

# CLIENT INFORMATION FORM

## NON-INDIVIDUAL

- 1 Please fill out the form below
- 2 Once completed, please print and sign the form
- 3 Once signed, please fax it to **604.899.1144** or scan & e-mail to [info@foremostcapital.ca](mailto:info@foremostcapital.ca)

# Client Information Form - Non-Individual

1. Registered Representative:

## 2. Client Information

<input type="radio"/> Corporation <input type="radio"/> Partnership <input type="radio"/> Trust <input type="radio"/> Other		if other		Date of incorporation (mm/dd/yyyy)	
Name of corporation / Partnership / Trust (Please also attach a copy of the certificate of incorporation or establishment)				Business # (BN) (required)	
Mailing address (number, street, apartment, rural route)			City	Province	Postal Code
Delivery address (if different from home address)			City	Province	Postal Code
Business phone #	Fax #	Email		Website	
Contact Person (Name of trustee(s), executor(s) or authorized signing officer(s):		Title	First name	Initial(s)	Last name
Jurisdiction of Organization			Phone	Email	
List all directors, officers and beneficial shareholders: (Attach a separate page if necessary)					
Name		Address			
Name		Address			
Name		Address			
Name		Address			
Name		Address			
Is any director, officer or beneficial shareholder a Politically Exposed Foreign Person (PEFP)? <input type="radio"/> Yes <input type="radio"/> No					
An individual is a PEFP if he or she holds or has ever held one of the following positions in or on behalf of a foreign country: <ul style="list-style-type: none"> <li>• a head of state or government;</li> <li>• a member of the executive council of government or member of a legislature;</li> <li>• a deputy minister (or equivalent);</li> <li>• an ambassador or an ambassador's attaché or counsellor;</li> <li>• a military general (or higher rank);</li> <li>• a president of a state-owned company or bank;</li> <li>• a head of a government agency;</li> <li>• a judge; or</li> <li>• a leader or president of a political party in a legislature.</li> </ul>			An individual is also a PEFP if he or she is a family member of an individual described above. In this context, a family member means one of the following: <ul style="list-style-type: none"> <li>• mother or father;</li> <li>• child;</li> <li>• spouse or common-law partner;</li> <li>• spouse's or common law partner's mother or father; and</li> <li>• brother, sister, half-brother or half-sister (that is, any other child of the individual's mother or father).</li> </ul>		
If yes, name each PEFP:					
If incorporated/organized in Canada, do Canadian residents own 50% or more of the entity? <input type="radio"/> Yes <input type="radio"/> No					
Nature of Business:					
Each individual, corporation, partnership, trust or similar entity that beneficially owns, or exercises direct or indirect control or direction over, more than 25% of the voting rights attached to the outstanding voting securities of the corporation must complete a Client Information Form.					
Please explain ownership of, or control or direction over, voting rights:					
OR, please confirm below: <input type="checkbox"/> No individual, corporation, partnership, trust or similar entity beneficially owns, or exercises direct or indirect control or direction over, more than 25% of the voting rights attached to the outstanding voting securities of the corporation.  If the client is a partnership or trust, each individual, corporation, partnership, trust or similar entity who exercises control over the affairs of the partnership or trust must complete a Client Information Form.  Note: If an individual, corporation, partnership, trust or similar entity holds more than 20% of the voting rights attached to all outstanding voting securities of the partnership or trust, the individual, corporation, partnership, trust or similar entity, as applicable, is deemed, in the absence of evidence to the contrary, to exercise control over the affairs of the partnership or trust.					
Please explain how control is held:					
OR, please confirm below: <input type="checkbox"/> No individual, corporation, partnership, trust or similar entity exercises control over the affairs of the partnership or trust.					

# Client Information Form - Non-Individual

## 3. Risk Profile - Not applicable to permitted clients who have signed P.C. waiver

Investment time horizons <input type="radio"/> 1 - 3 years <input type="radio"/> 3 - 5 years <input type="radio"/> More than 5 years	Investment Objectives Total should equal 100%	Capital preservation	<input type="text"/>	%
Investment knowledge <input type="radio"/> Sophisticated <input type="radio"/> Good <input type="radio"/> Fair <input type="radio"/> Novice		Tax savings	<input type="text"/>	%
Previous Investment Experience <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		Income	<input type="text"/>	%
Risk tolerance for this account <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	<input type="text"/>	%
		Speculation	<input type="text"/>	%
		<b>TOTAL</b>	<u><u>100 %</u></u>	
Risk tolerance Comments:	Investment Restrictions Comments:			

## 4. Financial Profile

Is the acquisition of the investment being financed? <input type="radio"/> Yes <input type="radio"/> No <i>(If yes, please refer to below re: additional risk associated with leveraged purchases.)</i>	<b>FUNDS (LEVERAGING) – ADDITIONAL RISK</b> 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.	
<b>CLIENT: Net Assets</b> <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	<b>Net Income Before tax</b> <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	
Bank	Branch address	Bank contact name

## 5. Insiders


Is the client:

- A director or an officer of a reporting issuer or any other issuer whose securities are publicly traded;
- 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;
- A person that has:
  - Beneficial ownership of, or control or direction over, directly or indirectly; or
  - 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;
- 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;
- A person designated as an insider in an order made under the Securities Act (British Columbia); or
- 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 (indicate applicable section of the definition of "insider" above (1-6))

# Client Information Form - Non-Individual

6. 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)

## Investor Knowledge Levels

### SOPHISTICATED:

Describes an investor with more than 5 years of experience with investments and/or credit products and strong knowledge and level of experience with products including bonds, mortgages, stocks, mutual funds, term deposits and real estate.

### GOOD:

Describes an investor with more than 5 years of experience with investments and/or credit products and a reasonable amount of knowledge or level of experience with products including bonds, mortgages, stocks, mutual funds, term deposits and real estate.

### FAIR:

Describes an investor with more than 1 year of experience with investments and/or credit products and some knowledge or experience with products including bonds, mortgages, stocks, mutual funds, term deposits and real estate.

### NOVICE:

Describes an investor with less than 1 year of experience and knowledge with investments and/or credit products and very limited knowledge or experience with products including bonds, mortgages, stocks, mutual funds, term deposits and real estate.

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- 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 Inc.
- 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 INC.**

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 Inc. has verified and viewed the client's original document:

**For corporations:** (a legible copy of 2 of the following photo documents is hereto attached)

- |   |  |   |
|---|--|---|
| <input type="checkbox"/> Certificate of Incorporation                                 | <input type="checkbox"/> Notice of Articles          | <input type="checkbox"/> Most recently filed Annual Report                                |
| <input type="checkbox"/> Register of Directors  | <input type="checkbox"/> Central Securities Register | <input type="checkbox"/> List of officers authorized to sign on behalf of the Corporation |
| <input type="checkbox"/> A copy of the corporation's most recent financial statements |  |   |

**For partnerships:** (a legible copy of the following document is hereto attached)

- Partnership Agreement       General Partner Information

**For trusts:** (a legible copy of the following document is hereto attached)

- Trust Agreement       Trustee Information

**Approvals**

Registered Representative Comments:

Registered Representative Signature:

Date (mm/dd/yyyy)

Compliance/Officer/Director Comments:

Compliance/Officer/Director Signature:

Date (mm/dd/yyyy)