

## CRS - Controlling Persons Information for Directors and/or Senior Officers

Account number	Rep code
----------------	----------

Provide the information on all controlling persons (use additional sheets if there are more than 3).

A Account Information			
Legal Entity Name (for account number above)			
Director and/or Senior Officer 1			
Full name, including middle initial	Date of birth (mm-dd-yyyy)	Social Insurance Number (S.I.N.)	Controlling person type
Address (number, street, apartment, rural route) (P.O. boxes only are not acceptable)			
City	Province	Postal Code	Country (do not abbreviate)
<p>Are you (<i>individual or entity</i>) a tax resident of a jurisdiction other than Canada or the U.S.? <input type="radio"/> No <input type="radio"/> Yes If yes, list up to three jurisdictions and the Tax Identification Number (TIN).                      If you do not have a TIN for one of the below noted jurisdictions, please indicate one of the following reason codes:  <b>Reason Code 1:</b> I will apply or have applied for a TIN, but have not yet received it (TIN is required within a year)  <b>Reason Code 2:</b> My jurisdiction of tax residence does not issue TINs to its residents  <b>Reason Code 3:</b> Other - Specify (TIN is required within a year)</p> <p>1. _____ TIN _____ Reason Code ____ Other - specify _____</p> <p>2. _____ TIN _____ Reason Code ____ Other - specify _____</p> <p>3. _____ TIN _____ Reason Code ____ Other - specify _____</p>			
<p><b>If the jurisdiction(s) of tax residency you listed above in Section is one of the following countries please answer the 4 questions below.</b>                      Antigua and Barbuda, Bahamas, Bahrain, Barbados, Cyprus, Dominica, Grenada, Malta, Panama, Qatar, Saint Kitts and Nevis, Saint Lucia, Seychelles, Turks and Caicos Islands, United Arab Emirates and Vanuatu.</p>			
<p><b>1. Have you obtained residency rights under a Citizenship by Investment (CBI) or Residence by Investment (RBI) offering for this country?</b></p> <p>Tick (✓) the option that applies to you.</p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> Yes. What Country? _____</p>			
<p><b>2. Do you hold residence rights in any other jurisdiction?</b></p> <p>Tick (✓) the option that applies to you.</p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> Yes. What Country? _____</p>			
<p><b>3. Have you spent more than 90 days in any jurisdiction during the previous year?</b></p> <p>Tick (✓) the option that applies to you.</p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> Yes. What Country? _____</p>			
<p><b>4. In which jurisdictions have you filed personal income tax returns during the previous year?</b></p> <p>Tick (✓) the option that applies to you.</p> <p><input type="checkbox"/> I have not filed personal taxes in another jurisdiction.</p> <p><input type="checkbox"/> I have filed in. Name of Country _____</p>			
<p><b>If you have answered "Yes" in this section please verify that all the required countries and TINs have been provided.</b></p>			
Director and/or Senior Officer 2			
Full name, including middle initial	Date of birth (mm-dd-yyyy)	Social Insurance Number (S.I.N.)	Controlling person type
Address (number, street, apartment, rural route) (P.O. boxes only are not acceptable)			
City	Province	Postal Code	Country (do not abbreviate)

# CRS - Controlling Persons Information for Directors and/or Senior Officers

Are you (*individual or entity*) a tax resident of a jurisdiction other than Canada or the U.S.?  No  Yes If yes, list up to three jurisdictions and the Tax Identification Number (TIN).

If you do not have a TIN for one of the below noted jurisdictions, please indicate one of the following reason codes:

**Reason Code 1:** I will apply or have applied for a TIN, but have not yet received it (TIN is required within a year)

**Reason Code 2:** My jurisdiction of tax residence does not issue TINs to its residents

**Reason Code 3:** Other - Specify (TIN is required within a year)

1. \_\_\_\_\_ TIN \_\_\_\_\_ Reason Code \_\_\_\_ Other - specify \_\_\_\_\_
2. \_\_\_\_\_ TIN \_\_\_\_\_ Reason Code \_\_\_\_ Other - specify \_\_\_\_\_
3. \_\_\_\_\_ TIN \_\_\_\_\_ Reason Code \_\_\_\_ Other - specify \_\_\_\_\_

**If the jurisdiction(s) of tax residency you listed above in Section is one of the following countries please answer the 4 questions below.**

Antigua and Barbuda, Bahamas, Bahrain, Barbados, Cyprus, Dominica, Grenada, Malta, Panama, Qatar, Saint Kitts and Nevis, Saint Lucia, Seychelles, Turks and Caicos Islands, United Arab Emirates and Vanuatu.

**1. Have you obtained residency rights under a Citizenship by Investment (CBI) or Residence by Investment (RBI) offering for this country?**

Tick (✓) the option that applies to you.

- No
- Yes. What Country? \_\_\_\_\_

**2. Do you hold residence rights in any other jurisdiction?**

Tick (✓) the option that applies to you.

- No
- Yes. What Country? \_\_\_\_\_

**3. Have you spent more than 90 days in any jurisdiction during the previous year?**

Tick (✓) the option that applies to you.

- No
- Yes. What Country? \_\_\_\_\_

**4. In which jurisdictions have you filed personal income tax returns during the previous year?**

Tick (✓) the option that applies to you.

- I have not filed personal taxes in another jurisdiction.
- I have filed in. Name of Country \_\_\_\_\_

**If you have answered "Yes" in this section please verify that all the required countries and TINs have been provided.**

## Director and/or Senior Officer 3

Full name, including middle initial	Date of birth (mm-dd-yyyy)	Social Insurance Number (S.I.N.)	Controlling person type
-------------------------------------	----------------------------	----------------------------------	-------------------------

Address (number, street, apartment, rural route) (P.O. boxes only are not acceptable)

City	Province	Postal Code	Country (do not abbreviate)
------	----------	-------------	-----------------------------

Are you (*individual or entity*) a tax resident of a jurisdiction other than Canada or the U.S.?  No  Yes If yes, list up to three jurisdictions and the Tax Identification Number (TIN).

If you do not have a TIN for one of the below noted jurisdictions, please indicate one of the following reason codes:

**Reason Code 1:** I will apply or have applied for a TIN, but have not yet received it (TIN is required within a year)

**Reason Code 2:** My jurisdiction of tax residence does not issue TINs to its residents

**Reason Code 3:** Other - Specify (TIN is required within a year)

1. \_\_\_\_\_ TIN \_\_\_\_\_ Reason Code \_\_\_\_ Other - specify \_\_\_\_\_
2. \_\_\_\_\_ TIN \_\_\_\_\_ Reason Code \_\_\_\_ Other - specify \_\_\_\_\_
3. \_\_\_\_\_ TIN \_\_\_\_\_ Reason Code \_\_\_\_ Other - specify \_\_\_\_\_

**If the jurisdiction(s) of tax residency you listed above in Section is one of the following countries please answer the 4 questions below.**

Antigua and Barbuda, Bahamas, Bahrain, Barbados, Cyprus, Dominica, Grenada, Malta, Panama, Qatar, Saint Kitts and Nevis, Saint Lucia, Seychelles, Turks and Caicos Islands, United Arab Emirates and Vanuatu.

**1. Have you obtained residency rights under a Citizenship by Investment (CBI) or Residence by Investment (RBI) offering for this country?**

Tick (✓) the option that applies to you.

- No
- Yes. What Country? \_\_\_\_\_

**2. Do you hold residence rights in any other jurisdiction?**

Tick (✓) the option that applies to you.

- No
- Yes. What Country? \_\_\_\_\_

# CRS - Controlling Persons Information for Directors and/or Senior Officers

**3. Have you spent more than 90 days in any jurisdiction during the previous year?**

Tick (✓) the option that applies to you.

- No**
- Yes.** What Country? \_\_\_\_\_

**4. In which jurisdictions have you filed personal income tax returns during the previous year?**

Tick (✓) the option that applies to you.

- I have not filed personal taxes in another jurisdiction.
- I have filed in. Name of Country \_\_\_\_\_

**If you have answered "Yes" in this section please verify that all the required countries and TINs have been provided.**

**B Certification and Undertaking**

**As a representative authorized to sign on behalf of the legal entity, I:**

- Certify that the information provided on this form is correct and complete;
- Authorize Scotia iTRADE to provide, directly or indirectly, to any relevant tax authorities or any party authorized to audit or conduct a similar review of Scotia iTRADE for tax purposes, the information contained in this form and/or a copy of this form and to disclose to such tax authorities or such party any additional information that Scotia iTRADE may have in its possession that is relevant to my qualification claimed on the basis of this certification;
- Acknowledge that information contained in this form and information regarding my Scotia iTRADE accounts (including information on account balances and payments received) may be reported to Canadian tax authorities, and that those tax authorities may provide the information to any additional country I have listed above as being a country in which I am (or another party to the account is) a resident for tax purposes; and
- Undertake to advise Scotia iTRADE immediately of any change in circumstances that causes the information contained herein to become incorrect and to provide Scotia iTRADE with a suitably updated Tax Residency Self-Certification form within 30 days of such change in circumstances.
- Understand that it is my obligation to provide Scotia iTRADE any applicable TINs at the time they are requested. I understand that my failure to provide the applicable TIN(s) may result in my incurring regulatory fines, either directly or indirectly.

**Signing Authority for the Legal Entity**

 Signature	Title	Print name	Date (mm-dd-yyyy)
--	-------	------------	-------------------