

CLIENT APPLICATION / UPDATE FORM		
Type of Account: <input type="checkbox"/> Individual <input type="checkbox"/> Joint		
Applicant Information		
Last Name:	First Name:	Initials:
Date of Birth:	SIN:	
Current Address:		
City:	Province:	Postal Code:
Citizenship:	Email:	
Mobile:	Home Phone	Fax:
Number of Dependents:	Marital Status:	
Applicant Employment Information		
Current Employer:		<input type="checkbox"/> Self Employed
Occupation/Position:	Annual Income:	
Employer Address:		How long?
City:	Province:	Postal Code:
Phone:	Email:	Fax:
Applicant Spousal Information		
Name:		
Occupation:	Employer:	
Joint Tenant Information (if applicable)		
Last Name:	First Name:	Initials:
Date of Birth:	SIN:	
Current Address:		
City:	Province:	Postal Code:
Citizenship:	Email:	
Mobile:	Home Phone:	Fax:
Number of Dependents:	Marital Status:	
Employment Information for Joint Tenant (if applicable)		
Current Employer:		<input type="checkbox"/> Self Employed
Occupation/Position:	Annual income:	
Employer Address:		How long?
City:	Province:	Postal Code:
Phone:	Email:	Fax:
Financial Information for Applicant and Joint Tenant (if applicable)		
Financial Institution Name and Branch (Applicant):		
Financial Institution Name and Branch (Joint Tenant):		
Applicant's Annual Income:	Joint Tenant's Annual Income:	
Applicant's Net Financial Assets*:	Joint Tenant's Financial Assets*:	
* Net Financial Assets means total liquid assets, excluding principal residence and other real estate.		

CLIENT INVESTMENT INFORMATION
(for Applicant and Joint Tenant (as applicable))

<p>What is your investment knowledge?</p> <p><input type="checkbox"/> Sophisticated (considerable knowledge; follow financial markets; manage own affairs)</p> <p><input type="checkbox"/> High (good working knowledge of financial markets and products)</p> <p><input type="checkbox"/> Medium (general understanding of financial markets and products)</p> <p><input type="checkbox"/> Limited (rely exclusively on a financial advisor)</p>	<p>What is your investment time horizon?</p> <p><input type="checkbox"/> 0 - 1 year</p> <p><input type="checkbox"/> 1 - 3 years</p> <p><input type="checkbox"/> 4 - 5 years</p> <p><input type="checkbox"/> 6 - 9 years</p> <p><input type="checkbox"/> > 10 years</p>
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What are your investment needs and objectives and your intended use of the account?

Income (seeking steady income stream from investments, marginal capital growth): _____%

Balanced (seeking a balance of income and growth): _____%

Growth (seeking growth of principal through capital appreciation): _____%

Aggressive Growth (seeking growth through higher risk investments): _____%

Total: 100%

<p>What is your risk tolerance? (check one)</p> <p><input type="checkbox"/> Low - Safety of capital with an expectation of small return.</p> <p><input type="checkbox"/> Moderate - Moderate asset fluctuation but with higher return or potential loss.</p> <p><input type="checkbox"/> High - Higher fluctuation in the short term, with significant potential for loss or return over the long term.</p>	<p>Mortgage/real estate investment experience?</p> <p><input type="checkbox"/> Syndicated mortgages</p> <p><input type="checkbox"/> Real estate syndications</p> <p><input type="checkbox"/> Publicly-traded REITs, real estate companies or MICs</p> <p><input type="checkbox"/> Prospectus exempt REIT, MIC or real estate company offerings</p> <p><input type="checkbox"/> Other (describe): _____</p>
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Are you (or the joint tenant) or your (their) spouse a director or officer of a reporting issuer or a publicly-traded company, or director or officer of an insider or subsidiary of a reporting issuer or a publicly-traded company, or do you (or the joint tenant) have beneficial ownership or control and direction of more than 10% of the voting rights of a reporting issuer or publicly-traded company?

Yes **No** If yes, provide details:

<p>US Tax Status (applicant):</p> <p>Are you a U.S. resident for U.S. tax purposes or a U.S. citizen: Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If you answered "yes", provide your U.S. taxpayer identification number. U.S. TIN: _____</p>	<p>US Tax Status (for joint tenant, if applicable):</p> <p>Are you a U.S. resident for U.S. tax purposes or a U.S. citizen: Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If you answered "yes", provide your U.S. taxpayer identification number. U.S. TIN: _____</p>
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PRIVACY POLICY ACKNOWLEDGMENT AND ELECTRONIC COMMUNICATION CONSENT

Romspen Investment Corporation, whose address and telephone number are 162 Cumberland Street, Suite 300, Toronto, ON M5R 3N5, Telephone: 416.966.1100, on its own behalf and on behalf of its existing and future affiliates ("Romspen Group"), seeks your consent to receiving commercial electronic messages from the Romspen Group, including messages about products and services provided or distributed by the Romspen Group, your account, and your investments. A mechanism will be provided to enable you to withdraw your consent to/unsubscribe from receiving certain messages. This consent applies to all electronic addresses provided or that are provided to the Romspen Group from time to time at any time. It will remain valid and in effect until you cancel it.

I/we hereby consent to the collection, use and disclosure of my personal information in accordance with the privacy policy of Romspen Investment Corporation ("**Privacy Policy**"). I/we hereby acknowledge having read the Privacy Policy which is available at:
www.romspen.com/bottom-link/legal.aspx.

If I am/we are unable to access the Privacy Policy electronically, I/we acknowledge being offered a hard copy of the Privacy Policy.

THIRD PARTY DETERMINATION

(not required for accounts of securities dealers or financial entities)

Is the account to be used by or on behalf of a **third party**? This includes a person who has a financial interest in the account or who exerts control over the assets in the account, such as having a power of attorney over the account. Yes No

If yes, provide details:

Name of Third Party: _____	Incorporation Number (if applicable): _____
Address: _____	Nature of the Relationship with the third-party : _____
Occupation: _____	_____
Date of Birth: _____	_____
Incorporation No.: _____	_____

POLITICALLY EXPOSED PERSON/HIO DETERMINATION
(not required for entity accounts, registered accounts, managed accounts, pension funds)

Are you a: politically exposed foreign person politically exposed domestic person head of an international organization

Are you a family member of close associate, either for business or personal reasons, of a:

politically exposed foreign person politically exposed domestic person head of an international organization

If checked, provide name of person, position/title, your relationship to them, and the source of funds for the account.

Name of person: _____

Their title or position: _____

Your relationship to them: _____

The source of funds for the account: _____

CLIENT ACKNOWLEDGEMENT

I/we hereby acknowledge that the above noted information is current and accurate. Romspen Investment Corporation (Romspen) may rely thereon until it receives notice of any changes. I/we also acknowledge receipt of the Romspen Disclosure Statement and by signing below, I/we indicate that I/we have read and understand all the information and conditions contained therein, and specifically give the consent to the receipt of electronic communications indicated in the section directly above.

Signature of Applicant

Signature of Joint Tenant (if applicable)

Date: _____

Date: _____

DEFINITIONS

Head of an international organization means the head of an international organization that is established by the governments of states or the head of an institution of any such organization.

Family member means

- the person's spouse or common-law partner
- a child of the person
- the person's mother or father
- the mother or father of the person's spouse or common-law partner
- a child of the person's mother or father

A **politically exposed foreign person** is a person who holds or has held one of the following offices or positions in or on behalf of a foreign state:

- head of state or head of government
- member of the executive council of government or member of a legislature
- deputy minister or equivalent rank
- ambassador, or attaché or counsellor of an ambassador
- military officer with a rank of general or above
- president of a state-owned company or a state-owned bank
- head of a government agency
- judge of a supreme court, constitutional court or other court of last resort

- leader or president of a political party represented in a legislature
- holder of other office or position that may be specified in the regulations

A **politically exposed domestic person** is a person who holds or has held (in the prior 5 years) one of the following offices on behalf of a government in Canada

- Governor General, lieutenant-governor or head of government
- member of the Senate or House of Commons or member of a provincial legislature
- deputy minister or equivalent rank
- ambassador, or attaché or counsellor of an ambassador
- military officer with a rank of general or above
- president of a corporation that is wholly owned directly by the Crown 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
- mayor
- holder of other office or position that may be specified in the regulations