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Account #

# Account Application for Individual

(To be completed by Investment Advisor and Client)

## 1 APPLICANT'S PERSONAL INFORMATION

First Name \_\_\_\_\_ Initial \_\_\_\_\_ Last Name \_\_\_\_\_

### Home Address, Telephone and Fax Numbers and Email Address

Apt/Ste \_\_\_\_\_ Street \_\_\_\_\_ City \_\_\_\_\_

Province \_\_\_\_\_ Country \_\_\_\_\_ Postal Code \_\_\_\_\_ Email Address \_\_\_\_\_

Home Phone \_\_\_\_\_ Business Phone \_\_\_\_\_ Cellular Phone \_\_\_\_\_ Fax \_\_\_\_\_

### Confirmation and Statement Mailing Address

My trade confirmations and monthly account statements should be sent to:  Same as above, or

Apt/Ste \_\_\_\_\_ Street \_\_\_\_\_ City \_\_\_\_\_

Province \_\_\_\_\_ Country \_\_\_\_\_ Postal Code \_\_\_\_\_

### Other Information

SIN: \_\_\_\_\_ Date of Birth: \_\_\_\_\_ (MM/DD/YY) Citizenship: \_\_\_\_\_ (Country)

Marital Status: \_\_\_\_\_ Name of Spouse: \_\_\_\_\_ No. of Dependents: \_\_\_\_\_

Address of Spouse:  Same as above, or

Apt/Ste \_\_\_\_\_ Street \_\_\_\_\_ City \_\_\_\_\_

Province \_\_\_\_\_ Country \_\_\_\_\_ Postal Code \_\_\_\_\_

## 2 APPLICANT'S EMPLOYMENT

Employment Status: Employed  Self-employed  Retired  Student  \_\_\_\_\_  
 Unemployed  Homemaker  Name of Institution \_\_\_\_\_

Employer's Name: \_\_\_\_\_ Type of Business: \_\_\_\_\_

Applicant's occupation or title: \_\_\_\_\_ How many years have you worked there? \_\_\_\_\_

Are you a "Pro"? Yes  No

**NOTE:** You are considered to be a Pro if you are, or someone you live with under the same roof is, employed by Global Securities Corporation, or any other IIROC firm. If you are a Pro through affiliation with another IIROC firm, please provide a letter of confirmation from the Compliance Department of that firm authorizing the opening of this account.

### 3 APPLICANT'S BANKING INFORMATION

Provide the name of your main bank, trust company or other financial institution, its address, telephone number and your account number:

Name \_\_\_\_\_ Phone \_\_\_\_\_

Street \_\_\_\_\_ City \_\_\_\_\_ Province \_\_\_\_\_

Country \_\_\_\_\_ Postal Code \_\_\_\_\_

Account Number: \_\_\_\_\_

### 4 FINANCIAL INFORMATION

#### Net Worth (use calculation below)

**ESTIMATED NET FINANCIAL ASSETS**  
(cash and securities less loans outstanding) \$ \_\_\_\_\_  
plus

**ESTIMATED NET FIXED ASSETS**  
(fixed assets less loans outstanding) \$ \_\_\_\_\_  
equals

**TOTAL NET WORTH** \$ \_\_\_\_\_

#### Income

State approximate **ANNUAL INCOME BEFORE TAXES** from all sources \$ \_\_\_\_\_

### 5 INVESTMENT KNOWLEDGE AND EXPERIENCE

For each of the following investments, indicate below your level of investment knowledge and whether or not you have previously invested in (i.e. purchased) that type of investment. For the purposes of your responses:

"None" means you have **no** investment knowledge of the specified security.

"Limited" means you understand the basics of investing generally and have a **limited** knowledge of the specific type of investment.

"Moderate" means you have a good knowledge of investing generally and have a **moderate** knowledge of the specific type of investment.

"Extensive" means you are a sophisticated investor and have an **extensive** knowledge of the specified type of investment and trading strategies associated with it.

| INVESTMENTS                        | KNOWLEDGE                |                          |                          |                          | INVESTMENT EXPERIENCE    |                          |
|------------------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
|                                    | None                     | Limited                  | Moderate                 | Extensive                | Yes                      | No                       |
| <b>CASH:</b>                       |                          |                          |                          |                          |                          |                          |
| T-Bills, Commercial Paper          | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Savings Bonds                      | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Money Market Mutual Funds          | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| <b>FIXED INCOME:</b>               |                          |                          |                          |                          |                          |                          |
| Bonds/Debentures                   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| GICs                               | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Strip Bonds                        | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Bond Mutual Funds                  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| <b>EQUITY:</b>                     |                          |                          |                          |                          |                          |                          |
| Common Stocks                      | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Income Trusts                      | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Preferred Shares                   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Equity Mutual Funds                | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Options                            | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Warrants, Rights                   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Limited Partnerships, Tax Shelters | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| <b>OTHER:</b>                      |                          |                          |                          |                          |                          |                          |
| Initial Public Offerings           | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| New Issues                         | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Real Estate                        | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Speculative Issues                 | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

## 6 INVESTMENT OBJECTIVES

### Non Registered Accounts

#### Account Objectives Must Total 100%

Income \_\_\_\_\_ %  
 Growth \_\_\_\_\_ %  
 Speculative \_\_\_\_\_ %  
 100%

#### Risk Tolerance Must Total 100%

Low \_\_\_\_\_ %  
 Medium \_\_\_\_\_ %  
 High \_\_\_\_\_ %  
 100%

### Registered Accounts

#### Account Objectives Must Total 100%

Income \_\_\_\_\_ %  
 Growth \_\_\_\_\_ %  
 Speculative \_\_\_\_\_ %  
 100%

#### Risk Tolerance Must Total 100%

Low \_\_\_\_\_ %  
 Medium \_\_\_\_\_ %  
 High \_\_\_\_\_ %  
 100%

If the Applicant is 21 years of age or less, or is more than 60 years of age, and lists the speculative category as an investment objective, please complete the Speculative Securities Consent (Schedule 6).

### Definitions of Objectives and Risk Tolerance

"Income" means my emphasis is on obtaining an income stream through investments in securities including, but not limited to, fixed income and dividend paying equity products as well as some trust units.

"Growth" means my emphasis is on realizing capital gains through investments in securities including, but not limited to, equity products.

"Speculative" means my emphasis is on maximizing my return potential through investments in high-risk securities including, but not limited to, speculative equities (or "penny stocks"), options or high risk fixed income products. I may also engage in short term trading.

"Low" risk tolerance means a preference to invest the (approximate) stated percentage of the total funds in my account(s) in relatively low-risk, higher quality income-producing securities. Securities in this category would include Treasury Bills and Canada Savings Bonds.

"Medium" risk tolerance means a preference to invest the (approximate) stated percentage of the total funds in my account(s) in moderate-risk income-producing securities, as well as non-speculative equities and conservative mutual funds.

"High" risk tolerance means a preference to invest the (approximate) stated percentage of the total funds in my account(s) in speculative, higher-risk securities, including junior stocks and derivatives.

## 7 INVESTMENT ACTIVITIES AND RELATIONSHIPS

Please answer the following questions. If you require more space to provide your answer, please use an attachment.

|   |  |
|---|--|
| <p>(a) Do you or your spouse (individually, or as part of a group) own or control 10% or more of the voting rights of a publicly-traded company? Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If Yes, please indicate the percentage holdings and the name(s) of the company: _____</p>  | <p>(d) Does your Investment Advisor have any interest in your account other than commissions or fees for service? Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If Yes, provide details: _____</p>   |
| <p>(b) Are you or your spouse a director or officer of a publicly-traded company? Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If Yes, please indicate the position(s) and the name(s) of the company: _____</p>   | <p>(e) Have you ever been involved in any litigation or arbitration with another broker or dealer? Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If Yes, please provide a copy of the final decision.</p>  |
| <p>(c) Does anyone else have a financial interest in this account? If Yes, please complete the following: Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>Name of person (other than the Applicant) having a financial interest: _____ (the "Interested Party")</p> <p>Relationship to Applicant: _____</p> <p>Name of Interested Party's employer: _____</p> <p>Type of Business: _____</p> <p>Occupation or title of Interested Party: _____</p> <p>Does the Interested Party (individually or as a group) own or control 10% or more of the voting rights of a publicly-traded company? Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If Yes, please indicate the percentage holdings and the name(s) of the company: _____</p> <p>Is the Interested Party a director or officer of a publicly-traded company? Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If Yes, please indicate the position(s) and the name(s) of the company: _____</p> | <p>(f) Have you ever been the subject of an investigation by a securities regulatory or self-regulatory agency? Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If Yes, please provide a copy of the final decision.</p> <p>(g) Do you have investment accounts elsewhere? Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If Yes, please provide details: _____</p> <p>(h) If your spouse (individually, or as part of a group) owns or controls 10% or more of the voting rights of a publicly-traded company, or is a director or officer of a publicly-traded company, or is an employee of an IIROC member firm, complete the following:</p> <p>Name of spouse: _____ (the "Spouse")</p> <p>Name of Spouse's employer: _____</p> <p>Type of Business: _____</p> <p>Occupation or title of Spouse: _____</p> |

**8 TYPE OF ACCOUNT REQUESTED**

Specify below the type(s) of account(s) requested:

| Non Registered Accounts   |                          |                          | Registered Accounts                                 |                          |
|---------------------------|--------------------------|--------------------------|---|--------------------------|
|                           | Canadian Funds           | US Funds                 |   | Yes                      |
| CASH                      | <input type="checkbox"/> | <input type="checkbox"/> | RRSP<br>(if Yes, refer to and complete Schedule 12) | <input type="checkbox"/> |
| MARGIN SHORT (sign below) | <input type="checkbox"/> | <input type="checkbox"/> | SRSP<br>(if Yes, refer to and complete Schedule 12) | <input type="checkbox"/> |
| MARGIN LONG (sign below)  | <input type="checkbox"/> | <input type="checkbox"/> | LRSP<br>(if Yes, refer to and complete Schedule 12) | <input type="checkbox"/> |
| DAP*                      | <input type="checkbox"/> | <input type="checkbox"/> | RRIF<br>(if Yes, refer to and complete Schedule 13) | <input type="checkbox"/> |
|                           |                          |                          | LIF<br>(if Yes, refer to and complete Schedule 13)  | <input type="checkbox"/> |
|                           |                          |                          | TFSA<br>(if Yes, refer to and complete Schedule 18) | <input type="checkbox"/> |

\* If a DAP account is selected, please complete a DAP Account Information Form

I agree with Global Securities Corporation that if I have specified above for a margin account to be opened, I (to the extent necessary) agree to comply with and be bound by the provisions of section 4 and all other applicable provisions of the Account Agreement which are applicable to the margin account.

\_\_\_\_\_  
Signature of Applicant

**Additional Categories/Services**

|   | Yes                      |  | Yes                      |
|---|--------------------------|--|--------------------------|
| DISCRETIONARY ACCOUNT<br>(if Yes, execute a Discretionary Authority Form) | <input type="checkbox"/> | OPTIONS ACCOUNT<br>(if Yes, refer to the options disclosure forms and execute an Options Trading Agreement)  | <input type="checkbox"/> |
| MANAGED ACCOUNT<br>(if Yes, execute a Managed Account Agreement)          | <input type="checkbox"/> | JOINT ACCOUNT<br>(if Yes, the joint account holder must complete the Account Application for Joint Applicant (Schedule 1) and one of the two Joint Account forms (Schedule 8 or Schedule 9)) | <input type="checkbox"/> |

**9 TRADING AUTHORIZATION**

Is trading authority over this account to be exercised by a third party? Yes  No

If No, proceed to Item 10.

If trading authority over this account is to be exercised by a third party (i.e. an individual other than the account holder(s)), then the following information, and the information required in the Trading Authorization – (Trading Only) form (Schedule 10) or the Trading Authorization and Power of Attorney form (Schedule 11), must be provided for each third party (called the “Agent” in this section). The Agent may be granted partial authority (the authority to provide only securities purchase and sale instructions) or full authority (the authority to exercise all of the rights of the applicant in relation to the account). If the Agent is to have partial authority, please complete Schedule 10. If the Agent is to have full authority, please complete Schedule 11.

Name of Agent: \_\_\_\_\_

Relationship to Applicant: \_\_\_\_\_

Is the Agent an officer or director of a publicly-traded company? Yes  No

If Yes, then provide the position(s) and name(s) of the company \_\_\_\_\_

Does the Agent, as an individual or as part of a group, own or control 10% or more of the voting rights of a publicly-traded company? Yes  No

If Yes, then provide the percentage holdings and the name(s) of the company \_\_\_\_\_

Name of Agent’s employer: \_\_\_\_\_ Type of Business: \_\_\_\_\_

Occupation or title of Agent: \_\_\_\_\_

## 10 NON-SOLICITATION ACKNOWLEDGEMENT

Is the Applicant a resident or citizen of a country other than Canada?

Yes  No

If Yes, please sign the Non-Solicitation Acknowledgment and Agreement (Schedule 7).

## 11 SHAREHOLDER AND EMAIL COMMUNICATIONS

**SHAREHOLDER COMMUNICATION:** The Applicant must provide the applicable instructions on, and otherwise complete, the Client Response Form (Schedule 3) respecting the disclosure of beneficial ownership information, the type of security holder materials the Applicant wishes to receive from the issuers of the securities it owns, the preferred language of the Applicant and an email address if the Applicant wishes to receive securityholder materials by electronic delivery.

Prior to completing these instructions, which have been prescribed by the Canadian Securities Administrators, you need to have read the Notice Respecting Communications with Beneficial Owners of Securities of Reporting Issuers (Schedule 2). Please indicate your receipt of this below.

I have received and reviewed the Notice Respecting Communications with Beneficial Owners of Securities of Reporting Issuers: Yes  No

**EMAIL COMMUNICATION:** Do you wish to receive trade confirmations and monthly statements via email? Yes  No

If Yes, please refer to the Notice and complete the Online Account Services Authorization form (Schedule 19).

## 12 PRIVACY STATEMENT

We collect and retain personal information about you to better serve you as our client, for security and regulatory reasons, and to provide clients with information about our services. To ensure the accuracy of client instructions, we may record client telephone calls. By completing this Account Application Form, you are consenting to our collecting and retaining this information. The information will remain confidential to us and to businesses working for us, who have agreed to comply with our Privacy Policy. We will also permit government authorized or recognized regulators and auditors to view your personal information. If you make investments outside of Canada, or if you are a U.S. citizen or resident, we may disclose some of your personal information to regulators and/or tax authorities in those jurisdiction(s).

For further detailed information on privacy matters, view our Privacy Policy on our website at [www.globalsec.com/privacy](http://www.globalsec.com/privacy). If you wish to access your personal information, or have questions or concerns relating to privacy matters, please contact the Privacy Officer by telephoning 604.443.5400 or by email at [privacyofficer@globalsec.com](mailto:privacyofficer@globalsec.com). You may also request that your personal information be corrected or your consent to our maintaining or disclosing your information be withdrawn, except where otherwise required by law.

Have you read and do you agree with the terms of the Privacy Statement? Yes  No

If you do not agree with these terms, we will not be able to open or maintain an account for you.

## 13 VERIFICATION OF CLIENT IDENTITY

The identity of the Applicant and all individuals who exercise trading authority over the account (as set out in Item 9 above) must be verified by reference to acceptable **original** identification provided by the Applicant and such individuals providing they meet the Investment Advisor in person. There are two other methods of identity verification which can be used only if a person is unable to have a personal meeting with an Investment Advisor to verify his or her identity. The first method involves the person providing a personal cheque drawn on a Canadian financial institution, providing that cheque clears. The second method involves our agent in the jurisdiction in which the person resides verifying the person's identity by reference to acceptable **original** identification provided by that person.

Please indicate below the identity verification method to be used in respect of the Applicant and all individuals who exercise trading authority over the account. If one or more of these individuals have personally met the Investment Advisor, the Investment Advisor will complete an Identity Verification Certificate (IA) (Schedule 14).

|               | Has the Applicant and trading authority personally met the Investment Advisor? |                             | Verification Method      |  |                          |
|---------------|--|-----------------------------|--------------------------|--|--------------------------|
|               | Yes <input type="checkbox"/>   | No <input type="checkbox"/> | Personal Identification  | Cheque/<br>Credit File<br>Verification | Agent                    |
| Applicant     | Yes <input type="checkbox"/>   | No <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>               | <input type="checkbox"/> |
| Agent * _____ | Yes <input type="checkbox"/>   | No <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>               | <input type="checkbox"/> |
| Agent * _____ | Yes <input type="checkbox"/>   | No <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>               | <input type="checkbox"/> |

\* individual named in Item 9

**14 IRS DOCUMENTATION MATTERS**

A non-U.S. account holder who holds, or who may in the future hold, U.S. securities must complete IRS Form W-8BEN when opening the account. U.S. account holders, being either a U.S. citizen or resident, must complete IRS Form W-9. These forms are set out in Schedules 4 and 5, respectively. The IRS has published instructions describing how each form should be completed. A copy of these instructions is available from your Investment Advisor upon request. The form to be completed by the Applicant is:

Applicant W-8BEN  W-9

**15 POLITICALLY EXPOSED FOREIGN PERSONS**

The federal anti-money laundering laws of Canada require an investment dealer to determine if an individual is a Politically Exposed Foreign Person ("PEP"). A PEP is person who holds or has held one of the following offices or positions in or with a foreign national state: head of foreign national state or government, member of the executive council of a foreign national government or legislature, deputy minister (or equivalent), ambassador or attaché or counsellor of an ambassador of a foreign national state, military general (or higher rank), president of a foreign national state-owned company or bank, head of a foreign national government agency, judge, or leader or president of a political party represented in a foreign national legislature. A PEP's spouse, common-law partner, children, parents and siblings (including half-siblings), and the parents of the PEP's spouse or common-law partner, would also be considered to be PEPs.

Using the above-noted criteria, are you a PEP? Yes  No

If "Yes", please complete a PEP Disclosure Form (Schedule 17).

**16 ACKNOWLEDGEMENTS AND AGREEMENT**

I acknowledge to and agree with Global Securities Corporation that: (a) the information provided in this Application and any completed Schedules is true and correct, (b) I am capable of evaluating and bearing the financial risk inherent in buying (or short-selling) the securities which I may instruct be purchased or short-sold in the account, (c) I acknowledge that using borrowed money to finance the purchase of securities involves greater risk than a purchase using cash resources only, and that if I borrow money to purchase securities, my responsibility to repay the loan and pay interest as required by its terms remains the same even if the value of the securities purchased declines, (d) I have read and understand the Account Agreement, which is set out at Schedule 15, have initialled each page of the Account Agreement and agree to the terms thereof, (e) I have read and understand the Regulatory Notice Re: Global Securities Corporation and Global Futures Corporation (Schedule 16) and (f) the account(s) will be used only for securities trading purposes.

Dated: \_\_\_\_\_, 20\_\_\_\_.

X \_\_\_\_\_  
Signature of Applicant

YOU MUST PROMPTLY INFORM YOUR INVESTMENT ADVISOR OF ANY CHANGES TO THE INFORMATION PROVIDED HEREIN, PARTICULARLY CHANGES WHICH MIGHT REASONABLY BE EXPECTED TO AFFECT GLOBAL'S TRADING ADVICE IF SOUGHT AND GIVEN.

**PLEASE DO NOT WRITE BELOW THIS LINE – THE SPACE BELOW IS FOR GLOBAL SECURITIES CORPORATION USE ONLY**

IA Comments \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

IA Signature \_\_\_\_\_ Date \_\_\_\_\_ Branch Manager Approval (if applicable) \_\_\_\_\_ Date \_\_\_\_\_

Officer/Director Approval \_\_\_\_\_ Date \_\_\_\_\_

# Global Securities Corporation

## Client Account Agreement

### 1. RELATIONSHIP

#### 1.1 Appointment as Agent

The undersigned (the "Client") appoints Global Securities Corporation ("GSC") as agent to execute transactions on behalf of the Client in Securities whether or not on margin and whether or not as a short sale.

#### 1.2 Duties

GSC accepts no responsibility under this Agreement other than to act honestly and in good faith and without willful misconduct or gross negligence. In particular, unless otherwise agreed in writing, GSC will have no obligation to recommend an investment program, monitor the progress of Securities in the Account, communicate trading limits or margin calls or changes in the market, advise the Client in respect of pending record dates or the pending expiry of rights or warrants, exercise discretion in the purchase or sale of Securities or impart any material information in respect of any of the Securities which GSC or any of its employees or representatives is or becomes aware of.

#### 1.3 Refusal to Take Orders

GSC may require written instructions from the Client before executing any transactions for the Account and may refuse to accept any order from the Client where GSC considers it necessary for its protection. The Client waives any and all Claims for loss or damage arising directly or indirectly from any such refusal or from any delay or inability to complete a transaction caused by the requirement for written instructions.

#### 1.4 Account Information

The Client warrants that, to the best of the knowledge of the Client, the information on the attached Account Information Form is correct, and acknowledges that GSC and its representatives may rely on that information in providing advice or recommendations to the Client in respect of the Account. The Client agrees to notify GSC immediately of any change in such information which might reasonably be expected to affect the advice of GSC where sought or given.

#### 1.5 Free Credit Balances

Any monies held by GSC From time to time to the client's credit are payable on demand, need not be segregated and may be used by GSC in the ordinary conduct of its business. The Client acknowledges that the relationship of the Client and GSC with respect to such monies is one of debtor and credit only, and that GSC is not a trustee.

#### 1.6 Authority to Execute Orders

The Client authorizes GSC to buy and sell Securities for the Account on the instructions of the Client in any manner GSC considers appropriate, either for the Account separately or as part of larger transactions for the Account and others, including GSC, its affiliates and the directors, officers, employees and clients of GSC and its affiliates, in such manner by public or private sale as GSC considers appropriate and either directly or by agent, and in any such case, the Client acknowledges that GSC, its affiliates or a director, officer, employee or client of GSC or its affiliates may be the buyer or seller on the other side of the transaction.

#### 1.7 Fees from the Issuer

The Client acknowledges that GSC may, and authorizes GSC to receive a fee, commission or other payment from the issuer of Securities bought or sold for the Account.

#### 1.8 Credit Information

The Client authorizes GSC to obtain factual or credit information about the Client at any time from the Client's employer, bank or other financial institution, credit bureau or any other person for the purpose of establishing the Client's identity, reputation and credit worthiness.

#### 1.9 Communication of Orders

GSC will not be liable to the Client for any loss, claim, damage, liability or expense for any transactions, notices, demands, instructions to buy or sell, or otherwise which have been communicated by voice mail, voice messaging, electronic mail, telex, telecopier and/or facsimile. Notwithstanding the foregoing this does not invalidate any order communicated orally and confirmed by facsimile or in writing that has been required and authorized by GSC, nor does it invalidate any order communicated by voice mail, voice messaging, electronic mail, telex, telecopier and/or facsimile that GSC accepts and processes.

### 2. APPLICATION OF AGREEMENT

#### 2.1 Application to all Accounts

This Agreement applies to all of the accounts of the Client with GSC and its predecessors, including accounts previously opened, opened in the future or from time to time, closed and then reopened, renumbered or redesignated, and this Agreement supersedes and replaces all previous client account agreements between the client and GSC in connection with such accounts. The terms of this Agreement are in addition to, and not in substitution for, the terms of any other agreement between the Client and GSC. If any conflict arises between this and any other agreement with the Client, the terms of this Agreement will prevail.

#### 2.2 Applicable Law and Custom

All transactions in the Account will be subject to, and in such transactions, GSC and the client will be bound by, applicable law and regulatory policy, including, without limitation, the constitution, bylaws, rules, customs and usages of the exchanges or markets and their clearing houses, if applicable, on or through which the transactions for the Account are made, and the orders, regulations, rules and policies of all courts and regulatory authorities having jurisdiction in connection with such trades.

#### 2.3 Confidential Client Information

GSC will keep confidential all documentation and information provided by the Client to GSC, any personal information derived therefrom and any documentation and information relating to the Account and the Client in accordance with GSC's Privacy Policy, which is available at [www.globalsec.com](http://www.globalsec.com). The Client acknowledges that third parties, including a court of law, another legal authority, regulatory agency (including a

self regulatory authority), government body or any other person with jurisdiction and authority to do so, may have the right to compel the production of any and all such documentation and information.

### 3. OPERATION OF ACCOUNT

#### 3.1 Agreement to Pay Commissions

The Client will pay all commissions and other transaction charges in respect of purchases, exchanges and sales in the Account, including sales made by GSC under section 4.5, at the rates customarily charged by GSC from time to time or as may be specifically agreed by GSC and the Client.

#### 3.2 Credits and Debits

GSC will credit to the Account any interest, dividends or other monies received in respect of Securities held in the Account and any monies (net of all charges) received as proceeds from transactions in Securities for the Account, and will debit to the Account all amounts owing, including interests and applicable service charges, by the Client to GSC.

#### 3.3 Records

GSC will maintain a record of all transactions, and receipts and deliveries of funds and Securities for the Account.

#### 3.4 Service Fees

The Client agrees to pay the service fees or service charges of GSC in connection with administration of the Account.

#### 3.5 Margin

If the Client requests and is granted by GSC a margin facility, GSC may, in its sole discretion, without notice, at any time or from time to time, reduce or cancel any margin facility or refuse to grant any additional margin facility or require the Client to provide further margin in addition to that required by applicable regulatory rules or policy. The Client will provide GSC with any margin which requested GSC and will promptly pay any indebtedness due as a result of any reduction or cancellation of any margin facility.

#### 3.6 Effect of Orders

All orders of the Client accepted by GSC are good until either executed or cancelled on the day of entry, unless a longer period is specified by the Client; all orders accepted by GSC are binding on the Client from the moment of execution; and non receipt or late receipt of confirmation of a transaction will not relieve the Client of the obligation to settle the transaction on the settlement date.

#### 3.7 Delivery of Securities

Actual delivery is intended for every transaction in the Account; the Client represents and warrants to GSC that all sales made in the Account will be "long" sales unless the Client has specified otherwise at the time of giving the order; and if the Client fails to make immediate delivery to GSC in deliverable form of any Securities sold at the Client's direction, then GSC is authorized to borrow or buy any Securities necessary to settle the transaction, and the Client will pay to GSC and indemnify and save it harmless from any loss or expense incurred by GSC in connection with the borrowing, purchase or late delivery.

#### 3.8 Custody of Securities

GSC may hold the Client's Securities at its head office or any of its branch offices or at any other place or with any other custodian which GSC in its discretion considers appropriate and in so holding the Client's Securities, GSC assumes no higher degree of care than that exercised by GSC in the custody of its own Securities.

#### 3.9 Securities Fungible

GSC is not obligated to return to the Client the same Securities as those deposited with or received by GSC for the Client's Account, and GSC may discharge its obligation to the Client by delivering certificates for Securities of the same issue in the same or equivalent amounts.

#### 3.10 Ratification

Every transaction referred to in a confirmation of transaction sent by GSC to the Client will be conclusively deemed to be authorized, ratified and confirmed by the Client, and every confirmation of a transaction will conclusively be deemed to be correct (except for any amount or security improperly credited to the Account) unless GSC receives notice in writing from the Client within 10 days of the date of the confirmation.

### 4. INDEBTEDNESS AND SECURITY

#### 4.1 Payment of Indebtedness

The Client will promptly pay all debit balances in the Account when due, except to the extent covered by a margin facility, and all other indebtedness arising in connection with transactions for the Account.

#### 4.2 Interest

The Client will pay to GSC interest, calculated daily and compounded monthly, on outstanding indebtedness in the Account. The interest rate will be that rate designated from time to time by GSC as its effective rate for determining interest on debit balances in accounts with GSC and the Client waives notice of all changes in such rates.

#### 4.3 Security for Indebtedness

The Client hereby pledges to GSC all of the Securities and credit balances held by GSC for the Account from time to time as continuing collateral Security for the payment of any indebtedness to GSC arising for reason, including, without limitation, any liability arising by reason of any guarantee by the Client of the collateral pledged.

#### 4.4 Right to Deal with Securities

At any time while the Client is indebted to GSC, GSC may, without notice, use the Securities and credit balances in the Account from time to time in the conduct of GSC's business, and, without limiting the generality of this right, GSC may combine or Global Securities Corporation Client Account Agreement intermingle any Securities or credit balances in the Account with the property of GSC, its clients or both, pledge any of the

X \_\_\_\_\_  
Client(s) Initial(s)

Securities as security for its own indebtedness, borrow any of the Securities in the Account or credit balances in the Account for its own purposes, or use any of the Securities in the Account for making delivery against a sale, whether a short sale or otherwise and whether such sale is for the Account or for the account of any other client of GSC.

#### 4.5 Enforcement of Security

If:

- (a) the Client fails to comply with any term of this Agreement;
- (b) GSC considers if necessary for its protection for any reason whatsoever, including, without limitation, where GSC considers any margin in the Account to be insufficient;
- (c) a garnishing order or other attachment is levied against the Account;
- (d) a petition in bankruptcy is made by or in respect of the Client or a receiver is appointed to manage the affairs of the Client; or
- (e) the Client dies or, if the Client is a corporation or other unincorporated entity, is wound up or dissolved;

GSC may, without demand for margin or additional margin and without advertisement or other notice to the Client:

- (i) apply credit balances in the Account or any other account in which the Client has an interest to reduce the indebtedness in the Account;
- (ii) retain possession of or sell any of the Securities in the Account and apply the net proceeds of any sale to reduce the indebtedness in the Account;
- (iii) purchase or borrow any Securities necessary to cover short sales or to cover open positions; or
- (iv) cancel any unexecuted orders.

Any such sales or purchases for my account(s) may be made upon any stock exchange or by public or private sale upon such terms and in such manner as you in your sole discretion may deem advisable. The net proceeds of any such sale, or the securities received on any such purchase shall be applied against my indebtedness to you and to my short position to you without prejudice to my liability for any deficiency. Any demand, advertisement or notice which may be given by you shall not be a waiver of any right to take any action authorized hereunder without demand, advertisement or notice.

#### 4.6 Collection and Other Expenses

GSC may charge to the Account all expenses (including legal expenses on a solicitor and own client basis) reasonably incurred by GSC:

- (a) in connection with disputes over ownership or an interest in Securities or credit balances in the Account between joint holders of the Account or between the Client and a third party;
- (b) to collect any indebtedness owing; or
- (c) to exercise or enforce any right under this Agreement.

#### 4.7 Liability for Unsatisfied Balance

The Client will remain liable to GSC for the balance of any indebtedness or other amount remaining following the exercises by GSC of any of its rights under this Agreement.

#### 4.8 Exercise or Waiver of Rights

This exercise or the failure to exercise any right under this Agreement or the waiver of any breach or the granting of any indulgence by GSC will not in any way restrict or prevent GSC from exercising any other rights under or insisting on the performance of any other term of this Agreement.

#### 4.9 Alternative Courses of Action

Whenever this Agreement entitles GSC to take alternative courses of action, GSC will be entitled to take any or all of such alternative courses of action or refrain from taking any courses of action in its sole discretion.

#### 4.10 Agent's Discretion as to Manner of Sale

Any sale or purchase made by GSC for the Account in the exercise of any of the rights of GSC under this Agreement may be made at such times on such exchange or market, by public or private sale and on such terms and in such a manner as GSC in its sole discretion considers appropriate.

#### 4.11 Transfer to Other Accounts

GSC may at any time, without notice to the Client, enter credit or debit balances, take any monies or Securities in the Account and any proceeds from the sale or other dispositions of such Securities to pay or cover any obligations of the Client to GSC, including obligations of the Client in respect of any other account with GSC, whether such account is a joint account or is an account guaranteed by the Client.

#### 4.12 Currency

GSC may transfer and convert currency between Canadian and United States dollar accounts of the Client as GSC considers necessary or advisable to meet obligations in either of those currencies which are not covered in the Account

### 5. INTERPRETATION AND MISCELLANEOUS

#### 5.1 Definitions In this Agreement:

- (a) "Account" means all and any one of the accounts of the client with GSC, including accounts previously opened, opened concurrently or in the future or from time to time closed and then reopened, renumbered or redesignated;
- (b) "Client", for the purposes of subsection 1.8, shall include a person who is associated with the Client and who, in GSC's sole opinion, must have their identity, reputation or credit worthiness established or verified by GSC; and
- (c) "Securities" has the meaning in the *Securities Act* (British Columbia) as amended from time to time and includes in addition, commodity and futures contracts and derivative products.

#### 5.2 Capacity

The Client represents to GSC that he, she or it has the power and capacity and is competent to enter into this Agreement. If an individual, the Client represents that he or she is of legal age. If a corporation, partnership, trust, syndicate or other similar form of organization, the Client represents that the execution and delivery of this Agreement has been duly authorized by all necessary action and the persons signing this Agreement are authorized to sign this Agreement on behalf of the organization.

#### 5.3 Headings

The headings in this Agreement are for convenience of reference only and do not affect its interpretation.

#### 5.4 Governing Law

If the Client is a resident of any province or territory in Canada, then this Agreement shall be governed by the laws of the province or territory in which the Client resides and, subject to subsection 5.5 of this Agreement and unless otherwise agreed to in writing by GSC and the Client, GSC and the Client will submit exclusively to the courts of the Client's residence in respect of all disputes involving the Account and in respect of all matters relating to this Agreement. If requested in writing by a Client to do so, GSC will provide its address for service in the province or territory in which such Client resides. If the client is other than a resident of Canada, then this Agreement shall be governed by the laws of the province of British Columbia and subject to subsection 5.5 of this Agreement and unless otherwise agreed to in writing by GSC and the Client, GSC and the Client will submit exclusively to the courts in British Columbia in respect of all disputes involving the Account and all other matters relating to this Agreement.

#### 5.5 Arbitration

Notwithstanding subsection 5.4, if GSC and the Client agree in writing or, in accordance with the applicable policy of any stock exchange or securities self regulatory organization of which GSC is a member, the Client so directs any dispute in connection with the operation of the Account or any transaction or intended transaction in the Account or arising out of or relating to this Agreement will be submitted to arbitration in Vancouver, British Columbia, unless the account is maintained at a branch office located in Alberta, in which case the dispute will be submitted to arbitration in Calgary, Alberta. Unless otherwise agreed by the parties or otherwise provided in such policy:

- (a) the arbitration will be before a single arbitrator and in accordance with provisions of the *Commercial Arbitration Act* (British Columbia), unless the Account is maintained at a branch office located in Alberta in which case the arbitrator will be in accordance with the provisions of the *Arbitration Act* (Alberta);
- (b) each party will bear its own cost in any such proceeding; and
- (c) the decision of the arbitrator will be final and binding on parties and may be enforced in any court of competent jurisdiction.

#### 5.6 Further Assurances

The Client will take all such actions and will execute and deliver any further documents as are necessary or desirable, in the view of GSC, to give effect to all transactions in Securities for the Account executed by GSC pursuant to this Agreement.

#### 5.7 Severability

If any term of this Agreement is found by a court of competent jurisdiction to be invalid, illegal or void, that term will be severed from this Agreement and the remaining terms of this Agreement will continue in full force and effect, modified only to reflect the severance of that term.

#### 5.8 Binding Effect

This Agreement ensures to the benefit of and is binding on GSC, its successors and assigns and the Client and the heirs, executors, administrators, successors and permitted assigns of the Client.

#### 5.9 Assignment

This Agreement may not be assigned by the client without the prior written consent of GSC.

#### 5.10 Amendment

Subject to section 5.7, this Agreement may not be amended and its terms may not be waived or altered except by agreement in writing signed by the Client and GSC.

#### 5.11 Notices

Any notice or communication to the Client pursuant to this Agreement may be given to any address of record of the Client with GSC. Any notice to GSC pursuant to this Agreement must be given to its head office in Vancouver, British Columbia. All notices pursuant to this Agreement must be in writing and sent by prepaid mail, telecopier, telex or delivery. Such notices will be deemed to have been received, if mailed, on the second business day after mailing or, if sent by telecopier or telex, at the time of transmission or if delivered, when delivered. Nothing in this Agreement will require GSC to give any notice to the Client not required to be given. The Client will promptly notify GSC of any change of address.

#### 5.12 Termination

The Account may be terminated by either of the parties to this Agreement by notice in writing to the other at any time. The termination will be effective on the day it is received but will not affect any liability of the Client resulting directly or indirectly from any transactions made for the Account at any time before such notice was actually received by GSC.

#### 5.13 Force Majeure

GSC will not be liable to the Client for any loss, claim, damage, liability or expense caused directly or indirectly by government, regulatory or self regulatory restrictions or regulations, exchange or market rulings, suspension of trading, cease trading orders, war, strikes, equipment malfunction or other conditions or events which are beyond the control of GSC.

X \_\_\_\_\_  
Client(s) Initial(s)



**COMMUNICATIONS WITH BENEFICIAL OWNERS OF SECURITIES  
OF REPORTING ISSUERS: CLIENT RESPONSE FORM**

To: Global Securities Corporation

Re: Account Name: \_\_\_\_\_

I have read and understand the Notice you have provided me in connection with this form. The choices indicated herein by me apply to all of the securities held in my accounts maintained at Global.

**PART 1 – Disclosure of Beneficial Ownership Information:** *Please mark the corresponding box to show whether you **DO NOT OBJECT** or **OBJECT** to us disclosing your name, address, electronic mail address, securities holdings and preferred language of communication (English or French) to issuers of securities you hold with us and to other persons or companies in accordance with securities law.*

- I DO NOT OBJECT to you disclosing the information described above**                       **I OBJECT to you disclosing the information described above**

**PART 2 – Receiving Securityholder Materials:** *Please mark the corresponding box to show what materials you want to receive. Securityholder materials sent to beneficial owners of securities consist of the following materials: (a) proxy materials for annual and special meetings; (b) annual reports and financial statements that are not part of proxy materials; and (c) materials sent to securityholders that are not required by corporate or securities law to be sent. (The term “proxy materials” as used immediately above is as described in the Notice.) These instructions do not apply to any specific request you give or may have given directly to a reporting issuer concerning the sending of interim financial statements of the reporting issuer. In addition, in some circumstances, the instructions you give in this client response form will not apply to annual reports or financial statements of an investment fund that are not part of proxy materials. An investment fund is also entitled to obtain specific instructions from you on whether you wish to receive its annual report or financial statements, and where you provide specific instructions, the instructions in this form with respect to financial statements will not apply.*

- I WANT to receive ALL securityholder materials sent to beneficial owners of securities.**  
 **I DECLINE to receive ALL securityholder materials sent to beneficial owners of securities. (Even if I decline to receive these types of materials, I understand that a reporting issuer or other person or company is entitled to send these materials to me at its expense.)**  
 **I WANT to receive ONLY proxy materials that are sent in connection with a special meeting.**

If I have objected to your disclosing my beneficial ownership information, but have elected to receive the above-noted securityholder materials, I acknowledge that Global, or a third party on behalf of Global, will mail these materials to me. In this regard, I hereby agree with Global to pay any applicable handling and postage costs associated with the sending of these securityholder materials, and I consent to the debiting of my Global account in an amount equal to such costs.

**PART 3 – Preferred Language of Communication:** *Please mark the corresponding box to show your preferred language of communication.*

- ENGLISH**     **FRENCH**

I understand that the materials I receive will be in my preferred language of communication if the materials are available in that language.

**PART 4 – Electronic Mail Address:** *Please provide your electronic mail address, if you have one, if you wish to be able to receive the above-noted securityholder materials by way of electronic delivery.*

Electronic Mail Address: \_\_\_\_\_

I agree to immediately notify Global of any change in my electronic mail address.

DATED: \_\_\_\_\_, 20\_\_\_\_.

\_\_\_\_\_  
Signature of Client

## AUTHORIZATION TO TRANSFER ACCOUNT

IN CASH  
 IN KIND

FULL TRANSFER  
 PARTIAL TRANSFER

**Date:** \_\_\_\_\_  
 \_\_\_\_\_  
 (Name of Delivering Institution)

**Client Name:** \_\_\_\_\_

**Address:** \_\_\_\_\_

**City/Province:** \_\_\_\_\_

**To:** Global Securities Corporation  
 (Receiving Institution)

**Postal Code:** \_\_\_\_\_

Dear Sirs:

This is my authorization and instruction to you to deliver to Global Securities Corporation ("Global") the account or accounts you are carrying for me and I hereby authorize Global to receive the account(s). This includes all securities long and short and all debit or credit balance(s). Delivery is to be made by Global of all securities short against payment. These instructions are given subject to Global's approving the opening of my account(s) at Global.

| Account Numbers at Delivering Institutions | Account Numbers at Global Securities Corporation | Type of Account | Currency | Partial Transfer Asset List (Name/Cusip/# of Shares) |
|--|--|-----------------|----------|--|
| 1. _____                                   | _____  | _____           | _____    | _____  |
| 2. _____                                   | _____  | _____           | _____    | _____  |
| 3. _____                                   | _____  | _____           | _____    | _____  |

If for any reason, any of the securities held for my account(s) by you cannot be delivered to Global in accordance with this instruction, I request that you contact me in writing immediately, indicating the securities affected and the reason for the inability to deliver to Global.

I acknowledge that you may require a fee to be paid prior to delivery of the account(s) and hereby instruct Global to pay to you on my behalf, or have deducted from any credit balance with you, an amount equal to this fee in accordance with your current published schedule of fees.

I have also authorized and requested Global to act on my behalf to resolve any incidental account differences or adjustments which may arise with you as a result of this transfer request.

**PLEASE CANCEL ALL OPEN ORDERS (G.T.C.) FOR ALL MY ACCOUNT(S) ON YOUR BOOKS.**

DATED at \_\_\_\_\_ this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_.

\_\_\_\_\_  
 Signature of Witness

\_\_\_\_\_  
 Signature of Client

\_\_\_\_\_  
 Name of Witness

\_\_\_\_\_  
 Name of Client

\_\_\_\_\_  
 Signature of Witness

\_\_\_\_\_  
 Signature of Client

\_\_\_\_\_  
 Name of Witness

\_\_\_\_\_  
 Name of Client

(FOR OFFICE USE ONLY)

**Delivering Institution Name:** \_\_\_\_\_

**Receiving Institution Information**

**Address:** \_\_\_\_\_

**GLOBAL SECURITIES CORPORATION**

**Notification Date:** \_\_\_\_\_

PO Box 49049, Three Bentall Centre  
 11th Floor, 595 Burrard Street  
 Vancouver, BC V7X 1C4 Telephone : (604) 689-5400

**Contact Name:** \_\_\_\_\_

**CUID : GLOV DTC: 5069**

**FINS Number:** \_\_\_\_\_

**Mutual Fund Dealer Number: 9177**  
**Contact name:** \_\_\_\_\_

**ONLINE ACCOUNT SERVICES AUTHORIZATION**

To: Global Securities Corporation (“Global”)
1100 – 595 Burrard Street, P.O. Box 49049
Vancouver, B.C., V7X 1C4
Fax: 604-689-5401

Dear Sirs:

Re: Account Number(s): \_\_\_\_\_ (the “Account”)

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

This is my authorization to Global to commence online services for the Account as indicated below (check the box which applies):

- checkbox online account access
checkbox trade confirmations and monthly account statements (online delivery)
checkbox trade notification (email delivery to the email address provided below)

1. To access my personal online account, I understand I will be given a “username” and “password” from Global. These should be sent to me via email at the following email address:

\_\_\_\_\_ (please provide email address)

2. Trade confirmations and monthly statements will be delivered electronically to my personal “My Account” page on Global’s website (www.globalsec.com). I will be notified by an email message from Global immediately after each delivery of a new document to any online account. In order to access trade confirmations and monthly statements delivered in this manner, I acknowledge I will have to use my personal Global online account username and password. I understand I should keep this username and password confidential, otherwise my Global online account, together with my personal information therein, may be accessed by an unauthorized person. If I forget, or misplace my username and/or password, I agree to notify Global promptly of such occurrence so it can change the username and/or password.

3. I acknowledge that trade confirmations and monthly statements will be in PDF format, and that my personal computer will be able to read these confirmations and statements because it has Adobe Reader software. I also acknowledge that my personal computer has the functional capability to store and/or print any trade confirmations or monthly statements delivered to me at my Global online account which I choose to archive on my personal computer or retain them in hardcopy (printed) form.

4. Should I not be able to routinely access my Global online account or print trade confirmations or monthly statements using my personal computer printer due to a computer/printer malfunction, I will request Global to provide me with paper copies of trade confirmations or monthly statements. In these and similar circumstances, I agree to promptly notify Global by mail or fax of these problems and instruct that Global provide me with paper copies of all trade confirmations and monthly statements until further notice.

5. I acknowledge to Global that the delivery of trade confirmations and monthly statements as described herein shall constitute good and sufficient delivery of any document so delivered at the time it is delivered. Should Global’s electronic delivery system fail, I acknowledge that Global will provide all my trade confirmations and monthly statements to me in paper format until such time as Global resumes electronic deliveries.

6. I understand that this consent may be revoked or changed by notifying Global in writing either by way of mail or fax. I further understand that I am not required to consent to the electronic deliveries provided for herein.

7. I acknowledge that by accessing my online account through the medium of the internet I will be obtaining confidential information concerning the Account which may be intercepted or “hacked” by unauthorized third parties. I hereby release Global from any losses or damages which I may sustain as a result of the unauthorized use of my username, password and confidential information.

DATED at \_\_\_\_\_ this \_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_.

Signature of Client

Name of Client

THE NOTES ON THE REVERSE SIDE HEREOF CONTAIN IMPORTANT INFORMATION AND SHOULD BE READ WHEN REVIEWING THE TERMS OF THIS AUTHORIZATION.

## NOTES TO ONLINE ACCOUNT SERVICES AUTHORIZATION

1. The choice as to the format in which you wish to receive copies of your trade confirmations and monthly account statements is dependent on your personal preference. You do *not* have to elect the electronic format if you prefer to continue to receive confirms and statements in a printed version through the mail. Please note that if you opt to receive confirms and statements in electronic format, you will no longer receive a printed version. Also note that if you decide to receive these documents in electronic format, you will *not* be able to split the electronic package of documents by electing to receive one type of document (for example, trade confirmations) in electronic format and the other type (for example, monthly statements) in printed form.
2. There are several versions of Adobe Reader. Generally speaking, subsequent versions modify and enhance previously-existing versions. While previous versions may be able to read the trade confirmations and monthly statements delivered to your online account, it would be preferable to read these documents with a recent version of Reader. It is available for downloading from the internet free of charge.
3. The ability of your personal computer to download and store (or “archive”) the PDF versions of the trade confirms and monthly statements delivered to your online account will depend primarily on the available computer data storage (or “random access memory”, sometimes called “RAM”) you have on your personal computer. If you wish to retain copies of the electronic version in hard copy format, you may do so by toggling the “print” button on your personal computer.
4. Should you wish to receive a copy of any particular trade confirmation or monthly statement, you may do so at any time by requesting your Investment Advisor to provide the copy to you, free of charge.
5. You will receive a separate email notice from Global informing you that trade confirmations or monthly statements have been delivered to your online account. These email notices are different than “trade notifications”. A trade notification is an email message sent by Global informing you that an order you have placed with Global has been executed, in full or in part. Although it resembles a trade confirmation, it is not a formal trade confirmation of a trade. Formal confirmations are those which are delivered to your online account. It is only these latter documents which should be retained for tax and your accounting or record-keeping purposes.