





# Short Form Account Information Change (Individuals)

## D - Financial information of joint applicant (Securities regulations require that we obtain this information) ▼

|  |  |  |  |   |   |   |
|--|--|--|--|---|---|---|
| <b>Your Annual Gross Income</b> (from all sources)   | 1. Less than \$50k   | 2. \$51k to \$100k   | 3. \$101k to \$250k  | 4. \$251k to \$500k   | 5. Over \$500k  | Code  |
| <b>Your Estimated Net Worth</b> excluding principal residence  | A Net Liquid Assets (Cash / securities less loans) \$  |  | + B Net Fixed Assets (Fixed less liabilities) \$   |   | = Total Net Worth (A+B) \$  |   |
| <b>Investment Knowledge</b>  |  |  |  |   |   |   |
| Mutual Funds<br><input type="checkbox"/> High<br><input type="checkbox"/> Moderate<br><input type="checkbox"/> Low   | Fixed Income<br><input type="checkbox"/> High<br><input type="checkbox"/> Moderate<br><input type="checkbox"/> Low | Stocks<br><input type="checkbox"/> High<br><input type="checkbox"/> Moderate<br><input type="checkbox"/> Low | Margin<br><input type="checkbox"/> High<br><input type="checkbox"/> Moderate<br><input type="checkbox"/> Low | Options<br><input type="checkbox"/> High<br><input type="checkbox"/> Moderate<br><input type="checkbox"/> Low | Short Sales<br><input type="checkbox"/> High<br><input type="checkbox"/> Moderate<br><input type="checkbox"/> Low | Overall<br><input type="checkbox"/> High<br><input type="checkbox"/> Moderate<br><input type="checkbox"/> Low |
| Insider information: Are you, or your spouse, a <b>deemed insider</b> (as defined in the Provincial Securities Acts) of any public companies? <input type="checkbox"/> No<br><input type="checkbox"/> Yes - If yes, enter the company names here:                    |  |  |  |   |   |   |
| Are you, or your spouse, singularly, or as part of a group, in a <b>control position</b> (as defined in the Provincial Securities Acts) of any public companies? <input type="checkbox"/> No<br><input type="checkbox"/> Yes - If yes, enter the company names here: |  |  |  |   |   |   |
| Are you, or your spouse, an <b>Employee, Director, Partner or Officer</b> of a Member of any stock exchange, IIROC member, or of a stock exchange itself? <input type="checkbox"/> No<br><input type="checkbox"/> Yes - If yes, enter the company names here:        |  |  |  |   |   |   |

## E - Regular Account Investment Objectives and Risk Factors That Reflect Your Intended Use for this Account. Review ScotiaMcLeod Terms and Conditions brochure ▼

|  |                            |  |   |
|--|----------------------------|--|---|
| Investment Objectives for your <b>Regular account</b><br>(Total must = 100%) | Income _____ %             | Long Term Capital Appreciation _____ % | Short Term Capital Appreciation / Speculative Trading _____ % |
| Account Risk Factors for your <b>Regular account</b><br>(Total must = 100%)  | Low Risk Tolerance _____ % | Medium Risk Tolerance _____ %          | High Risk Tolerance _____ % →                                 |

## F - RSP Account Investment Objectives and Risk Factors That Reflect Your Intended Use for this Account. Review ScotiaMcLeod Terms and Conditions brochure ▼

|  |                            |  |   |
|--|----------------------------|--|---|
| Investment Objectives for your <b>RSP account</b><br>(Total must = 100%) | Income _____ %             | Long Term Capital Appreciation _____ % | Short Term Capital Appreciation / Speculative Trading _____ % |
| Account Risk Factors for your <b>RSP account</b><br>(Total must = 100%)  | Low Risk Tolerance _____ % | Medium Risk Tolerance _____ %          | High Risk Tolerance _____ % →                                 |

## G - What you agree to when you sign this application ▼

**By signing below I / we confirm that:**

- All of the information in this application is complete and accurate and I / we have read, understood and agreed to all of the terms and conditions relating to this account in the relevant sections of the **ScotiaMcLeod Terms and Conditions** brochure ("**Terms and Conditions**").
- I / we understand that the terms and conditions of this application and of **Terms and Conditions** are incorporated into and form part of the contract between me / us and ScotiaMcLeod, and govern operation of this account. They may be supplemented by written agreement but not replaced by the terms of other specific agreements between me / us and ScotiaMcLeod as the nature of the account may require.

**Where there is more than one joint applicant indicated for this account, add an appendix page(s) to cover the signature(s) of all joint applicants.** (MM/DD/YY)

|  |  |             |  |
|--|--|-------------|--|
| <b>Applicant / annuitant signature</b> ▶ |  | <b>Date</b> |  |
| <b>Joint applicant signature</b> ▶       |  | <b>Date</b> |  |

## H - This comments section will be completed by your Wealth Advisor and Branch Manager ▼

Other comments: \_\_\_\_\_

Attach account information change documentation received from client by:  FAX  Letter

(MM/DD/YY)

|                               |                        |             |  |
|-------------------------------|------------------------|-------------|--|
| <b>Advisor(s) signature</b> ▶ |                        | <b>Date</b> |  |
| <b>B.M. approval</b> ▶        | <b>R.M. approval</b> ▶ | <b>Date</b> |  |