



Trust/Other Entity Beneficial Ownership Information Statement

The purpose of this form is to collect information which securities dealers are required by law to obtain under the Proceeds of Crime (Money Laundering) and Terrorist Financing Act and by the By-laws, Regulations and Rules of the self-regulatory organizations governing securities dealers when opening an account.

1. Trust/Other Entity Name: _____ ("Entity")
2. Entity Dealer Name: _____ ("Dealer")
3. Account No. (if known): _____ ("Account")
4. Section must be completed by the following individual(s):
 - (a) owns or controls, directly or indirectly, more than 10% of the Entity;
 - (b) if the entity is a partnership or trust, exercises control over the affairs of the partnership (i.e. partners) or the trust (list all trustees);
 - (c) if the entity is a trust, all settlors of the trust;
 - (d) if the entity is a trust, all known beneficiaries of the trust.

*for additional names please attach additional sheets as required.

If any of the persons listed below is a business or other entity, please attach another form for that business or other entity.

Please consult your financial advisor for instructions with respect to the determination of the beneficial ownership or control of the Entity held indirectly through one or more corporations or other entities.

Name: _____ Address: _____

% Ownership/Control/Beneficiary: _____%

In the case of a partnership or trust, does the individual exercise control over its affairs? ☐ Yes ☐ No,

Citizenship: _____ Occupation: _____ Employer's Name: _____

If the Entity is a trust, the undersigned is a settlor of the trust: ☐ Yes ☐ No

5. The undersigned's Canadian Financial Institution Information is set out below.

Name: _____

Financial Institution No.: _____ Transit No.: _____ Account No.: _____

Address: _____

City: _____ Province: _____ Postal Code: _____

6. Is the undersigned:
 - (a) an officer or director of a reporting issuer or any other issuer whose securities are publicly traded (e.g. an entity whose securities are traded on a stock exchange or an over-the-counter market) (an "Issuer"); or

(b) an officer or director of a person or company which is itself an insider or a subsidiary of such Issuer?

If yes, please list the Issuer(s): _____

7. Does the undersigned:

(a) beneficially own; or

(b) have control or direction over; or

(c) have a combination of beneficial ownership of, and control or direction over,

directly or indirectly, securities of an Issuer carrying more than 10% of the voting rights attached to all of the Issuer's outstanding voting securities?

If yes, please list the Issuer(s): _____

8. Does the undersigned or as part of a group, hold or control an Issuer?

If yes, please list the Issuer(s): _____

To: Dealer

By signing below and with respect to the Account application form of the above-noted Entity to which this Trust/Other Entity Beneficial Ownership Information Statement is attached or is related to:

(a) I declare the foregoing information to be true and complete; and

(b) The Dealer has the right and I hereby authorize them to conduct a credit check or obtain a credit report or credit file with respect to me and my business, if applicable, for the purposes of providing services to the Entity and to verify my identity. The Dealer also has the right to use banking information, including without limitation information with respect to any deposit account I may have, in connection with the provision of services to the Entity and to verify my identity and I hereby consent to the Dealer obtaining from my financial institution such information and agree that the Dealer may provide a copy or extract of this Trust/Other Entity Beneficial Ownership Information Statement to such financial institution to evidence such consent.

Date (mm/dd/yyyy)

Name

Signature

Dealer Use

Beneficial Ownership verification of identification is NOT required if the Dealer is a member of the Investment Industry Regulatory Organization of Canada the answers to sections 7(a) and (b) on the Trust/Other Entity Information Statement are YES.

BENEFICIAL OWNERSHIP/SETTLOR IDENTIFICATION – In person (attach photocopies of ID)

Beneficial Owner/Settlor Name: _____

DOCUMENT #1

Type of Document: _____ Document Reference No.: _____

Place of Issue: _____ Expiry Date (mm/dd/yyyy): _____

DOCUMENT #2

Type of Document: _____ Document Reference No.: _____

Place of Issue: _____ Expiry Date (mm/dd/yyyy): _____

BENEFICIAL OWNER/SETTLOR IDENTIFICATION – Not in person

The beneficial owner/settlor identification requirements below are to be completed when identifying the beneficial owner/settlor not in person and using the Identification Product method together with the Confirmation of Deposit Account method.

IDENTIFICATION PRODUCT

(a) Name of Identification product: _____

(b) Name of Entity offering product: _____

(c) Search reference number: _____

(d) Date product used to ascertain identity (mm/dd/yyyy): _____

CONFIRMATION OF DEPOSIT ACCOUNT

(a) Name of Canadian financial institution: _____

(b) Account number of deposit account (confirm same as on form): _____

(c) Date of confirmation (mm/dd/yyyy): _____

(d) Name of person spoken to at financial institution: _____

Date (mm/dd/yyyy)

Name of Individual completing identification verification

Signature

NOTE TO DEALERS AND FINANCIAL ADVISORS

This form is provided as a courtesy only and B2B Bank Financial Services Inc., B2B Bank Securities Services Inc. and B2B Bank Intermediary Services Inc. make no representations or warranties that this form or its use satisfies the requirements of the Proceeds of Crime (Money Laundering) and Terrorist Financing Act or the By-laws, Regulations and Rules of any applicable self-regulatory organization.

It is recommended that this form only be used with the prior approval of your Compliance Department.

B2B Bank Dealer Services includes B2B Bank Financial Services Inc. (an MFDA member), B2B Bank Securities Services Inc. (an IIROC member, Member — Canadian Investor Protection Fund) and B2B Bank Intermediary Services Inc. (an AMF-regulated dealer operating in Quebec). B2B Bank is a trademark used under license.