

1910 Palomar Point Way, Suite 200, Carlsbad, CA 92008 T 760.444.5254 TF 800.477.7853 sprottglobal.com

**1. TYPE OF ACCOUNT:** (Check One)

**793-** \_\_\_\_\_

- |  |  |   |
|--|--|---|
| <input type="checkbox"/> Individual                                | <input type="checkbox"/> Partnership                 | <input type="checkbox"/> Trust                        |
| <input type="checkbox"/> Joint Tenants with Rights of Survivorship | <input type="checkbox"/> Corp., # of Employees _____ | <input type="checkbox"/> Pension – PSP / MPP          |
| <input type="checkbox"/> Tenants in Common                         | <input type="checkbox"/> Sole Proprietorship         | <input type="checkbox"/> IRA Type: _____              |
| <input type="checkbox"/> Custodian – UTMA                          | <input type="checkbox"/> LLC, # of Employees _____   | <input type="checkbox"/> Other (Please Specify) _____ |

**2. PRIMARY ACCOUNT OWNER/TRUSTEE/UTMA BENEFICIARY/AUTHORIZED SIGNATORY:**

Title: \_\_\_\_\_ First Name: \_\_\_\_\_ M.I.: \_\_\_\_\_ Last Name: \_\_\_\_\_  
 Trust/Company Name (if applicable): \_\_\_\_\_ Date of Trust: \_\_\_\_\_  
 Mailing Address: \_\_\_\_\_  
 City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_ Country: \_\_\_\_\_  
 If mailing address is a P.O. Box, a physical address is also required: \_\_\_\_\_  
 City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_ Country: \_\_\_\_\_  
 Home Phone: \_\_\_\_\_ Work Phone: \_\_\_\_\_  
 Mobile: \_\_\_\_\_ Email Address: \_\_\_\_\_  
 Social Security Number: \_\_\_\_\_ Tax ID Number (if applicable): \_\_\_\_\_  
 Date of Birth: \_\_\_\_\_ Country(ies) of Citizenship: \_\_\_\_\_  
 Married:  Yes  No Number of Dependents: \_\_\_\_\_  
 Occupation: \_\_\_\_\_ Employer's Business Name: \_\_\_\_\_  
 Employer's Business Address \_\_\_\_\_

**NON-U.S. CITIZENS ONLY:**

Country of Birth \_\_\_\_\_ Citizenship at Birth \_\_\_\_\_  
 Date of Citizenship Change if Current Different From Birth \_\_\_\_\_ Previous US Citizen?  Yes  No, If "Yes", date renounced \_\_\_\_\_

**EMPLOYMENT/AFFILIATION INFORMATION:**

Is any applicant employed by or affiliated with a securities firm, a securities exchange or FINRA?  Yes  No  
 Is any applicant a "control person" or "affiliate" of a public company as defined by the SEC?  Yes  No  
 Is any applicant or member of immediate family or business associate a senior foreign political official?  Yes  No  
 If you have answered 'Yes' to any of the above, please specify: \_\_\_\_\_

**3. FINANCIAL INFORMATION FOR PRIMARY ACCOUNT OWNER:** (FOR JOINT ACCOUNTS – PLEASE COMBINE BOTH ACCOUNT OWNERS)

**Annual Income:** US\$ \_\_\_\_\_  Over \$300K **Liquid Assets:** US\$ \_\_\_\_\_  Over \$100K  
**Net Worth** (Not Including Main Residence): US\$ \_\_\_\_\_  \$1Mil – \$2.1Mil  \$2.1Mil – \$5Mil  Over \$5Mil  
 Tax Bracket:  0% – 10%  11% – 15%  16% – 25%  26% – 28%  29% – 33%  34%+  
 Source of assets to be deposited to fund your account:  Salary  Savings  Other \_\_\_\_\_  
 Do you have investments held at another broker or Investment Adviser:  Yes  No  
 Investment Time Horizon – In which year do you estimate the need to begin withdrawing significant principal from this account? \_\_\_\_\_  
 Liquidity Needs – On an annual basis, how much do you expect to withdraw from this account? \$ \_\_\_\_\_  
**Investment Experience.** Please detail the number of years of experience for each:  
 Stocks: \_\_\_\_\_ Yrs Penny Stocks: \_\_\_\_\_ Yrs Options: \_\_\_\_\_ Yrs Pvt. Place – Ltd Partnership: \_\_\_\_\_ Yrs  No Prior Experience

**4. I AFFIRM THAT THE ABOVE INFORMATION IS CORRECT**

Please initial here: **X** \_\_\_\_\_

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**5. INVESTMENT OBJECTIVE:**

- Speculation – Investing in securities that are the highest risk but may offer the potential for extraordinary capital gains.
- Growth – Investing in shares of companies with a defined source of revenue and income.
- Income – Investing in debt or equity with histories of consistent dividends. Primary objective is yield.

**6. RISK TOLERANCE:**

- Maximum risk – I understand I could lose most or all of my investment and that the value of my investments may fluctuate significantly and frequently.
- High risk, including high volatility – I understand I could lose a substantial amount of my investment and that the value of my investments may fluctuate significantly and frequently.
- Moderate risk, including some volatility – I understand I could lose a portion of my investment.
- Low risk, including limited volatility – I understand I could lose a portion of my investment.

**793-** \_\_\_\_\_

**INTERNAL USE ONLY**

Date Opened: \_\_\_\_\_

CIP/OFAC/SDN Ckd By: \_\_\_\_\_

Prospect Source: \_\_\_\_\_

Existing Client

Account Executive \_\_\_\_\_ Date \_\_\_\_\_

Firm Principal \_\_\_\_\_ Date \_\_\_\_\_

**7. CASH HELD IN ACCOUNT OPTIONS:**

Money Market – If not indicated, funds will be held in cash (no sweep).

- Cash – No Money Market  RBC Bank Deposit Program (Automatic Sweep)
- Government – only available for clients who are opening self-trusteed (trustee-directed) qualified plan accounts

If I select an Automatic Sweep Investment option, I acknowledge that I am granting affirmative consent to have free credit balances in my Account included in the Cash Sweep program and have received (see last page for details), the general terms and conditions of the products available through the Cash Sweep program, and such products and terms and conditions may be changed from time to time by RBC CS.

Notes:

**8. IF YOU WISH US TO SEND DUPLICATE STATEMENTS AND/OR CONFIRMS TO A THIRD PARTY PLEASE NOTIFY YOUR BROKER.** (There will be a fee for each confirmation and statement for each account of \$1.25)

**9. PLEASE COMPLETE IF YOU ARE THE : JOINT ACCOUNT OWNER/TRUSTEE/UTMA CUSTODIAN/AUTHORIZED SIGNATORY:**

Title: \_\_\_\_\_ First Name: \_\_\_\_\_ M.I.: \_\_\_\_\_ Last Name: \_\_\_\_\_

Mailing Address (If different from Primary): \_\_\_\_\_

If mailing address is a P.O. Box, a physical address is also required: \_\_\_\_\_

Home Phone: \_\_\_\_\_ Fax: \_\_\_\_\_ Work Phone: \_\_\_\_\_

Mobile: \_\_\_\_\_ Email Address: \_\_\_\_\_

Social Security Number: \_\_\_\_\_ Date of Birth: \_\_\_\_\_ Married:  Yes  No Number of Dependents: \_\_\_\_\_

Country of Citizenship:  US  Other (Please specify): \_\_\_\_\_  Non Resident Alien

Occupation: \_\_\_\_\_ Employer's Business Name and Address: \_\_\_\_\_

**NON-U.S. CITIZENS ONLY:**

Country of Birth: \_\_\_\_\_ Citizenship at Birth: \_\_\_\_\_

If Different, Date of Citizenship Change: \_\_\_\_\_ Previous US Citizen?  Yes  No, If "Yes", date renounced: \_\_\_\_\_

**PREVIOUS INVESTMENT EXPERIENCE. PLEASE DETAIL THE NUMBER OF YEARS OF EXPERIENCE FOR EACH:**

Stocks: \_\_\_\_\_ Yrs. Penny Stocks: \_\_\_\_\_ Yrs. Options: \_\_\_\_\_ Yrs. Pvt. Place – Ltd Partnership: \_\_\_\_\_ Yrs.  No Prior Experience

**10. BY MY/OUR SIGNATURE(S) I/WE AFFIRM THAT THE ABOVE INFORMATION IS CORRECT AND THAT I/WE HAVE RECEIVED THE SEPARATE "PENNY STOCK DISCLOSURES STATEMENT" AND UNDERSTAND THE RISKS INVOLVED. I/WE HAVE RECEIVED, READ AND ACCEPT THE PRIVACY POLICY AND DISCLOSURES, AND HAVE RECEIVED, READ AND AGREE TO THE PREDISPUTE ARBITRATION CLAUSE IN PARAGRAPH 3 OF THE ARBITRATION AGREEMENT.**

(All persons named must sign here)

**X** \_\_\_\_\_  
Signature of Account Holder Date

**X** \_\_\_\_\_  
Signature of Account Holder Date

793-\_\_\_\_\_

**RBC Bank Deposit Program – FDIC Insured Cash Sweep Program**

The RBC Bank Deposit Program (BDP) sweeps cash in client accounts into interest-bearing accounts at multiple Federal Deposit Insurance Corporation (FDIC)-insured banks offering an aggregated total of \$5,000,000 in FDIC-insurance coverage (\$10 million for accounts held jointly by two or more persons).

**Benefits of the RBC Bank Deposit Program:**

- This program is ideal for clients who wish to earn interest on their cash but who place a high priority on the safety of principal.
- The RBC Bank Deposit Program sweeps cash into interest-bearing accounts at FDIC-insured banks that RBC has thoroughly reviewed; only creditworthy banks participate in the program.
- You can maintain deposits in multiple banks with up to \$2,500,000 aggregate FDIC insurance coverage, and you have the ability to exclude certain banks from receiving your deposits.
- You don't have to manage relationships with multiple banks. RBC does it for you. In addition, RBC reports cash balance held at each bank, the interest rate and the Annual Percentage Yield Earned (APYE) on each client statement.



By signing the filled-out form, you:

1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),
2. Certify that you are not subject to backup withholding, or
3. Claim exemption from backup withholding if you are a U.S. exempt payee. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the withholding tax on foreign partners' share of effectively connected income, and
4. Certify that FATCA code(s) entered on this form (if any) indicating that you are exempt from the FATCA reporting, is correct. See *What is FATCA reporting*, later, for further information.

**Note:** If you are a U.S. person and a requester gives you a form other than Form W-9 to request your TIN, you must use the requester's form if it is substantially similar to this Form W-9.

**Definition of a U.S. person.** For federal tax purposes, you are considered a U.S. person if you are:

- An individual who is a U.S. citizen or U.S. resident alien;
- A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States;
- An estate (other than a foreign estate); or
- A domestic trust (as defined in Regulations section 301.7701-7).

**Special rules for partnerships.** Partnerships that conduct a trade or business in the United States are generally required to pay a withholding tax under section 1446 on any foreign partners' share of effectively connected taxable income from such business. Further, in certain cases where a Form W-9 has not been received, the rules under section 1446 require a partnership to presume that a partner is a foreign person, and pay the section 1446 withholding tax. Therefore, if you are a U.S. person that is a partner in a partnership conducting a trade or business in the United States, provide Form W-9 to the partnership to establish your U.S. status and avoid section 1446 withholding on your share of partnership income.

In the cases below, the following person must give Form W-9 to the partnership for purposes of establishing its U.S. status and avoiding withholding on its allocable share of net income from the partnership conducting a trade or business in the United States.

- In the case of a disregarded entity with a U.S. owner, the U.S. owner of the disregarded entity and not the entity;
- In the case of a grantor trust with a U.S. grantor or other U.S. owner, generally, the U.S. grantor or other U.S. owner of the grantor trust and not the trust; and
- In the case of a U.S. trust (other than a grantor trust), the U.S. trust (other than a grantor trust) and not the beneficiaries of the trust.

**Foreign person.** If you are a foreign person or the U.S. branch of a foreign bank that has elected to be treated as a U.S. person, do not use Form W-9. Instead, use the appropriate Form W-8 or Form 8233 (see Pub. 515, *Withholding of Tax on Nonresident Aliens and Foreign Entities*).

**Nonresident alien who becomes a resident alien.** Generally, only a nonresident alien individual may use the terms of a tax treaty to reduce or eliminate U.S. tax on certain types of income. However, most tax treaties contain a provision known as a "saving clause." Exceptions specified in the saving clause may permit an exemption from tax to continue for certain types of income even after the payee has otherwise become a U.S. resident alien for tax purposes.

If you are a U.S. resident alien who is relying on an exception contained in the saving clause of a tax treaty to claim an exemption from U.S. tax on certain types of income, you must attach a statement to Form W-9 that specifies the following five items.

1. The treaty country. Generally, this must be the same treaty under which you claimed exemption from tax as a nonresident alien.
2. The treaty article addressing the income.
3. The article number (or location) in the tax treaty that contains the saving clause and its exceptions.
4. The type and amount of income that qualifies for the exemption from tax.
5. Sufficient facts to justify the exemption from tax under the terms of the treaty article.

**Example.** Article 20 of the U.S.-China income tax treaty allows an exemption from tax for scholarship income received by a Chinese student temporarily present in the United States. Under U.S. law, this student will become a resident alien for tax purposes if his or her stay in the United States exceeds 5 calendar years. However, paragraph 2 of the first Protocol to the U.S.-China treaty (dated April 30, 1984) allows the provisions of Article 20 to continue to apply even after the Chinese student becomes a resident alien of the United States. A Chinese student who qualifies for this exception (under paragraph 2 of the first protocol) and is relying on this exception to claim an exemption from tax on his or her scholarship or fellowship income would attach to Form W-9 a statement that includes the information described above to support that exemption.

If you are a nonresident alien or a foreign entity, give the requester the appropriate completed Form W-8 or Form 8233.

## Backup Withholding

**What is backup withholding?** Persons making certain payments to you must under certain conditions withhold and pay to the IRS 28% of such payments. This is called "backup withholding." Payments that may be subject to backup withholding include interest, tax-exempt interest, dividends, broker and barter exchange transactions, rents, royalties, nonemployee pay, payments made in settlement of payment card and third party network transactions, and certain payments from fishing boat operators. Real estate transactions are not subject to backup withholding.

You will not be subject to backup withholding on payments you receive if you give the requester your correct TIN, make the proper certifications, and report all your taxable interest and dividends on your tax return.

**Payments you receive will be subject to backup withholding if:**

1. You do not furnish your TIN to the requester,
2. You do not certify your TIN when required (see the instructions for Part II for details),
3. The IRS tells the requester that you furnished an incorrect TIN,
4. The IRS tells you that you are subject to backup withholding because you did not report all your interest and dividends on your tax return (for reportable interest and dividends only), or
5. You do not certify to the requester that you are not subject to backup withholding under 4 above (for reportable interest and dividend accounts opened after 1983 only).

Certain payees and payments are exempt from backup withholding. See *Exempt payee code*, later, and the separate Instructions for the Requester of Form W-9 for more information.

Also see *Special rules for partnerships*, earlier.

## What is FATCA Reporting?

The Foreign Account Tax Compliance Act (FATCA) requires a participating foreign financial institution to report all United States account holders that are specified United States persons. Certain payees are exempt from FATCA reporting. See *Exemption from FATCA reporting code*, later, and the Instructions for the Requester of Form W-9 for more information.

## Updating Your Information

You must provide updated information to any person to whom you claimed to be an exempt payee if you are no longer an exempt payee and anticipate receiving reportable payments in the future from this person. For example, you may need to provide updated information if you are a C corporation that elects to be an S corporation, or if you no longer are tax exempt. In addition, you must furnish a new Form W-9 if the name or TIN changes for the account; for example, if the grantor of a grantor trust dies.

## Penalties

**Failure to furnish TIN.** If you fail to furnish your correct TIN to a requester, you are subject to a penalty of \$50 for each such failure unless your failure is due to reasonable cause and not to willful neglect.

**Civil penalty for false information with respect to withholding.** If you make a false statement with no reasonable basis that results in no backup withholding, you are subject to a \$500 penalty.

**Criminal penalty for falsifying information.** Willfully falsifying certifications or affirmations may subject you to criminal penalties including fines and/or imprisonment.

**Misuse of TINs.** If the requester discloses or uses TINs in violation of federal law, the requester may be subject to civil and criminal penalties.

## Specific Instructions

### Line 1

You must enter one of the following on this line; **do not** leave this line blank. The name should match the name on your tax return.

If this Form W-9 is for a joint account (other than an account maintained by a foreign financial institution (FFI)), list first, and then circle, the name of the person or entity whose number you entered in Part I of Form W-9. If you are providing Form W-9 to an FFI to document a joint account, each holder of the account that is a U.S. person must provide a Form W-9.

a. **Individual.** Generally, enter the name shown on your tax return. If you have changed your last name without informing the Social Security Administration (SSA) of the name change, enter your first name, the last name as shown on your social security card, and your new last name.

**Note: ITIN applicant:** Enter your individual name as it was entered on your Form W-7 application, line 1a. This should also be the same as the name you entered on the Form 1040/1040A/1040EZ you filed with your application.

b. **Sole proprietor or single-member LLC.** Enter your individual name as shown on your 1040/1040A/1040EZ on line 1. You may enter your business, trade, or “doing business as” (DBA) name on line 2.

c. **Partnership, LLC that is not a single-member LLC, C corporation, or S corporation.** Enter the entity’s name as shown on the entity’s tax return on line 1 and any business, trade, or DBA name on line 2.

d. **Other entities.** Enter your name as shown on required U.S. federal tax documents on line 1. This name should match the name shown on the charter or other legal document creating the entity. You may enter any business, trade, or DBA name on line 2.

e. **Disregarded entity.** For U.S. federal tax purposes, an entity that is disregarded as an entity separate from its owner is treated as a “disregarded entity.” See Regulations section 301.7701-2(c)(2)(iii). Enter the owner’s name on line 1. The name of the entity entered on line 1 should never be a disregarded entity. The name on line 1 should be the name shown on the income tax return on which the income should be reported. For example, if a foreign LLC that is treated as a disregarded entity for U.S. federal tax purposes has a single owner that is a U.S. person, the U.S. owner’s name is required to be provided on line 1. If the direct owner of the entity is also a disregarded entity, enter the first owner that is not disregarded for federal tax purposes. Enter the disregarded entity’s name on line 2, “Business name/disregarded entity name.” If the owner of the disregarded entity is a foreign person, the owner must complete an appropriate Form W-8 instead of a Form W-9. This is the case even if the foreign person has a U.S. TIN.

### Line 2

If you have a business name, trade name, DBA name, or disregarded entity name, you may enter it on line 2.

### Line 3

Check the appropriate box on line 3 for the U.S. federal tax classification of the person whose name is entered on line 1. Check only one box on line 3.

IF the entity/person on line 1 is a(n) . . .	THEN check the box for . . .
• Corporation	Corporation
• Individual • Sole proprietorship, or • Single-member limited liability company (LLC) owned by an individual and disregarded for U.S. federal tax purposes.	Individual/sole proprietor or single-member LLC
• LLC treated as a partnership for U.S. federal tax purposes, • LLC that has filed Form 8832 or 2553 to be taxed as a corporation, or • LLC that is disregarded as an entity separate from its owner but the owner is another LLC that is not disregarded for U.S. federal tax purposes.	Limited liability company and enter the appropriate tax classification. (P= Partnership; C= C corporation; or S= S corporation)
• Partnership	Partnership
• Trust/estate	Trust/estate

### Line 4, Exemptions

If you are exempt from backup withholding and/or FATCA reporting, enter in the appropriate space on line 4 any code(s) that may apply to you.

#### Exempt payee code.

- Generally, individuals (including sole proprietors) are not exempt from backup withholding.
- Except as provided below, corporations are exempt from backup withholding for certain payments, including interest and dividends.
- Corporations are not exempt from backup withholding for payments made in settlement of payment card or third party network transactions.
- Corporations are not exempt from backup withholding with respect to attorneys’ fees or gross proceeds paid to attorneys, and corporations that provide medical or health care services are not exempt with respect to payments reportable on Form 1099-MISC.

The following codes identify payees that are exempt from backup withholding. Enter the appropriate code in the space in line 4.

- 1—An organization exempt from tax under section 501(a), any IRA, or a custodial account under section 403(b)(7) if the account satisfies the requirements of section 401(f)(2)
- 2—The United States or any of its agencies or instrumentalities
- 3—A state, the District of Columbia, a U.S. commonwealth or possession, or any of their political subdivisions or instrumentalities
- 4—A foreign government or any of its political subdivisions, agencies, or instrumentalities
- 5—A corporation
- 6—A dealer in securities or commodities required to register in the United States, the District of Columbia, or a U.S. commonwealth or possession
- 7—A futures commission merchant registered with the Commodity Futures Trading Commission
- 8—A real estate investment trust
- 9—An entity registered at all times during the tax year under the Investment Company Act of 1940
- 10—A common trust fund operated by a bank under section 584(a)
- 11—A financial institution
- 12—A middleman known in the investment community as a nominee or custodian
- 13—A trust exempt from tax under section 664 or described in section 4947

The following chart shows types of payments that may be exempt from backup withholding. The chart applies to the exempt payees listed above, 1 through 13.

IF the payment is for . . .	THEN the payment is exempt for . . .
Interest and dividend payments	All exempt payees except for 7
Broker transactions	Exempt payees 1 through 4 and 6 through 11 and all C corporations. S corporations must not enter an exempt payee code because they are exempt only for sales of noncovered securities acquired prior to 2012.
Barter exchange transactions and patronage dividends	Exempt payees 1 through 4
Payments over \$600 required to be reported and direct sales over \$5,000 <sup>1</sup>	Generally, exempt payees 1 through 5 <sup>2</sup>
Payments made in settlement of payment card or third party network transactions	Exempt payees 1 through 4

<sup>1</sup> See Form 1099-MISC, Miscellaneous Income, and its instructions.

<sup>2</sup> However, the following payments made to a corporation and reportable on Form 1099-MISC are not exempt from backup withholding: medical and health care payments, attorneys' fees, gross proceeds paid to an attorney reportable under section 6045(f), and payments for services paid by a federal executive agency.

**Exemption from FATCA reporting code.** The following codes identify payees that are exempt from reporting under FATCA. These codes apply to persons submitting this form for accounts maintained outside of the United States by certain foreign financial institutions. Therefore, if you are only submitting this form for an account you hold in the United States, you may leave this field blank. Consult with the person requesting this form if you are uncertain if the financial institution is subject to these requirements. A requester may indicate that a code is not required by providing you with a Form W-9 with "Not Applicable" (or any similar indication) written or printed on the line for a FATCA exemption code.

A—An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37)

B—The United States or any of its agencies or instrumentalities

C—A state, the District of Columbia, a U.S. commonwealth or possession, or any of their political subdivisions or instrumentalities

D—A corporation the stock of which is regularly traded on one or more established securities markets, as described in Regulations section 1.1472-1(c)(1)(i)

E—A corporation that is a member of the same expanded affiliated group as a corporation described in Regulations section 1.1472-1(c)(1)(i)

F—A dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any state

G—A real estate investment trust

H—A regulated investment company as defined in section 851 or an entity registered at all times during the tax year under the Investment Company Act of 1940

I—A common trust fund as defined in section 584(a)

J—A bank as defined in section 581

K—A broker

L—A trust exempt from tax under section 664 or described in section 4947(a)(1)

M—A tax exempt trust under a section 403(b) plan or section 457(g) plan

**Note:** You may wish to consult with the financial institution requesting this form to determine whether the FATCA code and/or exempt payee code should be completed.

## Line 5

Enter your address (number, street, and apartment or suite number). This is where the requester of this Form W-9 will mail your information returns. If this address differs from the one the requester already has on file, write NEW at the top. If a new address is provided, there is still a chance the old address will be used until the payor changes your address in their records.

## Line 6

Enter your city, state, and ZIP code.

## Part I. Taxpayer Identification Number (TIN)

**Enter your TIN in the appropriate box.** If you are a resident alien and you do not have and are not eligible to get an SSN, your TIN is your IRS individual taxpayer identification number (ITIN). Enter it in the social security number box. If you do not have an ITIN, see *How to get a TIN* below.

If you are a sole proprietor and you have an EIN, you may enter either your SSN or EIN.

If you are a single-member LLC that is disregarded as an entity separate from its owner, enter the owner's SSN (or EIN, if the owner has one). Do not enter the disregarded entity's EIN. If the LLC is classified as a corporation or partnership, enter the entity's EIN.

**Note:** See *What Name and Number To Give the Requester*, later, for further clarification of name and TIN combinations.

**How to get a TIN.** If you do not have a TIN, apply for one immediately. To apply for an SSN, get Form SS-5, Application for a Social Security Card, from your local SSA office or get this form online at [www.SSA.gov](http://www.SSA.gov). You may also get this form by calling 1-800-772-1213. Use Form W-7, Application for IRS Individual Taxpayer Identification Number, to apply for an ITIN, or Form SS-4, Application for Employer Identification Number, to apply for an EIN. You can apply for an EIN online by accessing the IRS website at [www.irs.gov/Businesses](http://www.irs.gov/Businesses) and clicking on Employer Identification Number (EIN) under Starting a Business. Go to [www.irs.gov/Forms](http://www.irs.gov/Forms) to view, download, or print Form W-7 and/or Form SS-4. Or, you can go to [www.irs.gov/OrderForms](http://www.irs.gov/OrderForms) to place an order and have Form W-7 and/or SS-4 mailed to you within 10 business days.

If you are asked to complete Form W-9 but do not have a TIN, apply for a TIN and write "Applied For" in the space for the TIN, sign and date the form, and give it to the requester. For interest and dividend payments, and certain payments made with respect to readily tradable instruments, generally you will have 60 days to get a TIN and give it to the requester before you are subject to backup withholding on payments. The 60-day rule does not apply to other types of payments. You will be subject to backup withholding on all such payments until you provide your TIN to the requester.

**Note:** Entering "Applied For" means that you have already applied for a TIN or that you intend to apply for one soon.

**Caution:** A disregarded U.S. entity that has a foreign owner must use the appropriate Form W-8.

## Part II. Certification

To establish to the withholding agent that you are a U.S. person, or resident alien, sign Form W-9. You may be requested to sign by the withholding agent even if item 1, 4, or 5 below indicates otherwise.

For a joint account, only the person whose TIN is shown in Part I should sign (when required). In the case of a disregarded entity, the person identified on line 1 must sign. Exempt payees, see *Exempt payee code*, earlier.

**Signature requirements.** Complete the certification as indicated in items 1 through 5 below.

**1. Interest, dividend, and barter exchange accounts opened before 1984 and broker accounts considered active during 1983.**

You must give your correct TIN, but you do not have to sign the certification.

**2. Interest, dividend, broker, and barter exchange accounts opened after 1983 and broker accounts considered inactive during 1983.**

You must sign the certification or backup withholding will apply. If you are subject to backup withholding and you are merely providing your correct TIN to the requester, you must cross out item 2 in the certification before signing the form.

**3. Real estate transactions.**

You must sign the certification. You may cross out item 2 of the certification.

**4. Other payments.**

You must give your correct TIN, but you do not have to sign the certification unless you have been notified that you have previously given an incorrect TIN. "Other payments" include payments made in the course of the requester's trade or business for rents, royalties, goods (other than bills for merchandise), medical and health care services (including payments to corporations), payments to a nonemployee for services, payments made in settlement of payment card and third party network transactions, payments to certain fishing boat crew members and fishermen, and gross proceeds paid to attorneys (including payments to corporations).

**5. Mortgage interest paid by you, acquisition or abandonment of secured property, cancellation of debt, qualified tuition program payments (under section 529), ABLE accounts (under section 529A), IRA, Coverdell ESA, Archer MSA or HSA contributions or distributions, and pension distributions.**

You must give your correct TIN, but you do not have to sign the certification.

**What Name and Number To Give the Requester**

For this type of account:	Give name and SSN of:
1. Individual	The individual
2. Two or more individuals (joint account) other than an account maintained by an FFI	The actual owner of the account or, if combined funds, the first individual on the account <sup>1</sup>
3. Two or more U.S. persons (joint account maintained by an FFI)	Each holder of the account
4. Custodial account of a minor (Uniform Gift to Minors Act)	The minor <sup>2</sup>
5. a. The usual revocable savings trust (grantor is also trustee)	The grantor-trustee <sup>1</sup>
b. So-called trust account that is not a legal or valid trust under state law	The actual owner <sup>1</sup>
6. Sole proprietorship or disregarded entity owned by an individual	The owner <sup>3</sup>
7. Grantor trust filing under Optional Form 1099 Filing Method 1 (see Regulations section 1.671-4(b)(2)(i)(A))	The grantor*
For this type of account:	Give name and EIN of:
8. Disregarded entity not owned by an individual	The owner
9. A valid trust, estate, or pension trust	Legal entity <sup>4</sup>
10. Corporation or LLC electing corporate status on Form 8832 or Form 2553	The corporation
11. Association, club, religious, charitable, educational, or other tax-exempt organization	The organization
12. Partnership or multi-member LLC	The partnership
13. A broker or registered nominee	The broker or nominee

For this type of account:	Give name and EIN of:
14. Account with the Department of Agriculture in the name of a public entity (such as a state or local government, school district, or prison) that receives agricultural program payments	The public entity
15. Grantor trust filing under the Form 1041 Filing Method or the Optional Form 1099 Filing Method 2 (see Regulations section 1.671-4(b)(2)(i)(B))	The trust

<sup>1</sup> List first and circle the name of the person whose number you furnish. If only one person on a joint account has an SSN, that person's number must be furnished.

<sup>2</sup> Circle the minor's name and furnish the minor's SSN.

<sup>3</sup> You must show your individual name and you may also enter your business or DBA name on the "Business name/disregarded entity" name line. You may use either your SSN or EIN (if you have one), but the IRS encourages you to use your SSN.

<sup>4</sup> List first and circle the name of the trust, estate, or pension trust. (Do not furnish the TIN of the personal representative or trustee unless the legal entity itself is not designated in the account title.) Also see *Special rules for partnerships*, earlier.

\*Note: The grantor also must provide a Form W-9 to trustee of trust.

Note: If no name is circled when more than one name is listed, the number will be considered to be that of the first name listed.

**Secure Your Tax Records From Identity Theft**

Identity theft occurs when someone uses your personal information such as your name, SSN, or other identifying information, without your permission, to commit fraud or other crimes. An identity thief may use your SSN to get a job or may file a tax return using your SSN to receive a refund.

To reduce your risk:

- Protect your SSN,
- Ensure your employer is protecting your SSN, and
- Be careful when choosing a tax preparer.

If your tax records are affected by identity theft and you receive a notice from the IRS, respond right away to the name and phone number printed on the IRS notice or letter.

If your tax records are not currently affected by identity theft but you think you are at risk due to a lost or stolen purse or wallet, questionable credit card activity or credit report, contact the IRS Identity Theft Hotline at 1-800-908-4490 or submit Form 14039.

For more information, see Pub. 5027, Identity Theft Information for Taxpayers.

Victims of identity theft who are experiencing economic harm or a systemic problem, or are seeking help in resolving tax problems that have not been resolved through normal channels, may be eligible for Taxpayer Advocate Service (TAS) assistance. You can reach TAS by calling the TAS toll-free case intake line at 1-877-777-4778 or TTY/TDD 1-800-829-4059.

**Protect yourself from suspicious emails or phishing schemes.**

Phishing is the creation and use of email and websites designed to mimic legitimate business emails and websites. The most common act is sending an email to a user falsely claiming to be an established legitimate enterprise in an attempt to scam the user into surrendering private information that will be used for identity theft.



The IRS does not initiate contacts with taxpayers via emails. Also, the IRS does not request personal detailed information through email or ask taxpayers for the PIN numbers, passwords, or similar secret access information for their credit card, bank, or other financial accounts.

If you receive an unsolicited email claiming to be from the IRS, forward this message to [phishing@irs.gov](mailto:phishing@irs.gov). You may also report misuse of the IRS name, logo, or other IRS property to the Treasury Inspector General for Tax Administration (TIGTA) at 1-800-366-4484. You can forward suspicious emails to the Federal Trade Commission at [spam@uce.gov](mailto:spam@uce.gov) or report them at [www.ftc.gov/complaint](http://www.ftc.gov/complaint). You can contact the FTC at [www.ftc.gov/idtheft](http://www.ftc.gov/idtheft) or 877-IDTHEFT (877-438-4338). If you have been the victim of identity theft, see [www.IdentityTheft.gov](http://www.IdentityTheft.gov) and Pub. 5027.

Visit [www.irs.gov/IdentityTheft](http://www.irs.gov/IdentityTheft) to learn more about identity theft and how to reduce your risk.

## Privacy Act Notice

Section 6109 of the Internal Revenue Code requires you to provide your correct TIN to persons (including federal agencies) who are required to file information returns with the IRS to report interest, dividends, or certain other income paid to you; mortgage interest you paid; the acquisition or abandonment of secured property; the cancellation of debt; or contributions you made to an IRA, Archer MSA, or HSA. The person collecting this form uses the information on the form to file information returns with the IRS, reporting the above information. Routine uses of this information include giving it to the Department of Justice for civil and criminal litigation and to cities, states, the District of Columbia, and U.S. commonwealths and possessions for use in administering their laws. The information also may be disclosed to other countries under a treaty, to federal and state agencies to enforce civil and criminal laws, or to federal law enforcement and intelligence agencies to combat terrorism. You must provide your TIN whether or not you are required to file a tax return. Under section 3406, payers must generally withhold a percentage of taxable interest, dividend, and certain other payments to a payee who does not give a TIN to the payer. Certain penalties may also apply for providing false or fraudulent information.

Account Number \_\_\_\_\_

Rep ID \_\_\_\_\_ Alternate Branch \_\_\_\_\_

**JOINT ACCOUNT AGREEMENT  
TENANTS IN COMMON**

**CLIENT INFORMATION**

We, the undersigned, request you to open a joint account in our names as designated below, as to which we are **tenants in common** of said account, with each of the undersigned or his or her estate having the following interests:

Names and Addresses of Joint Tenants	Name of Joint Tenant	% of Interest
	Name of Joint Tenant	% of Interest
	Name of Joint Tenant	% of Interest

In consideration of your carrying a joint account for the undersigned, the undersigned jointly and severally agree that each of them individually shall have authority on behalf of the joint account to: close, terminate, or transfer the joint account; buy, sell (including short sales), and otherwise deal in, through you as brokers, stocks, bonds, options and other securities and commodities, on RBC Express Credit (margin) or otherwise; receive on behalf of the joint account demands, notices, confirmations, reports, statements of account and communications of every kind; receive on behalf of the joint account money, securities and property of every kind and dispose of same; make on behalf of the joint account agreements relating to any of the foregoing matters and to terminate or modify same or waive any of the provisions thereof; and generally deal with you on behalf of the joint account as fully and completely as if he or she alone were interested in the said account, all without notice to the other or others interested in said account. You are authorized to follow instructions of the undersigned individually in every respect concerning the said joint account with you and to make deliveries to any of the undersigned, or upon his or her instructions, of any or all securities in the said joint account, and to make payments to any of the undersigned, or upon his or her order, of any or all monies at any time or from time to time in the said joint account as he or she may order and direct, even if such deliveries and/or payments shall be made to him or her personally, and not for the joint account of the undersigned. In the event of any such deliveries of securities or payments of monies to any of the undersigned as aforesaid, you shall be under no duty or obligation to inquire into the purpose or propriety of any such demand for delivery of securities or payment of monies, and you shall not be bound to see to the application or disposition of the said securities and/or monies so delivered or paid to any of the undersigned or upon his or her order. The authority hereby conferred shall remain in force until written notice of the revocation addressed to you is delivered at your main office.

The liability of the undersigned with respect to said account shall be joint and several. The undersigned further agree jointly and severally that all property you may at any time be holding or carrying for the joint account or for any one or more of the undersigned in this or a different joint or non-joint account shall be joint and several. The undersigned further agree jointly and severally that all property you may at any time be holding or carrying for the joint account or for any one or more of the undersigned in this or a different joint or non-joint account shall be subject to a lien in your discharge of the obligations in any other account maintained by the undersigned to you, such lien to be in addition to and not in substitution of the rights and remedies you otherwise would have.

It is further agreed that in the event of the death of either or any of the undersigned, the survivor or survivors shall immediately give you written notice thereof, and you may, before or after receiving such notice, take such proceeding, require such papers and inheritance or estate tax waivers, retain such portion of and/or restrict transaction in the account as you may deem advisable to protect you against any tax, liability, penalty or loss under any present or future laws or otherwise. The estate of any of the undersigned who shall have died shall be liable and each survivor shall continue to be liable jointly and severally to you for any net debit balance or loss in said account in any way resulting from the completion of transactions initiated prior to the receipt by you of the written notice of the death of the decedent or incurred in the liquidation of the account or the adjustment of the interests of the respective parties.

In the event of the death of either or any of the undersigned, the interests in the account shall be as designated above, but any taxes, costs, expenses or other charges becoming a lien against or being payable out the account as a result of death of the decedent, or through the exercise by his or her estate or representatives of any rights in the account shall, so far as possible, be deducted from the interest of the estate of such decedent.

Notwithstanding the foregoing, you are authorized, at your discretion, to require joint or collective action by all of the undersigned with respect to any matter concerning their joint account, including, but not limited to, the giving or cancellation of orders, and the withdrawal of money or securities, and in the event you should receive conflicting instructions from each of the undersigned, you are authorized at your sole discretion and without liability to any of us because of fluctuating market conditions or otherwise to do any one or more of the following: (1) select which instructions to follow and which to disregard; (2) suspend all activity in said account, and refuse to buy, sell or trade any security or commodity, and refuse to disburse any monies or properties, except upon further written instructions signed by all of the undersigned; (3) close said account and send any and all securities, monies, or other property by ordinary mail to the address of record; and (4) file an interpleader action in any appropriate court, in which event you shall be entitled to recover all costs including reasonable attorneys' fees.

Subject to the provisions hereof, all notices or communications for the undersigned with respect to the joint account are to be directed to the address given above.

**SIGNATURES**

Signature of Joint Tenant	Date	Print Name
Signature of Joint Tenant	Date	Print Name
Signature of Joint Tenant	Date	Print Name

All tenants in common must sign. Attach an extra page if necessary.

**ANTI-MONEY LAUNDERING** To help our country fight the funding of terrorism and money laundering activities, Federal law requires all financial institutions to obtain, verify, and record information that identifies each person who opens an account. *What this means for you:* When you open an account, we will ask for your name, physical address, date of birth and other information that will allow us the ability to identify you. We may also ask for a copy of your driver's license, passport or other identifying documents.

**FINANCIAL INDUSTRY REGULATORY AUTHORITY (FINRA) PUBLIC DISCLOSURE INFORMATION** The FINRA Regulation Public Disclosure Program Hotline: 800-289-9999. FINRA Regulation Website: <http://www.finra.org>. You may review/order the investor brochure that includes information describing the Public Disclosure Program from their website or by calling 800-289-9999. You can look up a broker dealer or individual broker using FINRA's BrokerCheck® at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/index.htm>.

**SECURITIES INVESTOR PROTECTION CORPORATION (SIPC)** You may obtain information about the SIPC, including the SIPC brochure, by contacting SIPC at 202-371-8300, by going to the SIPC website at [www.sipc.org](http://www.sipc.org) or by email at [asksipc@sipc.org](mailto:asksipc@sipc.org).

**COMPLAINTS** Complaints regarding your account should be directed to: Chief Compliance Officer, Sprott Global Resource Investments Ltd., 1910 Palomar Point Suite 200, Carlsbad, CA 92008. Phone 800-477-7853 or 760-444-5254.

**RBC CORRESPONDENT SERVICES (RBC CS), a division of RBC Capital Markets, LLC, Member NYSE/FINRA/SIPC**  
In order to better service your financial needs our firm has engaged an independent member of the New York Stock Exchange and other major exchanges as our Clearing Agent. Accordingly, your account and all regulations governing it may fall within the control of both firms pursuant to a written agreement between the Clearing Agent and us. Under this agreement, the Clearing Agent will: provide cashiering services; monitor compliance of credit according to applicable rules, regulations and policies; prepare or provide information for transaction confirmations and periodic account statements; and provide for the dissemination of proxy, tender offer, and other similar shareholder's materials. In addition, the Clearing Agent may provide, upon our specific instructions, order execution and/or certificate clearance. However, the Clearing Agent will not be involved with or have responsibility for decisions regarding transactions in your account. While you continue to be a customer of our firm, the opening and approval of accounts and the entry of orders and instructions regarding the deposit or withdrawal of securities or money for your account must be handled by us. We will continue to be responsible for all activities in connection with your account and inquiries regarding your account should be directed to us. Information about our Clearing Agent is available upon request.

**SEC ORDER HANDLING DISCLOSURE - SEC Rule 606** As adopted in November 2000, SEC Rule 606 requires all broker dealers that route orders in equity and option securities to make available quarterly reports that present a general overview of their routing practices. As stated above, Sprott Global Resource Investments Ltd. (Sprott Global) is an introducing broker dealer. Transactions effected by Sprott Global are executed and settled through our Clearing Agent, RBC CS, a division of RBC Capital Markets Corp., and also through third party broker dealers. Being that RBC CS makes the routing decisions concerning the customer orders routed through them without regard to the identity of Sprott Global as its introducing broker dealer, Sprott Global feels that RBC CS is in the best position to prepare a quarterly report that reflects its routing practices on our behalf. You can review RBC CS' SEC Order Handling Disclosures at: <http://external.s3.com/rule606/rbcwm/>. For historical information, visit <http://www.tagaudit.com/do/display?page=Rule606::Report>.

**PROHIBITED ACCOUNTS** Pursuant to US regulations issued under Section 311 of the USA PATRIOT Act, 31 CFR 103.192, we prohibit customers from establishing, maintaining, administering or managing an account for, or on behalf of the financial institutions listed under this section: [http://www.fincen.gov/statutes\\_regs/patriot/section311.html](http://www.fincen.gov/statutes_regs/patriot/section311.html). The regulations also require us to notify you that your correspondent account with our firm may not be used to provide the financial institutions listed under Section 311 with access to our firm. If we become aware that these institutions are indirectly using the correspondent account you hold at our firm, we will be required to take appropriate steps to prevent such access, including terminating your account.

**BUSINESS CONTINUITY PLANNING** Sprott Global has developed a Business Continuity Plan (BCP) on how we will respond to events that significantly disrupt our business. Since the timing and impact of disasters and disruptions is unpredictable, we will have to be flexible in responding to actual events as they occur. With that in mind, we are providing you with this information on our plan.

**Contacting Us** If after a significant business disruption you cannot contact us as you usually do at 800-477-7853 or 760-444-5254, you should call our emergency number 773-209-4777, alternative fax 760-683-6578 or go to our website at [www.sprottglobal.com](http://www.sprottglobal.com).

**Our Business Continuity Plan** We plan to quickly recover and resume business operations after a significant business disruption and respond by safeguarding our employees and property, making a financial and operational assessment protecting the firm's books and records, and allowing our customers to transact business. In short, our BCP is designed to permit our firm to resume operations as quickly as possible, given the scope and severity of the significant business disruption.

Our BCP addresses: data backup and recovery; all mission critical systems; financial and operational assessments; alternative communications with customers, employees, and regulators; alternate physical location of employees; critical supplier, contractor, bank and counter-party impact; regulatory reporting; and assuring our customers prompt access to their funds and securities if we are unable to continue our business. Our clearing firm, RBC Capital Markets, LLC, backs up our important records in a geographically separate area. While every emergency situation poses unique problems based on external factors, such as time of day and the severity of the disruption, we have been advised by our clearing firm that its objective is to restore its own operations and be able to complete existing transactions and accept new transactions and payments within the same business day. Your orders and requests for funds and securities could be delayed during this period.

**Varying Disruptions** Significant business disruptions can vary in their scope, such as only our firm, a single building housing our firm, the business district where our firm is located, the city where we are located, or the whole region. Within each of these areas, the severity of the disruption can also vary from minimal to severe. In a disruption to only our firm or a building housing our firm, we will transfer our operations to a local site when needed and expect to recover and resume business within few hours. In a disruption affecting our business district, city, or region, we will transfer our operations to a site outside of the affected area, and expect to recover and resume business within the same business day. In either situation, we plan to continue in business, transfer critical operations to our parent company Sprott Inc., as necessary, and provide information through our web site [www.sprottglobal.com](http://www.sprottglobal.com), including contract and critical transaction processing information. If the significant business disruption is so severe that it prevents us from returning to business within a reasonable period of time, or ever, we will take all necessary actions to assure our customer's prompt access to their funds and securities.

**ARBITRATION AGREEMENT** By entering into this Agreement, you agree that all controversies between Sprott Global or our principals or agents and you or your agents arising out of or concerning your accounts, orders or transactions, or the construction, performance, or breach of this or any other agreement between us, whether entered into before or after the date an account is opened shall be determined by arbitration before FINRA.

You also represent that you understand the terms of the arbitration clauses as follows:

- a. Arbitration is final and binding on the parties.
- b. The parties are waiving their right to seek remedies in court, including the right to jury trials, but not the right to counsel.
- c. Pre-arbitration discovery is generally more limited than and different from court proceedings.
- d. The arbitrators' award is not required to include factual findings or legal reasoning and the parties' right to appeal or seek modifications of rulings by the arbitrators is strictly limited.
- e. The panel of arbitrators will typically include a minority of arbitrators who were or are affiliated with the securities industry.

Notice preliminary to, in conjunction with, or incident to arbitration may be sent to you by mail, and personal service is waived. Judgment upon any award rendered by the arbitrators may be entered in any court of competent jurisdiction.

No person shall bring a putative or certified class action to arbitration, nor seek to enforce any pre-dispute arbitration agreement against any person who has initiated in court a putative class action, who is a member of a putative class, who has not opted out of the class with respect to any claims encompassed by the putative class action until the class certification is denied, the class is decertified, or the customer is excluded from the class by court. Such forbearance to enforce an agreement to arbitrate shall not constitute a waiver of any rights under this Agreement except to the extent stated herein.

This Agreement shall be governed by the laws of the State of California, and shall inure to the benefit of Sprott Global's successors and assigns, and shall be binding on the undersigned, the undersigned's representatives, attorneys in-fact, heirs, executors, administrators, and assigns. The undersigned has read and accepted the terms of this Agreement.

\_\_\_\_\_  
Client Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Client Signature (Joint Account both must sign)

\_\_\_\_\_  
Date

If you have questions about any of this information, please contact us immediately.

## **New Clients**

**Industry regulations require that we obtain from each applicant a copy of a driver's license, state Identification card or passport. Please include this with the rest of your new account documents.**

**We recommend that you add our domain 'sprottglobal.com' to your safe senders list so emails from our firm do not get filtered as spam.**