



# Know Your Client (KYC) Form Senior Investors Addendum

Client Name: \_\_\_\_\_ Date of Birth: \_\_\_\_\_

## Financial Status and Income

**a. Check all applicable sources of income:**

- Salary from employment
- Earnings from business
- Rent received from tenants
- Dividends from directly owned shares (or other securities)
- Other income resulting from direct interest in a partnership, trust or other entity
- Pension payments
- Payments from insurance (including for disability)
- Benefits paid by a governmental entity (such as Canada Pension Plan (CPP) Old Age Security (OAS), Guaranteed Income Supplement (GIS) or Spouse's Allowance)
- Investments
- Other (add description): \_\_\_\_\_

**b. Check all applicable types of costs and expenses:**

- Rent or mortgage paid for the residence where you live
- Rent or mortgage paid with respect to properties where you do not live
- University tuition for children and family. Note total estimated annual amount:  
\_\_\_\_\_
- Rent and/or mortgage payments and/or property tax payments, other than for you (such as part of support to children and family members). Note total estimated annual amount:  
\_\_\_\_\_
- Costs associated with caregivers living with you. Note total estimated annual amount:  
\_\_\_\_\_
- Costs related to credit card bills, phone bills, utility bills, car and car insurance, other than you or your spouse. Note total estimated annual amount:  
\_\_\_\_\_
- Financial support to your children, grandchildren or others. Note total estimated annual amount:  
\_\_\_\_\_

c. Other than your spouse, is there anyone else that lives with you at your home?

- No
- Yes. Provide details: \_\_\_\_\_

**Objectives**

a. Do you intend to use the income generated by the investment for any of the monthly and annual expenses (as listed in the previous questions)?

- No
- Yes. Provide details: \_\_\_\_\_

b. Are you considering shifting from lower-risk, capital-preservation-focused investments to higher-risk, income generation-focused investments, or vice versa:

- No
- Yes. Provide reasons for the change in strategy: \_\_\_\_\_

c. **Communication:**

- I don't want to lose money but I want some opportunity for modest growth
- I want growth but I am concerned about the possibility of losses
- I expect my money to grow over the long term and accept some risk
- I want maximum growth and I am comfortable with high levels of risk

**Communication**

- a. What is your preferred manner of communication (mail, email, phone, face-to-face meetings)?  
\_\_\_\_\_
- b. Do you require assistance in communicating regarding their investments?  
\_\_\_\_\_
- c. What is your preferred language for communications?  
\_\_\_\_\_

## Trusted Contact Person

A “trusted contact person” is someone who you trust and who can be contacted in connection with your interactions with FRCC.

Note: preferably, a “trusted contact person” is not someone who is involved in the management of your investments, or someone with whom you discuss your investment strategy.

Name of trusted contact person: \_\_\_\_\_

Phone number: \_\_\_\_\_

E-mail address: \_\_\_\_\_

Mailing address: \_\_\_\_\_

## Third Parties

**a. Do you discuss your investment strategy and decisions with anyone else (such as spouse, son or daughter, relative, friend, or anyone else)?**

No

Yes. Provide details: \_\_\_\_\_

**b. Is there anyone who is accompanying you to your meeting with FRCC?**

No

Yes. Provide details: \_\_\_\_\_

**c. Is there anyone who suggested that you meet with a representative of FRCC?**

No

Yes. Provide details: \_\_\_\_\_

**d. Do you intend to invest in an asset, security or investment product that was suggested to you by anyone else?**

No

Yes. Provide details: \_\_\_\_\_

**e. Is it your intention to give the income from the investment to anyone else?**

No

Yes. Provide details (including any relationship with such person and timeline, if applicable):  
\_\_\_\_\_

**f. Do you have a lawyer or accountant?**

No

Yes. Provide names and contact details (if the individual wishes to provide such information):  
\_\_\_\_\_

Power of Attorney

Have you given Power of Attorney (POA) which authorizes someone else to give FRCC instructions with respect to your investments?

- No
- Yes. Provide details and a copy of the POA with this KYC Form:  
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**NOTES – FOR OFFICER USE ONLY.**

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