

**CLIENT QUESTIONNAIRE – INDIVIDUALS**

- |   |   |
|---|---|
| <input type="checkbox"/> INDIVIDUAL ACCOUNT                   | <input type="checkbox"/> RRSP ACCOUNT         |
| <input type="checkbox"/> JOINT ACCOUNT WITH RIGHT OF SURVIVAL | <input type="checkbox"/> SPOUSAL RRSP ACCOUNT |
| <input type="checkbox"/> JOINT ACCOUNT WITH TENANTS IN COMMON | <input type="checkbox"/> RRIF ACCOUNT         |
| _____ % FOR _____   | <input type="checkbox"/> SPOUSAL RRIF ACCOUNT |
| _____ % FOR _____   |   |

**CLIENT INFORMATION**

NAME		EMAIL ADDRESS
STREET ADDRESS		HOME PHONE
CITY	PROVINCE	MOBILE PHONE
COUNTRY	POSTAL CODE	BUSINESS PHONE
CITIZENSHIP	DATE OF BIRTH	SOCIAL INSURANCE NUMBER (SIN)
EMPLOYMENT STATUS AND OCCUPATION	EMPLOYER'S NAME AND NATURE OF BUSINESS	TITLE
CIVIL STATUS OR FAMILY SITUATION	SPOUSE'S NAME AND OCCUPATION	NUMBER OF DEPENDENTS

If you have any dependents, please provide the following information for each dependent:

NAME	AGE
NAME	AGE
NAME	AGE
NAME	AGE

Do you authorize Primevest Capital Corp. to send account statements and financial information to the above email address?

☐ Yes ☐ No

**JOINT ACCOUNT HOLDER INFORMATION**

NAME		EMAIL ADDRESS
STREET ADDRESS		HOME PHONE
CITY	PROVINCE	MOBILE PHONE
COUNTRY	POSTAL CODE	BUSINESS PHONE

For joint accounts, each account holder must complete a Client Questionnaire.

**ANTI-MONEY LAUNDERING REQUIREMENTS**

In order to comply with the federal *Proceeds of Crime (Money Laundering) and Terrorist Financing Act*, prior to opening an investment account with Primevest Capital Corp., we must take certain steps to verify your identity. The steps necessary to verify your identity depend on whether or not you attend a face-to-face meeting with us. If you attend a face-to-face meeting, you must provide us an original proof of identification (driver's license or passport). We will take a copy of the original proof of identification and will return it immediately.

If you do not attend a face-to-face meeting, do you authorize Primevest Capital Corp. to use the information that you have provided in this document to conduct a credit file search for this purpose? ☐ Yes ☐ No

## INTERNATIONAL INFORMATION REPORTING

Please complete the attached Declaration of Tax Residence for Individuals – Part XVII and Part XIX of the *Income Tax Act*.

## NATURE OF RELATIONSHIP

Is the sole purpose of your business relationship with Primevest Capital Corp. to purchase securities of Primevestfund, Primevest Partners Fund, WestPrime Fund Limited Partnership or other funds managed by Primevest Capital Corp.? ☐ Yes ☐ No

If “no”, describe the purpose and intended nature of your business relationship with Primevest Capital Corp.: \_\_\_\_\_

## INVESTMENT PROFILE AND FINANCIAL CIRCUMSTANCES

### Investment experience

- ☐ Stocks  
☐ Bonds  
☐ Mutual funds  
☐ Exempt securities  
☐ None

### Investment knowledge<sup>1</sup>

- ☐ Limited  
☐ Fair  
☐ Good  
☐ Excellent

### Risk tolerance<sup>2</sup>

- ☐ Low  
☐ Medium  
☐ High

### Investment objective<sup>3</sup>

- ☐ Safety  
☐ Income  
☐ Capital appreciation  
☐ Balanced

### Annual income

- ☐ \$0 - \$100,000  
☐ \$100,000 - \$200,000  
☐ \$200,000 - \$300,000  
☐ \$300,000 and over

### Annual household income

- ☐ \$0 - \$100,000  
☐ \$100,000 - \$200,000  
☐ \$200,000 - \$300,000  
☐ \$300,000 and over

### Net assets<sup>4</sup>

- ☐ Up to \$500,000  
☐ \$500,000 - \$1,000,000  
☐ \$1,000,000 - \$5,000,000  
☐ \$5,000,000 and over

### Household net assets<sup>4</sup>

- ☐ Up to \$500,000  
☐ \$500,000 - \$1,000,000  
☐ \$1,000,000 - \$5,000,000  
☐ \$5,000,000 and over

### Net financial assets<sup>5</sup>

- ☐ Up to \$500,000  
☐ \$500,000 - \$1,000,000  
☐ \$1,000,000 - \$5,000,000  
☐ \$5,000,000 and over

### Household net financial assets<sup>5</sup>

- ☐ Up to \$500,000  
☐ \$500,000 - \$1,000,000  
☐ \$1,000,000 - \$5,000,000  
☐ \$5,000,000 and over

### Investment time horizon

- ☐ 1 year or less  
☐ 1-3 years  
☐ 3-10 years  
☐ 10 or more years

### Certain Defined Terms:

<sup>1</sup> “**Investment knowledge**” refers to your knowledge and experience about investments and the capital markets generally. “Limited” means that you have limited knowledge of the markets and are new to investing or have limited experience with investments. “Fair” means that you have a basic knowledge of the markets and have some experience with investments. “Good” means that you have a good working knowledge of the markets and experience with various types of investments. “Excellent” means that you are very knowledgeable and experienced in all aspects of the markets, including the inherent risks involved with aggressive investment products.

<sup>2</sup> “**Risk tolerance**” refers to the degree of variability in investment returns that you are willing to accept. Factors that will impact your risk tolerance will include the time horizon that you have for your investments, when you may require access to your investment capital, your future earning capacity, and the other assets that you may have. A “low” risk tolerance means your priority is to preserve the capital in the account and you are generally unwilling to accept volatility in the value of the account. An investor with a short investment time horizon and limited future earning capacity will generally have a low tolerance for risk. A “medium” risk tolerance means you are willing to accept some risk of loss to the capital in the account and are willing to accept some volatility in the value of the account. A “high” risk tolerance means you are willing to accept the risk of a significant loss to the capital in the account and are willing to accept a high level of volatility in the value of the account. **An investment in Primevestfund, Primevest Partners Fund or WestPrime Fund Limited Partnership is only suitable for investors with a high risk tolerance.**

<sup>3</sup> “**Investment objective**” refers to your financial or investment goals in relation to your account with us. Knowing your investment objective helps us determine if a particular investment would be appropriate for you. “Safety” means that your primary objective is to ensure that the value of your investments does not decrease. “Income” means that your objective is for the investments to generate current income that is available to you. “Capital appreciation” means that your primary objective is to increase the overall value of your investments over time. “Balanced” means that your objective is to achieve some capital growth while generating some current income. **An investment in Primevestfund, Primevest Partners Fund or WestPrime Fund Limited Partnership is only suitable for investors seeking capital appreciation.**

<sup>4</sup> “**Net assets**” refers to your total assets less your total liabilities. For example, for the purposes of calculating net assets the calculation of total assets would include the value of your personal residence and the calculation of total liabilities would include the amount of any liability (such as a mortgage) in respect of your personal residence.

<sup>5</sup> “**Net financial assets**” refers to your total financial assets, before taxes, but net of any related liabilities. For this purpose, financial assets are defined to mean cash, securities, or a contract of insurance, a deposit or an evidence of a deposit that is not a security for the purposes of securities legislation. The value of your personal residence should not be included in the calculation of your net financial assets.

Are you leveraging or using borrowed money to invest? ☐ Yes ☐ No

If “yes”, provide details, including details of your ability to meet your debt obligations: \_\_\_\_\_

Intended use of account (ex. saving for retirement, etc.): \_\_\_\_\_

Special liquidity needs, if any: \_\_\_\_\_

Approximate proportion of client's overall investment portfolio invested in:

- (a) mutual funds: \_\_\_\_\_ %  
(b) listed securities: \_\_\_\_\_ %  
(c) exempt market products: \_\_\_\_\_ %

Approximate proportion of net financial assets invested with Primevest: \_\_\_\_\_ %

**INSIDER STATUS**

Are you an insider of a reporting issuer or other issuer whose securities are publicly traded (as those terms are defined under applicable securities laws)? ☐ Yes ☐ No

If "yes", provide details, including name(s) of issuer(s): \_\_\_\_\_

**USE OF ACCOUNTS BY A THIRD PARTY**Is this account being opened on behalf of another person? ☐ Yes ☐ No

Will any person other than the account holder direct the activity in this account?

☐ Yes ☐ No

If "yes" is the answer to either of the questions above, Primevest Capital Corp. will require you to provide certain information about the third party.

Will any person other than the account holder have a financial interest in this account? ☐ Yes ☐ No

If "yes", provide details: \_\_\_\_\_

**TRUSTED CONTACT PERSON INFORMATION**

We require that you provide the contact details of a trusted contact person. A trusted contact person is typically a reliable friend, family member or other individual of your choosing who you believe has your best interest in mind and who can speak to us about your health, mental capacity and your financial circumstances where we suspect financial exploitation or we have concerns about your decision-making capacity. Additional information about how to select the appropriate trusted contact is set out the Client Disclosure document that we have provided to you.

By providing us with details of a trusted contact person, you hereby confirm that the trusted contact person has agreed to be your trusted contact person. You also consent to us contacting the trusted contact person to confirm or make inquiries about any of the following: (i) our concerns about the possible financial exploitation of you, (ii) our concerns about your mental capacity as it relates to your ability to make decisions involving financial matters, (iii) the name and contact information of your legal representative, and (iv) your contact information. You also authorize us to release confidential information about you or your account to the trusted contact person if, at any time, we believe that financial exploitation is occurring or may be attempted, or we have concerns about your decision-making capacity.

NAME	EMAIL ADDRESS
RELATIONSHIP TO YOU	PHONE NUMBER

**POLITICALLY EXPOSED PERSON STATUS**

For the purpose of complying with the federal *Proceeds of Crime (Money Laundering) and Terrorist Financing Act*, we are required to determine if you or any one or more of your family members or close associates is a politically exposed domestic person, a politically exposed foreign person or a head of an international organization (as defined below).

Is the client, anyone closely associated<sup>1</sup> to the client or anyone connected to this account, a politically exposed foreign person<sup>2</sup>, politically exposed domestic person<sup>3</sup> or head of an international organization<sup>4</sup>?

☐ Yes ☐ No

If "yes", provide details: \_\_\_\_\_

**Certain Defined Terms:**

<sup>1</sup> A person is considered to be “**closely associated**” to the client if the person is a family member of the client (mother or father; child; spouse or common-law partners; spouse’s or common-law partner’s mother or father; brother, sister, half-brother or half-sister (that is, any other child of the individual’s mother or father)) or a close associate of the client for business or personal reasons.

<sup>2</sup> A “**politically exposed foreign person**” is an individual who holds or has ever held one of the following offices or positions in or on behalf of a foreign country: (i) head of state or head of government; (ii) member of the executive council of government or member of a legislature; (iii) deputy minister or equivalent rank; (iv) ambassador, or attaché or counsellor of an ambassador; (v) military officer with a rank of general or above; (vi) president of a state-owned company or a state-owned bank; (vii) head of a government agency; (viii) judge of a supreme court, constitutional court or other court of last resort; or (ix) leader or president of a political party represented in a legislature.

<sup>3</sup> A “**politically exposed domestic person**” is an individual who holds or within the last 5 years has held one of the following offices or positions in or on behalf of the Canadian federal government, a Canadian provincial government, or a Canadian municipal government: (i) Governor General, lieutenant governor or head of government; (ii) member of the Senate or House of Commons or member of a legislature; (iii) deputy minister or equivalent rank; (iv) ambassador, or attaché or counsellor of an ambassador; (v) military officer with a rank of general or above; (vi) president of a corporation that is wholly owned directly by Her Majesty in right of Canada or a province; (vii) head of a government agency; (viii) judge of an appellate court in a province, the Federal Court of Appeal or the Supreme Court of Canada; (ix) leader or president of a political party represented in a legislature; or (x) mayor.

<sup>4</sup> A “**head of an international organization**” is a head of an international organization that is established by the governments of states or the head of an institution of any such organization.

**CLIENT INFORMATION DISCLOSURE**

I certify that the information provided herein is true, correct and accurate in all respects. I acknowledge and understand that Primevest Capital Corp. will rely upon this information in providing investment services to me.

I understand that the information given to Primevest Capital Corp. will not be disclosed to anyone without my written consent, unless required by law or otherwise in accordance with the Privacy Policy of Primevest Capital Corp.

I will inform Primevest Capital Corp. in writing if any of this information changes. I acknowledge and understand that Primevest Capital Corp. will make enquiries from time to time to determine whether there has been a change to this information and agree to respond to all such enquiries in a timely manner. I acknowledge and agree that a failure to inform Primevest Capital Corp. of changes to this information or to respond to such enquiries may lead to a suspension of the provision of services and/or the closure of my account.

**Unless I specifically indicate otherwise in writing, this information will apply in relation to all my accounts with Primevest Capital Corp.**

\_\_\_\_\_  
Client signature

Date: \_\_\_\_\_

**FOR PRIMEVEST CAPITAL CORP. USE ONLY:**

I have reviewed the information contained in this Client Information Form.

\_\_\_\_\_  
Signature of Dealing Representative  
Name:

Date: \_\_\_\_\_

\_\_\_\_\_  
Signature of Chief Compliance Officer  
Name:

Date: \_\_\_\_\_



## Declaration of Tax Residence for Individuals – Part XVIII and Part XIX of the Income Tax Act

Fill out all sections of this form that apply to you and give it to your financial institution. Canadian financial institutions have to collect the information you give on this form to open and maintain a financial account. Each account holder of a joint account has to fill out a declaration of tax residence. If you need help to determine your tax residency, see Income Tax Folio, S5-F1-C1: Determining an Individual's Residence Status, at [canada.ca/taxes](http://canada.ca/taxes).

The social insurance number (SIN) of the account holder only has to be reported on this form if the account holder has a SIN and is a U.S. person or a non-resident. For more information, see "General Information" and "How to Fill Out the Form" on page 2.

<b>Section 1 – Identification of account holder</b>					
Last name				First name and initial(s)	
Date of birth	Year	Month	Day	Social insurance number	Policy/account number assigned by the financial institution
<b>Permanent residence address</b>					
Apartment number – street number and name					City
Province, territory, state, or sub-entity			Country or jurisdiction		Postal or ZIP code
<b>Mailing address (only if different from the permanent residence address)</b>					
Apartment number – street number and name					City
Province, territory, state, or sub-entity			Country or jurisdiction		Postal or ZIP code

<b>Section 2 – Declaration of tax residence</b>												
Tick (✓) all of the options that apply to you.												
<input type="checkbox"/> I am a tax resident of Canada.												
<input type="checkbox"/> I am a tax resident or a citizen of the United States. If you ticked this box, give your taxpayer identification number (TIN) from the United States.												
If you do not have a TIN from the United States, have you applied for one?												
		TIN from the United States <table border="1"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table> <input type="checkbox"/> Yes <input type="checkbox"/> No										
<input type="checkbox"/> I am a tax resident of a jurisdiction other than Canada or the United States.												
If you ticked this box, give your jurisdictions of tax residence and TINs or functional equivalent.												
If you do not have a TIN or functional equivalent for a specific jurisdiction, give the reason using one of these choices:												
Reason 1: I will apply or have applied for a TIN but have not yet received it												
Reason 2: My jurisdiction of tax residence does not issue TINs to its residents												
Reason 3: Other reason, please specify: _____												
Jurisdiction of tax residence	Taxpayer identification number	Reason										

<b>Section 3 – Certification</b>		
I certify that the information given on this form is correct and complete. I will give my financial institution a new form within 30 days of any change in circumstances that causes the information on this form to become incomplete or inaccurate.		
_____ Name of signer	_____ Signature (account holder or authorized person)	_____ Date (YYYY-MM-DD)

Personal information (including the SIN) is collected to administer or enforce the Income Tax Act and related programs and activities including administering tax, benefits, audit, compliance, and collection. The information collected may be used or disclosed for the purposes of other federal acts that provide for the imposition and collection of a tax or duty. It may also be disclosed to other federal, provincial, territorial, or foreign government institutions to the extent authorized by law. Failure to provide this information may result in paying interest or penalties, or in other actions. Under the Privacy Act, individuals have a right of protection, access to and correction of their personal information, or to file a complaint with the Privacy Commissioner of Canada regarding the handling of their personal information. Refer to Personal Information Bank CRA PPU 047 on Information about Programs and Information Holdings at [canada.ca/cra-information-about-programs](http://canada.ca/cra-information-about-programs).

## General Information

Financial accounts held by non-resident individuals and/or U.S. persons have to be reported to the CRA. For this form, an individual includes a sole proprietorship.

Account information reported to the CRA is shared with the government of a foreign jurisdiction in which an individual is a resident for tax purposes when Canada has an information exchange agreement with that jurisdiction. The CRA shares account information with the U.S. Internal Revenue Service if an individual is a U.S. citizen or resident.

To find out if an institution reported your account information to the CRA and what information the institution gave, you may ask the institution. To find out if your information has been shared with the U.S. or another jurisdiction, you may contact the CRA.

## How to fill out the form

### Section 1 – Identification of account holder

Use Section 1 to identify the account holder. Sometimes the account holder's address may be different from the mailing address. If this is the case, give both addresses.

The **account holder** is the person listed or identified as the holder of the financial account by the financial institution that maintains the account. But, when a person other than a financial institution holds a financial account for the benefit of or for another person as an agent, custodian, nominee, signatory, investment advisor, or intermediary, they are not considered the account holder. In such cases, the account holder is the person for whom the account is held.

If a trust or an estate is listed as the holder of a financial account, the trust or the estate is the account holder, not the trustee or the liquidator. Similarly, if a partnership is listed as the holder of a financial account, the partnership is the account holder, not the partners in the partnership. In such cases, fill out Form RC519, Declaration of Tax Residence for Entities – Part XVIII and Part XIX of the Income Tax Act.

An account holder also includes any person who can access the cash value or designate a beneficiary under a cash value insurance contract or an annuity contract.

When no person can access the contract's value or change a beneficiary, the account holder is any person named in the contract as an owner and any person who is entitled to receive a future payment under the terms of the contract. When an obligation to pay an amount under the contract becomes fixed, each person entitled to receive a payment is an account holder.

If a financial account is opened by or for a child and the child is considered the account holder, the parent or the legal guardian can fill out and sign the form for the child.

The **policy/account number** is the number the financial institution assigned to your account (such as a bank account number or insurance policy number).

When this form is filled out for a controlling person of an entity, enter the policy or account number assigned to the entity account. If there is no such number, leave this box blank.

### Section 2 – Declaration of tax residence

Use Section 2 to identify the account holder's tax residence and taxpayer identification number. If the account holder does not have such a number, give the reason.

Generally, an individual will be a **tax resident** of a jurisdiction if they normally reside in that jurisdiction and not just because they receive income from that jurisdiction. Except for the U.S., your citizenship or your place of birth does not determine your tax residence.

An individual who is a tax resident in more than one jurisdiction can rely on any tiebreaker rules (when they apply) in a tax convention to resolve a case of dual tax residence. Otherwise, an individual should enter all of the jurisdictions where they are a tax resident and provide their taxpayer identification number (TIN) for each jurisdiction.

For more information on tax residency, talk to a tax adviser or go to [oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency/#d.en.347760](https://oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency/#d.en.347760).

A **taxpayer identification number or functional equivalent**, often referred to by its abbreviation TIN, is a unique identifier made of letters or numbers that a jurisdiction assigns to an individual. The jurisdiction uses the TIN in administering its tax laws to identify the individual. Enter the TIN in its official format. For more details about acceptable TINs, go to [oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/#d.en.347759](https://oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/#d.en.347759).

If you are a U.S. citizen or resident and do not have a TIN from the U.S., you have 90 days to apply for a TIN and 15 days after you receive it to give it to your financial institution. If you fail to provide your U.S. TIN to your financial institution, you are liable to a \$100 penalty.

If you are not a resident of Canada or the U.S. and do not have a TIN from your jurisdiction of residence, you have 90 days to apply for a TIN and 15 days after you receive the TIN to give it to your financial institution, unless your jurisdiction of residence does not issue or require the collection of TINs. If a TIN has not been provided for a jurisdiction of residence, you have to provide a reason for not having one. Reasons that fall under "Reason 3: **Other reason**" for not having a TIN include not being eligible to receive one. However, if you are eligible to receive a TIN and fail to provide one to your financial institution, you are liable to a \$500 penalty.

### Section 3 – Certification

Make sure you fill out and sign Section 3 before you give this form to your financial institution. The form can be signed by any person authorized to sign for the account holder. If a person other than the account holder signs the form for the account holder, the institution must be given evidence of that person's authority to act for the account holder.

### Definitions

#### United States person

A United States (U.S.) person is any of the following:

- a) a U.S. citizen or an individual who resides in the United States
- b) a partnership or corporation organized in the United States or under the laws of the United States or any State thereof
- c) a trust, if
  - i) a court in the United States would have the authority under applicable law to deliver orders or judgments about substantially all issues regarding the administration of the trust, and
  - ii) one or more U.S. persons have the authority to control all the trust's major decisions
- d) the estate of a person that is a citizen or a resident of the United States

## Type of controlling person

Financial accounts held by entities that are controlled by non-resident individuals and/or U.S. persons are also required to be reported to the CRA. Fill in this section only if you are filling out this form as a controlling person of an entity.

**Controlling persons** of an entity are the natural persons who exercise direct or indirect control over the entity. Generally, whether any person exercises control over an entity is determined in a way similar to how beneficial owners are identified for Canada's Proceeds of Crime (Money Laundering) and Terrorist Financing Act.

For example, a person is generally considered a controlling person of a corporation if they directly or indirectly own or control 25% or more of the corporation. When no natural person is identified as exercising control of the corporation, a director or senior official of the corporation is considered the controlling person.

The social insurance number (SIN) of a controlling person is only required to be reported on this form if the controlling person has a SIN and is a U.S. person or a non-resident.

In the case of a trust, controlling persons include its settlors, trustees, protectors (if any), beneficiaries (or class of beneficiaries), and any other natural persons exercising ultimate effective control over the trust.

A controlling person of an entity may exercise control indirectly through another entity. If so, to determine the entity's controlling persons you have to look through the entity's chain of control or ownership to identify the natural persons exercising ultimate effective control over the entity. You then have to report those you find as controlling persons of the entity. Financial institutions may apply this requirement in a way similar to how beneficial owners are identified for Canada's Proceeds of Crime (Money Laundering) and Terrorist Financing Act.

In the case where a trust exercises control over the entity, the controlling person of the entity include all natural persons who control the trust. In the case where a corporation exercises control over the entity, the controlling person of the entity include all natural persons who directly or indirectly own or control 25% or more of the corporation.

In the case of legal arrangement other than a corporation or a trust, controlling persons are persons in equivalent or similar positions to those described above.

For the purposes of Part XVIII and Part XIX, a legal arrangement includes a corporation, a partnership, a trust or a foundation.

Enter the description that best describes the type of controlling person:

Type of controlling person\*

\* Type of controlling person:

- 1) Direct owner of a corporation
- 2) Indirect owner of a corporation (through an intermediary)
- 3) Director or senior official of a corporation
- 4) Settlor of a trust
- 5) Trustee of a trust
- 6) Protector of a trust
- 7) Beneficiary of a trust
- 8) Other controlling person of a trust
- 9) Equivalent to a settlor of a legal arrangement other than a trust (e.g. partnership)
- 10) Equivalent to a trustee of a legal arrangement other than a trust (e.g. partnership)
- 11) Equivalent to a protector of a legal arrangement other than a trust (e.g. partnership)
- 12) Equivalent to a beneficiary of a legal arrangement other than a trust (e.g. partnership)
- 13) Other controlling person of a legal arrangement other than a trust (e.g. partnership)

Privacy Act, personal information bank number CRA PPU 047