Confidential Client Account Information Gathering

Date: ______________

Personal Information

Account Type

- ☐ Individual
- ☐ Joint WROS *
- ☐ Joint TIC*
- ☐ Sole Proprietorship
- ☐ Off Book
- ☐ RRSP
- ☐ RRSP Spousal
- ☐ LIRA
- ☐ RRIF
- ☐ RRIF Spousal
- ☐ LIF
- ☐ LRIF
- ☐ PRIF

* complete owner info for all account holders

Personal Information	Client # 1	Client # 2	Other
Name			
M / F			
D.O.B.			
S.I.N.			
Marital Status			
Retired Y / N			
Address			
Mailing Address (if different)			
Home Phone			
Work Phone			
Mobile Phone			
Internet Address			
Email Address			

Names of Children / Grandchildren	Birth Date	S.I.N.	Comments [marital status; education; where work/live]

For Business Owners

Name of Business	
Type of Business & Legal Structure	
# of Employees	
Address	
Work # (if different than above)	
Fax #	

Employment Information	Client # 1	Client # 2	Other
Title/Occupation			
Company			
Years Employed			
Annual Income			
Work #			

Banking Information	Client # 1	Client # 2	Other
Bank Name			
Branch Address			
Institution #			
Transit #			
Account #			

Indentification			
ID Type			
ID #			
Expiration Date			
Citizen of			
Resident of			

Investment Knowledge

- ☐ None
- ☐ Very Little
- ☐ Limited
- ☐ Moderate
- ☐ Extensive

Notes:

Investment Expectations

Time		Objective			
Which best describes your investment time frame?		Which best describes your investment objective?			
0 - 4 years			Cash /equivalents		Income
5 - 9 years					
10 - 14 years			Growth and Income		Growth
15 - 19 years					
20+ years			Aggressive Income		Aggressive

Notes:

Liabilities	Client # 1	Client # 2	Other
Credit Cards			
Line of Credit			
Other Loans			
Asset Summary			
Net Liquid Assets			
Net Worth			
Non-Financial Assets			
Home			
Cottage			
Rental			
Business			
Artwork			
Other Assets			
Held Jointly			
Investment Assets			
Group RRSP's			
Group DPSP's			
Group Pension			
RRSP's			
LIRA			
RESP			
Non-Registered [GIC, Term Deposit, Other]			
Chequing / Savings Account			
Annuities			

Professionals			
Lawyer			
Accountant			
Bank			

Life Insurance	Client # 1	Client # 2	Other
Group			
Private			

Will and P.O.A.			
In Place			
Last Updated			

Goals and Plans

1. At what age are you planning on retiring?

	Client # 1	Client # 2	Other

2. What lifestyle do you want in retirement?

3. What lifestyle do you want / see in retirement?

4. At some time in the future, is it possible that you may be financially responsible for the care of an elderly family member, such as a parent?

	Client # 1	Client # 2	Other

Client Projections	Client # 1			Client # 2			Other
	Pre-Retirement		Retirement	Pre-Retirement		Retirement	
Avg. Annual rate of return							
Avg. Annual rate of inflation							
Marginal tax rate							

Intial Transaction			
Amount			
Type	☐ Deposit ☐ Transfer	☐ Buy ☐ Sell	

REGISTERED ACCOUNTS	Client # 1	Client # 2	Other
Amount	☐ Federal ☐ Provincial	☐ Federal ☐ Provincial	
Fees	☐ No Charge (Emp./CFO Bundle) ☐ $100 + GST ☐ $45 + GST	☐ No Charge (Emp./CFO Bundle) ☐ $100 + GST ☐ $45 + GST	

Payment Method

☐ Cheque ☐ Trading Account

☐ Same Bank Info as above ☐ New Info (below):

Banking Information	Client # 1	Client # 2	Other
Bank Name			
Branch Address			
Institution #			
Transit #			
Account #			

NON-REGISTERED ACCOUNTS	Client # 1	Client # 2	Other
Account Features	☐ Cash CAD ☐ Margin CAD ☐ Short Margin CAD	☐ Cash CAD ☐ Margin CAD ☐ Short Margin CAD	
	☐ Cash USD ☐ Margin USD ☐ Short Margin USD	☐ Cash USD ☐ Margin USD ☐ Short Margin USD	

Electronic Fund Transfer

☐ None ☐ New Info (below):

☐ Same Bank Info as above

Banking Information	Client # 1	Client # 2	Other
Bank Name			
Branch Address			
Institution #			
Transit #			
Account #			

Questions

1. Is anyone on the account an insider of a publicly traded issuer? (this includes senior officers, directors and owners of 10% or more of an issuer's voting shares)

Client # 1	Client # 2	Other
☐ Yes	☐ Yes	
☐ No	☐ No	

2. Does anyone on the account own or control, either alone or as a part of a group, 20% or more of the voting shares of a publicly traded issuer?

Client # 1	Client # 2	Other
☐ Yes	☐ Yes	
☐ No	☐ No	

3. Is anyone on the account an Edward Jones employee, or related to and residing with an Edward Jones employee? (If Yes, please describe in the notes below)

Client # 1	Client # 2	Other
☐ Yes	☐ Yes	
☐ No	☐ No	

4. Is anyone on the account an employee, officer, director, or partner of another investment dealer, a stock exchange or the Investment Dealers' Association?

Client # 1	Client # 2	Other
☐ Yes	☐ Yes	
☐ No	☐ No	

5. Does the client object to receiving all security-holder materials sent to beneficial owners of securities?

Client # 1	Client # 2	Other
☐ Yes	☐ Yes	
☐ No	☐ No	

6. Does the client object to Edward Jones disclosing the client's name, address and holdings to the issuers of securities that the client owns, so the issuer can send security-holder materials to the client?

Client # 1	Client # 2	Other
☐ Yes	☐ Yes	
☐ No	☐ No	

7. Does anyone not named on the account have any financial interest in, or authority over the account?

Client # 1	Client # 2	Other
☐ Yes	☐ Yes	
☐ No	☐ No	

Notes

How long have you known the client?

Have you met the client in person?

How did the client hear about Jones?

Client Signature(s)

	Client # 1	Client # 2
Signature		

Confidential Client Review

Date: ______________________

Children	Names	Age	Other
Name			
D.O.B.			
S.I.N.			

Employment	Client # 1	Client # 2	Other
Title			
Company			
Yrs. Employed			
Annual Income			

Life Insurance	Client # 1	Client # 2	Other
Group			
Private			

Will & POA	Client # 1	Client # 2	Other
In Place			
Last Update			

Liabilities	Client # 1	Client # 2	Other
Credit Cards			
Line of Credit			
Other Loans			

Non-Financial Assets	***Property Value***	***Mortgage or Loan***	***Rate***	***Due Date***
Home				
Cottage				
Rental				
Business				
Artwork				
Other Assets				
Held Jointly				

	Client # 1	Client # 2	Other
Investment Assets			
Group RRSP's			
Group DPSP's			
Group Pension			
RRSP's			
LIRA			
RESP			
Non-Reg (GIC, Term Deposit,			
Chequing / Savings Acct.			
Annuities			

Professionals			
Lawyer			
Accountant			
Bank			

Goals & Plans

1. At what age are you planning on retiring?
2. What lifestyle do you want in retirement?
3. What concerns do you have with your current financial situation?
4. At some time in the future is it possible that you may be financially responsible for the care of an elderly family member, such as a parent?