

## Account Opening Documents

---

### 1. CLIENT ACCOUNTS

- a) New Account Application Form – IIROC Form 2
- b) Margin Agreement - IIROC Guide to Interp.Rule 200.1(i)

### 2. OPTION ACCOUNTS

- a) Options Account Application Form
- b) Options Trading Agreement - 1900.6
- c) Ensure Risk Disclosure Statement is current - 1900.2(e); 1900.6 (a) (vii)

### 3. FUTURES/FUTURES OPTIONS

- a) Futures Account Application Form - 1800.5(a)
- b) Futures Trading Agreement - 1800.9
- c) Ensure Risk Disclosure Statement is current - 1800.2(e)(ii)
- d) Futures Options Trading Agreement - 1800.9
- e) Ensure Futures Options Risk Disclosure Statement is current - 1800.2(e)(ii)
- f) Hedge Agreement
- g) Confirmations - 200.1(h)
- h) P & S Statements - 200.1(c)
- I) Month-End Statements - 200.1(c)

### 4. DISCRETIONARY / MANAGED ACCOUNTS

- a) Managed Account Agreement - 1300.4(a)(b), 1300.5(a), 1300.5(d)(e), 1300.8, 1300.12, 1300.13, 1300.16, 2500 VII part F
- b) Discretionary Agreement - 1300.4, 1300.5, 2500 VII part A

### 5. SUPPLEMENTARY

Depending on the firm's business, ensure that the following supplementary documents are on hand:

- a) Corporate Resolution

- b) Joint Account Agreement (JTWROS)
- c) Tenants - in - Common
- d) (i) Guarantee  
(ii) Guarantee (for Alberta Accounts)
- e) Investment Club Agreement
- f) Trading Authorization - Full or Partial
- g) RRSP Application
- h) Other (Specify)

**6. MISCELLANEOUS**

- a) Statement of Policies - OSC Reg. 223
- b) Shareholder Communication National Instrument 54-101
- c) Strip Bond Document - OSC Rule 91-501 - Ensure that the most recent document is being used
- d) Service Fees Schedule - IIROC Rule 29.8