

# CLIENT INFORMATION FORM

## INDIVIDUAL ONLY

- 1 Please fill out the form below
- 2 Once completed, please print and sign the form
- 3 You can fax to [604.899.1144](tel:604.899.1144) or scan and email to [info@foremostcapital.com](mailto:info@foremostcapital.com)

# Client Information Form - Individuals

1. Registered Representative:

2. Client Information					
Title	First name	Initial(s)	Last name	Date of birth (mm/dd/yyyy)	Social Insurance # (SIN) (required)
Province of residence				E-mail address	
Home address (number, street, apartment, rural route)				City	Province
Mailing address (if different from home address)				City	Province
Home phone #		Business phone #		Cell phone #	Fax #
Employment Status				Occupation	
<input type="radio"/> Employed <input type="radio"/> Homemaker <input type="radio"/> Self Employed <input type="radio"/> Unemployed <input type="radio"/> Student <input type="radio"/> Retired (Please indicate previous employment info)				Employer name	
				Type of business	
				Employer address	
Are you married or do you have a common-law spouse?		If No;			If Other
<input type="radio"/> Yes <input type="radio"/> No		<input type="radio"/> Single <input type="radio"/> Divorced <input type="radio"/> Widow <input type="radio"/> Other			
If yes, is your spouse a co-account holder (joint applicant)?		Spouse's title	First name	Initial(s)	Last name
<input type="radio"/> Yes <input type="radio"/> No					
Is the account an individual or joint account?		Complete a client information form for any co-account holder:		Date of birth of spouse (mm/dd/yyyy)	Occupation of spouse
<input type="radio"/> Individual <input type="radio"/> Joint					
3. Risk Profile - Not applicable to permitted clients who have signed P.C. waiver					
Investment time horizons			Are you a politically exposed foreign person as defined on page 3?		
<input type="radio"/> 1 - 3 years <input type="radio"/> 3 - 5 years <input type="radio"/> More than 5 years			<input type="radio"/> Yes <input type="radio"/> No <i>If yes, please complete the information on page 3 including source of payment</i>		
Investment knowledge			Investment Objectives		Investment Restrictions Comments
<input type="radio"/> Sophisticated <input type="radio"/> Limited <input type="radio"/> Moderate <input type="radio"/> None			Total should equal 100%		
Previous Investment Experience			Capital preservation		
<input type="checkbox"/> Mutual Funds <input type="checkbox"/> Exempt Products <input type="checkbox"/> Limited partnerships <input type="checkbox"/> Equities <input type="checkbox"/> Bonds <input type="checkbox"/> Tax advantaged investment			Tax savings		
Your risk tolerance for this account			Income		
<input type="radio"/> Low (For a client seeking an expected rate of return with a low risk that they will lose money) <input type="radio"/> Medium (For a client expecting normal rates of return with a normal amount of volatility) <input type="radio"/> High (For a client seeking higher returns who is willing to take a substantial risk that they will lose money)			Long term Growth		
			Speculation		
			TOTAL		
			100 %		
Risk Tolerance Comments					
4. Financial Profile					
Are you financing the acquisition of the investment?		<b>FUNDS (LEVERAGING) – ADDITIONAL RISK</b>			
<input type="radio"/> Yes <input type="radio"/> No		I acknowledge that using borrowed money to finance the purchase of the investment involves greater risk than a purchase using cash resources only. If I borrow money to purchase the investment, I acknowledge that my responsibility to repay the loan and pay interest as required by the terms of the loan remains the same even if the value of the investment purchased declines.			
CLIENT: Annual Income			SPOUSE: Annual Income		
<input type="radio"/> Under \$150,000 <input type="radio"/> \$200,000 - \$300,000 <input type="radio"/> \$150,000 - \$199,999 <input type="radio"/> Over \$300,000			<input type="radio"/> Under \$150,000 <input type="radio"/> \$200,000 - \$300,000 <input type="radio"/> \$150,000 - \$199,999 <input type="radio"/> Over \$300,000		
CLIENT: Approximate Personal Net Worth			SPOUSE: Approximate Personal Net Worth		
<input type="radio"/> Under \$500,000 <input type="radio"/> \$1 Million - \$5 Million <input type="radio"/> \$500,000 - \$999,999 <input type="radio"/> Over \$5 Million			<input type="radio"/> Under \$500,000 <input type="radio"/> \$1 Million - \$5 Million <input type="radio"/> \$500,000 - \$999,999 <input type="radio"/> Over \$5 Million		
CLIENT: Approximate Net Financial Assets			SPOUSE: Approximate Net Financial Assets		
<input type="radio"/> Under \$500,000 <input type="radio"/> \$1 Million - \$5 Million <input type="radio"/> \$500,000 - \$999,999 <input type="radio"/> Over \$5 Million			<input type="radio"/> Under \$500,000 <input type="radio"/> \$1 Million - \$5 Million <input type="radio"/> \$500,000 - \$999,999 <input type="radio"/> Over \$5 Million		
Bank	Branch address			Bank contact name	

# Client Information Form - Individuals

## 5. Insiders

Is the client:

1. - A director or an officer of a reporting issuer or any other issuer whose securities are publicly traded;
2. - A director or an officer of a person that is itself an insider or a subsidiary of a reporting issuer or any other issuer whose securities are publicly traded;
3. - A person that has:
  - a) Beneficial ownership of, or control or direction over, directly or indirectly; or
  - b) A combination of beneficial ownership of, and control or direction over, directly or indirectly, securities of a reporting issuer or any other issuer whose securities are publicly traded carrying more than 10% of the voting rights attached to all the reporting issuer's or other issuer's outstanding voting securities, excluding, for the purpose of the calculation of the percentage held, any securities held by the person as underwriter in the course of a distribution;
4. - A reporting issuer or any other issuer whose securities are publicly traded that has purchased, redeemed or otherwise acquired a security of its own issue, for so long as it continues to hold that security;
5. - A person designated as an insider in an order made under the Securities Act (British Columbia); or
6. - A person that is in a prescribed class of persons under the Securities Act (British Columbia)? "publicly traded" means traded in any public market, including domestic, foreign, exchange-listed and over-the-counter markets.

Yes  No If yes, please provide details in the table below.

Symbol	Market	Company	Relationship <small>(indicate applicable section of the definition of "insider" above (1-6))</small>

## 6. Politically Exposed Foreign Person

You are a Politically Exposed Foreign Person (PEFP) if you hold or have ever held one of the following positions in or on behalf of a foreign country:

- a head of state or government;
- a member of the executive council of government or member of a legislature;
- a deputy minister (or equivalent);
- an ambassador or an ambassador's attaché or counsellor;
- a military general (or higher rank);
- a president of a state-owned company or bank;
- a head of a government agency;
- a judge; or
- a leader or president of a political party in a legislature.

You are also considered to be a PEFP if you are a family member of an individual described above. In this context, a family member means one of the following:

- mother or father;
- child;
- spouse or common-law partner;
- spouse's or common law partner's mother or father; and
- brother, sister, half-brother or half-sister (that is, any other child of the individual's mother or father)

Applicant/account holder/payor name (first,middle initial, last)	Name of person who holds/held the foreign position (first, middle initial, last)	Relationship to the applicant/account holder/payor	Position held (indicate all applicable positions from list)	Country where position held
	(PEFP) 1			
	(PEFP) 2			
	(PEFP) 3			

Source of payment

- Salary or earned income   
  Gifted Funds   
  Personal savings or investments   
  Other (provide details)
- Borrowed funds   
  Inherited Funds   
  Sale of property or business

## 7. Other Information

1. - Type(s) of securities to be acquired:
2. - Standing Instructions (if any):
3. - Settlement Instructions:
4. - Name and mailing address for duplicate statements and notices (if any):

The above information is true and complete.



Client's signature

Date (mm/dd/yyyy)

## Client Information Form - Individuals

- We are obliged to verify the identity of our clients in accordance with federal regulations and appreciate your understanding and cooperation in meeting this requirement.
- All client information is considered confidential. We will not disclose any such information except in response to a legally enforceable demand or to bona fide regulatory authorities with jurisdiction over Foremost Capital Corp.
- By signifying that you are an "accredited investor" you are indicating that you have the knowledge and experience to evaluate the risks and potential merits of prospective investments given reasonably detailed information provided to you by the issuer.

**TO BE COMPLETED BY A REPRESENTATIVE OF FOREMOST CAPITAL CORP**

New Client       Changes to Existing Client Information

Client is NOT an accredited investor: Yes (see \*\* below to provide detailed information)    N/A

\*\* Client is an individual who is resident in British Columbia and is [check applicable box]

a close personal friend of \_\_\_\_\_ [insert name], a director, executive officer or control person of the Firm, OR

a close business associate of \_\_\_\_\_ [insert name], a director, executive officer or control person of the Firm

The representative of Foremost Capital Corp. has verified and viewed the client's original document:  
(a legible copy of **ANY ONE** of the following photo documents is hereto attached)

Driver's License       Passport       Citizenship Card

**Approvals**

Registered Representative Comments:

Registered Representative Signature:

Date (mm/dd/yyyy)

Compliance/Officer/Director Comments:

Compliance/Officer/Director Signature:

Date (mm/dd/yyyy)