EMD FINANCIAL INC. / LA FINANCIÈRE EMD INC.
1000 Sherbrooke Ouest – Suite 1910
Montréal, QC H3A 3G4
Phone: 514-927-6465

New Client Account Form
KYC (Know Your Client) Form

As a Regulated Exempt Market Dealer, EMD Financial Inc. / La Financière EMD Inc. ("EMD") must obtain certain information regarding its clients. This form has been designed to ensure such information is fully and accurately collected. The information we collect will be held in the strictest confidence and will not be used other than for the purpose indicated. Should there be any changes to information recorded in this KYC form, particularly to your investment objectives, risk tolerance or investment time frame, you must notify EMD immediately. All your personal information will remain confidential unless otherwise permitted by you or required by law or the rules or policies of a recognized securities regulator or self-regulatory authority.

CLIENT INFORMATION (ALL SECTIONS MUST BE COMPLETED)

Name: (Mr. / Mrs. / Ms.)	Corporation:	Birth Date or Incorporation Date:
Address:		E-mail Address:

Client's Employer (Not Required for Corporations)
Name:
Address:
Type of Business:
Client's Occupation:

Business Telephone: Home Telephone: Cell Phone:	Business Registration No.: Federal: Provincial:	Social Insurance Number (if individual):

Leveraging:
Does this subscription represent more than 25% of your net worth? Yes _____ No _____

Is the subscriber investing using borrowed money? Yes _____ No _____
If "yes", has the subscriber been given a leveraging disclosure document? Yes _____

Experience and Objectives (Check all that apply):

Investment Knowledge	Past Experience	Time Horizon	Annual Income	Household Annual Income
☐ Sophisticated	☐ Stocks	☐ 1 – 3 yrs.	☐ Under $200,000	☐ Under $300,000
☐ Average	☐ Bonds	☐ 4 – 5 yrs.	☐ $200,000 - $500,000	☐ $300,000 - $500,000
☐ Limited	☐ Options	☐ 6 – 9 yrs.	☐ $500,000 - $1,000,000	☐ $500,000 - $1,000,000
☐ None	☐ Other	☐ > 10 yrs.	☐ Over $1,000,000	☐ Over $1,000,000

Net Financial Assets: (Not including real estate)
☐ Under $250,000 ☐ $250,000 - $500,000 ☐ $500,000 - $1,000,000 ☐ $1,000,000 - $5,000,000 ☐ Over $5,000,000

Net Assets:
☐ Under $250,000 ☐ $250,000 - $500,000 ☐ $500,000 - $1,000,000 ☐ $1,000,000 - $5,000,000 ☐ Over $5,000,000

Accredited Investor: ☐ Yes ☐ No NI/Reg. 45-106 Exempt: ☐ Yes ☐ No Section:_____
Permitted Client: ☐ Yes ☐ No Waiver Obtained: ☐ Yes ☐ No Corporate Resolution: ☐ Obtained
Periodic Review (Date): _____ Initials of Reviewer: _____

Risk Level and Investment Objectives:

Your View of the Risk of this Investment

- ☐ High
- ☐ Medium
- ☐ Low
- ☐ None

Investment Objectives for this Investment

- ☐ Growth
- ☐ Income
- ☐ Balanced
- ☐ Aggressive Growth

Third Parties:

Will any other person or persons:

a) Have trading authorization in this account? Yes_____ No_____ *(If Yes provide particulars)*
(Trading Authorization held by a third party for the client's account must be documented)

b) Have a financial interest in this account? Yes_____ No_____ *(If Yes provide Particulars)*

Trusted Person Contact:

EMD Financial is required to take reasonable steps to obtain the name and contact information of a trusted contact person, in order for the EMD Financial to confirm or make inquiries about any of the following:

- concerns about your possible financial exploitation;
- concerns about your mental capacity as it relates to your ability to make decisions involving financial matters;
- the name and contact information of your legal representative, if any; and
- your contact information.

A trusted contact person is defined as an individual identified by you that EMD Financial may contact in accordance with your written consent.

EMD Financial may contact your trusted contact person under the following circumstances:

- if EMD Financial notices signs of financial exploitation;
- if you exhibit signs of lack mental capacity to make decisions involving financial matters;
- to confirm your contact information if EMD Financial is unsuccessful in contacting you after repeated attempts and where failure to contact you would be unusual; and
- to ask your trusted contact person to confirm the name and contact information of a legal guardian, executor, trustee, an attorney under a power of attorney or any other legal representative.

If you wish to change your trusted contact person, please update your KYC Form or contact EMD Financial:

EMD Financial Inc.
1000 Street Sherbrooke West, Suite 1910
Montréal, Québec H3A 3G4
514-927-6465

☐ Mr. ☐ Mrs. ☐ Ms. ☐ Dr. ☐ Other:

Last name: _____ First name: _____ Initials: _____

Address: _____

City: _____ Province: _____ Postal Code: _____

Phone: _____ E-Mail: _____

You hereby acknowledge that if you have provided the Manager with a trusted contact person that the Manager may contact this person to discuss your account if there is a concern that you may not have the ability to manage your own finances. The trusted person will not be allowed to make financial decisions or act on your behalf.

Signature: _____

You can withdraw at any moment your consent to contact your trusted contact person. If you wish to withdraw your consent, please contact the Manager.

INSIDER DECLARATION (REQUIRED BY REGULATORY AUTHORITIES)

Is the subscriber an insider of a reporting issuer whose securities are publicly traded (as such terms are defined under applicable securities laws):

☐ Yes ☐ No

If yes, please provide the name of the Issuer:

Do you or any direct family member with whom you reside have direct or indirect ownership or control (either individually or collectively with others) of 10% or more of the voting rights of a Reporting Issuer or any other Issuer whose securities are publicly traded?

☐ Yes ☐ No

If yes, please provide the name of the Issuer and the percentage of voting rights:

Are you or any person authorized below a member of any stock exchange?

☐ Yes ☐ No

If yes, which Exchange?

POLITICALLY EXPOSED PERSON AND HEAD OF INTERNATIONAL ORGANIZATIONS DETERMINATION

A "domestic politically exposed person" means a person who currently holds, or has held within the last 5 years, a specific office or position in or on behalf of the Canadian federal government, a Canadian provincial (or territorial) government, or a Canadian municipal government. Specifically, the person has held the office or position of:

- Governor General, lieutenant governor or head of government;
- member of the Senate or House of Commons or member of a legislature;
- deputy minister or equivalent rank;
- ambassador, or attaché or counsellor of an ambassador;
- military officer with a rank of general or above;
- president of a corporation that is wholly owned directly by Her Majesty in right of Canada or a province;
- head of a government agency;
- judge of an appellate court in a province, the Federal Court of Appeal or the Supreme Court of Canada;
- leader or president of a political party represented in a legislature;
- mayor, reeve or other similar chief officer of a municipal or local government or has held one of the following offices or positions in or on behalf of a foreign state; or
- a family member or close associate.

A person ceases to be a domestic politically exposed person 5 years after they have left office or 5 years after they are deceased.

A “foreign politically exposed person” means a person who holds or has held one of the following offices or positions in or on behalf of a foreign state:

- the head of state or head of government;
- member of the executive council of government or member of a legislature;
- deputy minister or equivalent rank;
- ambassador or attaché or counsellor of an ambassador;
- military officer with a rank of general or above;
- president of a state-owned company or state-owned bank;
- head of a government agency;
- judge of a supreme court, constitutional court or other court of last resort;
- leader or president of a political party represented in a legislature; or
- a family member or close associate.

Once you determine that a person is a foreign politically exposed person, they remain a foreign politically exposed person forever (including deceased foreign politically exposed persons).

A “head of international organizations” is a person who currently holds or has held within the last 5 years the specific office or position of head of an international organization and the international organization that they head or were head of is either:

- an international organization established by the governments of states;
- an institution of an organization referred to immediately above;
- an international sports organization; or
- a family member or close associate.

An institution established by an international organization does not have to operate internationally and it is possible that an institution only operates domestically, or in one jurisdiction. The head of international organization is the primary person who leads the organization.

An international organization is set up by the governments of more than one member country, has activities in several countries, and is bound by a formal agreement among member countries. An international organization has its own legal status, and it is an entity that is distinct from the member countries.

A person ceases to be a head of international organization 5 years after they are no longer the head of the organization or institution or 5 years after they are deceased.

If a person is a domestic or foreign politically exposed person or a head of international organization, some of their family members are considered family members of politically exposed person or a head of international organization under the *Proceeds of Crime (Money Laundering) and Terrorist Financing Act* and associated Regulations. These family members are:

- their spouse or common-law partner;
- their biological or adoptive child(ren);
- their mother(s) or father(s);
- the mother(s) or father(s) of their spouse or common-law partner (mother-in-law or father-in-law); and
- the child(ren) of their mother or father (sibling(s)).

A person remains a family member of a foreign politically exposed person forever (including a deceased foreign politically exposed person).

A person remains a family member of a domestic politically exposed person or a head of international organization, until five years after the domestic politically exposed person or head of international organization has left office or ceases to be a domestic politically exposed person or head of international organization (including a deceased domestic politically exposed person and head of international organization).

A person remains a family member of a domestic politically exposed person or a head of international organization, until five years after the domestic politically exposed person or head of international organization has left office or ceases to be a domestic politically exposed person or head of international organization (including a deceased domestic politically exposed person and head of international organization).

A close associate can be a person who is connected to a politically exposed person and head of international organization for personal or business reasons. Examples of relationships that could indicate that someone is a close associate (personal or business) could include, but are not limited to, persons who:

- are the business partners of, or who beneficially own or control a business with, a politically exposed person or head of international organization;
- are in a romantic relationship with a politically exposed person or head of international organization;
- are involved in financial transactions with a politically exposed person or head of international organization;
- serve as prominent members of the same political party or union as a politically exposed person or head of international organization;
- serve as a member of the same board as a politically exposed person or head of international organization;
- carry out charitable works closely with a politically exposed person or head of international organization; or
- are listed as joint on a policy where one of the holders may be a politically exposed person or head of international organization.

A person remains a close associate of a politically exposed person or head of international organization until they lose that connection

I certify that □ I am or □ I am not a (i) domestic politically exposed person; (ii) foreign politically exposed person; or (iii) a head of international organization as defined above.

If Yes, please indicate why: _____

Anti-Money Laundering:

Canadian law requires us to verify and collect certain information concerning our clients and persons authorized to trade on their accounts. We are also required to verify the identities and signatures of all such persons.

Person(s) authorized to trade – [Two pieces of photo ID are required to be retained in our file for each person]

The following must be completed in the presence of an employee of EMD in respect of each person authorized to trade and/or give instructions for this account.

Name	Signature	Type of Photo ID (attach copy)	Citizenship

CLIENT DOCUMENTATION AND INFORMATION (for Corporations only)

Attach a copy of the client's certificate of incorporation or partnership declaration: ☐

Person(s) authorized to deal with EMD and to trade: _____

_____

[Two pieces of photo ID are required to be retained in our file for each person]

Attach a certified copy of trading authorization resolution: ☐

Attach a copy of government corporate data base report: ☐ Federal ☐ Provincial

Provide the following information for each member of the Board of Directors or each partner:

Name	Address	Occupation	%Ownership

Provide the following information for all individuals and/or corporations who have a 10% or greater direct of indirect beneficial ownership in the corporation or partnership:

Name	Address	Occupation	%Ownership

CERTIFICATION

The undersigned warrants that the above information is true, accurate and complete in all respects and undertakes to advise EMD should there be any change.

_____ _____

Subscriber Signature EMD Chief Compliance Officer Signature

Date: _____ Date:_____

Language of Communication: ☐ English ☐ French

Please, keep a copy for yourself and mail the original document to EMD Financial Inc.