

# Direct Investing



Order Execution Only Account

## CUSTOMER AGREEMENT - Legal Entity Accounts

### BY SIGNING, I CONFIRM THAT:

1. All of the information in this application is complete and accurate and I will promptly send written notice to ScotiaMcLeod Direct Investing of any significant changes in this information. I verify that all photocopies of identification submitted with this application are true copies of identification of each Trading Authority, Partner, Member, Director or Sole Owner or Beneficial Owner of greater than 10% of the Legal Entity.
2. I have read, understand, and agree to the terms of Your Account Agreement and the other sections in the Terms and Conditions brochure that apply to this account.
3. For a Legal Entity, I will provide a cheque for deposit drawn on the organization. For each Trading Authority, Partner, Member, Officer/Authorized Person, Sole Owner or any Beneficial Owner who owns greater than 10% of the Legal Entity who does not have a Scotiabank account, I agree to provide a cheque for deposit drawn against their own account from a Canadian financial institution to satisfy Canadian Money Laundering requirements.
4. My shareholder communication instructions are to be followed. I understand that these elections apply to all securities held in this account.
5. ScotiaMcLeod Direct Investing may debit or credit the Legal Entity's account to settle trades, as I instruct, on a trade-by-trade basis.
6. ScotiaMcLeod Direct Investing reserves the right to restrict or limit trading activity in this account at any time without notice to me. ScotiaMcLeod Direct Investing may close this account if all required documentation in complete form is not received within two weeks of opening my account.
7. United States Withholding Tax-Limitation on Benefits Treaty Statement ("Treaty")  
I/we meet all provisions of the Treaty that are necessary to claim a reduced rate of withholding, including any limitation on benefits provisions, and I/we derive the U.S. source income within the meaning of section 894 of the Code, and the regulations thereunder, as the beneficial owner(s). Refer to the Terms and Conditions brochure for complete details.

### ACKNOWLEDGEMENT

I acknowledge that ScotiaMcLeod Direct Investing does not provide recommendations to me and does not accept any responsibility to advise me on the suitability of any of my investment decisions or transactions. I acknowledge that I am responsible for my investment decisions, as well as for any profits or losses that may arise, and ScotiaMcLeod Direct Investing will not consider my financial situation, investment knowledge, investment objectives and risk tolerance when processing orders placed by me.

I acknowledge that Scotia Capital Inc.\* is a separate entity from The Bank of Nova Scotia. Unless otherwise advised, securities purchased from or through Scotia Capital Inc. (a) are not insured by a government deposit insurer, (b) are not guaranteed by a Canadian financial institution, and (c) may fluctuate in value.

SIGNATURE(S)

AUTHORIZED SIGNATORY	DATE (MM/DD/YYYY)	AUTHORIZED SIGNATORY	DATE (MM/DD/YYYY)

### IF YOU ARE APPLYING FOR MARGIN TRADING, YOU MUST ALSO SIGN HERE

I am aware of the risks involved in trading on margin and am willing to take those risks. I have read, understand and agree to the terms and conditions of margin trading contained within the Terms and Conditions brochure.

SIGNATURE(S)

AUTHORIZED SIGNATORY	DATE (MM/DD/YYYY)	AUTHORIZED SIGNATORY	DATE (MM/DD/YYYY)

### IF YOU ARE APPLYING FOR OPTION TRADING, YOU MUST ALSO SIGN HERE

I am aware of the risks involved in options trading and am willing to take those risks. I have read, understand and agree to the terms of the Risk Disclosure Statement and Your Options Trading Agreement contained within the Terms and Conditions.

SIGNATURE(S)

AUTHORIZED SIGNATORY	DATE (MM/DD/YYYY)	AUTHORIZED SIGNATORY	DATE (MM/DD/YYYY)

\* ScotiaMcLeod Direct Investing is a division of Scotia Capital Inc.