

**Stacey Muirhead Capital Management Ltd.  
Know Your Client Questionnaire - Individual**

*Securities regulations require us to collect the following information on a regular basis. All information will be kept strictly confidential in accordance with our privacy policies. Please see the Subscription Agreement or Investment Management Agreement for details.*

New

Update

The following information is with reference to the following account(s): *[select all that apply]*

LP Fund

RSP Fund

Managed Account

**PERSONAL INFORMATION:**

**INDIVIDUAL**

Name: \_\_\_\_\_

Home Address: \_\_\_\_\_  
\_\_\_\_\_

Phone # Home: \_\_\_\_\_

Phone # Business: \_\_\_\_\_

Phone # Cell: \_\_\_\_\_

Citizenship: \_\_\_\_\_

Date of Birth: \_\_\_\_\_

Occupation/Position: \_\_\_\_\_

Employer: \_\_\_\_\_

Employer's Address: \_\_\_\_\_  
\_\_\_\_\_

**JOINT SUBSCRIBER (if applicable)**

Name: \_\_\_\_\_

Home Address: \_\_\_\_\_  
\_\_\_\_\_

Phone # Home: \_\_\_\_\_

Phone # Business: \_\_\_\_\_

Phone # Cell: \_\_\_\_\_

Citizenship: \_\_\_\_\_

Date of Birth: \_\_\_\_\_

Occupation/Position: \_\_\_\_\_

Employer: \_\_\_\_\_

Employer's Address: \_\_\_\_\_  
\_\_\_\_\_

**REPORTING ISSUER:**

Are you an insider of a "reporting issuer" or a company whose securities are traded in any public market?

Yes

No

If Yes, please provide name(s) of the issuer(s):

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**FINANCIAL INFORMATION:**

Annual Income

(In each of the last two years)

Individual

Combined with spouse

- Under \$200,000     Under \$300,000  
 Over \$200,000     Over \$300,000

Net Financial Assets

(see Appendix)  
(Cash, stocks, bonds, mutual funds etc., less related liabilities)

- Under \$1,000,000  
 \$1,000,000 to \$4,999,999.99  
 \$5,000,000 and over

Net Worth

(see Appendix)  
(Total assets less total liabilities)

- Under \$5,000,000  
 \$5,000,000-\$24,999,999.99  
 \$25,000,000 and over

**INVESTOR PROFILE:**

Investment Time Horizon

- Short Term (< 3 years)  
 Medium Term (3-5 years)  
 Long Term (over 5 years)

Liquidity Need

(see Appendix)

- < 1 yr  
 1-3 yrs  
 4-5 yrs  
 > 5 yrs

Investment Knowledge

- Limited/Novice  
 Fair  
 Good  
 High/Sophisticated

Risk Tolerance

(see Appendix)

- Low  
 Low to Medium  
 Medium  
 Medium to High  
 High

Other Investments

- Bonds (including Bond Mutual Funds)  
 Stocks (including Equity Mutual Funds)  
 Mortgages  
 Real estate  
 Alternative investment products  
 Term deposits and GIC's  
 Money markets, cash and equivalents

Percentage of Financial Assets in:

(see Appendix)

<u>LP Fund</u>	<u>RSP Fund</u>	<u>Managed Acct.</u>	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<10%
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	10-25%
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	25-50%
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	50-75%
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	>75%

Overall Objective of Funds with Stacey Muirhead Capital Management in: (equal 100%, by account)

LP Fund

RSP Fund

Managed Acct.

_____	_____	_____	% Safety – nominal volatility
_____	_____	_____	% Income – stable with modes fluctuations
_____	_____	_____	% Balanced – a combination of income and growth
_____	_____	_____	% Growth and accepting of fluctuations
_____	_____	_____	% Aggressive growth

**OTHER QUESTIONS:**

**Account's Intended Use:** (i.e.: capital growth, capital preservation, saving for retirement, saving for child's education, etc)

LP Fund account \_\_\_\_\_  
RSP Fund account \_\_\_\_\_  
Managed account \_\_\_\_\_

**Politically Exposed Persons (“PEP”) and Head of an International Organizations (“HIO”):**

Under the Proceeds of Crime (Money Laundering) and Terrorist Financing Act (“PCMLTFA”), we are required to determine if the account holder is a PEP (domestic or foreign) or a HIO, or is a family member or a close associate of a PEP (domestic or foreign) or a HIO. Please see the Appendix for explanations of the terms Domestic PEP, Foreign PEP, HIO, family member and close associate.

Are you or any of your mother or father, child, spouse or common-law partner, spouse's or common-law partner's mother or father, or brother, sister, half-brother or half-sister, a PEP or HIO, or are you a close associate of a PEP or HIO.

Yes, I am a Domestic PEP. Indicate how: \_\_\_\_\_

Yes, I am a Foreign PEP. Indicate how: \_\_\_\_\_

Yes, I am a HIO. Indicate how: \_\_\_\_\_

No, I am neither a PEP or a HIO. I agree to immediately notify Stacey Muirhead Capital Management Ltd. if the status of any such person in this regard changes.

**Third-Party Determination**

Will a third party be providing instructions to you with respect to making this investment?

Yes. Please complete the below.

No.

\_\_\_\_\_  
Name of Third Party                      Date of Birth, if applicable                      Business Identification Number, if applicable

\_\_\_\_\_  
Primary Business/Occupation                      Relationship with Subscriber                      Jurisdiction of Incorporation, if applicable

\_\_\_\_\_  
Street Address, City, Province, Postal Code, and Country

**UNITHOLDER SIGNATURE:**

\_\_\_\_\_  
Unitholder Signature (or Authorized Signatory)                      Date

\_\_\_\_\_  
Unitholder Signature – Joint Subscriber (if applicable)                      Date

## APPENDIX

### Investment Knowledge:

- Limited/Novice* – You have only invested in simple securities such as savings bonds or well-known common shares largely based on the advice of others.
- Fair* – You have some knowledge or experience with investments and/or credit products, including bonds, stocks, mutual funds, term deposits or real estate.
- Good* – You have either traded in or have reasonable knowledge of the characteristics of both fixed income securities and common shares, as well as an understanding of the degree of risk and reward inherent in these types of securities.
- High/Sophisticated* – You have a good business background, follow the markets regularly and have traded in and understand most types of investment securities.

### Risk Tolerance:

- Low* – The low risk rating applies to investors who are willing to accept lower returns in order to preserve their principal. Investments under the low risk rating include investments with low volatility such as money market funds and/or Canadian fixed income funds.
- Low to Medium* – The low to medium risk rating applies to investors who are seeking a balance between safety and return on their investment. Investments under the low to medium risk rating include investments with a low to medium volatility and may include fixed income securities or balanced funds.
- Medium* – The medium risk rating applies to investors who are seeking moderate growth over a longer period of time. Investments under the medium risk rating include investments with medium volatility and may include equity portfolios that are well diversified across a broad number of Canadian and/or international equity securities and across a number of economic sectors.
- Medium to High* – The medium to high risk rating applies to investors who are seeking long-term growth. Investments under the medium to high risk rating include investments with medium to high volatility and may include investments in equity funds that concentrate their investments in specific regions or in specific sectors of the economy.
- High* – The high risk rating applies to investors who are growth oriented and are willing to accept significant short-term fluctuations in portfolio value in exchange for potentially higher long-term returns. Investments under the high risk rating include investments with high volatility and may include investment funds that concentrate their investments predominantly in specific regions or in specific sectors of the economy where there is a substantial risk of loss (i.e., emerging markets and precious metals); labour-sponsored venture capital funds, or funds that engage in speculative trading strategies including hedge funds that invest in derivatives, short sell or use leverage.

### Net Financial Assets:

This is total financial assets less any related liabilities, combined for you and your spouse, if applicable.

### Net Worth:

This is total assets less total liabilities, combined for you and your spouse, if applicable.

### Percentage of Financial Assets In:

The purpose of this section is to indicate the percentage of your investable assets that is held in one of our accounts. For example, if you had \$1,000,000 in total financial assets, and held \$150,000 in our LP Fund, and \$150,000 in our RSP Fund, then you would select the 10-25% box under the LP Fund column and 10-25% box RSP Fund column.

## APPENDIX

### Explanation of Terms under PCMLTFA:

A foreign politically exposed person ("Foreign PEP") is an individual who holds or has ever held one of the following offices or positions in or on behalf of a foreign state:

- head of state or government;
- member of the executive council of government or member of a legislature;
- deputy minister (or equivalent rank);
- ambassador, or attaché or counselor of an an ambassador;
- military officer with a rank of general or above;
- president of a state-owned company or state-owned bank;
- head of a government agency;
- judge of a supreme court, constitutional court or other court of last resort; or
- leader or president of a political party represented in a legislature.

A domestic politically exposed person ("Domestic PEP") is an individual who holds, **or has held within the last 5 years**, a specific office or position in or on behalf of the Canadian federal government, a Canadian provincial government, or a Canadian municipal government:

- Governor General, lieutenant governor or head of government;
- member of the Senate or House of Commons or member of a legislature;
- deputy minister or equivalent rank;
- ambassador, or attaché or counselor of an an ambassador;
- military officer with a rank of general or above;
- president of a corporation that is wholly owned directly by Her Majesty in right of Canada or a province;
- head of a government agency;
- judge of an appellate court in a province, the Federal Court of Appeal or the Supreme Court of Canada;
- leader or president of a political party represented in a legislature; or
- mayor.

A HIO is an individual who is either:

- the head of an international organization established by the governments of states; or
- the head of an institution established by an international organization.

A family member is an individual's:

- spouse or common-law partner;
- child (by birth or legal adoption);
- mother or father;
- mother or father of their spouse or common-law partner; and
- sibling (a child of their mother or father).

Examples of a close associate include:

- business partners with, or who beneficially owns or controls a business with, a PEP or HIO;
- in a romantic relationship with a PEP or HIO; such as a boyfriend, girlfriend or mistress;
- involved in financial transactions with a PEP or a HIO;
- a prominent member of the same political party or union as a PEP or HIO;
- serving as a member of the same board as a PEP or HIO; or
- closely carrying out charitable works with a PEP or HIO.