



KNOW YOUR CLIENT FORM (KYC) PERSONAL

Securities legislation requires us to obtain/provide the following information on an annual basis. This information is kept strictly confidential.

Client Name: _____ **S.I.N.:** _____
 (fill out only if you are a new client)

Occupation: _____ **Date of Birth:** ____ / ____ / ____
 MM DD YYYY
 (fill out only if you are a new client)

If you are a current client, has your address changed in the past 2 years?

Yes ___ No ___

(If yes, or if you are a new client, please fill in the address section below):

Address Line 1: _____

Address Line 2: _____

City: _____ **Province:** _____

Postal Code: _____ **Country:** _____

Telephone:
(Business): _____ **(Residence):** _____ **Cell:** _____
 (one or more of the contact numbers must be filled in)

Email: _____

Citizenship:

- Canadian
- Canadian / U.S. (Dual)
- U.S.
- International: (which country)

Net Annual Income

(Minimum in past 2 years)

- Less than \$100,000
- \$100,000 – \$199,999
- \$200,000 – \$299,999
- \$300,000 – \$499,999
- Over \$500,000

Net Assets

(Can include real estate)

- Less than \$250,000
- \$250,000 – \$499,999
- \$500,000 – \$999,999
- \$1,000,000 – \$2,499,999
- \$2,500,000 – \$4,999,999
- Over \$5,000,000

Net Financial Assets

(Do not include real estate)

- Less than \$100,000
- \$100,000 – \$249,999
- \$250,000 – \$499,999
- \$500,000 – \$999,999
- Over \$1,000,000

Concentration Risk

(Approximately what percentage of your net financial assets are you investing with ABC Funds?)

- 0% – 10%
- 10% – 20%
- 20% – 30%
- 30% – 50%
- 50% or more

Risk Tolerance

- Low
- Medium
- High

Investment Knowledge

- Sophisticated
- Good
- Fair
- Novice

Approximate Current Asset Allocation

(other than ABC Funds)

Must add up to 100%

- _____ % Equities
- _____ % Money Market (i.e. Cash)
- _____ % Fixed Income
- _____ % Other

Example 1

If, outside of what you have at ABC, you have no other investments except for cash in bank accounts, etc, then you would put:

- 0% Equities
- 100% Money Market (i.e. Cash)**
- 0% Fixed Income
- 0% Other

Example 2

If, outside of what you have at ABC, you have for example \$100,000 in other Equity Funds and \$100,000 in a high-interest savings account, then you would put:

- 50% Equities**
- 50% Money Market (i.e. Cash)**
- 0% Fixed Income
- 0% Other

=====

100 %Total

Investment Objective

- Safety
- Income
- Balanced
- Growth

Liquidity

(Subscriber needs instant access to their investment)

- Yes
- No

Subscriber is an insider of a reporting issuer or other issuer whose securities are publicly traded (as those terms are defined under applicable securities laws).

- No
- Yes If **YES**, provide name(s) of issuer(s): _____

Subscriber is a politically exposed foreign person:

(You are a politically exposed foreign person if you, or a family member, hold or you have ever held one of the following offices or 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).

- No
- Yes If **YES**, provide details: _____

Third Party Determination

Is a third party instructing you in how to handle your account at ABC Funds?

- No _____
- Yes _____

If yes, provide their name, address, date of birth, and relationship to you:

Intended Use of Account

What is your intended use for the proceeds of your investment with ABC Funds?

- Savings for Retirement
- Savings for Real Estate
- Wealth Preservation
- Other (please give details): _____

Client Signature : X _____

Date: ____ / ____ / ____
(MM / DD / YYYY)