



ACCOUNT#

BRANCH CODE

IA NAME

IA CODE

Your Personal Information

☐ Mr. ☐ Mrs. ☐ Miss ☐ Ms. ☐ Dr.

FULL LEGAL NAME – FIRST NAME

LAST NAME

MIDDLE INITIAL

HOME ADDRESS (STREET, APT/UNIT/SUITE - PO BOX NOT PERMITTED)

CITY

PROVINCE/STATE

COUNTRY

POSTAL CODE/ZIP

MAILING ADDRESS (☐ SAME AS ABOVE)

CITY

PROVINCE/STATE

COUNTRY

POSTAL CODE/ZIP

BUSINESS/DAY PHONE

HOME PHONE

CELL PHONE

FAX NUMBER

HOME EMAIL ADDRESS

COUNTRY OF RESIDENCE

Country(s) of

Citizenship: Canada ☐ No ☐ Yes

SOCIAL INSURANCE NUMBER

 United States ☐ No ☐ Yes

SSN NUMBER REQUIRED

DATE OF BIRTH (MM/DD/YYYY)

Preferred language of communication: ☐ English ☐ French

☐ Male ☐ Female

Marital Status: ☐ Single ☐ Married ☐ Divorced ☐ Common Law ☐ Separated ☐ Widowed

Do you have any dependants? ☐ No ☐ Yes —How many? _____

What is your investment knowledge?

- ☐ **Sophisticated** – fully knowledgeable and experienced in all aspects of the markets, including the inherent risks involved with sophisticated or aggressive investment products
- ☐ **Good** – good working knowledge of the markets and experience with various types of investments
- ☐ **Limited** – limited knowledge of the markets and experience with some types of investments
- ☐ **None** – no knowledge of the markets, new to investing

Are you a partner, director, officer or employee of a member firm of the Investment Industry Regulatory Organization of Canada (IIROC) or related to any such individual and living in the same household? ☐ No ☐ Yes

Your Financial Information

What is your estimated annual income from all sources (e.g. employment, investment, etc.)?

Your Annual Income

All amounts expressed in Canadian dollars.

- ☐ < \$25,000
- ☐ \$25,000 – \$49,999
- ☐ \$50,000 – \$99,999
- ☐ \$100,000 – \$249,999
- ☐ \$250,000 – \$499,999
- ☐ \$500,000 – \$749,999
- ☐ \$750,000 – \$999,999
- ☐ > \$1,000,000

Your Estimated Net Worth

All amounts expressed in Canadian dollars.

Estimated Net Liquid Assets

(Cash and securities less loans outstanding)

= \$ _____ A

Estimated Net Fixed Assets

(Fixed Assets less liabilities outstanding against fixed assets)

= \$ _____ B

Estimated Total Net Worth

(Estimated Net Liquid Assets + Estimated Net Fixed Assets)

= \$ _____ A + B

Your Employment Information

Employment Status: ☐ Homemaker ☐ Self-Employed ☐ Retired ☐ Unemployed ☐ Employed ☐ Student

NAME OF EMPLOYER

OCCUPATION

TYPE OF BUSINESS

EMPLOYER'S ADDRESS (STREET NAME, APT, UNIT, SUITE)

CITY

PROVINCE/STATE

COUNTRY

POSTAL CODE/ZIP

Your Spousal Information

☐ Mr. ☐ Mrs. ☐ Ms. ☐ Dr.

NAME (FULL LEGAL NAME)

Employment Status: ☐ Homemaker ☐ Self-Employed ☐ Retired ☐ Unemployed ☐ Employed ☐ Student

NAME OF EMPLOYER

OCCUPATION

TYPE OF BUSINESS

ESTIMATED ANNUAL INCOME

Your Investment Experience

What is your past investment experience?

☐ None ☐ Stocks ☐ Commodities ☐ Bonds/GICs ☐ Options ☐ Short Sales ☐ Mutual Funds ☐ Other _____

What is the most money you have ever had at risk in the market at any one time? \$ _____

Other Information

Do you have accounts at other brokerage firms? ☐ No ☐ Yes — List what firm and account type(s) below:

FIRM(S) & ACCOUNT TYPE(S)

Do you own or exercise control/direction over any other accounts at RBC Dominion Securities? ☐ No ☐ Yes — List the account(s)

ACCOUNT NUMBER(S)

Are you or your spouse an “insider” of a reporting issuer?

(e.g. officer, director, 10% shareholder) ☐ No ☐ Yes – List reporting issuer(s) below:

REPORTING ISSUER(S)

Do you or your spouse beneficially own, directly or indirectly, individually or in a combination with others, more than 20% of the voting rights of a reporting issuer, or do you or your spouse, hold a sufficient number of voting rights of a reporting issuer to affect materially the control of such reporting issuer? ☐ No ☐ Yes – List reporting issuer(s) below:

REPORTING ISSUER(S)

Account Information

ACCOUNT# _____ ACCOUNT NAME _____

ACCOUNT ADDRESS IF DIFFERENT THAN CLIENT MAILING ADDRESS _____

C/O OR ATTENTION _____

☐ JGBRS (Non-registered only)

Non-Managed Account

INVESTMENT

- ☐ Non-Registered
- ☐ w/Margin
 - ☐ w/Margin/Short Selling
 - ☐ w/Options Trading
 - ☐ w/QSP

- ☐ RSP (incl. locked-in)
- ☐ w/Options Trading

- ☐ RIF (incl. locked-in)
- ☐ w/Options Trading

- ☐ ESP
- ☐ w/Options Trading

- ☐ TFSA
- ☐ w/Options Trading

ADVISOR

- ☐ Non-Registered
- ☐ w/Margin
 - ☐ w/Margin/Short Selling
 - ☐ w/Options Trading
 - ☐ w/QSP

- ☐ RSP (incl. locked-in)
- ☐ w/Options Trading

- ☐ RIF (incl. locked-in)
- ☐ w/Options Trading

- ☐ ESP
- ☐ w/Options Trading

- ☐ TFSA
- ☐ w/Options Trading

OR Managed Account

PIM

- ☐ Non-Registered
- ☐ w/Margin
 - ☐ w/Options Trading
 - ☐ w/QSP

- ☐ RSP (incl. locked-in)
- ☐ w/Options Trading

- ☐ RIF (incl. locked-in)
- ☐ w/Options Trading

- ☐ ESP
- ☐ w/Options Trading

- ☐ TFSA
- ☐ w/Options Trading

ACCESS / A+

- ☐ Non-Registered ☐ TFSA

- ☐ RSP (incl. locked-in)

- ☐ RIF (incl. locked-in)

- ☐ ESP

Currency

- ☐ Canadian Funds Only
- ☐ US Funds Only
- ☐ All Currencies (Registered – US and CAD only)

Other Options

- ☐ Pledge Account (No registered accounts)
- ☐ Cash on Delivery (No A+, Access or registered accounts)
- ☐ Convertible Hedge (No A+, Access, PIM or registered accounts)

Account Trading and Suitability Information (all sections must add up to 100%)

INVESTMENT OBJECTIVES

Capital Preservation _____ %
The objective is to protect the value of your assets and minimize the loss of capital.

Income _____ %
The objective is to generate income and/or cash distributions that could be available for withdrawal.

Growth _____ %
The objective is to generate capital growth.

Aggressive Growth _____ %
The objective is to generate significant capital growth by investing in securities, other instruments and/or strategies which entail greater upside potential along with risk of loss.

Total = _____ %

TIME HORIZON

When will you need to withdraw from your capital?*

1 year or less _____ %

> 1 - 3 years _____ %

> 3 - 5 years _____ %

> 5 - 10 years _____ %

More than 10 years _____ %

Total = _____ %

**For RRIF accounts, this would not include withdrawals to satisfy the RRIF minimum withdrawal requirement.*

RISK FACTORS

Low _____ %
The risk of price volatility and loss of capital is low.

Medium _____ %
The risk of price volatility and loss of capital is medium.

Medium-High _____ %
The risk of price volatility and loss of capital is medium to high.

High _____ %
The risk of price volatility and loss of capital is high.

Total = _____ %

What is the primary source of funds that you will be using to contribute to the account?

- ☐ Wages Income
- ☐ Investment Income
- ☐ Gift/Inheritance
- ☐ Settlement for Insurance/Legal Claim
- ☐ Business Self-Employment Income
- ☐ Savings/Retirement Funds
- ☐ Sale of Asset, Home or Business

Shareholder Communication — Mandatory for all except managed accounts (e.g. A+, Access or PIM)

Part 1 – Disclosure of Beneficial Ownership Information

☐ I **DO NOT** object ☐ I **DO** object

To the disclosure of my name, electronic mail address, securities holdings and preferred language of communication (English or French) to issuers of securities held with you and to other persons or companies in accordance with securities law. I understand that by objecting to the disclosure of my account information noted above to issuers of securities that I hold with you, certain materials may be still required by law to be sent to me, and that I may have to pay the costs of having these materials provided to me.

Part 2 – Receiving Securityholder Materials

- ☐ I **want** — to receive ALL securityholder materials sent to beneficial owners of securities
- ☐ I **decline** — to receive ALL securityholder materials sent to beneficial owners of securities. (Even if I decline to receive these types of materials, I understand that a reporting issuer or person or company is entitled to send these materials to me at its expense.)
- ☐ I **want** — to receive ONLY proxy related materials that are sent in connection with a special meeting.

Part 3 - Consent to Mailing Costs

(Applicable only if you objected to the disclosure of your beneficial ownership information). I understand that by objecting to the disclosure of my account information noted above to issuers of securities that I hold with you, certain materials may be still required by law to be sent to me, and that I may have to pay the costs of having these materials provided to me.

☐ I **WILL PAY** for delivery ☐ I **WILL NOT PAY** for delivery

Account Viewing Permission

Complete if someone other than a trading authority will need to view the account data.

I, the account holder, authorize RBCDS to share information upon request with the following individuals for the purposes of consolidated account reporting and viewing, including DS Online:

FIRST NAME	LAST NAME	FIRST NAME	LAST NAME
FIRST NAME	LAST NAME	FIRST NAME	LAST NAME

Document Preferences – Automated Services/eDelivery

Primary Applicant

Please provide your **personal** RBC Royal Bank/Royal Trust client card number if you wish to link your DS accounts to your RBC Online Banking profile. This does not apply to Corporate or third party client cards.

INSERT YOUR 16 DIGIT PERSONAL RBC ROYAL BANK/ROYAL TRUST CLIENT CARD NUMBER

I have reviewed and agree to the terms and conditions set out in the Client Account Agreement section entitled “Consent to the Electronic Delivery of Documents.” I acknowledge that I will be able to view Tax Forms¹ and Account Documents² online; to view up to 7 years of archived documents; to save and print documents; and to opt-out of electronic delivery at any time by notifying RBC Dominion Securities Inc.

TAX FORMS:

- ☐ By ticking this box, I elect to receive electronic copies of my Tax Forms (as defined below) for this account and for all of my accounts, including those that currently receive paper Tax Forms, having reviewed and agreed to the terms and conditions set out in the Client Account Agreement section entitled “Consent to the Electronic Delivery of Documents.”

ALL OTHER ACCOUNT DOCUMENTS:

- ☐ By ticking this box, I elect to receive electronic copies of my Account Documents for this account and for all of my accounts, including those that currently receive paper Account Documents, having reviewed and agreed to the terms and conditions set out in the Client Account Agreement section entitled “Consent to the Electronic Delivery of Documents”.
- ☐ By ticking this box, I elect to opt-out of the electronic delivery of account documents and receive paper documents for this account.

Account Authority

Are you appointing an individual with trading authority, power of attorney, mandates, agents/tutors for minors, individuals holding court orders over the account, or any other individual with trading authority?

☐ No ☐ Yes If yes, please complete Appendix I

Application to Open Account

I, the undersigned, hereby apply to open an account at RBC Dominion Securities Inc. and agree that: (i) the information provided in this New Account Application Form is true, correct and complete in every respect; (ii) I have received and retained a copy of the Relationship Disclosure Document and the Client Account Agreements and Disclosure Documents and have read, understood and agree to the terms and conditions of the General Account Agreement contained therein, including, without limitation, the sections entitled "Corporate Information" and "Electronic Retention and Destruction of Documents"; (iii) I have discussed potential conflicts of interest with my Investment Advisor; and (iv) I have received and reviewed the "know-your-client" information discussed with and recorded by my Investment Advisor and that this "know-your-client" information is accurate.

For Managed Accounts including PIM, A+ and Access Accounts: In addition to the above, (v) I have read, understood and agree to the section entitled "Additional Terms for Managed Accounts"; and (vi) for an A+ or Access Account only, I have discussed any account restrictions with my Investment Advisor which are set out in the Account Restriction form and I may amend from time to time.

Account Fees (For Advisor, PIM, A+ and Access Accounts only)

If this is an Advisor Account, the annual fee is: _____ %.

If this is a PIM Account, the annual fee is: _____ %.

If this is an A+ account, the annual fee including our portfolio management fee and any compensation to sub-advisor(s) is: _____ %.

If this is an Access Account, the annual fee including our portfolio management fee and any compensation to investment manager(s) is: _____ %.

☐ In applying to open a **Joint - Gift of Beneficial Right of Survivorship Account** (the "Account"), it is my express intention to gift the beneficial entitlement to the right of survivorship of the Account in equal shares to each successor accountholder identified in **Appendix III** in this New Account Application Form (each a "Successor Accountholder"). I understand and agree that the legal and beneficial ownership of the Account and the assets therein are retained by me until my death and that during my lifetime I, alone, am responsible and entitled to make decisions, provide instructions, receive information, transfer, trade or withdraw assets from the Account or perform any other action with respect to the Account. I understand that upon my death, the Successor Accountholder(s) may request disclosure of my personal information and other information pertaining to the Account which I may provide to RBC Dominion Securities Inc. prior to my death. I consent to the sharing of such information following my death with the Successor Accountholder(s).

ACCOUNT HOLDER/ANNUITANT NAME (PLEASE PRINT)

X

SIGNATURE

DATE (MM/DD/YYYY)

¹Tax Forms means any tax document we may be required to send to you in connection with your Account or the assets therein, including, but not limited to, Forms T5, T3, T1135, T5008, T5013, NR4, T4RSP, T4RIF and T4A; Saskatchewan Mineral Exploration Tax Credit Slips; and Québec Tax Forms Relevé 1, Relevé 2, Relevé 3, Relevé 15 and Relevé 16.

²Account Documents means any Record or Notification, as such terms are defined in the Client Account Agreement, and any prospectus, prospectus amendment, Fund Facts document, information statement or similar product specific disclosure document.

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OFFICE USE ONLY

Was the client solicited? ☐ No ☐ Yes

Are you registered in the jurisdiction which the client resides? ☐ No ☐ Yes

Do you have direct or indirect interest in the clients account other than an interest in the commission? ☐ No ☐ Yes

How did the client hear about RBC DS?

☐ Personal Contact ☐ Advertising Lead ☐ Walk-in ☐ Phone-in
☐ Referral – By whom? _____ ☐ Other _____

In which year did the IA first meet the client?
YEAR (YYYY)

Does any Individual or Non-Individual (i.e. corporation, partnership, trust) have a financial interest in the account or will any Individual or Non-individual be providing the client with instructions on the account? (Does not apply to persons with authority or to documented entities.)

☐ No ☐ Yes — Please complete Third Party Information Appendix II.

Verification of Identity of Applicant

IDENTITY VERIFIED IN PERSON?	METHOD OF VERIFICATION USED	DATE OF VERIFICATION (MM/DD/YYYY)
IDENTIFICATION TYPE	REASON FOR USING DUAL PROCESS METHOD	OTHER REASON
ID REFERENCE NUMBER	FIRST SOURCE / DOCUMENT USED	SECOND SOURCE / DOCUMENT USED
ID PROV./STATE, COUNTRY	ISSUER NAME / DOCUMENT TYPE	ISSUER NAME / DOCUMENT TYPE
ID EXPIRY DATE (MM/DD/YYYY)	ACC. # OR REF. #	ACC. # OR REF. #
PCD # OF ACCOUNT AUTHORITY FOR MINOR	TYPE OF INFO. VERIFIED	TYPE OF INFO. VERIFIED

IA Comments

INVESTMENT ADVISOR NAME (PLEASE PRINT)	INVESTMENT ADVISOR SIGNATURE	DATE (MM/DD/YYYY)
	X	
INVESTMENT ADVISOR NAME (PLEASE PRINT)	INVESTMENT ADVISOR SIGNATURE	DATE (MM/DD/YYYY)
	X	
INVESTMENT ADVISOR NAME (PLEASE PRINT)	INVESTMENT ADVISOR SIGNATURE	DATE (MM/DD/YYYY)
	X	
INVESTMENT ADVISOR NAME (PLEASE PRINT)	INVESTMENT ADVISOR SIGNATURE	DATE (MM/DD/YYYY)
	X	
BRANCH MANAGER NAME (PLEASE PRINT)	BRANCH MANAGER SIGNATURE	DATE (MM/DD/YYYY)

Options Trading (if any):

_____ Buying _____ Covered Writing _____ Spreading _____ Uncovered Calls* _____ Uncovered Puts*

*Uncovered (or naked) Calls or Puts must be approved by the DROP or AROP on the Agent/Margin/Options page of the Client Account Form.

Appendix I - Account Authority Information

Will anyone other than you have trading authority over this account? ☐ No ☐ Yes

Acting on behalf of

If yes, please complete the following fields and sign Client Account Agreement page 2 – Application for TA/Margin/Options
This section is mandatory if you are appointing an individual with trading authority, power of attorney, agents/tutors for minors, individuals holding court orders over the account, or any other individual with trading authority over the account.

FULL LEGAL NAME – FIRST NAME LAST NAME

RESIDENCE ADDRESS (STREET NAME, APT, UNIT, SUITE) CITY PROVINCE/STATE COUNTRY POSTAL CODE/ZIP

BUSINESS/DAY NUMBER DATE OF BIRTH (MM/DD/YYYY)

NAME OF EMPLOYER OCCUPATION TYPE OF BUSINESS

Is the Account Authority a partner, director, officer or employee of a member firm of the Investment Industry Regulatory Organization of Canada (IIROC) or related to any such individual and living in the same household? ☐ No ☐ Yes

Is the Account Authority or the Account Authority’s spouse an “insider” of a reporting issuer? (e.g. officer, director, 10% shareholder) ☐ No ☐ Yes – List reporting issuer(s) below:

REPORTING ISSUER(S)

Does the Account Authority or the Account Authority’s spouse beneficially own, directly or indirectly, individually or in a combination with others, more than 20% of the voting rights of a reporting issuer, or does the Account Authority or the Account Authority’s spouse, hold a sufficient number of rights of a reporting issuer to affect materially the control of such reporting issuer? ☐ No ☐ Yes

REPORTING ISSUER(S)

Country(s) of Citizenship: Canada ☐ No ☐ Yes United States ☐ No ☐ Yes

Verification of Identity of Account Authority

IDENTITY VERIFIED IN PERSON?	METHOD OF VERIFICATION USED	DATE OF VERIFICATION (MM/DD/YYYY)
IDENTIFICATION TYPE	REASON FOR USING DUAL PROCESS METHOD	OTHER REASON
ID REFERENCE NUMBER	FIRST SOURCE / DOCUMENT USED	SECOND SOURCE / DOCUMENT USED
ID PROV./STATE, COUNTRY	ISSUER NAME / DOCUMENT TYPE	ISSUER NAME / DOCUMENT TYPE
ID EXPIRY DATE (MM/DD/YYYY)	ACC. # OR REF. #	ACC. # OR REF. #
	TYPE OF INFO. VERIFIED	TYPE OF INFO. VERIFIED

Third Party Information Section 1 – Individuals

Does any Individual have a financial interest in the account or will any individual be providing the client with instructions on the account?

FIRST NAME	LAST NAME			
RESIDENCE ADDRESS OF INDIVIDUAL	CITY	PROVINCE/STATE	COUNTRY	POSTAL CODE/ZIP
NAME OF EMPLOYER	OCCUPATION	TYPE OF BUSINESS	RELATIONSHIP TO THE CLIENT	

☐ No ☐ Yes — List reporting issuer(s) below:

REPORTING ISSUER(S)

Does the Third Party or the Third Party's spouse beneficially own, directly or indirectly, individually or in a combination with others, more than 20% of the voting rights of a reporting issuer, or do you or your spouse, hold a sufficient number of rights of a reporting issuer to affect materially the control of such reporting issuer? ☐ No ☐ Yes — List reporting issuer(s) below:

REPORTING ISSUER(S)

(Does not apply to documented entities with authority, i.e., co-applicants, corporate executors, corporate trustees, etc.).

Does any **Non-individual** (i.e., corporation, partnership, trust) have a financial interest in the account or will any non-individual be providing the client with instructions on the account? ☐ No ☐ Yes — Please complete the section below

NAME OF NON-INDIVIDUAL					
ADDRESS OF NON-INDIVIDUAL		CITY	PROVINCE/STATE	COUNTRY	POSTAL CODE/ZIP
TYPE OF BUSINESS	INCORPORATION NUMBER (IF A CORPORATION)		JURISDICTION OF INCORPORATION	RELATIONSHIP TO THE CLIENT	

Is the Third Party an “insider” of a reporting issuer? (e.g. officer, director, 10% shareholder)

☐ No ☐ Yes — List reporting issuer(s) below:

REPORTING ISSUER(S)

Does the Third Party or the Third Party's spouse beneficially own, directly or indirectly, individually or in a combination with others, more than 20% of the voting rights of a reporting issuer, or does the Third Party or the Third Party's spouse, hold a sufficient number of rights of a reporting issuer to affect materially the control of such reporting issuer?

☐ No ☐ Yes — List reporting issuer(s) below:

REPORTING ISSUER(S)