

Account Information Change and/or Margin/Option Application (Individuals)

A Account Information (This application may be used for multiple regular and registered plan accounts with the same registration)

Client/Household name

Understanding and completing this account application					Investment objectives & Risk factors that reflect your intended use for this account. Review the ScotiaMcLeod Terms and Conditions brochure.						Option Transaction Types Select anticipated option for each account. Non-registered accounts may use any of the options (codes 1-5) *Registered accounts may use Purchasing Puts & Calls (Code 1) and Covered Calls (Code 2)					
Securities regulations require that we have complete and accurate information from our clients.					Investment objectives (Must total 100%)			Risk factors (Must total 100%)								
Account Type (Select one)	Account Number	T	C	L*	Advisor Code	% Income	% Long Term Capital Appreciation	% Short Term Capital Appreciation/ Speculative Trading	% Low	% Med	% High	Purchasing Puts & Calls (Code 1)*	Covered Calls (Code 2)*	Spreads (Code 3)	Naked Puts (Code 4)	Naked Calls (Code 5)
<input type="radio"/> Non-registered <input type="radio"/> Registered																
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<input type="radio"/> Non-registered <input type="radio"/> Registered																
<input type="radio"/> Non-registered <input type="radio"/> Registered																

B Individual applicant, ITF Trustee or primary contact in a joint regular account Information (Mandatory)

Title	First name and middle initial	Last name	
Home address (number, street, apartment, rural route) (P.O. boxes are not acceptable)		City	Province
		Postal code	Country
You are:	<input type="radio"/> single <input type="radio"/> divorced	<input type="radio"/> married <input type="radio"/> widowed	<input type="radio"/> common-law <input type="radio"/> legally separated
	Number of dependents	Language <input type="radio"/> English <input type="radio"/> French	Home phone number
You are a citizen of:	Are you a US person? ** <input type="radio"/> No <input type="radio"/> Yes		
<input type="radio"/> Canada <input type="radio"/> USA <input type="radio"/> Other country	If yes, you must provide SSN and complete and sign Form CA W-9. **US persons include: US citizens (including persons with dual citizenship), US resident aliens, persons born in the USA, US lawful permanent residents (e.g. Green Card holders) or persons who reside in the US for more than 183 days during the calendar year.		
Canadian SIN	USA SSN/TIN	Other country tax number	For tax purposes, I am a resident of the following country
			Since what date? (mm-dd-yyyy)
Name of employer (if retired, former employer)		What kind of business is it?	
Employer's address		City	Province
		Postal code	Country
What is your current position/occupation?		How long?	Business phone number Ext.

Approximate annual gross income and net worth excluding personal residence (Regulatory requirement)

Approx. annual gross income	A Net liquid assets (cash/securities less loans)	+ B Net fixed assets (fixed less liabilities)	= C Total net worth (A + B)
\$	\$	\$	\$

*Legend Code: **H** - Add Margin (not applicable for registered accounts) **HM** - Add Margin/Modify information (not applicable for registered accounts) **X** - Advisor Change/Modify information
Y - Modify information **Z** - Advisor Change
 Original - Branch Copy - Client

Account Information Change and/or Margin/Option Application (Individuals)

Investment knowledge (Regulatory requirement)

Mutual funds <input type="radio"/> High <input type="radio"/> Moderate <input type="radio"/> Low/none	Fixed income <input type="radio"/> High <input type="radio"/> Moderate <input type="radio"/> Low/none	Stocks <input type="radio"/> High <input type="radio"/> Moderate <input type="radio"/> Low/none	Margin <input type="radio"/> High <input type="radio"/> Moderate <input type="radio"/> Low/none	Options <input type="radio"/> High <input type="radio"/> Moderate <input type="radio"/> Low/none	Short sales <input type="radio"/> High <input type="radio"/> Moderate <input type="radio"/> Low/none	Overall <input type="radio"/> High <input type="radio"/> Moderate <input type="radio"/> Low/none
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Relationship Disclosures (Regulatory requirement)

Are you, or your spouse, a **deemed insider** (as defined in the Provincial Securities Acts) of any public companies?
 No Yes - If yes, enter the company names here:

Are you, or your spouse, singularly, or as part of a group, in a **control position** (as defined in the Provincial Securities Acts) of any public companies?
 No Yes - If yes, enter the company names here:

Are you, or your spouse, an **Employee, Director, Partner or Officer** of a member of any stock exchange, IIROC member, or of a stock exchange itself?
 No Yes - If yes, enter the company names here:

Spousal information (Complete only if you are married or living common-law, and your spouse is not the joint applicant (section C))

Title	First name and middle initial	Last name
Employer and type of business	Position/occupation	

C Joint applicant information (Mandatory, if applicable)

Title	First name and middle initial	Last name			
Home address (number, street, apartment, rural route) (P.O. boxes are <u>not</u> acceptable) <input type="radio"/> same as primary applicant		City	Province	Postal code	Country
You are:	<input type="radio"/> single <input type="radio"/> divorced	<input type="radio"/> married <input type="radio"/> widowed	<input type="radio"/> common-law <input type="radio"/> legally separated	Number of dependents	Language <input type="radio"/> English <input type="radio"/> French
You are a citizen of: <input type="radio"/> Canada <input type="radio"/> USA <input type="radio"/> Other country	Are you a US person? ** <input type="radio"/> No <input type="radio"/> Yes If yes, you must provide SSN and complete and sign Form CA W-9. **US persons include: US citizens (including persons with dual citizenship), US resident aliens, persons born in the USA, US lawful permanent residents (e.g. Green Card holders) or persons who reside in the US for more than 183 days during the calendar year.				
Canadian SIN	USA SSN/TIN	Other country tax number	For tax purposes, I am a resident of the following country		Since what date? (mm-dd-yyyy)
Name of employer (if retired, former employer)			What kind of business is it?		
Employer's address		City	Province	Postal code	Country
What is your current position/occupation?				How long?	Business phone number Ext.

Approximate annual gross income and net worth excluding personal residence (Regulatory requirement)

Approx. annual gross income \$	A Net liquid assets (cash/securities less loans) \$	+ B Net fixed assets (fixed less liabilities) \$	= C Total net worth (A + B) \$
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Investment knowledge (Regulatory requirement)

Mutual funds <input type="radio"/> High <input type="radio"/> Moderate <input type="radio"/> Low/none	Fixed income <input type="radio"/> High <input type="radio"/> Moderate <input type="radio"/> Low/none	Stocks <input type="radio"/> High <input type="radio"/> Moderate <input type="radio"/> Low/none	Margin <input type="radio"/> High <input type="radio"/> Moderate <input type="radio"/> Low/none	Options <input type="radio"/> High <input type="radio"/> Moderate <input type="radio"/> Low/none	Short sales <input type="radio"/> High <input type="radio"/> Moderate <input type="radio"/> Low/none	Overall <input type="radio"/> High <input type="radio"/> Moderate <input type="radio"/> Low/none
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Relationship Disclosures (Regulatory requirement)

Are you, or your spouse, a **deemed insider** (as defined in the Provincial Securities Acts) of any public companies?
 No Yes - If yes, enter the company names here:

Are you, or your spouse, singularly, or as part of a group, in a **control position** (as defined in the Provincial Securities Acts) of any public companies?
 No Yes - If yes, enter the company names here:

Are you, or your spouse, an **Employee, Director, Partner or Officer** of a member of any stock exchange, IIROC member, or of a stock exchange itself?
 No Yes - If yes, enter the company names here:

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Spousal information (Complete only if you are married or living common-law, and your spouse is not the primary applicant (section B))

Title	First name and middle initial	Last name
Employer and type of business		Position/occupation

D Confirms and statements

Interested party(ies) only (if applicable)

Number of confirms required <input type="radio"/> 1 or <input type="text"/>	Number of statements required <input type="radio"/> 1 or <input type="text"/>	Interested party(ies) name(s)		
Home address (number, street, apartment, rural route) (P.O. boxes are <u>not</u> acceptable)	City	Province	Postal code	Country

E Applying for an option account (Non-registered option applicant(s) must sign margin agreement in section F below)

By completing the Option Transaction Types part of Section A you confirm that you have or will complete and sign an Options Trading Agreement CA17 (Quebec residents only) or CA17A form and you understand the risks defined in the Options Disclosure Statement attached to the CA17 (Quebec residents only) or the CA17A form. Advisor may email this application to D.R.O.P. for temporary approval. Approval must be granted before first trade. If approved, an email will be sent to you confirming Head Office D.R.O.P. approval. Do not trade until receipt of this approval.

F Margin and/or Option applicants must sign this section (Signature(s) required)

By signing here I (defined below in Section G) confirm that: (Please read Types of Accounts in *ScotiaMcLeod Terms and Conditions* brochure.)

- I am applying for a Margin Account and have read, understood and agreed to the Margin Terms subsection within the General Terms and Conditions Applicable to All Accounts section in the *ScotiaMcLeod Terms and Conditions* brochure.
- I am aware of the risk involved in trading on margin and am willing to take those risks.

Please note that the use of leverage may not be suitable for all investors. Using borrowed money, whether through a margin account or any other method of borrowing, to finance the purchase of securities involves greater risk than using cash resources only. If you borrow money to purchase securities, your responsibility to repay the loan, pay interest, and meet margin calls as required by the margin terms remains the same even if the value of the securities purchased declines.

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.

<input checked="" type="checkbox"/> Signature of primary applicant/annuitant	Date (mm-dd-yyyy)	<input checked="" type="checkbox"/> Signature of joint applicant (if applicable)	Date (mm-dd-yyyy)
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G What you agree to when you sign this application (Signature(s) required)

In this agreement, the terms **I, me, we, my, and our** refer to the owner and/or joint owner of a ScotiaMcLeod account whose signature(s) appear(s) below. I confirm that:

- All of the information in this application is complete and accurate and I 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.
- I understand that the terms and conditions of this application and of the *ScotiaMcLeod Terms and Conditions* brochure are incorporated into and form part of the contract between ScotiaMcLeod and me and govern operation of this account. They may be supplemented by written agreement but not replaced by the terms of other specific agreements between ScotiaMcLeod and me as the nature of the account may require.
- Canada Revenue Agency Certification for Non-Residents of Canada
If I am a resident of a country other than Canada for tax purposes ("Tax Residency"), I hereby confirm and certify that I am the beneficial owner of and, to the best of my knowledge, am entitled to the benefits of the tax treaty, if any, between Canada and my Tax Residency on all of this account's income. I agree to immediately notify ScotiaMcLeod of any changes to my Tax Residency, and I further agree to fully reimburse and indemnify ScotiaMcLeod for any liability that ScotiaMcLeod may incur in connection with under withholding of tax based on my instructions.

Accounts of ScotiaMcLeod clients are covered by The Canadian Investor Protection Fund (within prescribed limits). Where there is more than one joint applicant indicated for this account add an appendix page(s) to cover the information and signature(s) of all joint applicants.

<input checked="" type="checkbox"/> Signature of primary applicant/annuitant	Date (mm-dd-yyyy)	<input checked="" type="checkbox"/> Signature of joint applicant (if applicable)	Date (mm-dd-yyyy)
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H For internal use only (To be completed by your Wealth Advisor and Branch Manager)

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

Comments:

Signature of Advisor(s)	Date (mm-dd-yyyy)
B.M. approval	R.M. approval
	Date (mm-dd-yyyy)