



# Defined Contribution Registered Pension Plan and Deferred Profit Sharing Plan

---

## Member Application

- A valuable financial advantage sponsored by your Employer
  - All the benefits of investing regularly by installment
  - A range of investments to diversify your savings
- PLUS*
- The service of a qualified Financial Advisor

# DEFINED CONTRIBUTION REGISTERED PENSION PLAN AND DEFERRED PROFIT SHARING PLAN



## SPECIAL INSTRUCTIONS

**FINANCIAL ADVISOR PLEASE NOTE** ➔ After checking the completed application, forward the application to Mackenzie Investments  
Attention: Mackenzie Group Plan Department.

1. TYPE OF PLAN: DCRPP  DPSP  Group No. (if existing Group Plan) \_\_\_\_\_

## 2. PLAN SPONSOR (EMPLOYER) INFORMATION

PLAN SPONSOR NAME \_\_\_\_\_

ADDRESS \_\_\_\_\_

ADDRESS \_\_\_\_\_

## 3. MEMBER (EMPLOYEE) INFORMATION

If you already have an existing Mackenzie account, please check box

- 1 - Mr.
- 2 - Mrs.
- 3 - Miss.
- 4 - Ms.
- 5 - Dr.
- 6 - Other

SURNAME \_\_\_\_\_

FIRST NAME & INITIAL \_\_\_\_\_

ADDRESS \_\_\_\_\_

CITY \_\_\_\_\_ PROVINCE \_\_\_\_\_ COUNTRY \_\_\_\_\_ POSTAL CODE \_\_\_\_\_

HOME TELEPHONE NUMBER \_\_\_\_\_ BUSINESS TELEPHONE NUMBER \_\_\_\_\_ PROVINCE OF EMPLOYMENT \_\_\_\_\_

SOCIAL INSURANCE NUMBER \_\_\_\_\_ DATE OF BIRTH (DD MMM YYYY) \_\_\_\_\_ E-MAIL ADDRESS \_\_\_\_\_

Language preference: English  French

Gender: Male  Female

Are you a connected person? Yes  No  Is this a rehire? Yes  No

*A connected person is an individual who owns, directly or indirectly, 10% or more of the issued shares of any class of the capital stock of the Plan Sponsor or any other corporation related to the Plan Sponsor, who does not deal at "arms length" with the Plan Sponsor as defined in the Income Tax Act, or is a specified shareholder of the Plan Sponsor under paragraph (d) in subsection 248(1) of the Income Tax Act. A connected person also includes any individual connected by blood, marriage or adoption to such a person. Connected persons are not eligible to hold DPSP accounts*

Marital Status (mandatory for DCRPP) Single  Married  Common-law

## Spousal Information (mandatory for DCRPPs)

SPOUSE'S SURNAME (IF APPLICABLE) \_\_\_\_\_ SPOUSE'S DATE OF BIRTH (DD MMM YYYY) \_\_\_\_\_

SPOUSE'S FIRST NAME & INITIAL (IF APPLICABLE) \_\_\_\_\_ SPOUSE'S SOCIAL INSURANCE NUMBER \_\_\_\_\_

ADDRESS (IF DIFFERENT FROM EMPLOYEE) \_\_\_\_\_

CITY \_\_\_\_\_ PROVINCE \_\_\_\_\_ COUNTRY \_\_\_\_\_ POSTAL CODE \_\_\_\_\_

## 4. BENEFICIARY DESIGNATION

The designation of a beneficiary is subject to the laws of each jurisdiction. As the Member, I hereby revoke any previous beneficiary designation applicable to my interest in this Plan and, pursuant to the provisions of the Plan, designate the person named below as my beneficiary, if living at the date of my death. I reserve the right to revoke this designation. (Note: If I have a spouse, my spouse is the beneficiary unless a spousal waiver is signed by both the Member and the spouse. If there is no spouse, in the absence of a designated beneficiary, the proceeds of this Mackenzie Plan ("the Plan") will be paid to the Member's estate.)  
**The designation of a beneficiary is subject to the laws of each jurisdiction.**

Check box if beneficiary is spouse

SURNAME \_\_\_\_\_ FIRST NAME \_\_\_\_\_ RELATIONSHIP \_\_\_\_\_

Check box if same as employee  OR ➔

ADDRESS \_\_\_\_\_

ADDRESS \_\_\_\_\_

5. INVESTMENT INSTRUCTIONS For each fund selected, please check (✓) desired purchase option and specify allocation

- Note:
- As Agent for the funds, Mackenzie Investments reserves the right to reject a purchase order within two days of receipt.
  - Eligible funds are subject to the limits in the Statement of Investment Policies & Procedures governing your DCRPP.

| FUND NUMBER | FUND NAME | PURCHASE OPTIONS      |                                |                                |                       |  | SALES CHARGE | ALLOCATION |
|-------------|-----------|-----------------------|--------------------------------|--------------------------------|-----------------------|--|--------------|------------|
|             |           | REDEMPTION CHARGE (✓) | LOW LOAD 3 PURCHASE OPTION (✓) | LOW LOAD 2 PURCHASE OPTION (✓) | OTHER PURCHASE OPTION |  |              |            |
|             |           |                       |                                |                                |                       |  | %            | %          |
|             |           |                       |                                |                                |                       |  | %            | %          |
|             |           |                       |                                |                                |                       |  | %            | %          |
|             |           |                       |                                |                                |                       |  | %            | %          |
|             |           |                       |                                |                                |                       |  | %            | %          |

TRANSFER FROM ANOTHER PLAN (If allocation is different than above)

|  |  |  |  |  |  |  |                      |   |
|--|--|--|--|--|--|--|----------------------|---|
|  |  |  |  |  |  |  | %                    | % |
|  |  |  |  |  |  |  | %                    | % |
|  |  |  |  |  |  |  | %                    | % |
|  |  |  |  |  |  |  | %                    | % |
|  |  |  |  |  |  |  | %                    | % |
|  |  |  |  |  |  |  | <b>Total = 100 %</b> |   |

6. MEMBER SIGNATURE Please read carefully, sign and date

I confirm the accuracy of the information detailed above as it relates to me, my beneficiary designation and my investment selections.

By signing this Member Information Form, I acknowledge: reading the Deferred Profit Sharing Plan/Registered Pension Plan Employee Enrollment Agreement printed on the back of this application form, and acknowledge and agree to the terms and conditions of that agreement; and reading the Privacy Protection Notice on the reverse side of this application form and I consent to my personal information being collected, held, used and disclosed by Mackenzie in the ways and for the purposes identified in the Privacy Protection Notice. If I have provided information concerning my spouse/partner and/or my beneficiary, I confirm that I am authorized to provide such information.

MEMBER SIGNATURE \_\_\_\_\_

DATE (DD MMM YYYY) \_\_\_\_\_

7. TO BE COMPLETED BY PLAN SPONSOR Mandatory. This is required to set-up the account

DATE OF HIRE (DD MMM YYYY) \_\_\_\_\_

DATE OF PLAN ENTRY (DD MMM YYYY) \_\_\_\_\_

CLASS LEVEL \_\_\_\_\_

PLAN SPONSOR AUTHORIZED SIGNATURE \_\_\_\_\_

DATE (DD MMM YYYY) \_\_\_\_\_

FOR FINANCIAL ADVISOR/DEALER USE ONLY

DEALER NUMBER \_\_\_\_\_

DEALER NAME \_\_\_\_\_

DATE (DD MMM YYYY) \_\_\_\_\_

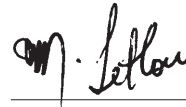
REPRESENTATIVE NUMBER \_\_\_\_\_

REPRESENTATIVE NAME \_\_\_\_\_

B2B Trustco

DEALER ACCOUNT NUMBER \_\_\_\_\_

DEALER AUTHORIZATION/REPRESENTATIVE SIGNATURE \_\_\_\_\_



Authorized Signature of Acceptance Trustee For the Plan

Account Type Detail:

- D Discount Brokerage Account  
 F Fee Based Account  
 M Discretionary Managed Account

## DEFERRED PROFIT SHARING PLAN/REGISTERED PENSION PLAN EMPLOYEE ENROLLMENT AGREEMENT

Your employer (the "Employer") has established a deferred profit sharing plan or a registered pension plan, as applicable, (the "Plan") for its employees and has entered into a trust agreement (the "Trust Agreement") with B2B Trustco (the "Trustee" or B2B Trust) which defines the Trustee's responsibilities with respect to the Plan.

I, a beneficiary under the Plan, am entering into this Employee Enrollment Agreement as of the date set forth on this Member Information Form.

### 1. I acknowledge and agree that as a condition of membership in the Plan it is my sole responsibility to:

- (a) ensure that the Employer has made the required contributions on my behalf in accordance with the Plan;
- (b) select investments on my behalf and assess the merits of those investments or obtain the advice of an agent to do these things;
- (c) ensure that the property of the Plan held on my behalf is invested in compliance with the investment rules under the Income Tax Act (Canada) (the "Act") regarding, as applicable, deferred profit sharing plans or registered pension plans;
- (d) ensure that investments selected by me or by my agent are qualified investments for the Plan under the Income Tax Act (Canada) (the "Act");
- (e) unless investments in the Plan held on my behalf are exclusively invested in Mackenzie Mutual Funds and/or B2B Trust products, I immediately notify the Trustee if an investment held in the Plan on my behalf is or becomes a non-qualified investment for the Plan under the Act; and
- (f) unless investments in the Plan held on my behalf are exclusively invested in Mackenzie Mutual Funds and/or B2B Trust products I must ensure that the Trustee is provided, upon request, with the current fair market value of any investments held by the Plan on my behalf for which there is no published market price.

**I confirm that the Trustee is not responsible for any of these matters or for any loss in value of the Plan.** I acknowledge that any financial advisor I appoint in connection with the Plan and any person from whom I obtain investment, tax or other advice is my agent and not the agent of the Trustee or any of its affiliates.

2. I further acknowledge that I may request from my Employer a copy of the Trust Agreement entered into by the Trustee and my Employer and understand and agree that the Trustee or its agent will administer the Plan in accordance with that agreement. I understand that the Trustee will provide certain services based on instructions provided by me, my Employer and my agent, however, the Trustee is under no duty to evaluate the appropriateness, accuracy or quality of any instructions received from those parties. I acknowledge that the Trustee has the right to sell any securities held on my behalf for legal, regulatory, or eligibility reasons.
3. The Trustee and its directors, officers, employees and agents are indemnified and held harmless by me and the property of the Plan held by the Trustee on my behalf from and against all expenses, liabilities, claims, losses and demands of any nature arising out of the holding of the property of the Plan on my behalf; and, the dealing with the property of the Plan on my behalf in accordance with instructions which the Trustee, or its officers, employees or agents believes in good faith to be provided by me or my agent; making financial arrangements to settle trades; and the sale, transfer or release of the property of the Plan held by the Trustee on my behalf in accordance with the provisions of the Plan and the Trust Agreement,

unless caused by or resulting from the Trustee's dishonesty, bad faith, willful misconduct or gross negligence.

Agreed and acknowledged as of the date first set forth above.

## Privacy Protection Notice

Mackenzie Financial Corporation (referred to in this Notice as "we", "us", "our", and "Mackenzie") has always been committed to protecting the privacy of personal information that we collect and maintain in the course of carrying on our business. This Notice describes how we collect, hold, use, and disclose your personal information. Please read this Notice and contact us through any of the means listed at the end of the document if you have any questions.

Members of the Mackenzie Group of Companies include any affiliates or successor companies of Mackenzie whose business relates to a purpose identified in this Notice.

In this Notice, your "Dealer" refers to an individual or entity acting or representing that it acts in connection with your investments as your investment advisor, broker, or dealer, or on behalf of your investment advisor, broker, or dealer. By applying for one of our products or services, you acknowledge and agree that your Dealer is your agent and not our agent. We are entitled to accept and act on any notice, authorization, or other communication that we believe in good faith to be given by you or your Dealer on your behalf. We are under no obligation to verify that your Dealer is properly authorized to act as your agent or is otherwise authorized to act on your behalf.

1. **Client Record and Personal Information:** We hold the personal information we collect about you (and your spouse and/or beneficiary as applicable) for the purposes identified in this Notice in a record called the "client record". Depending on the investment or service you request, the personal information in your client record may include your name, address, telephone number, social insurance number ("SIN"), birth date, account holdings, and the name, address, and SIN of your spouse and/or beneficiary among other information. For example, if you have established a pre-authorized payment plan, your financial institution account number is also held in your client record. Where you provide personal information about another individual, you represent to us that you are authorized to disclose such information to us.
2. **Providing Your Personal Information to Us:** When you or your Dealer complete an application form or otherwise open an account with Mackenzie, you are providing personal information to Mackenzie, including, where applicable, personal information concerning your spouse and/or beneficiary, in order to:
  - A. make an investment;
  - B. provide instructions about an investment you have made; or
  - C. receive information related to an investment you have made.Mackenzie collects this personal information, holds it in your client record, uses it, and discloses it for the purposes identified in this Notice.
3. **Collecting, Holding, Using, and Disclosing Personal Information in Your Client Record:** Mackenzie may collect, hold, and use the personal information in your client record as well as collect personal information from and disclose personal information to the third parties identified in paragraph 4 for the following purposes:
  - A. identifying you and ensuring the accuracy of information contained in your client record;
  - B. establishing and administering your account, determining,

maintaining, recording, and storing account holdings and transaction information in your client record;

- C. executing transactions with or through Mackenzie including transferring funds by electronic or other means;
- D. providing you and your Dealer with account statements, transaction confirmations, tax receipts, financial statements, proxy mailings, registered plan notices, and other information which you or your Dealer may request as needed to service your account;
- E. verifying information previously given by you with any other organization when necessary for the purposes provided in this Notice;
- F. processing pre-authorized debit transactions;
- G. collecting a debt owed to Mackenzie;
- H. engaging in the financing or sale of all or part of our businesses, reorganizing our businesses, and obtaining and submitting insurance claims; and
- I. meeting legal and regulatory requirements.

#### 4. Third Parties:

- A. Mackenzie may collect your personal information for the purposes identified in this Notice from third parties such as your Dealer, other companies in the Mackenzie Group of Companies, other financial institutions and mutual fund companies, and from third parties who represent that they have the right to disclose the information.
- B. Mackenzie may transfer your personal information for the purposes identified in this Notice to our service providers, such as account statement preparation and mailing companies, courier companies, imaging companies, and document storage companies. When Mackenzie transfers personal information to our service providers, we ensure by contractual means that the transferred personal information is used only for the purposes for which the service provider is retained and is protected to the same degree as it is when in our possession. We may use service providers located outside of Canada, and where we do, personal information may be disclosed in accordance with the laws of the jurisdiction in which the service provider is located, including to the government in that jurisdiction and its agencies.
- C. Mackenzie may disclose your personal information to third parties where permitted or required by law, such as disclosure for tax purposes to the Canada Revenue Agency.
- D. Mackenzie may disclose your personal information for the purposes identified in this Notice to third parties such as your Dealer, third party service providers, data-processing firms, other companies in the Mackenzie Group of Companies, other financial institutions and mutual fund companies, and group plan administrators. If you wish to withdraw consent to the continuation of this type of information sharing or discuss the implications of such withdrawal, please contact us. Your decision to withdraw consent may prevent Mackenzie from providing or continuing to provide products and services to you because the disclosure to third parties is a necessary part of making the product or service available to you.

- 5. **Using Your SIN:** By law, Mackenzie is required to use your SIN when submitting tax reports to the Canada Revenue Agency. We may use your SIN as an identifier for reasons such as consolidating your holdings so that fees associated with your account are reduced or are not charged more than once, or that your mailings are delivered in one envelope or are not duplicated. Also, we may share your SIN as a unique identifier

for the purposes identified in this Notice to third parties such as your Dealer, group plan sponsor, and third party service providers. If you have any questions or concerns about the use of your SIN please contact us.

- 6. **Location of Your Client Record:** Your client record is kept in electronic, microfilm, or paper format primarily in Toronto, but it may also be kept in other Canadian locations. To request access to your client record, please contact us.
- 7. **Changes to Your Personal Information:** Please inform Mackenzie promptly of any change in the personal information that you have provided.
- 8. **Right to Access and Rectify Personal Information:** You are entitled to access, through a written request, the personal information contained in your client record, subject to limited exceptions set out in law. You may verify this personal information and request that any inaccurate information be corrected. To access and correct your personal information, please contact us.
- 9. **Resolving Your Questions and Concerns:** If your concerns about access to and/or the correction of your personal information have not been resolved to your satisfaction, or if you have any questions or other concerns about our management of your personal information, you can contact the Privacy Compliance Officer, Mackenzie Investments, 180 Queen Street West, Toronto, Ontario, M5V 3K1. You may also send an email to [privacy@mackenzieinvestments.com](mailto:privacy@mackenzieinvestments.com). If after contacting the Privacy Compliance Officer your question or concern has not been resolved, we can direct you to the appropriate federal or provincial Privacy Commissioner.

#### **Mackenzie Client Relations:**

**Telephone:** 1-800-387-0614

**E-mail:** [service@mackenzieinvestments.com](mailto:service@mackenzieinvestments.com)

Revised: March 2012

## GENERAL INQUIRIES

For all of your general inquiries and account information please call:

|                         |                                  |              |
|-------------------------|----------------------------------|--------------|
| ENGLISH                 | 1-800-387-0614                   |              |
| BILINGUAL               | 1-800-387-0615                   |              |
| ASIAN INVESTOR SERVICES | 1-888-465-1668                   |              |
| TTY                     | 1-855-325-7030                   | 416-922-4186 |
| FAX                     | 1-866-766-6623                   | 416-922-5660 |
| E-MAIL                  | service@mackenzieinvestments.com |              |
| WEB                     | mackenzieinvestments.com         |              |

Find fund and account information online through Mackenzie Investments' secure InvestorAccess. Visit [mackenzieinvestments.com](http://mackenzieinvestments.com) for more information.