

ScotiaMcLeod Short Form Account Information Change (Individuals)

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Regular account	BRANCH			ACCOUNT				T	C	IE			L	RSP account	BRANCH			ACCOUNT				T	C	IE			L

A - Information about the applicant, ITF trustee or primary contact in a joint regular account; planholder in a registered account. ▼

Your title	Your first name and middle initial				Your last name				Language:		<input type="checkbox"/> English	<input type="checkbox"/> French	
Your home address, street, apartment, Rural Route (P.O Boxes only are <i>not</i> acceptable)										Your email address			
City		Prov.	Country		Postal Code		Home Phone			<input type="checkbox"/> SIN	<input type="checkbox"/> SSN	<input type="checkbox"/> TIN	
Current Position/Occupation							How Long?		Business Phone				
Employer's Name (if retired, former Employer)							What kind of business						
How many dependents?				You are: <input type="checkbox"/> Widowed <input type="checkbox"/> Divorced <input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Living Common-Law									
For interested parties only:		Number of confirms:			Number of statements:								
Interested Party Name and Address				City		Prov.	Country		Postal Code				

B - Information about **Joint Applicant** **ITF Beneficiary** **Account Guarantor** **Trading Authority** ▼

Your title	Your first name and middle initial				Your last name				Language:		<input type="checkbox"/> English	<input type="checkbox"/> French	
Your home address, street, apartment, Rural Route (P.O Boxes only are <i>not</i> acceptable)										Your email address			
City		Prov.	Country		Postal Code		Home Phone			<input type="checkbox"/> SIN	<input type="checkbox"/> SSN	<input type="checkbox"/> TIN	
Current Position/Occupation							How Long?		Business Phone				
Employer's Name (if retired, former Employer)							What kind of business						

C - Financial information of applicant (Securities regulations require that we obtain this information) ▼

Your Annual Gross Income (from all sources)	1. Less than \$50k	2. \$51k to \$100k	3. \$101k to \$250k	4. \$251k to \$500k	5. Over \$500k	Code	
Your Estimated Net Worth excluding principal residence	A Net Liquid Assets (Cash / securities less loans) \$		+ B Net Fixed Assets (Fixed less liabilities) \$		= Total Net Worth (A+B) \$		
Investment Knowledge							
Mutual Funds		Bonds		Stocks		Options	
<input type="checkbox"/> High	<input type="checkbox"/> High	<input type="checkbox"/> High	<input type="checkbox"/> High	<input type="checkbox"/> High	<input type="checkbox"/> High	<input type="checkbox"/> High	<input type="checkbox"/> High
<input type="checkbox"/> Moderate	<input type="checkbox"/> Moderate	<input type="checkbox"/> Moderate	<input type="checkbox"/> Moderate	<input type="checkbox"/> Moderate	<input type="checkbox"/> Moderate	<input type="checkbox"/> Moderate	<input type="checkbox"/> Moderate
<input type="checkbox"/> Low / None	<input type="checkbox"/> Low / None	<input type="checkbox"/> Low / None	<input type="checkbox"/> Low / None	<input type="checkbox"/> Low / None	<input type="checkbox"/> Low / None	<input type="checkbox"/> Low / None	<input type="checkbox"/> Low / None
Short Sales		Overall					
<input type="checkbox"/> High		<input type="checkbox"/> High					
<input type="checkbox"/> Moderate		<input type="checkbox"/> Moderate					
<input type="checkbox"/> Low / None		<input type="checkbox"/> Low / None					
Insider information: Are you, or your spouse, a deemed insider (as defined in the Provincial Securities Acts) of any public companies? <input type="checkbox"/> No							
<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 control position (as defined in the Provincial Securities Acts) of any public companies? <input type="checkbox"/> No							
<input type="checkbox"/> 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, IDA member, or of a stock exchange itself? <input type="checkbox"/> No							
<input type="checkbox"/> Yes - If yes, enter the company names here: _____							

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Account Number

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

Your Annual Gross Income (from all sources)	1. Less than \$50k	2. \$51k to \$100k	3. \$101k to \$250k	4. \$251k to \$500k	5. Over \$500k	Code
Your Estimated Net Worth excluding principal residence	A Net Liquid Assets (Cash / securities less loans)	\$	+ B Net Fixed Assets (Fixed less liabilities)	\$	= Total Net Worth (A+B)	\$

Investment Knowledge

Mutual Funds <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low / None	Bonds <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low / None	Stocks <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low / None	Options <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low / None	Short Sales <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low / None	Overall <input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low / None
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Insider information: 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, IDA member, or of a stock exchange itself? No
 Yes - If yes, enter the company names here: _____

E - Regular Account Investment Objectives and Related Account Risk Factors. Review ScotiaMcLeod Terms and Conditions brochure

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

F - RSP Account Investment Objectives and Related Account Risk Factors. Review ScotiaMcLeod Terms and Conditions brochure

Investment Objectives for your RSP account (Total must = 100%)	Income _____ %	Long Term Capital Appreciation _____ %	Short Term Capital Appreciation / Speculative Trading _____ %
Account Risk Factors for your RSP account (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.

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.

(MM/DD/YY)

Applicant / annuitant signature ▶	Date						
Joint applicant signature ▶	Date						

H - This comments section will be completed by your Investment Executive and Branch Manager

Other comments: _____

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

(MM/DD/YY)

I.E. signature ▶	Date						
B.M. approval ▶	R.M.	Date					