

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	SIN
EMPLOYER'S NAME	NATURE OF BUSINESS	TITLE
SPOUSE'S NAME	SPOUSE'S OCCUPATION	NUMBER OF DEPENDENTS

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, we will advise you of the steps we may take to verify your identity.

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

Investment experience

- Stocks
- Bonds
- Mutual funds
- None

Investment knowledge¹

- Limited
- Fair
- Good
- Excellent

Risk tolerance²

- Low
- Medium
- High

Investment objective³

- 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 assets⁴

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

Household net assets⁴

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

Net financial assets⁵

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

Household net financial assets⁵

- 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:

¹ **“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.

² **“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.**

³ **“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.**

⁴ **“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.

⁵ **“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 using borrowed money to invest? Yes No

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

Special liquidity needs, if any: _____

Approximate proportion of net financial assets invested in 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 or authorized representative of 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.

TRUSTED CONTACT INFORMATION

We require that you provide the contact details of a trusted contact. A trusted contact 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, abuse or fraud 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 a trusted contact, you hereby: (i) confirm that the trusted contact has agreed to be your trusted contact; and (ii) authorize us to contact the trusted contact and to release confidential information about you or your account to the trusted contact if, at any time, we believe that financial exploitation, abuse or fraud has occurred, 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

Is the client, anyone closely associated¹ to the client or anyone connected to this account, a politically exposed foreign person², politically exposed domestic person³ or head of an international organization⁴?

Yes No

If “yes”, provide details: _____

Certain Defined Terms:

¹ 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.

² 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.

³ 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.

⁴ 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.

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: _____

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.

The **policy/account number** is the number your financial institution assigned to you. For example, enter the number assigned to you (such as a bank account number or insurance policy number) in this box. When you fill out this form as a controlling person of an entity, enter the policy or account number assigned to the entity, not your personal number. If you do not have such a 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.

Type of controlling person

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.

Generally, an individual will be a **tax resident** of a jurisdiction if, under the laws of that jurisdiction, they pay or should be paying tax there because of their domicile, residence, or a similar criterion.

Individuals who are tax residents in more than one jurisdiction can rely on the tie-breaker rules in tax conventions (when they apply) to resolve cases of dual tax residence.

For more information on tax residency, talk to your tax adviser or go to oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency/#d.en.347760.

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

If you do not have a TIN from the United States, you have 90 days to apply for one and 15 days after you receive it to give it to your financial institution.

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 but you do not have one, you have 90 days to apply for one through your jurisdiction of residence. You have 15 days after you receive it to give it to your financial institution.

Section 3 – Certification

Make sure you fill in and sign Section 3 before you give this form to your Canadian financial institution.

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 settlor, trustee, protector, or beneficiary of a trust may be an entity. If so, to determine the trust'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 trust. 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 of a legal arrangement other than a trust, controlling persons are persons in equivalent or similar positions.

Type of controlling person*

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

- 1) Direct owner of a corporation or other legal person
- 2) Indirect owner of a corporation or other legal person (through an intermediary)
- 3) Director or senior official of a corporation or other legal person
- 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)