

Know Your Client

This fact-finding tool will help me learn about your general investment goals and objectives, and will help in the selection and recommendation of products that meets your needs.

New KYC KYC Update

All Accounts I have signing authority for.
 Or the following Account Types: Non-Registered RRSP Spousal RRSP RRIF Spousal RRIF LIRA LRIF LIF
 TFSA Individual RESP Family RESP Other _____
 Or the following accounts: _____

Client Information

Mr. Mrs. Miss Ms. Other _____

First name	Initial	Last name	
Address	City	Province	Postal Code
Date of Birth (DD/MM/YYYY)	Number of dependents	Spousal Information/Name (for Spousal Accounts)	
Telephone no. (Res.)	Telephone no. (Bus.)	Telephone no. (Cell)	E-mail address

Client Identity (Identification must be made in person)

Driver's licence Passport Birth certificate Other _____

Document Number	Place of Issue	Legal Name on Document	Province of Registration
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Employment Information

Occupation or nature of principal business	Employer Name	Employer type of business
Employer Telephone No.	Employer Address	

KYC Information

Investment Objective (Total 100%)	Investment Knowledge	Risk Tolerance (Select one)	Investment Horizon	Annual Income
Safety _____ %	<input type="checkbox"/> None/Very Low	<input type="checkbox"/> Very Low	<input type="checkbox"/> < 1 Year	<input type="checkbox"/> Up to \$25,000
Income _____ %	<input type="checkbox"/> Novice	<input type="checkbox"/> Low	<input type="checkbox"/> 1 to 3 Years	<input type="checkbox"/> \$25,001 to \$50,000
Long Term Growth _____ %	<input type="checkbox"/> Fair	<input type="checkbox"/> Low Medium	<input type="checkbox"/> 3 to 5 Years	<input type="checkbox"/> \$50,001 to \$75,000
Aggressive Growth _____ %	<input type="checkbox"/> Good	<input type="checkbox"/> Medium	<input type="checkbox"/> 5 to 10 Years	<input type="checkbox"/> \$75,001 to \$100,000
Short Term/Speculative _____ %	<input type="checkbox"/> Sophisticated	<input type="checkbox"/> Medium High	<input type="checkbox"/> > 10 Years	<input type="checkbox"/> \$100,001 to \$150,000
Total 100%		<input type="checkbox"/> High		<input type="checkbox"/> More than \$150,000

Total Net Worth <input type="checkbox"/> Up to \$50,000 <input type="checkbox"/> \$50,001 to \$100,000 <input type="checkbox"/> \$100,001 to \$250,000 <input type="checkbox"/> \$250,001 to \$500,000 <input type="checkbox"/> \$500,001 to \$1,000,000 <input type="checkbox"/> Over \$1,000,000	Are you borrowing to invest? <input type="checkbox"/> Yes <input type="checkbox"/> No	KYC Information Obtained <input type="checkbox"/> In Person with the client <input type="checkbox"/> Through e-mail _____ Date & Time _____ <input type="checkbox"/> Through telephone conversation on: _____ Date & Time _____ <input type="checkbox"/> Other: _____
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Advisor Notes

Client Signature	Date	Advisor Name	Advisor Signature	Date
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