

ASSANTE CLASS ACTION SETTLEMENT OPT OUT FORM

This form is not a registration form or a claim form. This form excludes you from participation in the Settlement Agreement between the Class and Assante Wealth Management (Canada) Ltd., Assante Capital Management Ltd., Brian Malley and Christine Malley. If you complete and submit this form, you will not be eligible to receive any benefits under the settlement. Do not use this form if you want to remain in the Class. If you want to be excluded from the Class, this form must be received by Jensen Shawa Solomon Duguid Hawkes LLP at the address below by no later than December 29, 2015.

Last Name		
First Name		
Current Address		
City	Prov./State	Postal Code/Zip Code

Social Insurance Number/Social Security Number/Unique Tax Identifier
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Telephone Number (Work)	Telephone Number (Home)
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Assante Account Number(s)	Type of Account
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Identification of person signing Opt-Out Form (please check):

- I represent that I beneficially held an account, or am the authorized representative of a corporation that held an account, with Assante Capital Management Ltd. and/or Assante Wealth Management (Canada) Ltd. which was under the administration and direction of Brian Malley during the period January 1, 2008 to December 31, 2013. I am the above identified class member. I am signing this form to exclude myself from participating in this settlement between the Class and Assante Wealth Management (Canada) Ltd., Assante Capital Management Ltd., Brian Malley and Christine Malley.

Purpose for Opting Out [Completion of this section of the Opt-Out Form is voluntary, will not be binding on you if you choose to complete it and has no bearing on the validity of the Opt-Out Form] – (check only one):

- My current intention is to begin individual litigation against Assante Wealth Management (Canada) Ltd., Assante Capital Management Ltd., Brian Malley or Christine Malley.
- I am opting out of the class action for a reason other than to begin individual litigation against Assante Wealth Management (Canada) Ltd., Assante Capital Management Ltd., Brian Malley or Christine Malley in relation to the matters alleged in the Proceeding. I am opting out for the following reason(s):

I UNDERSTAND THAT BY OPTING OUT I WILL NEVER BE ELIGIBLE TO RECEIVE BENEFITS OBTAINED BY WAY OF THE SETTLEMENT AGREEMENT BETWEEN ALLAN RUE AND DAVID JAMIESON, IN THEIR CAPACITY AS REPRESENTATIVE PLAINTIFFS UNDER THE CLASS PROCEEDINGS ACT, SA 2003, C. C-16.5, AND ASSANTE WEALTH MANAGEMENT (CANADA) LTD., ASSANTE CAPITAL MANAGEMENT LTD., BRIAN MALLEY AND CHRISTINE MALLEY, NOR WILL I BE BOUND BY THE SETTLEMENT OF THAT ACTION.

I FURTHER UNDERSTAND THAT BY OPTING OUT, CLASS COUNSEL CANNOT REPRESENT ME IN ANY INDIVIDUAL ACTION I MAY BRING.

I FURTHER UNDERSTAND THAT BY OPTING OUT, I WILL BE RESPONSIBLE FOR ALL LEGAL FEES AND COSTS THAT MAY BE INCURRED BY ME IF I CHOOSE TO PURSUE MY OWN INDIVIDUAL CLAIM.

Signature: _____

Date Signed: _____

This completed Opt-Out Form must be received by Class Counsel by email, regular mail or fax no later than December 29, 2015. Class Counsel can be reached at:

Carsten Jensen, Q.C. / Gavin Price
Jensen Shawa Solomon Duguid Hawkes LLP
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800, 304 – 8th Avenue SW
Calgary, AB T2P 1C2
Telephone: (403)571-1520
Facsimile: (403)571-1528
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