

PERSONAL INFORMATION CONSENT FORM

1. Client Account Record and Personal Information:

Personal information collected about me for purposes identified in this Privacy Protection Notice is held within my client account record. The personal information in my client record may include my name, address and telephone number, social insurance number, birth date, account holdings and the name, address and social insurance number of my spouse and beneficiary. Additional personal information may be held on my client account record. For example, if I have established a pre-authorized payment plan, my financial institution account numbers is also held in my client account record.

2. Providing My Information to Sound Wealth Management Inc.:

I am providing personal information to Sound Wealth Management Inc. in the Sound Wealth Management application form including, where applicable, information concerning my spouse and my beneficiary in order to make an investment. Sound Wealth management collects personal information, holds it in my client account record uses it and, when needed, discloses for the purposes identified in this Privacy Protection Notice.

3. Collecting, Holding, Using and Disclosing Personal Information in my Client Account Record:

Sound Wealth Management may collect, hold and use the personal information in my client account record as well as collect personal information from or disclose my personal information to the third parties identified below for the following purpose:

- a) identifying me and ensuring the accuracy of information contained in my client account record;
- b) establishing and administering my account, determining, maintaining, recording and storing account holdings and transaction information in my client account record;
- c) executing transactions with or through other fund companies or Financial Institutions including transfer of funds by electronic or other means;
- d) providing me and my financial advisor with account statements, tax receipts, financial statements for the investment that I have made, transaction information and other information which I or my financial advisor/mutual fund companies may request as needed to services my account;
- e) protecting its own business interests including collecting a debt owed to Sound Wealth Management Inc. or allowing the performance of a transaction;
- f) meeting legal and regulatory requirements; and
- g) Verifying information previously given by me with any other organization when necessary for the purposes provided in this Privacy Protection Notice.

4. Third Parties:

Sound Wealth Management Inc. may collect personal information for the purposes identified in this Privacy Protection Notice from third parties such as my financial advisor, mutual fund companies, financial institutions and from third parties who represent that they have the right to disclose the information. Sound Wealth Management may disclose my personal information for the purposes identified in this Privacy Protection Notice to third parties such as my financial advisor, mutual fund companies, other financial institutions, Canadian governments and government agencies, mailing companies and Canada Post. When Sound Wealth Management transfers personal information to the agent, for example, it ensures by contractual means that the transferred personal information is used only for the purposes for which the agent is retained.

My decision to withhold consent may limit the services that Sound Wealth Management is able to provide me because the disclosure to third parties is a necessary part of making the product or service available to me.

My personal information will not be shared with sales representatives of any other dealer firm other than Sound Wealth Management Inc., for any purposes.

5. Using my Social Insurance Number:

Sound Wealth Management Inc. is required by law to use my social insurance number when submitting tax reports to the Canada Customs and Revenue Agency.

6. Employees and Agents who Have Access to my Client Record:

Sound Wealth Management employees and agents may have access to my client account record provided they have a specific need to know in connection with the purposes identified in this Privacy Protection Notice and access is permitted only to the extent necessary for such purposes.

7. Location of my Client Account Record:

My client account record, in electronic or paper format is kept at the offices of Sound Wealth Management Inc. in North York, Ontario. My client record may be transferred to other locations for disaster recovery purposes.

8. Right to Access and Rectify Personal Information:

Except in limited circumstances prescribed by the Protection of Personal Information and Electronic Documents Act and similar provincial privacy protection legislation, I am entitled to access, through a written request, the personal information contained in my client account record. I may verify this personal information and request, in writing, that any inaccurate information be corrected. I can contact Sound Wealth Management directly at 416-756-3334 or toll free at 1-888-763-6546. If my concerns are not resolved to my satisfaction, I may send a written request to the Privacy Compliance Officer, Sound Wealth Management Inc., 505 Consumers Rd., Suite#400, North York, Ontario M2J 4V8.

9. How I can withdraw my consent:

I can withdraw my consent at any time upon reasonable notice, subject to legal or contractual restrictions. I understand that withdrawing my consent may affect Sound Wealth Management's ability to continue to provide me with products and services that I have or would like to receive.

To withdraw my consent, I will contact Sound Wealth Management's Privacy Officer at the address and/or telephone number listed in section 8.

In signing and returning this Personal Information Notice I acknowledge the receipt of the Sound Wealth Management Personal Information Notice and consent to the collection, use or disclosure of my personal information as set out in the Notice.

Date: _____

Name: _____
Please Print

Signature: _____

Date: _____

Name: _____
Please Print

Signature: _____

Sound Wealth Management Inc. appreciates your business and promises to handle your questions or input regarding personal information in a prompt and courteous manner. Please inform us promptly of any changes in the personal information that you have provided to Sound Wealth Management by contacting your Advisor or contacting Sound Wealth Management directly at 416-756-3334 or toll free at 1-888-763-6546.