



INVESTIA  
FINANCIAL SERVICES INC.

Client no.

INVESTIA self-directed account no.

Form no.

# FINANCIAL INSTRUCTIONS

Faxed on: \_\_\_\_\_

## 1- PERSONAL INFORMATION

**MANDATORY**

Type of account:  Open  RSP  RSP (spousal)  RSP (locked-in)  RSP-g (group)  RSP-g (spousal)  LIRA  RESP-I  RESP-F  LIF  RIF  RIF (locked-in)

Last name \_\_\_\_\_ First name \_\_\_\_\_ SIN

Contributing spouse  Co-subscriber  In trust

Last name \_\_\_\_\_ First name \_\_\_\_\_ SIN

## 2- TRANSFER TO THE SAME FUND COMPANY (SWITCH)

FROM				TO				Order ref. no. (Reserved for adm.)
Code		Account no.	Amount or % or units	Code		Fund name	Fees %	
Co.	Fund			Co.	Fund			

## 3- INVESTMENT INSTRUCTIONS

Check P R	Fund name	Code		Account no.	Amount or % or units	Acq. fees (%)	Check			PAC / SWP			Order ref. no. (Reserved for adm.)	Wire order no. (Reserved for adm.)	
		Co.	Fund				Free not matured	Net of fees*	Net of tax*	New	Modif.	Canc.			
											<input type="checkbox"/> PAC <input type="checkbox"/> SWP				
											<input type="checkbox"/> PAC <input type="checkbox"/> SWP				
											<input type="checkbox"/> PAC <input type="checkbox"/> SWP				
											<input type="checkbox"/> PAC <input type="checkbox"/> SWP				
											<input type="checkbox"/> PAC <input type="checkbox"/> SWP				
											<input type="checkbox"/> PAC <input type="checkbox"/> SWP				

\* Do not check if a gross redemption.

**Banking agreement for pre-authorized cheque payments (PAC) or for the systematic withdrawal program (SWP)**

PAC  SWP Frequency:  Monthly  Quarterly  Other \_\_\_\_\_

Start date Y M D

Stop date Y M D

Attach a cheque specimen (mandatory)  
Must be at least 10 business days after receiving the documents

**Fund destination**

Reinvestment  Cheque to client  Direct deposit\*

Dividends  Redemption

\* Attach a cheque specimen (mandatory)

**Banking information (attach a cheque specimen)**  New  Modification

Name as shown on bank records (include all names if joint account) \_\_\_\_\_

For a joint bank account requiring the approval of both authorized signatories, please have both individuals sign Section 5 of this form.

## 4- SPECIAL INSTRUCTIONS

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

## 5- SIGNATURE (SUBSCRIBER/CO-SUBSCRIBER)

I hereby request that the above transactions be carried out in the account I have at Investia Financial Services Inc. or one of its affiliated partners.

I ACKNOWLEDGE HAVING RECEIVED THE PROSPECTUS ON THE INVESTMENTS AND THE INVESTMENT FINANCIAL STATEMENTS INDICATED IN SECTIONS 2 AND 3 OF THIS FORM.

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I ACKNOWLEDGE HAVING BEEN INFORMED OF THE COSTS, REMUNERATION, TAX INCIDENCES AND THE FACT THAT THE AMOUNTS DEPOSITED ARE NOT INSURED BY THE CANADA DEPOSIT INSURANCE CORPORATION OR ANY OTHER DEPOSIT INSURANCE AND WILL FLUCTUATE ACCORDING TO THE FINANCIAL MARKETS.

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Y M D

Subscriber's signature (mandatory) \_\_\_\_\_ Co-subscriber's signature (mandatory) \_\_\_\_\_ Signature of joint bank account holder (for PACs only) \_\_\_\_\_

## 6- SIGNATURE (REPRESENTATIVE/HEAD OFFICE)

Name in block letters (mandatory) \_\_\_\_\_ Signature (mandatory) \_\_\_\_\_ Branch no. \_\_\_\_\_

Code Y M D  7 5 9 9

Entered by \_\_\_\_\_ Signature guaranteed \_\_\_\_\_

I ACKNOWLEDGE THAT I HAVE RECEIVED A COMPLETED COPY OF THIS FORM.

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## Disclosure of related registrants

Industrial Alliance Insurance and Financial Services Inc. ("Industrial Alliance") is the sole shareholder of Investia Financial Services Inc. ("INVESTIA"). Industrial Alliance is a public company whose stock, "IAG", is listed on the Toronto Stock Exchange and consequently Industrial Alliance is an issuer of securities. INVESTIA is a financial services firm registered with the securities authorities of all Canadian provinces. Moreover, Industrial Alliance, the shareholder of INVESTIA, controls the following companies:

- IA Clarington Investments Inc., a manager of mutual funds and a portfolio manager;
- FundEX Investments Inc., a mutual fund dealer;
- Industrial Alliance Securities Inc., a securities dealer;
- Industrial Alliance Investment Management Inc., a portfolio manager.

Consequently, INVESTIA is related to the above-mentioned companies. The policy of INVESTIA is to fully comply on all points with applicable securities laws and to make all necessary disclosures. To this end, INVESTIA is making the current disclosure and informing its clientele that it has also adopted the following Protocol for minimizing potential conflicts of interest:

### Protocol for minimizing potential conflicts of interest

The relationships that unite Investia Financial Services Inc. ("INVESTIA") with Industrial Alliance Insurance and Financial Services Inc. ("Industrial Alliance") and its subsidiaries make it necessary to implement the policies described below, in order to avoid any potential conflicts of interest and ensure that the advice, services and products offered by INVESTIA are provided in the best interests of the clients of INVESTIA.

- All advice, products and services that will be provided to clients by representatives who act on behalf of INVESTIA shall be made in the normal course of business, without Industrial Alliance or one of the entities currently connected or affiliated with Industrial Alliance being involved. INVESTIA shall maintain its decision-making and operational autonomy with respect to the advice, products and services that it offers to clients.
- The advice, products or services shall be given in good faith by INVESTIA representatives, without being influenced by any motives other than the best interests of the client.
- Neither Industrial Alliance nor any other entity affiliated with Industrial Alliance, nor their directors, officers or employees, shall participate in or influence, directly or indirectly, the formulation of any investment recommendation that INVESTIA representatives may give its clients. However, certain of these affiliated entities shall be able to provide to INVESTIA, upon request, investment research services and from time to time, these entities can collaborate in view of offering products and services in the interests of their clients. However, it is understood that in this case, no information about the client can be exchanged without having first obtained the express written consent of the client.

### General clauses that apply to the processing of financial instructions

#### 1. RIGHT OF REFUSAL

Investia reserves the right to refuse to follow-up on the financial instructions at all times.

#### 2. BANKING AGREEMENT FOR PRE-AUTHORIZED CHEQUE PAYMENTS (PAC) AND AGREEMENT FOR SYSTEMATIC WITHDRAWALS (SWP)

You authorize Investia to draw a cheque or deposit amounts in your bank account each month under the terms of the PAC and SWP agreements according to the conditions established in *Section 3* of the form. The PAC and SWP agreements are subject to mutual fund company rules. You authorize Investia to exchange personal information with your financial institution to execute this agreement and you certify that all persons whose signature is required for the bank account have signed this form. Any litigation concerning the PAC and SWP agreements must be settled with the mutual fund companies or your financial institution. You may terminate these agreements at any time by advising the mutual fund companies in writing and you are responsible for advising Investia of any changes affecting your bank account.

Fees may be charged for any cheque not honoured by your financial institution. The minimum and maximum PAC amounts applicable are those specified by the mutual fund companies. Please conform to the prospectus.

#### 3. FAILED SETTLEMENT

Investia will require the investor to pay compensation for any losses suffered by the company in connection with a failed settlement of a purchase of securities of the mutual fund caused by the investor.

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