



# CI DEFERRED PROFIT SHARING PLAN

Employee Mutual Fund Application Form

## USE OF PERSONAL INFORMATION NOTICE

### CI INVESTMENTS INC.'S PRIVACY POLICY

We are committed to respecting and protecting the privacy and confidentiality of the information you have entrusted with us. This Privacy Notice outlines how we collect, use, disclose, store and safeguard your personal information.

#### WHAT INFORMATION DO WE COLLECT?

We collect information required to establish and service your accounts in compliance with federal and provincial laws as well as our self-regulatory organization requirements. We maintain audio recordings of in-coming and out-going telephone calls. You may access our full Privacy Policy Notice online at <https://ci.com/en/legal/privacy>. If you choose to interact with us online via our web portal or through e-mail we will monitor and record your usage information (please see our Online and Mobile Privacy Policy at <https://ci.com/en/legal/privacy#Online-and-Mobile-Privacy-Policy> for additional details).

#### HOW DO WE COLLECT INFORMATION?

We collect information directly from you or from your authorized representative(s), such as your financial advisor or their dealership. Depending on how you choose to do business with us this information may be collected on applications, forms, over the phone, in person, through the internet, through your mobile device or through other forms of communication.

#### HOW DO WE USE THE PERSONAL INFORMATION WE COLLECT?

Regardless of how you choose to do business with us, we may use your information to:

- I. Provide and manage products and services you have requested, including;
  - Open and operate your account,
  - Verify your identity,
  - Execute your transactions,
  - Record and report account status back to you,
  - Provide personalized service and support, and
  - Respond to any request or questions you may have.
- II. Understand our customers and to develop and tailor our products and services by performing data analytics to:
  - Determine suitability of products and services for you,
  - Determine your eligibility for certain of our products and services, or products or services of others,
  - Communicate with you about products and services that may be of interest,
  - Provide you with quality individualized client service and support, and
  - Market and advertise to clients and prospective clients.
- III. Legal and Regulatory Obligations
  - Provide all required tax reporting,
  - Comply with legal, regulatory, and contractual requirements, or as otherwise permitted by law,
  - Fulfill obligations under federal anti-money laundering and suppression of terrorism legislation,
  - Meet obligations as a member of various self-regulatory organizations,
  - Protect our interests, including recovering any debts you may owe us, and
  - Protect against fraud and other crime and to manage risk, including conducting investigations and proactive crime prevention measures.

#### DISCLOSURE OF YOUR PERSONAL INFORMATION

Employees or authorized representatives of CI Investments Inc. ("CI") who will be responsible for functions relevant to the purposes identified above, and other persons authorized by you or by law, will have access to the personal information contained in your file. We may share your personal information with CI Financial company affiliates, such as Assante Wealth Management (Canada) Ltd. ("AWM"), CI Private Counsel LP, ("CIPC"), BBS Securities Inc. ("BBS"), and WealthBar Financial Services Inc. ("WealthBar") and their subsidiaries to administer and service your account.

We may provide your information to third parties, including:

- Third party service providers for servicing purposes – We do not authorize them to use or disclose the personal information for their own marketing or other purposes. They may be located in Canada or other jurisdictions or countries and may disclose information in response to valid demands or requests from governments, regulators, courts and law enforcement authorities in those jurisdictions or countries in accordance with the applicable law in that jurisdiction or country.
- To governments, government agencies, regulators, including self-regulators, when required or permitted to do so by law, including in response to a search warrant, court order, or other demand or inquiry which we believe to be valid.
- To your financial advisor, their dealership, legal representatives and/or with other third parties at your direction.
- To financial institutions, securities dealers and mutual fund companies.
- To protect our interests, we may disclose information to any person or organization, including an investigative body, in order to prevent, detect or suppress, financial abuse, fraud, criminal activity, protect our assets and interests, or manage or settle any actual or potential loss or in the case of a breach of agreement or contravention of law.
- We may also disclose information to help us collect a debt owed to us.
- In the event of a transfer of a business, we may buy or sell a business (or evaluate those transactions) which would result in certain personal information forming business assets that would be purchased or sold as part of a transfer.
- We may transfer personal information as part of a corporate reorganization or other change in corporate control.
- In other situations where we have your consent, for instance, sharing your information with a joint account holder.

We do not sell or rent client lists or personal information to third parties.

#### PROTECTING INFORMATION

We maintain appropriate physical, electronic, technological, procedural, and organizational safeguards to protect against unauthorized access, disclosure, copying, use or modification, theft, misuse, or loss of your personal information in our custody or control. These safeguards are appropriate to the sensitivity of the information.

#### ACCESSING OR CORRECTING INFORMATION

We are committed to being transparent and providing you with choices about how your information is used. You may inform us of your preferences by registering for our client web portal [Investor Online] online at [www.ci.com](http://www.ci.com) and accessing the Privacy Preferences page. If you are unable to register online, you may also contact our client services via phone at 1-800-792-9355 or by e-mail to [service@ci.com](mailto:service@ci.com).

To correct or access your information we encourage you to access our Client Services department, Online web portal or your periodic statements. However, you do have the right, subject to certain limitations, to formally request to review or verify your personal information, or to find out to whom we have disclosed it. To make a formal request for access, send a written request addressed to the Privacy Officer, 2 Queen Street East, 19th Floor, Toronto, ON, M5C 3G7. Please include your full name, address, telephone number, and account number(s) on all correspondence to us and provide enough detail to allow us to identify the information you want.

If you have any questions or concerns about our privacy practices, the privacy of your personal information, or you want to change your privacy preferences, please let us know by contacting your financial advisor or contacting our Client Services Department. We are committed to helping resolve your questions or concerns.

# CI DEFERRED PROFIT SHARING PLAN

## 1 Employer Information

Employer Name

Street address

City

Province

Postal Code

## 2 Employee Information

Salutation: Mr. Mrs. Ms. Miss Dr.

Language Preference: English French

First Name

Middle Initial(s)

Last Name

Email Address

Province of Employment

Your email address is required to access your account information, trade confirmations, account statements and tax documents through our secure InvestorOnline (IOL) portal. You can request to receive certain documents in print or an alternative format, depending on the products you hold. Please see the detailed information available on InvestorOnline at [ci.com/iol](http://ci.com/iol). If you are unable to access the information online, please call our Financial Service Centre at 1-800-792-9355.

Street Address

Apt No.

City

Province

Postal Code

Telephone (Mobile)

Telephone (Home)

Social Insurance Number

Date of Birth (YYYY/MM/DD)

**Mailing Address** (if different from above)

Street Address

Apt No.

City

Province

Postal Code

## 3 Beneficiary Information

Subject to applicable law, I hereby designate the following person as my beneficiary if living at my death, otherwise my estate, to receive the benefits available under the Plan that may become payable upon my death.

First Name and Middle Initial(s)

Last Name

Relationship to Employee

Street Address

Apt No.

City

Province

Postal Code

If the designated beneficiary is the employee's spouse, please provide the following additional information.

Social Insurance Number

Date of Birth (YYYY/MM/DD)

## 4 Investment Selection

	Fund Code	Purchase Amount		ISC Sales Charge (max 5%)
Employer Contribution T2033/T2151 to be allocated as:		\$	%	
		\$	%	
		\$	%	
		\$	%	

When specific instructions are not received, monies will be invested in the default fund as specified in the Simplified Prospectus.

**Note:** US dollar funds are not available.

## 5 Employee Signature

The undersigned hereby applies to CI Investments Inc. to: purchase securities of the Fund(s) listed in Section 4, and register securities in the name and address as shown in Section 2. I acknowledge receipt of the current fund facts in respect of my fund purchase and understand that these transactions are made under the terms and conditions in the applicable fund's disclosure documents. CI Investments Inc. may reject purchase applications within one business day of receipt. I have requested this document to be drawn in the English language. J'ai demandé que ce document soit rédigé en anglais.

By signing this application, I confirm that I have read CI Investments Inc.'s Privacy Policy and I consent to my personal information being collected, held, used and disclosed by CI Investments Inc. for the purposes listed in the Privacy Policy. If I have provided information about my Spouse or the beneficiary of my Plan/Fund, or another third-party, I confirm that I am authorized to do so.

\_\_\_\_\_  
Employee's Signature Date  
(YYYY/MM/DD)

## 6 Employee Date of Hire and Date of Plan Entry (to be completed by Employer)

\_\_\_\_\_  
Date of Hire Date of Plan Entry Employer Contact Number  
(YYYY/MM/DD) (YYYY/MM/DD)

**Note:** Where the Date of Plan Entry is not provided, CI Investments Inc. will designate the date entered in Section 5.

\_\_\_\_\_  
Employer's Signature Date  
(YYYY/MM/DD)

## 7 Dealer and Representative Information

\_\_\_\_\_  
Dealer Number Representative Number

Authorized Dealer Signature:  \_\_\_\_\_

Representative's Signature:  \_\_\_\_\_

**To request an alternate format of this form,  
please contact us at [service@ci.com](mailto:service@ci.com) or 1-800-792-9355.**



CI Global Asset Management, 15 York Street, 2<sup>nd</sup> Floor, Toronto, ON M5J 0A3 | 1.800.792.9355 | [ci.com](http://ci.com)

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Commissions, trailing commissions, management fees and expenses all may be associated with mutual fund investments. Please read the prospectus before investing. Mutual fund securities are not covered by the Canada Deposit Insurance Corporation or by any other government deposit insurer. There can be no assurances that the fund will be able to maintain its net asset value per security at a constant amount or that the full amount of your investment in the fund will be returned to you. Mutual funds are not guaranteed, their values change frequently and past performance may not be repeated.

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