

# CI PRIVATE MANAGED ASSETS PROGRAM ENROLLMENT FORM

The CI Private Managed Assets Program has been designed to provide efficiency and flexibility for high net worth investors.

**Account Minimums:** \$500,000 CAD  
**Subsequent Purchases:** \$5,000 CAD  
**Annual Dealer Service Fee Range:** 0-1.00% negotiable between dealer, financial advisor, and investor

**Fund Minimums:** \$100,000 CAD  
**PACS:** \$5,000 CAD

### Management and Dealer Service Fees

CI calculates the total client fee by adding the management fee and the negotiated annual dealer service fee. For a breakdown of management fees, please refer to the CI Private Managed Assets Management Fee Schedule and Fund Code List.

### Fee Payments

- Management and dealer service fees are calculated daily and charged monthly.
- Fees are redeemed as units from your account. Please refer to Sections 7 and 8 of this form and to CI's simplified prospectus for more details.

### Maintaining Your Account Minimum

If the book value of your account falls below the account minimum of \$500,000, a tax-free switch to the Retail (Class A) version of the same fund may occur. CI will contact your dealer and/or financial advisor before making the switch.

## 1. Plan Information

**Plan Type:** Select one of the following plan types:

- On-Book Nominee      CI Open (Non-Registered)      CI Registered Plan – CI Open and Registered Plan Application Form must also be completed and submitted with this form

## 2. Dealer and Representative Information

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

X  
 Representative's Signature \_\_\_\_\_

I hereby declare that I used the authentic, valid and current documents to verify the identity of the owner. I have made reasonable efforts to determine if the owner is acting on behalf of a third party.

## 3. Client Information

Salutation: Mr. Mrs. Ms. Miss Dr. Language Preference: English French

First Name \_\_\_\_\_ Initial(s) \_\_\_\_\_ Last Name \_\_\_\_\_

Email Address \_\_\_\_\_

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./Unit Number \_\_\_\_\_ City \_\_\_\_\_ Province \_\_\_\_\_ Postal Code \_\_\_\_\_

Telephone (Mobile) \_\_\_\_\_ Telephone (Home) \_\_\_\_\_ Social Insurance Number \_\_\_\_\_ Date of Birth (MM/DD/YYYY) \_\_\_\_\_

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

Street Address \_\_\_\_\_ Apt./Unit Number \_\_\_\_\_ City \_\_\_\_\_ Province \_\_\_\_\_ Postal Code \_\_\_\_\_

## 4. Joint Client Information (Applicable to Open accounts only)

Salutation: Mr. Mrs. Ms. Miss Dr. Language Preference: English French

First Name \_\_\_\_\_ Initial(s) \_\_\_\_\_ Last Name \_\_\_\_\_

Social Insurance Number \_\_\_\_\_ Date of Birth (MM/DD/YYYY) \_\_\_\_\_

**Joint Ownership Type:** Joint Tenants with Right of Survivorship (JTWRoS) Joint Tenants in Common (JTIC)

**Signatory Requirements:** And (all owners must sign) And/Or (one owner can sign) **Note:** If left blank, signing authority will default to all sign.

## 5. Investment Selection

Note: For CI Registered Plans, the CI Open and Registered Plan Application Form must also be completed and submitted with this form.

### Systematic Plans:

#### Frequency:

**OT** = One Time   **W** = Weekly   **BW** = Bi-Weekly (Every 2 weeks)   **M** = Monthly   **SM** = Semi-Monthly (Twice a month)   **BM** = Bi-Monthly (Every 2 months)

**Q** = Quarterly   **SA** = Semi-Annually   **A** = Annually

	Fund Code	Dealer Service Fee (0-1.00%)		Purchase Amount		Systematic Plan		Frequency	Start Date
		%	\$	%	\$	PAC	AWD		(MM/DD/YYYY)
T2033/T2151 to be allocated as (applicable only for CI Registered Plan):  I understand cash distributions will be deposited to the bank account indicated in Section 6.		%	\$	%	\$				2 <sup>nd</sup> Start Date (MM/DD/YYYY)
		%	\$	%	\$				
		%	\$	%	\$				
		%	\$	%	\$				

Note: Cash distributions are not available for Registered Plans.

### Pre-Authorized Chequing Plan (PAC)

Signature(s) required if depositor(s) is (are) other than the Unitholder(s) indicated in Section 3.

For a joint bank account, all depositors must sign if more than one signature is required on cheques issued against the account.

Signature(s): X

By signing, you confirm that you have read and agree to the PAC Plan Agreement outlined on the back of this form.

## 6. Banking Details (Please complete this section or provide bank details on a separate page)

For PACs, AWDs, and cash distributions. Note that where the Unitholder information specified in Section 3 of this form matches the Uniholder(s) banking information, the banking information provided will be added to the account and used to receive deposits for ad hoc redemptions.

Transit Number

Bank Number

Account Number

Account Holder's Name

CDN Bank Account   OR   USD Bank Account



Note: The currency of the Bank account must match the funds indicated.

Cheque Number   Transit (Branch) Number   Financial Institution (Bank) Number   Destination and Account Number

## 7. Management Fees (Payable to CI Investments Inc.)

CI Investments Inc. (the "Manager") has agreed to provide various management and administrative services to me (us) under the account. In consideration for carrying out these services, I (we) agree to pay the management fee (the "Management Fee") set out on the enclosed CI Private Managed Assets Management fee schedule to the Manager. The Management Fee will be calculated automatically by the Manager, and will be paid by pro-rated redemption of my (our) units held in the Funds.

The Management Fee for each Fund will be applied to the aggregate daily net asset value of the units in my (our) account at the end of each day, calculated daily and charged towards the end of each month, plus applicable taxes.

## 8. Dealer Service Fee

My (Our) dealer has agreed to provide various services to me (us) under the account. In consideration for carrying out these services and for the administration of my (our) account, I (we) agree to pay the Dealer service fee (the "Service Fee") set out in Section 5 of this enrollment form to my (our) Dealer. The Service Fee will be calculated automatically by the Manager, and will be paid by pro-rated redemption of my (our) units held in the Funds.

The Service Fee will be applied to the aggregate daily net asset value of the units in my (our) account at the end of each day, calculated daily and charged towards the end of each month, plus applicable taxes. The Service Fee payable on units purchased during a month will be pro-rated for such month.

## 9. Authorization and Acknowledgement

The undersigned hereby applies to the Manager to purchase units of the Fund(s) indicated in Section 5. I (We) authorize the Manager to redeem, on a monthly basis, units of the Funds held by me (us) in order to pay the Management Fee indicated in Section 7 to CI Investments Inc. and to pay the Service Fee indicated in Section 8 to the Dealer. I (We) acknowledge receipt of the current fund facts or simplified prospectus and financial statements of the Fund(s) and understand that these transactions made under the terms and conditions therein. I (We) acknowledge that I (we) am (are) responsible for all investment decisions involving the Fund(s). I (We) acknowledge that I (we) must maintain a minimum investment amount of C\$500,000 in my (our) account at all times. Lastly, I (we) am (are) aware of and assume responsibility for any tax consequences which may result from account transactions, including the payment of the Fee and the redemption of units of the Funds to the cover the Fee.

You agree to consult with your tax advisor regarding the tax consequences of investing in Class I units including the deductibility for tax purposes of the Class I fee(s) paid. You understand that your dealer, financial advisor and CI Investments Inc. does not, and will not, offer advice with respect to such issues and that you should seek the counsel of a qualified tax professional.

The Manager may reject purchase applications within 1 business day of receipt, in which case all monies received will be refunded immediately. I have requested this document to be drawn in the English language. J'ai (nous avons) demandé que ce document soit rédigé en anglais.

By completing the Pre-Authorized Chequing Plan in Section 5 and providing authorization in Section 9, I confirm that all persons whose signatures are required to authorize transaction in the bank account provided have read and agree to the PAC Terms and Conditions provided on the back of this form.

By signing this form, 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.

**X** \_\_\_\_\_ Date (MM/DD/YYYY) \_\_\_\_\_  
Applicant's Signature

**X** \_\_\_\_\_ Date (MM/DD/YYYY) \_\_\_\_\_  
Joint Applicant's Signature (if applicable)

### Pre-Authorized Chequing Plan (PAC) Agreement –Terms and Conditions

- **By signing this application, you hereby waive any pre-notification requirements as specified by section 15(a) and (b) of the Canadian Payments Association Rule H1 with regards to PACs.**
- If you have indicated on the application that you want to make regular deposits using a Pre-Authorized Chequing Plan (PAC), you authorize CI Investments Inc. (CI) to debit the bank account provided for the specified amount(s) and in the frequencies selected.
- If this is for your own personal investment, your debit will be considered a Personal Pre-authorized debit agreement (PAD) by Canadian Payments Association definition. If this is for business purposes, it will be considered a Business PAD. Monies transferred between CPA members will be considered a Funds Transfer PAD.
- You have certain recourse rights if any debit does not comply with this agreement. For example, you have the right to receive reimbursement for any debit that is not authorized or is not consistent with this PAC Agreement. To obtain more information on your recourse rights, you may contact your financial institution, CI or visit [www.payments.ca](http://www.payments.ca).
- You may change these instructions or cancel this plan at any time, subject to providing CI notice of at least 48 hours prior to the next PAC run date. To obtain a sample cancellation form, or for more information on your right to cancel a PAC agreement, you may contact your financial institution, CI or visit the Canadian Payments Association website at [www.cdnpay.ca](http://www.cdnpay.ca). You agree to release the financial institution and CI of all liability if the revocation is not respected, except in the case of gross negligence by the financial institution or CI.
- CI is authorized to accept changes to this agreement from your registered dealer or your financial advisor in accordance with the policies of that company, in accordance with the disclosure and authorization requirements of the CPA.
- You agree that the information in this form will be shared with the financial institution, insofar as the disclosure of this information is directly related to and necessary for the proper application of the rules applicable for PACs.
- You acknowledge and agree that you are fully liable for any charges incurred if the debits cannot be made due to insufficient funds or any other reason for which you may be held accountable.
- You confirm that all persons whose signatures are required to authorize transactions in the bank account provided have read and agreed to these terms and signed this application.

## USE OF PERSONAL INFORMATION NOTICE

### CI INVESTMENTS INC.'S PRIVACY NOTICE

CI Investments Inc. doing business under the registered business name of CI Global Asset Management ("CI GAM", "we", "our", "us") 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, including sensitive personal information, such as social insurance number, required to establish and service your accounts in compliance with federal and provincial laws as well as our financial self-regulatory organization requirements. We maintain audio recordings of in-coming and outgoing telephone calls. You may access our full Privacy Policy Notice online at [www.cifinancial.com/ci-gam/ca/en/legal/privacy.html](http://www.cifinancial.com/ci-gam/ca/en/legal/privacy.html). 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 [www.cifinancial.com/ci-gam/ca/en/legal/privacy.html](http://www.cifinancial.com/ci-gam/ca/en/legal/privacy.html)) 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. We also collect information about you indirectly where permitted by law. We limit the collection of information to what is necessary to fulfill the purpose for which the information is collected.

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

In addition to the purposes set out in our full Privacy Policy Notice ([www.cifinancial.com/ci-gam/ca/en/legal/privacy.html](http://www.cifinancial.com/ci-gam/ca/en/legal/privacy.html)), we may use your information to:

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

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

### DISCLOSURE OF YOUR PERSONAL INFORMATION

Employees or authorized representatives of CI Investments Inc. ("CI GAM"), 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 share your personal information with CI Financial company affiliates, such as Assante Wealth Management (Canada) Ltd. ("AWM"), CI Private Counsel LP, ("CIPC"), CI Investment Services Inc. ("CIIS"), and WealthBar Financial Services Inc. ("WealthBar") and their subsidiaries where necessary to administer and service your account.

We provide your information to third parties, including:

- Third party service providers for the servicing purposes described above – We do not authorize our service providers to use or disclose the personal information for their own marketing or other purposes. We engage service providers pursuant to a written agreement which requires them to protect personal information with equivalent safeguards that we would use. Our service providers 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. For more information on our information sharing practices, please contact our Privacy Officer.
- To governments, government agencies, regulators, including self-regulatory authorities, 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 and their dealership where necessary to administer and service your account.
- To your legal representatives and/or with other third parties at your direction for the purposes which you specify at the time of the direction.
- To financial institutions, securities dealers and mutual fund companies where necessary to administer and service your account.
- 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.

Information collected will be communicated outside of Quebec, both within Canada and other jurisdictions or countries and we 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.

### 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, the purposes for which it is used, the quantity and distribution of the personal information and the medium on which we (or our service providers) store it. We limit access to your personal information to the employees and agents who require it for the purposes of their role. Your personal information

## USE OF PERSONAL INFORMATION NOTICE

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is only used for the purposes for which it was collected or where permitted by law. We store personal information for as long as is necessary to achieve the purposes for which it was collected or in accordance with applicable law.

### 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 1-800-268-9374 or by e-mail to [service@ci.com](mailto:service@ci.com).

To correct or access your information, we encourage you to contact our Client Services department, access our Online web portal or consult your periodic statements. However, you do have the right to access and correct your personal information, or to find out to whom we have disclosed it. To make a formal request for access or correction, please send a written request addressed to the Privacy Officer, 15 York Street, 4<sup>th</sup> Floor, Toronto, ON, M5J 0A3. 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 to access or correct.

### REVOKING CONSENT

You may withdraw your consent for the collection, use and disclosure of your personal information at any time by forwarding a written request to the Privacy Officer. Please include your full name, address, telephone number and account number(s) on any correspondence to us. However, there are certain times when you may not withhold or revoke your consent including certain legal, regulatory, or contractual requirements. We must receive reasonable notice of your request in order to honour your consent withdrawal. Your decision to withhold or revoke your consent may limit the products and services that we may provide to you and may require you to close your accounts with us.

### OUR PRIVACY OFFICE

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 contact our Privacy Officer. For changes to your privacy preferences please be reminded that you may update your selection by accessing the Privacy Preferences page of our web portal. We are committed to helping resolve your questions or concerns.

CI Investments Inc. Privacy Officer, 15 York Street, 4<sup>th</sup> Floor, Toronto, ON, M5J 0A3

**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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