



Privacy Policy and Client Consent

Since January 1, 2004, I have been required to obtain your written consent in order to collect, use and disclose your personal information under Canada's Personal Information and Electronic Documents Act (PIPEDA). Effective July 1, 2014 changes to Canada's Anti-Spam Legislation (CASL) require senders of commercial electronic messages to obtain the individual's consent to do so and to provide a mechanism for them to discontinue receiving such messages at any time. Our firm's Privacy Consent Form has been updated to reflect this change.

By signing this form, you provide me with the ability to collect, use and disclose your personal information in order to provide you with the services and advice you seek from me. You are also giving me permission to contact you by telephone, mail, email or other electronic means. You may withdraw this permission at any time by notifying me in writing.

Please read the information below and feel free to ask me any questions now or in the future. Your trust and confidence in my services are essential so I can provide you with the best service possible.

Our commitment to PIPEDA's Privacy Principles:

Accountability: This firm is responsible for your personal information^[1] and we take steps to safeguard it from unauthorized disclosure. You have the right to inspect your information and to ensure it is complete, accurate and current.

Purpose of collecting your information: I need to obtain accurate information from you in order to establish your identity, determine your eligibility for particular products or services, and to help ensure that the advice, products or services offered to you, or purchased by you, are appropriate for you.

Limiting collection: When I collect your personal, financial, and related information, I will use and disclose it only for the purposes I have identified to you and you have given me consent for.

Third-party disclosure: To provide you with certain services or products, I may need to disclose your information to some third parties. These may include but are not limited to: an insurance company (or companies), a Managing General Agency (MGA) contracted with an insurer (or insurers) to provide certain services, or Huxton Black or Jamie Butler Wealth. Each of these third parties also has privacy requirements to protect your personal information.

In addition, licensed financial advisors have regulatory obligations which may require me to disclose your information on occasion to provincial regulators and self-regulatory agencies (for example, the Mutual Fund Dealers Association and provincial insurance regulators), to government entities



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responsible for detecting and preventing fraud, money laundering or other criminal activity, or when otherwise required by law.

Retention of information: Your personal information will be retained only as long as is necessary. I will destroy your information in a secure way when it is no longer needed.

Safeguarding your information: I take steps to protect your personal information against theft, loss or unauthorized use. This protection applies to paper and electronic files. I will promptly inform you if a breach occurs that puts your information at risk of being used in an unauthorized way.

Accuracy and Access: I take care to keep the information in our records as accurate, complete and up to date as necessary. However, I also rely on you to tell me when your information changes. Keeping your information accurate allows me to offer you the highest quality service and make recommendations that are appropriate for you. You have the right to inspect your personal information to ensure it is accurate.

Consent: By providing me with your consent, you agree to allow me to communicate with you in a timely and efficient manner and to disclose your personal information to third parties, when required, to meet the legal, regulatory and contractual requirements related to the services and products you seek. Your consent also allows me to retain your personal information in my paper and electronic files for as long as I am your advisor, or am required to do so for business or regulatory reasons.

Withdrawing your consent: Subject to legal, business or contractual restrictions, you can withdraw your consent at any time upon giving me reasonable notice in writing. Please note that withdrawing your consent may limit or prevent me from communicating with you, or providing you with specific products or services.

In certain circumstances, your consent cannot be withdrawn. For example, you may not withdraw your consent when I must have correct information about you to ensure a contract remains valid.

Complaints: You have the right to confidentially complain to me, to an insurer, any other financial provider you have purchased a product from, and to the Privacy Commissioner of Canada. However, I encourage you to first discuss any complaint with me, as in most cases this will allow us to resolve the issue in a timely manner.

More information on your privacy rights and complaint handling is available on Canada's Privacy Commissioner's website, www.priv.gc.ca.



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I, (We) the undersigned, understand and consent to you collecting, using, disclosing and retaining my/our personal information until I/we advise otherwise.

Customer Name(s) (Please print): _____ Date: _____
(dd/mm/yyyy)

Customer Signature(s): _____

Advisor Name (Please print): _____ Date: _____

Advisor Signature: _____

Copy 1: Client(s)

Copy 2: Advisor

[1] "Personal information" means information that identifies you, such as contact information and details such as age, gender, race, marital status, and medical and financial information. This information can be in any form including paper, electronic, video or voice recording.