

**Account Information** If more than one KYC Supplemental Form is being completed for the account, this is page \_\_\_\_\_ of \_\_\_\_\_

Investor Name (Print Name) \_\_\_\_\_ Account Number \_\_\_\_\_

**Complete this form if you are a:** (Select ALL that apply to the above listed account)

- Beneficial owner of more than 10% of a corporation, partnership, sole proprietorship, foundation, investment club, estate, association, charitable organization or similar entity.
- Beneficiary of 10% or more of a formal or informal trust.
- Trustee and/or settlor of a formal or informal trust.
- Executor/trix of an estate account.
- Person who is the Attorney of a General Power of Attorney to an account.
- Person with trading authority to a personal account.
- Person designated as trading officer with a corporation, partnership, foundation, investment club, sole proprietorship, association or similar entity.

**Supplemental Person/Entity Information**

First Name \_\_\_\_\_ Middle Name \_\_\_\_\_ Last Name \_\_\_\_\_

Legal Entity Name \_\_\_\_\_ Entity Type of Business \_\_\_\_\_

Business Number \_\_\_\_\_ Beneficial Ownership% \_\_\_\_\_ Email Address \_\_\_\_\_

Suite \_\_\_\_\_ Street Address \_\_\_\_\_ City \_\_\_\_\_ Province \_\_\_\_\_ Postal Code \_\_\_\_\_

Country \_\_\_\_\_ Residential Phone Number \_\_\_\_\_ Alternate Phone Number \_\_\_\_\_

Relationship to Account Holder \_\_\_\_\_ Citizenship (NOTE: If U.S., complete the IRS W-9 form.) \_\_\_\_\_ Date of Birth (dd/mmm/yyyy) \_\_\_\_\_

Employer Name \_\_\_\_\_ Employment Status \_\_\_\_\_

Occupation \_\_\_\_\_ Type of Business \_\_\_\_\_

**Identification**

Identification Type \_\_\_\_\_ Jurisdiction and Country \_\_\_\_\_ Identification Number \_\_\_\_\_ Expiry Date (dd/mmm/yyyy) \_\_\_\_\_

**Politically Exposed Person / Head of International Organization:**

Are you a Politically Exposed Person (PEP) or the Head of an International Organization (HIO), or a family member or close associate of a PEP or HIO?

- No  Yes If "Yes", complete the PEP/HIO form.

**Are you or a family member living in your household considered a Professional (PRO) working in the Securities Industry?**

- No  Yes If "Yes", please provide a letter of authorization completed by the PRO's employer and complete the following information:

Name of PRO \_\_\_\_\_ Employer \_\_\_\_\_ Occupation \_\_\_\_\_

**Investment Information**

**Investment Experience** (Select all that apply):

- Stocks  Bonds  Mutual Funds  Options  Commodities/Futures  None

**Investment Knowledge** (Select One):

- Sophisticated  Good/Average  Limited  Poor/Nil

**Insider or Control Person**

Are you considered an "Insider" or "Control Person" of any public companies listed on a Canadian or U.S. exchange?

- No  Yes If "Yes", please complete the following table:

Company Name	Ticker Symbol	Market	Insider/Director/ Officer	Control Person	Insider Reporting
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> Yes <input type="checkbox"/> No
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> Yes <input type="checkbox"/> No
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> Yes <input type="checkbox"/> No

**Tax Status Self-Certification**

1. Are you a tax resident of Canada? If "yes", please provide your Social Insurance Number.  No  Yes SIN: \_\_\_\_\_
2. Are you a U.S. resident for U.S. tax purposes or a U.S. citizen? If "yes", please provide your U.S. Tax Identification Number (TIN), and if applicable complete a W9 to determine whether the account will be subject to U.S. withholding taxes.  No  Yes TIN: \_\_\_\_\_
3. Are you a tax resident of a jurisdiction other than Canada or the U.S.? If "yes", please indicate which jurisdiction, and provide your foreign Tax Identification Number (TIN)\*.  No  Yes Jurisdiction \_\_\_\_\_  
TIN\*: \_\_\_\_\_
- \*If you do not have a TIN, please indicate reason why not.
- Jurisdiction does not issue TINs.  
 You have applied for but not yet received it.  
 Other: \_\_\_\_\_

**NOTE: ALL non-individual account holders, regardless of residency for tax purposes, must also provide a completed Declaration of Tax Residence for Entities (CRA Form RC521).**

By signing below you certify that the information given in this Tax Status Self-Certification section is correct and complete, and you agree that you will provide a new certification within 30 days of any change in circumstances that causes the information to become incomplete or inaccurate.

**Supplemental Person/Entity Authorization**

By signing below, you hereby declare that the information provided above is full, true and complete. You also acknowledge that you have reviewed a copy of the Credential Direct *Account Agreements and Disclosure Document booklet* (available online) and agree to the terms therein. Credential Direct may rely on the information you have provided until you send us written notice of any changes.

**X** \_\_\_\_\_  
 Supplemental Person/Entity Signature Date (dd/mmm/yyyy) Existing Account # of Supplemental Person (if applicable)

The *Know Your Client* principle applies to all the individuals' names on the NAAF and any other individuals having control over or financial interest in the account. As such, full disclosure must be made of all persons that have trading authorization or beneficial/financial ownership on an account to satisfy an Investment Advisor's KYC obligations. Use this form as supplemental information to accompany the New Account Application Form.

## Account Holder Information

Enter the Account Holder Name and Account # of the account for which Supplemental Person/Entity Information is being added.

## Supplemental Person/Entity Information

**Legal Entity** – enter the Legal Entity Name (and Business Number, if applicable) if the KYC Supplemental is being completed by an entity rather than an individual. In addition, entry fields such as *Investment Experience* and *Investment Knowledge* should be completed based on the 'entity' rather than an individual. Legal Entities may also be required to complete additional IRS Tax Treaty Documents.

**Beneficial Ownership %** – for beneficial owners, indicate the percentage of ownership you maintain.

## Identification

Enter the identification information and attach a photocopy of a valid, original Driver's license, Passport or Permanent Resident Card.

## Insider or Control Person

Regulations require Credential Securities to know if the Individual is considered an "Insider" or "Control Person" of a publicly traded company on any Canadian or US exchange.

**Insider:** an "Insider" is:

- An officer, director or promoter of a publicly traded Canadian or US company, and/or
- A person with direct or indirect beneficial ownership of, control or direction over (or combination thereof) 10% or more of the voting rights attached to the securities of a publicly traded company listed in Canada (5% or more for a publicly listed company in the U.S.).

**Control:** a "control person" holds or exercises control or direction over, or has any agreement, arrangement, commitment or understanding (whether or not in writing) individually or with any other persons with respect to 20% or more of the voting rights attached to the securities of a publicly traded company listed in Canada (10% or more for a publicly listed company in the U.S.)

**Existing Account # of Supplemental Person** – If the Supplemental Person/Entity has an account with Credential Direct, enter the account number.