

1910 Palomar Point Way, Suite 200, Carlsbad, CA 92008 T 760.444.5254 TF 800.477.7853 sprottglobal.com

**1. TYPE OF ACCOUNT:** (Check One)

**793-** \_\_\_\_\_

- |  |  |   |
|--|--|---|
| <input type="checkbox"/> Individual                                | <input type="checkbox"/> Partnership                 | <input type="checkbox"/> Trust                        |
| <input type="checkbox"/> Joint Tenants with Rights of Survivorship | <input type="checkbox"/> Corp., # of Employees _____ | <input type="checkbox"/> Pension – PSP / MPP          |
| <input type="checkbox"/> Tenants in Common                         | <input type="checkbox"/> Sole Proprietorship         | <input type="checkbox"/> IRA Type: _____              |
| <input type="checkbox"/> Custodian – UTMA                          | <input type="checkbox"/> LLC, # of Employees _____   | <input type="checkbox"/> Other (Please Specify) _____ |

**2. PRIMARY ACCOUNT OWNER/TRUSTEE/UTMA BENEFICIARY/AUTHORIZED SIGNATORY:**

Title: \_\_\_\_\_ First Name: \_\_\_\_\_ M.I.: \_\_\_\_\_ Last Name: \_\_\_\_\_  
 Trust/Company Name (if applicable): \_\_\_\_\_ Date of Trust: \_\_\_\_\_  
 Mailing Address: \_\_\_\_\_  
 City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_ Country: \_\_\_\_\_  
 If mailing address is a P.O. Box, a physical address is also required: \_\_\_\_\_  
 City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_ Country: \_\_\_\_\_  
 Home Phone: \_\_\_\_\_ Work Phone: \_\_\_\_\_  
 Mobile: \_\_\_\_\_ Email Address: \_\_\_\_\_  
 Social Security Number: \_\_\_\_\_ Tax ID Number (if applicable): \_\_\_\_\_  
 Date of Birth: \_\_\_\_\_ Country(ies) of Citizenship: \_\_\_\_\_  
 Married:  Yes  No Number of Dependents: \_\_\_\_\_  
 Occupation: \_\_\_\_\_ Employer's Business Name: \_\_\_\_\_  
 Employer's Business Address \_\_\_\_\_

**NON-U.S. CITIZENS ONLY:**

Country of Birth \_\_\_\_\_ Citizenship at Birth \_\_\_\_\_  
 Date of Citizenship Change if Current Different From Birth \_\_\_\_\_ Previous US Citizen?  Yes  No, If "Yes", date renounced \_\_\_\_\_

**EMPLOYMENT/AFFILIATION INFORMATION:**

Is any applicant employed by or affiliated with a securities firm, a securities exchange or FINRA?  Yes  No  
 Is any applicant a "control person" or "affiliate" of a public company as defined by the SEC?  Yes  No  
 Is any applicant or member of immediate family or business associate a senior foreign political official?  Yes  No  
 If you have answered 'Yes' to any of the above, please specify: \_\_\_\_\_

**3. FINANCIAL INFORMATION FOR PRIMARY ACCOUNT OWNER:** (FOR JOINT ACCOUNTS – PLEASE COMBINE BOTH ACCOUNT OWNERS)

**Annual Income:** US\$ \_\_\_\_\_  Over \$300K **Liquid Assets:** US\$ \_\_\_\_\_  Over \$100K  
**Net Worth** (Not Including Main Residence): US\$ \_\_\_\_\_  \$1Mil – \$2.1Mil  \$2.1Mil – \$5Mil  Over \$5Mil  
 Tax Bracket:  0% – 10%  11% – 15%  16% – 25%  26% – 28%  29% – 33%  34%+  
 Source of assets to be deposited to fund your account:  Salary  Savings  Other \_\_\_\_\_  
 Do you have investments held at another broker or Investment Adviser:  Yes  No  
 Investment Time Horizon – In which year do you estimate the need to begin withdrawing significant principal from this account? \_\_\_\_\_  
 Liquidity Needs – On an annual basis, how much do you expect to withdraw from this account? \$ \_\_\_\_\_  
**Investment Experience.** Please detail the number of years of experience for each:  
 Stocks: \_\_\_\_\_ Yrs Penny Stocks: \_\_\_\_\_ Yrs Options: \_\_\_\_\_ Yrs Pvt. Place – Ltd Partnership: \_\_\_\_\_ Yrs  No Prior Experience

**4. I AFFIRM THAT THE ABOVE INFORMATION IS CORRECT**

Please initial here: **X** \_\_\_\_\_

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**5. INVESTMENT OBJECTIVE:**

- Speculation – Investing in securities that are the highest risk but may offer the potential for extraordinary capital gains.
- Growth – Investing in shares of companies with a defined source of revenue and income.
- Income – Investing in debt or equity with histories of consistent dividends. Primary objective is yield.

**6. RISK TOLERANCE:**

- Maximum risk – I understand I could lose most or all of my investment and that the value of my investments may fluctuate significantly and frequently.
- High risk, including high volatility – I understand I could lose a substantial amount of my investment and that the value of my investments may fluctuate significantly and frequently.
- Moderate risk, including some volatility – I understand I could lose a portion of my investment.
- Low risk, including limited volatility – I understand I could lose a portion of my investment.

**793-** \_\_\_\_\_

**INTERNAL USE ONLY**

Date Opened: \_\_\_\_\_

CIP/OFAC/SDN Ckd By: \_\_\_\_\_

Prospect Source: \_\_\_\_\_

Existing Client

Account Executive \_\_\_\_\_ Date \_\_\_\_\_

Firm Principal \_\_\_\_\_ Date \_\_\_\_\_

**7. CASH HELD IN ACCOUNT OPTIONS:**

Money Market – If not indicated, funds will be held in cash (no sweep).

- Cash – No Money Market  RBC Bank Deposit Program (Automatic Sweep)
- Government – only available for clients who are opening self-trusteed (trustee-directed) qualified plan accounts

If I select an Automatic Sweep Investment option, I acknowledge that I am granting affirmative consent to have free credit balances in my Account included in the Cash Sweep program and have received (see last page for details), the general terms and conditions of the products available through the Cash Sweep program, and such products and terms and conditions may be changed from time to time by RBC CS.

Notes:

**8. IF YOU WISH US TO SEND DUPLICATE STATEMENTS AND/OR CONFIRMS TO A THIRD PARTY PLEASE NOTIFY YOUR BROKER.** (There will be a fee for each confirmation and statement for each account of \$1.25)

**9. PLEASE COMPLETE IF YOU ARE THE : JOINT ACCOUNT OWNER/TRUSTEE/UTMA CUSTODIAN/AUTHORIZED SIGNATORY:**

Title: \_\_\_\_\_ First Name: \_\_\_\_\_ M.I.: \_\_\_\_\_ Last Name: \_\_\_\_\_

Mailing Address (If different from Primary): \_\_\_\_\_

If mailing address is a P.O. Box, a physical address is also required: \_\_\_\_\_

Home Phone: \_\_\_\_\_ Fax: \_\_\_\_\_ Work Phone: \_\_\_\_\_

Mobile: \_\_\_\_\_ Email Address: \_\_\_\_\_

Social Security Number: \_\_\_\_\_ Date of Birth: \_\_\_\_\_ Married:  Yes  No Number of Dependents: \_\_\_\_\_

Country of Citizenship:  US  Other (Please specify): \_\_\_\_\_  Non Resident Alien

Occupation: \_\_\_\_\_ Employer's Business Name and Address: \_\_\_\_\_

**NON-U.S. CITIZENS ONLY:**

Country of Birth: \_\_\_\_\_ Citizenship at Birth: \_\_\_\_\_

If Different, Date of Citizenship Change: \_\_\_\_\_ Previous US Citizen?  Yes  No, If "Yes", date renounced: \_\_\_\_\_

**PREVIOUS INVESTMENT EXPERIENCE. PLEASE DETAIL THE NUMBER OF YEARS OF EXPERIENCE FOR EACH:**

Stocks: \_\_\_\_\_ Yrs. Penny Stocks: \_\_\_\_\_ Yrs. Options: \_\_\_\_\_ Yrs. Pvt. Place – Ltd Partnership: \_\_\_\_\_ Yrs.  No Prior Experience

**10. BY MY/OUR SIGNATURE(S) I/WE AFFIRM THAT THE ABOVE INFORMATION IS CORRECT AND THAT I/WE HAVE RECEIVED THE SEPARATE "PENNY STOCK DISCLOSURES STATEMENT" AND UNDERSTAND THE RISKS INVOLVED. I/WE HAVE RECEIVED, READ AND ACCEPT THE PRIVACY POLICY AND DISCLOSURES, AND HAVE RECEIVED, READ AND AGREE TO THE PREDISPUTE ARBITRATION CLAUSE IN PARAGRAPH 3 OF THE ARBITRATION AGREEMENT.**

(All persons named must sign here)

**X** \_\_\_\_\_  
Signature of Account Holder Date

**X** \_\_\_\_\_  
Signature of Account Holder Date

793-\_\_\_\_\_

**RBC Bank Deposit Program – FDIC Insured Cash Sweep Program**

The RBC Bank Deposit Program (BDP) sweeps cash in client accounts into interest-bearing accounts at multiple Federal Deposit Insurance Corporation (FDIC)-insured banks offering an aggregated total of \$5,000,000 in FDIC-insurance coverage (\$10 million for accounts held jointly by two or more persons).

**Benefits of the RBC Bank Deposit Program:**

- This program is ideal for clients who wish to earn interest on their cash but who place a high priority on the safety of principal.
- The RBC Bank Deposit Program sweeps cash into interest-bearing accounts at FDIC-insured banks that RBC has thoroughly reviewed; only creditworthy banks participate in the program.
- You can maintain deposits in multiple banks with up to \$2,500,000 aggregate FDIC insurance coverage, and you have the ability to exclude certain banks from receiving your deposits.
- You don't have to manage relationships with multiple banks. RBC does it for you. In addition, RBC reports cash balance held at each bank, the interest rate and the Annual Percentage Yield Earned (APYE) on each client statement.