client

- As a permitted client, I waive my right to a suitability determination of securities purchased from Capital Street Group

Signature of client

¹Financial assets are defined in section 1.1 of NI 45-106 as:

- (a) cash,
- (b) securities, or
- (c) a contract of insurance, a deposit or an evidence of a deposit that is not a security for the purposes of securities legislation.

