



KYC Information Update

ACCOUNT NUMBER _____

DATE _____

PLEASE PROVIDE AN UPDATE TO THE FOLLOWING INFORMATION

Client's Name / /
FIRST LAST D.O.B.

Spouse's Name / /
FIRST LAST D.O.B.

Residential Address
ADDRESS SUITE NO.

CITY PROVINCE POSTAL CODE

PHONE EMAIL

CURRENT EMPLOYMENT STATUS Select one, and provide applicable information.

Employed
EMPLOYER NAME POSITION/JOB DESCRIPTION

Unemployed or Retired
SOURCE OF INCOME

EMPLOYMENT/JOB PRIOR TO BEING UNEMPLOYED OR RETIRED, IF APPLICABLE ANNUAL INCOME PRIOR TO BEING UNEMPLOYED OR RETIRED (APPROX.)

SPOUSE'S CURRENT EMPLOYMENT STATUS If married, select one, and provide applicable information.

Employed
EMPLOYER NAME POSITION/JOB DESCRIPTION

Unemployed or Retired
SOURCE OF INCOME

EMPLOYMENT/JOB PRIOR TO BEING UNEMPLOYED OR RETIRED, IF APPLICABLE ANNUAL INCOME PRIOR TO BEING UNEMPLOYED OR RETIRED (APPROX.)

CURRENT INCOME AND ASSET INFORMATION

<input type="text"/> <small>CURRENT (APPROX.) ANNUAL INCOME FROM ALL SOURCES</small>	<input type="text"/> <small>CURRENT (APPROX.) AMOUNT OF LIQUID ASSETS * (cash/savings/investments)</small>	<input type="text"/> <small>CURRENT (APPROX.) AMOUNT OF NET FIXED ASSETS * (property/home/vehicle, minus outstanding loans)</small>	<input type="text"/> <small>CURRENT (APPROX.) AMOUNT OF NET WORTH * (<u>ALL</u> assets minus any outstanding liabilities/loans)</small>
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** If you are married or living with a common-law partner, these amounts should be combined with them.*

NUMBER OF DEPENDENTS Minor children or elderly parents

LOSS LIMIT

LOSS LIMIT AMOUNT
 \$

Amount that you are comfortable risking and potentially losing in your trading account(s)

If applicable, please provide a detailed and reasonable explanation as to why, after having incurred the current amount of losses in your account(s), you feel that you can now afford to risk and potentially lose the additional amount of your requested Loss Limit increase - over and above the losses already incurred in your account(s):



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Account Type	Primary Purpose of The Account								SELECT ONE FOR EACH ACCOUNT YOU OPEN					Horizon Time				
	SHORT TERM SAVINGS	INVESTING FOR A SPECIFIC USE MAJOR PURCHASE, EDUCATION, ETC.	INCOME	RETIREMENT SAVINGS	HEDGING	LONG-TERM INVESTMENT	SPECULATION	OTHER SPECIFY:	CIRCLE ONE PER ACCOUNT A : UNDER 3 YEARS B : 3-5 YEARS C : 6-10 YEARS D : 11-20 YEARS E : OVER 20 YEARS									
CASH (CANADIAN)									A	B	C	D	E					
CASH (US)									A	B	C	D	E					
MARGIN (CANADIAN)									A	B	C	D	E					
MARGIN (US)									A	B	C	D	E					
REGISTERED (LOCKED IN)									A	B	C	D	E					
REGISTERED									A	B	C	D	E					
INCOME FUND									A	B	C	D	E					
TAX FREE SAVINGS									A	B	C	D	E					
RESP									A	B	C	D	E					
FUTURES									A	B	C	D	E					
FRIEDBERG FUNDS									A	B	C	D	E					
FIXED INCOME									A	B	C	D	E					

Investment Objectives

- LIQUIDITY (M)** The ability to quickly and easily convert to cash (cash or cash equivalent) all or a portion of the investments with little or no risk of loss.
- SAFETY (X)** You want to preserve the initial principal in the account, minimizing risk is of primary importance.
- INCOME (B)** You want to establish a source of periodic income. A small part of the portfolio could be in high quality income producing equity in order to counteract the effect of inflation.
- GROWTH (G)** Your investment objective is capital growth. Your portfolio can tolerate greater changes in market value in order to potentially increase the market value of your assets but 100% of the portfolio should not be invested in high risk trading strategies.
- SPECULATIVE (S)** You want to maximize the eventual return on your capital by investing all or most of your portfolio in high risk securities and/or trading strategies. You accept higher volatility of your investment returns.

Risk Tolerance

Linked to your willingness and ability to accept risk and absorb investment losses.

- LOW RISK [L]** I want to preserve my initial principal in this account, with minimal risk, even if that means this account does not generate significant income or returns and may not keep pace with inflation.
- MEDIUM RISK [M]** I am willing to accept some risk to my initial principal and tolerate some volatility to seek higher returns, and I understand I could lose a portion of the money invested.
- HIGH RISK [H]** I am willing to accept high risk to my initial principal, including high volatility, to seek high returns over time, and understand that I could lose a substantial amount or potentially all of the money invested.



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Account Type	Investment Objectives					SELECTION AS A PERCENTAGE MUST TOTAL 100%			Risk Tolerance		
	LIQUIDITY (M)	SAFETY (X)	INCOME (B)	GROWTH (G)	SPECULATIVES (S)	CIRCLE ONE PER ACCOUNT L : LOW RISK M : MEDIUM RISK H : HIGH RISK					
CASH (CANADIAN)						L	M	H			
CASH (US)						L	M	H			
MARGIN (CANADIAN)						L	M	H			
MARGIN (US)						L	M	H			
REGISTERED (LOCKED IN)						L	M	H			
REGISTERED						L	M	H			
INCOME FUND						L	M	H			
TAX FREE SAVINGS						L	M	H			
RESP						L	M	H			
FUTURES						L	M	H			
FRIEDBERG FUNDS						L	M	H			
FIXED INCOME						L	M	H			
COMMENTS	<hr/> <hr/> <hr/>										

Acknowledgement

I/We certify that the information provided in this application is true and complete and Friedberg Mercantile Group Ltd. may rely thereon until the undersigned sends written notice of any significant changes. I/We certify that the purpose of this account is for investment in securities and other investment vehicles.

By signing below I acknowledge and agree that the information provided is complete and accurate and I agree to inform my Investment Advisor immediately of any changes in the information I have provided, including changes with respect to my financial situation, investment objectives and risk tolerance.

ACCOUNT HOLDER SIGNATURE _____

DATE _____

JOINT ACCOUNT HOLDER SIGNATURE (IF APPLICABLE) _____

DATE _____

Investment Advisor Comments

I.A. SIGNATURE _____

DATE _____

COMPLIANCE DEPARTMENT APPROVAL _____

DATE _____

Please understand that we have a regulatory obligation to ensure that we maintain the most up-to-date personal information for all client accounts.