

Corporate Head Office  
 2330 - 15th Avenue Tel (306) 757-4646  
 Regina, SK S4P 1A2 Fax (306) 359-7442

**PART ONE: CLIENT INFORMATION**

CLIENT	JOINT CLIENT
LAST NAME _____ FIRST NAME & INITIALS _____	LAST NAME _____ FIRST NAME & INITIALS _____
<input type="checkbox"/> MALE <input type="checkbox"/> FEMALE <input type="checkbox"/> SINGLE <input type="checkbox"/> MARRIED <input type="checkbox"/> COMMON-LAW <input type="checkbox"/> DIVORCED	<input type="checkbox"/> MALE <input type="checkbox"/> FEMALE <input type="checkbox"/> SINGLE <input type="checkbox"/> MARRIED <input type="checkbox"/> COMMON-LAW <input type="checkbox"/> DIVORCED
DD / MM / YYYY	DD / MM / YYYY
SOCIAL INSURANCE NUMBER _____ DATE OF BIRTH _____	SOCIAL INSURANCE NUMBER _____ DATE OF BIRTH _____
STREET ADDRESS _____	STREET ADDRESS _____
CITY _____ PROVINCE _____ POSTAL CODE _____	CITY _____ PROVINCE _____ POSTAL CODE _____
RESIDENCE TELEPHONE NUMBER _____ BUSINESS TELEPHONE NUMBER _____	RESIDENCE TELEPHONE NUMBER _____ BUSINESS TELEPHONE NUMBER _____
E-MAIL ADDRESS _____	E-MAIL ADDRESS _____
EMPLOYER _____ TYPE OF BUSINESS _____	EMPLOYER _____ TYPE OF BUSINESS _____
ADDRESS (Quebec Only) _____	ADDRESS (Quebec Only) _____
POSITION _____ YEARS WITH CO. _____	POSITION _____ YEARS WITH CO. _____
<input type="checkbox"/> DRIVERS LICENSE <input type="checkbox"/> PASSPORT <input type="checkbox"/> HOSPITALIZATION <input type="checkbox"/> BIRTH CERTIFICATE	<input type="checkbox"/> DRIVERS LICENSE <input type="checkbox"/> PASSPORT <input type="checkbox"/> HOSPITALIZATION <input type="checkbox"/> BIRTH CERTIFICATE
CLIENT IDENTIFICATION NUMBER _____ PROVINCE OF ISSUE _____	CLIENT IDENTIFICATION NUMBER _____ PROVINCE OF ISSUE _____
INVESTMENT KNOWLEDGE <input type="checkbox"/> SOPHISTICATED <input type="checkbox"/> GOOD <input type="checkbox"/> FAIR <input type="checkbox"/> POOR	INVESTMENT KNOWLEDGE <input type="checkbox"/> SOPHISTICATED <input type="checkbox"/> GOOD <input type="checkbox"/> FAIR <input type="checkbox"/> POOR
ANNUAL INCOME <input type="checkbox"/> \$0-\$20,000 <input type="checkbox"/> \$20,000-\$50,000 <input type="checkbox"/> \$50,000-\$100,000 <input type="checkbox"/> ABOVE \$100,000	ANNUAL INCOME <input type="checkbox"/> \$0-\$20,000 <input type="checkbox"/> \$20,000-\$50,000 <input type="checkbox"/> \$50,000-\$100,000 <input type="checkbox"/> ABOVE \$100,000
ESTIMATED HOUSEHOLD NET WORTH <input type="checkbox"/> \$0-\$50,000 <input type="checkbox"/> \$50,000-\$200,000 <input type="checkbox"/> \$200,000-\$500,000 <input type="checkbox"/> ABOVE \$500,000	ESTIMATED HOUSEHOLD NET WORTH <input type="checkbox"/> \$0-\$50,000 <input type="checkbox"/> \$50,000-\$200,000 <input type="checkbox"/> \$200,000-\$500,000 <input type="checkbox"/> ABOVE \$500,000
TRADING AUTHORIZATION? Has a limited trading authorization been provided on these accounts? (attach signed copy if applicable) <input type="checkbox"/> YES <input type="checkbox"/> NO	TRADING AUTHORIZATION? Has a limited trading authorization been provided on these accounts? (attach signed copy if applicable) <input type="checkbox"/> YES <input type="checkbox"/> NO
<b>BANKING INFORMATION</b>	
<input type="checkbox"/> Void cheque attached or bank name: _____ Transit #: _____ Acct. # _____	

**PART TWO: PLAN INVESTMENT OBJECTIVES**

PLAN #:	PLAN #:	PLAN #:	PLAN #:
MANDATORY	MANDATORY	MANDATORY	MANDATORY
PLAN TYPE: <input type="checkbox"/> OPEN <input type="checkbox"/> RRSP <input type="checkbox"/> RRIF <input type="checkbox"/> LIRA <input type="checkbox"/> GRSP <input type="checkbox"/> ITF <input type="checkbox"/> LRIF <input type="checkbox"/> RESP <input type="checkbox"/> LIF	PLAN TYPE: <input type="checkbox"/> OPEN <input type="checkbox"/> RRSP <input type="checkbox"/> RRIF <input type="checkbox"/> LIRA <input type="checkbox"/> GRSP <input type="checkbox"/> ITF <input type="checkbox"/> LRIF <input type="checkbox"/> RESP <input type="checkbox"/> LIF	PLAN TYPE: <input type="checkbox"/> OPEN <input type="checkbox"/> RRSP <input type="checkbox"/> RRIF <input type="checkbox"/> LIRA <input type="checkbox"/> GRSP <input type="checkbox"/> ITF <input type="checkbox"/> LRIF <input type="checkbox"/> RESP <input type="checkbox"/> LIF	PLAN TYPE: <input type="checkbox"/> OPEN <input type="checkbox"/> RRSP <input type="checkbox"/> RRIF <input type="checkbox"/> LIRA <input type="checkbox"/> GRSP <input type="checkbox"/> ITF <input type="checkbox"/> LRIF <input type="checkbox"/> RESP <input type="checkbox"/> LIF
OWNER <input type="checkbox"/> Estate <input type="checkbox"/> Tenants in Common <input type="checkbox"/> Indiv. <input type="checkbox"/> JTWR0S <input type="checkbox"/> Reg-Spousal <input type="checkbox"/> Registered <input type="checkbox"/> Corporation	OWNER <input type="checkbox"/> Estate <input type="checkbox"/> Tenants in Common <input type="checkbox"/> Indiv. <input type="checkbox"/> JTWR0S <input type="checkbox"/> Reg-Spousal <input type="checkbox"/> Registered <input type="checkbox"/> Corporation	OWNER <input type="checkbox"/> Estate <input type="checkbox"/> Tenants in Common <input type="checkbox"/> Indiv. <input type="checkbox"/> JTWR0S <input type="checkbox"/> Reg-Spousal <input type="checkbox"/> Registered <input type="checkbox"/> Corporation	OWNER <input type="checkbox"/> Estate <input type="checkbox"/> Tenants in Common <input type="checkbox"/> Indiv. <input type="checkbox"/> JTWR0S <input type="checkbox"/> Reg-Spousal <input type="checkbox"/> Registered <input type="checkbox"/> Corporation
Risk Tolerance Low _____ Moderate _____ High _____ 100%	Risk Tolerance Low _____ Moderate _____ High _____ 100%	Risk Tolerance Low _____ Moderate _____ High _____ 100%	Risk Tolerance Low _____ Moderate _____ High _____ 100%
Investment Objectives Income _____ Long-Term Growth _____ Spec./High Growth _____ Balanced _____ 100%	Investment Objectives Income _____ Long-Term Growth _____ Spec./High Growth _____ Balanced _____ 100%	Investment Objectives Income _____ Long-Term Growth _____ Spec./High Growth _____ Balanced _____ 100%	Investment Objectives Income _____ Long-Term Growth _____ Spec./High Growth _____ Balanced _____ 100%
Time Horizon 1-3 years <input type="checkbox"/> 4-5 years <input type="checkbox"/> 6-9 years <input type="checkbox"/> 10 or more years <input type="checkbox"/>	Time Horizon 1-3 years <input type="checkbox"/> 4-5 years <input type="checkbox"/> 6-9 years <input type="checkbox"/> 10 or more years <input type="checkbox"/>	Time Horizon 1-3 years <input type="checkbox"/> 4-5 years <input type="checkbox"/> 6-9 years <input type="checkbox"/> 10 or more years <input type="checkbox"/>	Time Horizon 1-3 years <input type="checkbox"/> 4-5 years <input type="checkbox"/> 6-9 years <input type="checkbox"/> 10 or more years <input type="checkbox"/>
Leverage <input type="checkbox"/> YES <input type="checkbox"/> NO Is the client borrowing money for this plan?	Leverage <input type="checkbox"/> YES <input type="checkbox"/> NO Is the client borrowing money for this plan?	Leverage <input type="checkbox"/> YES <input type="checkbox"/> NO Is the client borrowing money for this plan?	Leverage <input type="checkbox"/> YES <input type="checkbox"/> NO Is the client borrowing money for this plan?

UPDATES TO CLIENT INFORMATION OR COMMENTS: \_\_\_\_\_

\_\_\_\_\_

**PART THREE: ACCOUNT INFORMATION AND AGREEMENT**

**IN CONSIDERATION OF PARTNERS IN PLANNING FINANCIAL SERVICES LTD. (PIP) (THE DEALER) ACCEPTING THIS ACCOUNT, I AGREE:**

- Financial planning recommendations may result in the purchase of financial products. Should I purchase any of these products through PIP I recognize it may result in a commission.
- I agree to inform PIP in writing of any material changes to the above information and hold PIP harmless for advice given or actions taken which reflect out of date information.
- I have read and understand the disclosures printed on the back of this form (or page 2).

THIS INFORMATION IS FULL AND COMPLETE AND PARTNERS IN PLANNING FINANCIAL SERVICES LTD. MAY RELY THEREON UNTIL THE UNDERSIGNED SENDS WRITTEN NOTICE OF ANY MATERIAL CHANGE.

DATED: DD / MM / YYYY CLIENT \_\_\_\_\_ JOINT CLIENT \_\_\_\_\_

JOINT ACCOUNT: EITHER SIGNATURE  OR BOTH SIGNATURES REQUIRED

**PART FOUR: REPRESENTATIVES REPORT**

- Will any other person have a financial interest in this account? If yes, please provide details in 'Comments' section.  YES  NO
- Are you registered to trade mutual funds in the province where the client resides?  YES  NO
- How long have you known the client? \_\_\_\_\_ Years \_\_\_\_\_ Months Source of Client? \_\_\_\_\_
- Does the client have accounts with any other investment firm?  YES  NO If yes, where? \_\_\_\_\_ Total Value \$ \_\_\_\_\_

Representatives Signature \_\_\_\_\_ Date DD / MM / YYYY \_\_\_\_\_  
DEALER REP NUMBER

Branch Managers Approval \_\_\_\_\_ Date DD / MM / YYYY \_\_\_\_\_

**PLEASE REVIEW THE FOLLOWING DISCLOSURES:**

- Certain representatives of Partners In Planning Financial Services Ltd. are licensed to sell financial products other than mutual funds. When such products are sold to you, your representative will advise you the name of the other product's provider. Please be aware that the representative may be employed by more than one company in providing products or services to you, depending on the product purchased. In addition, the remuneration earned by the representative from the sale of these products will vary with the product purchased.
- A one-time purchase commission may be deducted by the fund management company for each purchase made, part of which will be paid to your representative to service your account. If the fund has no initial purchase commission, an early redemption charge may be involved (a deferred sales charge). This deferred sales commission may be reduced annually, so that after a specified period, there will be no charges on redemption. Many funds also pay service or trailer commissions to Partners In Planning so long as the investment remains in those funds. Please refer to the prospectus for further information and discuss the nature of all charges with your representative.
- It is our practice to monitor your account in relation to your stated objectives on a regular basis to ensure over time that the portfolio's composition remains consistent with those objectives. Market movements can be rapid and significant, however, leaving a portfolio materially out of balance with stated objectives. While we will attempt to rebalance a portfolio under these circumstances (consulting with you), we can not accept liability for temporary divergence from those stated objectives.
- Although cashable on any business day, professionally managed investment funds are normally considered to be long-term investments and their market value will fluctuate.
- It is my wish that all documents relating to the Plan have been drawn up in the English language only. C'est mon désir que tout document se rapportant au régime (plan) soient rédigés en anglais seulement.

**BORROWING MONEY TO BUY MUTUAL FUNDS (LEVERAGING)**

Securities law requires the delivery of this document to all investors who are considering buying mutual funds (investment funds) with borrowed money.

**Risks of Borrowing for Purchasing Investments**

Mutual fund units and other securities may be purchased using available cash, or a combination of cash and borrowed money. If cash is used to pay for the purchase price in full, the percentage gain or loss will equal the percentage increase or decrease in the value of the securities. The purchase of securities using borrowed money magnifies the gain or loss on the cash invested. This effect is called leveraging.

For example, if \$100,000 of mutual fund units are purchased and paid for with \$25,000 from available cash and \$75,000 from borrowings, and the value of the fund units declines by 10% to \$90,000, your equity interest (the difference between the value of the securities and the amount borrowed) has declined by 40%, i.e. from \$25,000 to \$15,000.

It is important that an investor proposing to borrow for the purchase of securities be aware that a purchase with borrowed monies involves greater risk than a purchase using cash resources only.

To what extent a purchase using borrowed monies involves undue risk is a determination to be made by each purchaser and will vary depending on the circumstances of the purchaser and the securities purchased.

**Financial Resources Required for Investments Purchased with Borrowed Funds**

It is also important that the investor be aware of the terms of a loan secured by securities. The lender may require that the amount outstanding on the loan not rise above an agreed percentage of the market value of the securities. Should this occur, the borrower must pay down the loan or sell the securities so as to return the loan to the agreed percentage relationship. In our example above, the lender may require that the loan not exceed 75% of the market value of the mutual fund units. On a decline of value of the units to \$90,000 the borrower must reduce the loan to \$67,500 (75% of \$90,000). If the borrower does not have cash available, the borrower must sell units at a loss to provide money to reduce the loan.

Money is, of course, also required to pay interest on the loan. Under these circumstances, investors who use borrowed funds to purchase their investment are advised to have adequate financial resources available both to pay interest and also to reduce the loan if the borrowing arrangements require such a payment.

**Protecting Your Privacy**

- We keep your information in strict confidence
- Your information is not sold
- You have control over how we use and give out information about you
- You have access to the information we have about you
- We respect your privacy when we market our products and services

**Besides your name, address and telephone number, we need information to:**

- Establish your identification
- Protect you and us from error and fraud
- Understand your needs and eligibility for products and services
- Recommend particular products and services to meet your needs
- Provide ongoing service
- Comply with legal and regulatory requirements