

**CIBC Investor's Edge®**  
**Investment Account Application**  
**ORDER EXECUTION ONLY ACCOUNT**  
**CIBC Investor Services Inc.**

- Please review the "Account Agreements and Disclosures Booklet" before completing this form.
- In this application, "spouse" means your spouse, common law partner or civil union partner.
- In this application, "CIBC" refers to Canadian Imperial Bank of Commerce.
- **AN ACCOUNT CANNOT BE OPENED UNLESS ALL REQUIRED INFORMATION IS INCLUDED.**
- CIBC Investor's Edge accounts are offered by the CIBC Investor's Edge division of CIBC Investor Services Inc. ("CIBC Investor Services"). CIBC Investor's Edge does not provide you with any legal, tax or accounting advice or advice regarding the suitability or profitability of a security or investment in an Investor's Edge account. You assume full responsibility for transactions in your Investor's Edge account and your investment decisions.

**Additional Documentation Required**

<b>Identification Types</b>	<p><b>Anti-Money Laundering</b></p> <input type="checkbox"/> Any two of: Valid Passport, Valid Driver's License, Birth Certificate or Canadian Citizenship Card <b>Note:</b> For additional information on other types of acceptable identification, please consult CIBC Investor's Edge. <p><b>Qualified Intermediary</b></p> <p>To trade in U.S. Securities, one of the following pieces of ID is required:</p> <input type="checkbox"/> Photocopy** of approved ID (one of passport, driver's license, birth certificate (if under 21 years of age), age of majority, citizenship card)* <b>OR</b> <input type="checkbox"/> Form W-8BEN or W9 - U.S. Internal Revenue Service* *Failure to provide this documentation will result in the immediate restriction from trading in U.S. securities. **Photocopies of the approved ID must be made at a CIBC Branch or mailed directly by the client with a valid SIN written on the photocopy.
<b>Joint Account</b>	<input type="checkbox"/> Each applicant must provide approved ID or W8/W9*
<b>Formal Trust Account</b>	<input type="checkbox"/> Trust Documents (Legal Trust) <input type="checkbox"/> Formal Trust Account Agreement (Form 8269)
<b>Nominee Account</b>	<input type="checkbox"/> Nominee Account Agreement (Form 6717) <input type="checkbox"/> For informal "family nominee accounts" each child must provide approved ID or W8/W9*
<b>Sole Proprietor</b>	<input type="checkbox"/> Agreement/Resolution (Form 6719) <input type="checkbox"/> Registration Paper <input type="checkbox"/> An unregistered Sole Proprietor account must provide only approved ID or W8/W9*
<b>Corporate or Partnership</b>	<input type="checkbox"/> Guarantee Agreement (Form 6742 or 6742 Alberta) <input type="checkbox"/> Partnership Agreement (Form 6720) <input type="checkbox"/> Agreement/Resolution (Form 6719) <input type="checkbox"/> Articles of Incorporation and a Certificate of Corporate Status <input type="checkbox"/> For Partnership accounts approved ID or W8-BEN for each partner and a W8-IMY for the Partnership*
<b>Estate</b>	<input type="checkbox"/> Notarized copy of Death Certificate (certified true copy also accepted in Quebec) <input type="checkbox"/> Notarized copy of Probated Will (certified true copy also accepted in Quebec) <input type="checkbox"/> Estate Account Agreement (Form 8268) <input type="checkbox"/> Letter of Direction signed by the executor <input type="checkbox"/> Declaration of Transmission (Quebec only)
<b>Investment Club</b>	<input type="checkbox"/> Investment Club Account Agreement (Form 6718) <input type="checkbox"/> Approved ID or W8-BEN for each member of the Investment Club* <input type="checkbox"/> For formal (legally documented) Investment Clubs a W8-IMY is also required*
<b>To transfer an account to CIBC Investor's Edge</b>	<input type="checkbox"/> Authorization to Transfer Non-Registered Account (Form 8021) <b>OR</b> <input type="checkbox"/> Letter of Direction signed by the client

Once your application is complete, please return it, with any other required information as listed above, to a CIBC branch or CIBC Investor Services at the address below. **Original documentation is required.**

CIBC Investor Services Inc.  
Transit 3202  
Client File Administration  
161 Bay Street, 4th Floor  
Toronto, ON M5J 2S8

If this is the first account that you have opened with CIBC Investor's Edge, you will receive a CIBC Investor's Edge Welcome Kit in the mail with your account number and a guide to the products and services offered by CIBC Investor's Edge. If you already have an account with CIBC Investor's Edge, you will receive a letter in the mail indicating your new account number. If you would like to access your new account before you receive the kit or letter, please call CIBC Investor's Edge directly to obtain the account number.

If you have any questions, or require assistance when completing this form, please talk to your branch representative or call CIBC Investor's Edge at 1-800-567-3343.

Account No.  
\_\_\_\_\_

CIBC Investor's Edge Investment Account Application

Are you (select only one):  Opening a new Investment Account OR  Updating an existing Investment Account

Indicate how you came to know about the account:  Marketing  Recommendation  Walk-in  Other \_\_\_\_\_

**General Information**

**1. Personal Information**

**Applicant**

Photocopy of approved ID and/or W8/W9 form attached. Failure to provide this documentation will result in the immediate restriction from trading in U.S. securities.

Mr.  Mrs. \_\_\_\_\_ Legal Name

Ms  Miss \_\_\_\_\_

Date of Birth  
(mm/dd/yyyy)

← If this is a corporate account, please complete the date of incorporation.

Language Preference  
 English  French

Social Insurance No. (SIN)

U.S. Social Security No./T.I.N.  
(required if U.S. Person)

**Canadian Citizenship**

Yes  No If no, what is your country of citizenship? \_\_\_\_\_

**Home Address** (P.O. Boxes, General Delivery or c/o addresses are not acceptable. If this is a corporate account, please complete company address.)

Address (number and street name)

\_\_\_\_\_

City Province/Foreign Info Country Postal Code

\_\_\_\_\_

Primary Telephone No. Secondary Telephone No.

\_\_\_\_\_

Send mail to  Home Address OR  Address below

Address (number and street name)

\_\_\_\_\_

City Province/Foreign Info Country Postal Code

\_\_\_\_\_

**Account Class**

Are you, your spouse, any person(s) living in the same home, trading authority, or anyone who exercises influence on this account an Investment Industry Professional?

Yes  No

Are you an insider of a reporting issuer or any other issuer whose securities are publicly traded?

Yes  No If Yes, list below:

List  
\_\_\_\_\_

Do you alone or as part of a group hold more than 20% or a control block of a reporting issuer or any other issuer whose securities are publicly traded?

Yes  No If Yes, list below:

List  
\_\_\_\_\_

**Applicant's Primary Financial Institution - Required only if client's identification was not verified at the Banking Centre.**

Financial Institution Bank Transit Bank Account No.  
\_\_\_\_\_

Financial Institution Contact Name  
\_\_\_\_\_

Do you have a spouse?  Yes  No If yes, and your spouse is not a joint applicant, complete the following:

Spouse's Legal Name  
\_\_\_\_\_

Employer  
\_\_\_\_\_

Is your spouse an insider of a reporting issuer or any other issuer whose securities are publicly traded?

Yes  No If Yes, list below:

List  
\_\_\_\_\_

Account No.  
\_\_\_\_\_

CIBC Investor's Edge Investment Account Application

**Personal Information (continued)**

Does your spouse alone or as part of a group hold more than 20% or have a control block of a reporting issuer or any other issuer whose securities are publicly traded?

Yes  No If Yes, list below:

List

**Joint Applicant**

Photocopy of approved ID and/or W8/W9 form attached. Failure to provide this documentation will result in the immediate restriction from trading in U.S. securities.

Mr.  Mrs.

Joint Applicant's Legal Name

Ms  Miss

Date of Birth (mm/dd/yyyy)

Language Preference

Social Insurance No. (SIN)

U.S. Social Security No./T.I.N. (required if U.S. Person)

English  French

**Canadian Citizenship**

Yes  No If no, what is your country of citizenship?

**Joint Applicant's Home Address**  Same as Applicant  Address below (P.O. Boxes, General Delivery or c/o addresses are not acceptable)

Address (number and street name)

City

Province/Foreign Info

Country

Postal Code

Primary Telephone No.

Secondary Telephone No.

Send mail to  Home Address OR  Address below

Address (number and street name)

City

Province/Foreign Info

Country

Postal Code

**Account Class**

Are you, your spouse, any person(s) living in the same home, trading authority, or anyone who exercises influence on this account an Investment Industry Professional?

Yes  No

Are you an insider of a reporting issuer or any other issuer whose securities are publicly traded?

Yes  No If Yes, list below:

List

Do you alone or as part of a group hold more than 20% or a control block of a reporting issuer or any other issuer whose securities are publicly traded?

Yes  No If Yes, list below:

List

**Joint Applicant's Primary Financial Institution - Required only if client's identification was not verified at the Banking Centre.**

Financial Institution

Bank Transit

Bank Account No.

Financial Institution Contact Name

Do you have a spouse?  Yes  No

If yes, and your spouse is not a joint applicant, complete the following:

Spouse's Legal Name

Employer

Account No.

\_\_\_\_\_

CIBC Investor's Edge Investment Account Application

**Personal Information (continued)**

Is your spouse an insider of a reporting issuer or any other issuer whose securities are publicly traded?

Yes  No If Yes, list below:

List

\_\_\_\_\_

Does your spouse alone or as part of a group hold more than 20% or a control block of a reporting issuer or any other issuer whose securities are publicly traded?

Yes  No If Yes, list below:

List

\_\_\_\_\_

**Third Party Determination**

Is this account to be used by, or on behalf of, a third party?  Yes  No

**2. Employment, Financial and Investment Information**

**a) Employment Information**

**Applicant**

Employer's Name

\_\_\_\_\_

Address

\_\_\_\_\_

City	Province/Foreign Info	Country
_____	_____	_____

Type of Business

\_\_\_\_\_

Occupation

\_\_\_\_\_

**Joint Applicant**

Employer's Name

\_\_\_\_\_

Address

\_\_\_\_\_

City	Province/Foreign Info	Country
_____	_____	_____

Type of Business

\_\_\_\_\_

Occupation

\_\_\_\_\_

**b) Financial Information (if this is a joint application, please consider your joint applicant as well)**

Estimated Liquid Assets	Estimated Fixed Assets	Less Liabilities	Estimated Total Net Worth
_____ A	_____ + B	_____ - C	_____ = D

Current annual income from all sources

\$ \_\_\_\_\_

If you are retired or NOT currently employed, please indicate the source of your annual income here.

\_\_\_\_\_

**c) Intended Use**

What is the intended use of this account? \_\_\_\_\_

Account No.  
\_\_\_\_\_

CIBC Investor's Edge Investment Account Application

## Account Information

### 3. Account Type

Personal Accounts *Please check one of the following:*

- Individual
- Joint Tenants in Common      In the event of the death of either applicant, the interest in the account shall be deemed to be equal unless otherwise specified by all joint applicants or their authorized representatives in writing.  
*(In Quebec, the surviving applicant and the executor of the estate must provide joint instructions.)*
- Joint Tenants with Right of Survivorship      *(Not available in Quebec)*  
In the event of the death of either applicant, the entire interest in the account shall become property of the survivor.

Non-Personal Accounts

- Sole Proprietor       Investment Club  Partnership       Trust       Estate  Other \_\_\_\_\_
- Corporation - Incorporation No. \_\_\_\_\_ Place of Issuance \_\_\_\_\_
- Charitable Organization       Registered with Canada Revenue Agency  Unregistered

Does the Unregistered Charity solicit financial contributions from the public?       Yes       No

*Additional documentation is required for certain accounts. Please see instructions on page 1 of this form.*

### 4. Contributions and Income Payments

#### a) Transferring Funds to/from your CIBC Bank Account

If you would like CIBC Investor's Edge to transfer funds between your CIBC Investor's Edge Account and your CIBC Bank Account upon receiving instructions from you or your Trading Authority (as indicated in section 5) either by phone, or through these forms, please complete the following (bank accounts where multiple signatures are required will not be accepted):

**Canadian Dollar Account** Is this a joint bank account?       Yes       No

Bank Transit

Bank Account No.

**U.S. Dollar Account** Is this a joint bank account?       Yes       No

Bank Transit

Bank Account No.

#### b) Investment Income

How would you like your investment income directed to you?

- Deposited to your CIBC Investor's Edge Account
- Deposited to your CIBC Bank Account Daily

*Income is paid to your CIBC Investor's Edge Account on the date received by the security issuer. Funds will not be automatically transferred to your CIBC Bank Account or mailed to your home if your investment income is less than \$25 in total.*

## Special Instructions

### 5. Trading Authorization

Will any person, other than yourself, have trading authority over this account?       Yes       No      If yes, complete the following:

Agent's Legal Name

Address (number and street name)

City      Province/Foreign Info      Country      Postal Code

Relationship to Account Holder

Date of Birth (mm/dd/yyyy)

Telephone No.

Are you, your spouse, any person(s) living in the same home, trading authority, or anyone who exercises influence on this account an Investment Industry Professional?

Yes       No

Account No.

\_\_\_\_\_

CIBC Investor's Edge Investment Account Application

**Trading Authorization (continued)**

Are you an insider of a reporting issuer or any other issuer whose securities are publicly traded?

Yes  No If Yes, list below:

List

\_\_\_\_\_

Do you alone or as part of a group hold more than 20% or a control block of a reporting issuer or any other issuer whose securities are publicly traded?

Yes  No If Yes, list below:

List

\_\_\_\_\_

**Agent's Employment Information**

Employer's Name

\_\_\_\_\_

Address

\_\_\_\_\_

City

\_\_\_\_\_

Province/Foreign Info

\_\_\_\_\_

Country

\_\_\_\_\_

Type of Business

\_\_\_\_\_

Occupation

\_\_\_\_\_

**Agent's Primary Financial Institution - Required only if agent's identification was not verified at the Banking Centre.**

Financial Institution

\_\_\_\_\_

Bank Transit

\_\_\_\_\_

Bank Account No.

\_\_\_\_\_

Financial Institution Contact Name

\_\_\_\_\_

**6. Handling Instructions**

**a) Duplicate Statements and/or Trade Confirms**

Please indicate if you would like either or both pieces of information listed below sent to a particular individual.

Duplicate Statement  Duplicate Confirms

Legal Name

\_\_\_\_\_

Address (number and street name)

\_\_\_\_\_

City

\_\_\_\_\_

Province/Foreign Info

\_\_\_\_\_

Country

\_\_\_\_\_

Postal Code

\_\_\_\_\_

**b) Securityholder Information (Please refer to the section "Securityholder Information" in your "Account Agreements and Disclosures Booklet".)**

You have read and understand the explanation to clients that has been provided to you in the Account Agreements and Disclosures Booklet in connection with this section and the choices indicated by you apply to all securities of Canadian reporting issuers held in this account.

**Part I - Disclosure of Beneficial Information**

YOU DO NOT OBJECT to disclosing your name, address, e-mail address, preferred language of communication and securities holding of a Canadian reporting issuer which you hold with us to the Canadian reporting issuer and to other persons or companies with respect to the affairs of the Canadian reporting issuer in accordance with Canadian securities law.

YOU DO OBJECT to disclosing information described above. You understand that the direct costs associated with the distribution by us of issuers' securityholder communications may be charged against your account listed above, if the sender does not pay for such costs.

**Part II - Receiving Securityholder Materials**

You must mark the corresponding box to indicate which materials you want to receive. Securityholder materials sent to beneficial owners of securities consist of the following materials: (a) proxy-related materials, including annual reports and financial statements, for annual and special meetings; (b) annual reports and financial statements that are not part of proxy-related materials; and (c) materials sent to securityholders that are not required by corporate or securities law to be sent.

Account No.

CIBC Investor's Edge Investment Account Application

**Handling Instructions (continued)**

- You want to receive all securityholder materials sent to beneficial owners of securities of Canadian reporting issuers.
- You decline to receive all securityholder materials sent to beneficial owners of Canadian reporting issuers.
- You want to receive ONLY proxy-related materials in connection with a special meeting that are sent to beneficial owners of securities of Canadian reporting issuers.

(Important note: These instructions do not apply to any specific request you give or may have given to a Canadian reporting issuer concerning the sending of interim financial statements of the Canadian 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-related 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.)

**Part III - Preferred Language of Communication**

You understand that the materials you receive will be in your preferred language of communication, as indicated in Section 1, if the materials are available in that language.

*Please note that you can change your decisions at any time by contacting us.*

**c) Sharing Information**

You consent to the collection, use and sharing of your personal information as described in CIBC's privacy policy Your Privacy is Protected. This includes collecting, during the course of your relationship with CIBC, information about you from, and sharing it with, the CIBC Group, credit bureaus, government institutions or registries, mutual fund companies and other issuers, regulators and self-regulatory organizations, other financial institutions, applicable program partners, any references you give us, and other such parties as may reasonably be required for the purposes of:

- i) identifying you;
- ii) qualifying you (or someone you are providing a guarantee for) for products and services;
- iii) verifying information you give us;
- iv) protecting you and CIBC from error and criminal activity;
- v) facilitating tax and other reporting;
- vi) complying with legal and regulatory obligations; or
- vii) telling you about other products and services of the CIBC Group or promoting any applicable CIBC partner program including marketing any services or products of program partners or other third parties.

If you wish to withdraw your consent to (vii) you may contact CIBC at 1 800 465-CIBC (2422) at any time. You will not be refused products or services just because you withdraw your consent to the use of your information for marketing purposes.

CIBC's privacy policy is available at any branch or [www.cibc.com](http://www.cibc.com). This policy may be amended, replaced or supplemented from time to time. The CIBC Group includes CIBC and its Canadian affiliates that offer deposits, loans, mutual funds, securities trading, portfolio management, investment counseling, mortgages, credit cards, trust services, insurance, and other products and services.

**7. Account Features**

**a) For Margin and Options Accounts ONLY**

- Margin Trading

You would like margin trading privileges and have received and read the Margin Agreement in the CIBC Investor's Edge Account Agreements and Disclosures Booklet, and agree to be bound by it.

\_\_\_\_\_ X \_\_\_\_\_ X  
Date (mm/dd/yyyy) Applicant's Signature Date (mm/dd/yyyy) Joint Applicant's Signature

- Option Trading (to obtain Option Trading privileges, Margin Trading must also be selected)

You would like option trading privileges and have received, read and understand the Options Trading Agreement in the CIBC Investor's Edge Account Agreements and Disclosures Booklet. You are also aware of the risks involved in options trading and are willing to take those risks.

How long have you been investing/trading with options? \_\_\_\_\_

Indicate the option strategies that you are requesting:  Long calls and long puts  Covered writing  Spreading  Naked writing

\_\_\_\_\_ X \_\_\_\_\_ X  
Date (mm/dd/yyyy) Applicant's Signature Date (mm/dd/yyyy) Joint Applicant's Signature

**b) For Accounts with Trading Authority ONLY**

Agent's Legal Name

\_\_\_\_\_

The Trading Authority (agent) consents that CIBC Investor's Edge may collect, use and disclose information provided about the agent to verify the agent's identity, to protect against fraud and error and to comply with legal and regulatory requirements. If the agent revokes this consent the agent's trading authority will be terminated.

The agent is authorized to give CIBC Investor's Edge instructions for the purchase or sale of securities, on margin or otherwise, and to confirm those instructions in accordance with the Account Agreements and Disclosures Booklet. The agent is NOT authorized to withdraw cash or securities from either the Brokerage or a Bank account, except to purchase securities. Trading authority cannot be granted to employees of CIBC.

\_\_\_\_\_ X \_\_\_\_\_  
Date (mm/dd/yyyy) Joint Applicant's Signature

Account No.

\_\_\_\_\_

CIBC Investor's Edge Investment Account Application

### 8. Common Reporting Standard (CRS) and Foreign Account Tax Compliance Act (FATCA) Tax Residency

CIBC Investor Services is required to collect the client's tax residency information in order to comply with its legal obligations under certain tax legislation related to the implementation of CRS, FATCA and similar requirements in the United Kingdom and Caribbean.

Information provided by you regarding your tax residency may be reported to the relevant government tax authorities in accordance with applicable law.

Please indicate the country or countries in which you are a resident for tax purposes:

**Applicant**

Applicant's Name

\_\_\_\_\_

Country of Tax Residency

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

Social Insurance No. (SIN)/Taxpayer Identification No. (TIN)/Social Security No. (SSN)

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

Are you a U.S. Person (such as a resident or citizen) for tax purposes?  Yes  No

**Joint Applicant**

Joint Applicant's Name

\_\_\_\_\_

Country of Tax Residency

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

Social Insurance No. (SIN)/Taxpayer Identification No. (TIN)/Social Security No. (SSN)

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

Are you a U.S. Person (such as a resident or citizen) for tax purposes?  Yes  No

### Authorization

### 9. Account Agreement and Authorization

You certify that the information in this application is true, accurate and complete and agree to advise us immediately in writing if there is any material change in this information.

Once your application is approved, CIBC Investor's Edge may send you additional agreements and/or disclosures depending upon the type of account and/or service you have selected.

Quebec only: You have asked that this form and all related documents be in English only.

*Vous avez exigé que la présente formule et tous les documents qui s'y rattachent soient rédigés en anglais.*

CIBC Investor's Edge may obtain credit information about you from your employer(s), any credit bureau, or any person in connection with any of your dealings with it.

CIBC Investor's Edge does not provide you with any legal, tax or accounting advice or advice regarding the suitability or profitability of a security or investment in an Investor's Edge account. You assume full responsibility for transactions in Your Investor's Edge account and Your investment decisions. You acknowledge that Your orders will be executed without prior review for suitability by CIBC Investor's Edge. In other words, CIBC Investor's Edge will not consider your financial situation, investment knowledge, investment objectives or risk tolerance when accepting orders from you.

You have received and read the Account Agreements and Disclosures Booklet and agree to be bound by it. You have read the Leveraging Disclosure in the Account Agreements and Disclosure Booklet and understand the implications of borrowing money to invest in securities. You have read the Commissions, Fees and Interest Schedule and agree to pay the standard commissions and fees as we may establish from time to time.

As required by Canadian law, I declare that the tax residency information and U.S. citizenship status provided (including any Tax Identification Number) are, to the best of my knowledge and belief, correct and complete. If any of this information changes, I will provide CIBC Investor Services with the updated information within 30 days. Failure to provide satisfactory self-certification of tax residency or U.S. citizenship status may result in my account information being reported to the relevant tax authority and I may be subject to a penalty under the *Income Tax Act*.

Limitation on Benefits for U.S. Investments: *This section must be completed for corporations, estates, trusts, charitable or non-profit organizations.*



Account No.  
\_\_\_\_\_

CIBC Investor's Edge Investment Account Application

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**Account Agreement and Authorization (continued)**

You are a corporation, estate, trust, charitable or non-profit organization that meets all provisions that are necessary to claim a reduced rate of withholding tax, including any limitation on benefits provisions, and derives the income within the meaning of section 894 of the U.S. Code, and Section XXIX-A of the Canada-U.S. Income Tax Convention, and the regulations thereunder, as the beneficial owner.  Yes  No

Please sign below.

\_\_\_\_\_ X \_\_\_\_\_ X  
Date (mm/dd/yyyy) Applicant's Signature Date (mm/dd/yyyy) Joint Applicant's Signature

**Please note that original documentation is required, otherwise this account will be restricted from trading.**

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**For CIBC Investor Services Use Only**

Personal Banker / CIBC Advisor

Name \_\_\_\_\_ Transit \_\_\_\_\_ Telephone No. \_\_\_\_\_ RR Code \_\_\_\_\_

I confirm that Bank Reference checks have been completed for all Applicants & Trading Authority(s) listed on this application, as required.

\_\_\_\_\_ X \_\_\_\_\_  
Date (mm/dd/yyyy) Branch Signature