Direct Investing

ScotiaMcLeod®

PERSONAL AND REGULATORY INFORMATION UPDATE

ACCOUNT NUMBER(S)

TITLE **FIRST NAME** **INITIAL** **LAST NAME**

HOME ADDRESS **APT/SUITE NO.**

CITY **PROVINCE** **POSTAL CODE** **HOME PHONE NUMBER**

EMPLOYER (IF RETIRED, FORMER EMPLOYER **BUSINESS PHONE NUMBER**

EMPLOYER'S ADDRESS **E-MAIL ADDRESS (FOR CONTACT ONLY)**

CITY **PROVINCE** **POSTAL CODE**

POSITION **TYPE OF BUSINESS** **NO. OF YEARS**

SPOUSE'S NAME **SPOUSE'S EMPLOYER**

ANNUAL INCOME

☐ UNDER $25,000 ☐ $25,000 TO $50,999 ☐ $51,000 TO $74,999 ☐ $75,000 TO $99,999 ☐ $100,000 TO $149,999 ☐ $150,000 TO $200,000

☐ OVER $200,000, SPECIFY_____

NET WORTH

Net Liquid Assets _____ A (Cash/securities less current liabilities)

Net Fixed Assets _____ B (Fixed assets less loans against fixed assets)

Total Net Worth _____ (A + B)

INFORMATION REQUIRED BY SECURITIES REGULATORS AND COMPLIANCE

Are you or your spouse considered to be an Insider (as defined in a Provincial Securities Act) of any public companies? ☐ YES ☐ NO

IF YES, WHAT IS THE NAME OF THE COMPANY(IES)? _____

Are you, or your spouse, singularily, or as part of a group, in a Control Position (as defined in a Provincial Securities Act) of any public companies? ☐ YES ☐ NO

IF YES, WHAT IS THE NAME OF THE COMPANY(IES)? _____

Are you, or your spouse an employee, Director, Partner or Officer of a member of any Stock Exchange, IDA Member firm or of a Stock Exchange itself? ☐ YES ☐ NO

IF YES, WHAT IS THE NAME OF THE COMPANY(IES)? _____

Do you own, or have trading authority or an interest in another ScotiaMcLeod Direct Investing Account? ☐ YES ☐ NO

IF YES, WHAT IS THE ACCOUNT NUMBER(S)? _____

Do you own, or have trading authority over any other accounts with another securities firm? ☐ YES ☐ NO

IF YES, WHAT IS THE NAME OF THE SECURITIES FIRM(S)? _____

SIGNATURE	DATE

® Registered Trademark of The Bank of Nova Scotia. Used under license by ScotiaMcLeod Direct Investing; a division of Scotia Capital Inc., Member CIPF.
ScotiaMcLeod Direct Investing does not provide advice or recommendations and investors are responsible for their own investment decisions.