

Account Number

Account & Regulatory Information

LEGAL ENTITY INFORMATION

Legal Entity Name _____

LEGAL ENTITY TYPE

Is the legal entity set up as a complex structure/holding vehicle (e.g. Complex legal structures may make Ultimate Beneficial Ownership ("UBO") difficult to identify and/or may have no business related purpose)?

☐ Yes ☐ No☐ **Company/Corporation** (Select one of the following)☐ Corporation ☐ Insurance CompanyIs the Corporation an ☐ **Active Entity** or a ☐ **Passive Entity**

NOTE: Where the Corporation is an Insurance Company, Trust Company, Central Credit Union & Regional, Caisse Populaire, Canadian Chartered Bank, Quebec Savings Bank, Pension Fund, Foreign Bank, or a Qualified Intermediary, do not classify as an Active or Passive Entity.

☐ **Written Trust**☐ **Grantor Trust**Is the grantor alive and a tax resident or citizen of the U.S.? ☐ Yes ☐ No

If yes, provide their SSN/TIN and also complete a **W-9 Request for Taxpayer Identification Number and Certification** form.

☐ **Simple Trust** ☐ **Complex Trust** ☐ **Retirement Compensation Agreement** ☐ **U.S. Trust**Is the written trust an ☐ **Active Entity** or a ☐ **Passive Entity** (not applicable for U.S. Trust)

Active Entity

- The entity is Non-U.S. and is not a financial institution;
- Entities for which less than 50% of the gross income for the preceding calendar year was passive income **and** less than 50% of the assets held by the entity during the preceding calendar year were assets that produced passive income;
- Corporations with shares that regularly trade on an established securities market;
- Government or international organizations or agencies thereof and registered charities.

Passive Entity

A passive entity is any entity that is **neither** a financial institution **nor** an active entity.

Passive income is generally understood to include income from the mere holding of property, such as interest, dividends, rents and royalties.

LEGAL ENTITY ADDRESS

Doing business as (Name that Legal Entity operates under)

Legal Address (Address **cannot** be a Post Office Box)

C/O

City Province Postal Code

Designated Contact Person Business Phone Number Ext.

Email Address

Principal Business or Industry Corporate Registration Number

Business Number (BN) or Trust Number (TN) on tax return

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Does the legal entity operate or exercise control over any of the following types of business? Check all that apply (response required).

- | | |
|---|--|
| <input type="checkbox"/> Casino, betting or other gaming related business | <input type="checkbox"/> Marijuana related businesses, which include those that are involved in the cultivation, processing / preparation, and sales / distribution of marijuana |
| <input type="checkbox"/> White-label ATM operator | <input type="checkbox"/> Money services business |
| <input type="checkbox"/> Licensed firearms retailer, in the business of sales of firearms, ammunition and related accessories | <input type="checkbox"/> Offshore bank |
| <input type="checkbox"/> Travel agency | <input type="checkbox"/> Third party non-bank financial institution |
| <input type="checkbox"/> Virtual importer / exporter | <input type="checkbox"/> Third party correspondent bank |
| <input type="checkbox"/> Dealer in jewellery / gems / precious metals | <input type="checkbox"/> Cash-intensive businesses |
| <input type="checkbox"/> Shipping company - Defined as non-land based transnational commercial freight carriers | |

Does the legal entity have an association or connection with a Politically Exposed Person ("PEP") defined as any entity that has been formed by a PEP, or for the benefit of a PEP, or controlled by a PEP or is beneficially owned by a defined PEP? (response required)

☐ Yes ☐ No

If yes, please provide the following:

PEP Name (Title/First/Middle/Last Name)

Nature of the PEP's position or office

Relationship to Client

Description of the PEP's official duties

Dates (span of years) position held

Country where position is/was held

In which jurisdiction was the entity incorporated/established?

Mailing address if different from above

City	Province	Postal Code
_____	_____	_____

In which countries is the Legal Entity doing business? This includes, for example: sending/receiving payments from clients, suppliers and service providers and affiliates. (response required)

☐ Clients

1. _____	2. _____
3. _____	4. _____
5. _____	6. _____

☐ Suppliers

1. _____	2. _____
3. _____	4. _____
5. _____	6. _____

☐ Operations

1. _____	2. _____
3. _____	4. _____
5. _____	6. _____



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Is the entity a tax resident of the U.S.? (response required) ☐ No ☐ Yes
 If yes, please provide the entity EIN/TIN and also complete a **W-9 Request for Taxpayer Identification Number and Certification** form. EIN / TIN _____

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

If the entity does not have a TIN for a specific jurisdiction, give the reasons using one of these choices:

Reason 1: The entity will apply or has applied for a TIN but has not yet received it

Reason 2: The entity's jurisdiction of residence does not issue TINs to its residents

Reason 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 _____

LEGAL ENTITY FINANCIAL INFORMATION

Gross Annual Income / Revenue from all sources

\$ _____

Estimated net worth of entity

Net Liquid Assets _____ A (Cash and securities minus current liabilities)

Net Fixed Assets _____ B (Fixed assets minus loans outstanding against fixed assets)

Total Net Worth _____ (A + B)

U.S. ENTITIES AND EACH PARTNER, TRUSTEE OR CLUB MEMBER WHO IS A U.S. PERSON

Is the entity incorporated or organized in the U.S.A.? ☐ Yes ☐ No

Is the trustee for the estate or written trust a U.S. Person? ☐ Yes ☐ No

If yes is selected for any of the above questions, also complete a **W-9 Request for Taxpayer Identification Number and Certification** form.

INFORMATION REQUIRED BY SECURITIES REGULATORS (response required for all fields)

Is this entity considered to be an Insider (as defined in a Provincial Securities Act) of any public companies?

☐ Yes ☐ No

If Yes, what is the name of the company(ies)? _____

Is this entity in a control position (as defined in a Provincial Securities Act) of any public companies?

☐ Yes ☐ No

If Yes, what is the name of the company(ies)? _____

Does anyone else other than the entity and its owners have a financial interest in this account?

☐ Yes ☐ No

If Yes, enter the name(s) here _____

Does this entity own any accounts with another financial securities firm?

☐ Yes ☐ No

If Yes, enter the name(s) here _____



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CARE AND MANAGEMENT OF YOUR ACCOUNT

Scotiabank recognizes the importance of your information and never takes for granted the trust that you have placed in us in order to protect that information. Scotiabank works hard to treat your information in a secure and respectful manner.

To serve you better and/or provide you with personalized wealth management advice tailored to your needs and goals, we^[1] would like your consent to share your information with select professionals within any current or newly acquired members of the Scotiabank group of companies^[2].

Why we share your information: We collect, use and share your information to better understand your needs and goals, offer products and services to help meet those needs and goals, and set up or manage products and services that you select.

What information we share about you: We may share any information we have collected about you and your authorized representatives, including your type of business, number of employees, tax filing information and contact details for your authorized representatives.

Your choices and rights: Your consent to share is not a condition of receiving any Scotiabank products or services. At any time, you may tell us to stop sharing your information for purposes that are not directly related to the ongoing provision of existing products or services and we will then only share your name and any limited information necessary to communicate your sharing preferences.

Your consent to share: Your choice below will replace any previous consents to share information that you may have provided to us.

☐ I consent to share information. ☐ I do not consent to share information.

^[1] "We" or "us" refers to The Bank of Nova Scotia Trust Company (Scotiabank®); Private Investment Counsel, a service of 1832 Asset Management L.P.; ScotiaMcLeod®, a division of Scotia Capital Inc.; and Scotia iTRADE®, a division of Scotia Capital Inc.

^[2] The Scotiabank group of companies includes The Bank of Nova Scotia (Scotiabank®); Tangerine Bank, The Bank of Nova Scotia Trust Company (Scotiabank®); Private Investment Counsel, a service of 1832 Asset Management L.P.; ScotiaMcLeod®, a division of Scotia Capital Inc.; Scotia iTRADE®, a division of Scotia Capital Inc.; Jarislowsky, Fraser Limited; and the MD Group of Companies (including MD Financial Management Inc., MD Management Limited and MD Private Trust Company).

INTENDED USE FOR THIS ACCOUNT

What is the intended use for this account?

- | | |
|---|--|
| <input type="checkbox"/> Short Term Investment | <input type="checkbox"/> Savings (Registered and Non-Registered) |
| <input type="checkbox"/> Custody of Securities | <input type="checkbox"/> Retirement Planning, Estate / Tax Planning |
| <input type="checkbox"/> Long Term Investment | <input type="checkbox"/> Leverage, Hedging, Capital Preservation, Trusts, Protection of Assets |
| <input type="checkbox"/> Other (Detailed description is mandatory): | |

SCOTIA eDOCUMENTS ENROLMENT

You may elect to receive your statements, annual trading summaries, trade confirmations and regulatory materials (prospectuses) via Scotia iTRADE's website instead of a printed version by enrolling in Scotia eDocuments. To enrol in this service, select the option below. If this is your first time using Scotia eDocuments, you will be required to sign the Terms for Electronic Document Delivery through Scotia iTRADE's website.

Would you like to enrol in Scotia eDocuments? ☐ Yes ☐ No

Select the documents you would like to receive electronically.

- ☐ Statements ☐ Trade Confirmations & Mutual Fund Prospectuses



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SHAREHOLDER COMMUNICATION INSTRUCTIONS

PART 1 - DISCLOSURE OF BENEFICIAL OWNERSHIP INFORMATION

- ☐ I DO NOT OBJECT to the disclosure of my name, address, electronic mail address, securities holdings and preferred language of communication (English or French) (my account information) to issuers of securities held with you and to other persons or companies in accordance with securities law.
- ☐ I OBJECT to the disclosure of my account information as noted above. I understand that by objecting to this disclosure, certain materials may still be required by law to be sent to me, and that I may have to pay the mailing and handling costs of having these materials provided to me.

PART 2 - RECEIVING SECURITYHOLDER MATERIALS

- ☐ I WANT to receive ALL securityholder materials sent to beneficial owners of securities.
- ☐ I DECLINE to receive ALL securityholder materials sent to beneficial owners of securities. (Even if I decline to receive these types of materials, I understand that a reporting issuer or other person or company is entitled to send these materials to me at its expense.)
- ☐ I WANT to receive ONLY proxy-related materials that are sent in connection with a special meeting.

Important Note: These instructions do not apply to any specific request you give or may have given to a reporting issuer concerning the sending of interim financial statements of the reporting issuer. In addition, in some circumstances, the instructions you give in this client response form will not apply to annual reports or financial statements of an investment fund that are not part of proxy-related materials. An investment fund is also entitled to obtain specific instructions from you on whether you wish to receive its annual report or financial statements, and where you provide specific instructions, the instructions in this form with respect to financial statements will not apply.

PART 3 - PREFERRED LANGUAGE OF COMMUNICATION

ENGLISH/FRENCH My preferred language of communication is: ☐ ENGLISH ☐ FRENCH

I understand that the materials I receive will be in my preferred language of communication if the materials are available in that language.

OTHER INTEREST IN THIS ACCOUNT

Will this account be used to conduct business on behalf of an entity other than the named entity? (response required)

☐ YES ☐ NO

INFORMATION ABOUT THE GUARANTOR

Title First Name

Initial Last Name

Street Address/Legal Address (Address cannot be a Post Office Box)

City Province Postal Code

Are you an existing Scotia iTRADE client? ☐ YES ☐ NO

If Yes, what is the account number? _____

Do you guarantee other Scotia iTRADE accounts? ☐ YES ☐ NO

If Yes, what is the account number(s)? _____

CUSTOMER AGREEMENT – LEGAL ENTITY ACCOUNT

In this agreement the terms *I*, *we*, *my*, and *our* refer to the customer.

BY SIGNING, I CONFIRM THAT:

1. All the information in this Form SIT 300-MD LE (the “**Form**” or “**Customer Agreement**”) is complete, accurate and true, and I will promptly send written notice to Scotia iTRADE of any changes in this information. I verify that any photocopies of identification submitted with this Form are true copies of valid identification documents of each trading authority, partner, member, director, sole owner, or required beneficial owner of the legal entity to which this Form pertains (“**Relevant Legal Entity**”).
2. I have read, understand, and agree to the terms of this Customer Agreement and all the other sections in the Scotia iTRADE Relationship Disclosure Document and Terms and Conditions brochure (previously provided to me) that apply to this/these account(s).
3. For the purpose of identifying the authorized signatory and each trading authority, officer/authorized person, trustee or beneficial owner of the Relevant Legal Entity, you may disclose information about the authorized signatory and each trading authority, officer/authorized person, trustee or beneficial owner to third party service providers in accordance with and subject to the Scotiabank Privacy Agreement, contained in the Scotia iTRADE Relationship Disclosure Document and Terms and Conditions brochure, in order to verify the information provided to you with information held at credit reporting agencies and/or other financial institutions and I understand that the information previously provided to you will be compared to the consumer credit report of the authorized signatory and each trading authority, officer/authorized person, beneficial owner, or trustee of the Relevant Legal Entity.
4. You may obtain information and reports about the Relevant Legal Entity, authorized signatory and each trading authority, officer/authorized person, trustee or beneficial owner of the Relevant Legal Entity from others, including credit reporting agencies and other lenders on an ongoing basis to review and verify the creditworthiness of the Relevant Legal Entity, authorized signatory and each trading authority, officer/authorized person, trustee or beneficial owner of the Relevant Legal Entity and/or establish credit limits and you may from time to time disclose such information and your credit experience with the Relevant Legal Entity, authorized signatory and each trading authority, officer/authorized person, trustee or beneficial owner of the Relevant Legal Entity to others in accordance with and subject to the Scotiabank Privacy Agreement, including to other lenders and credit-reporting agencies seeking such information.
5. My Shareholder Communication Instructions included in the information previously provided to you are to be followed. I understand that my elections apply to all securities held in this/these account(s).
6. Scotia iTRADE reserves the right to restrict or limit trading activity in this/these account(s) at any time without notice to me as disclosed in the Scotia iTRADE Relationship Disclosure Document and Terms and Conditions brochure previously provided to me.
7. United States Withholding Tax-Limitation on Benefits Treaty Statement (the “**Treaty**”): I/we meet all provisions of the Treaty that are necessary to claim a reduced rate of withholding, including any limitation on benefits provisions, and I/we derive the U.S. source income within the meaning of section 894 of the Internal Revenue Code, and the regulations thereunder, as the beneficial owner(s). (Please refer to the Scotia iTRADE Relationship Disclosure and Terms and Conditions brochure for details.)
8. Canada Revenue Agency Certification for Non-Residents of Canada
If I am a resident of a country other than Canada for tax purposes (“**Tax Residency**”), I hereby confirm and certify that I am the beneficial owner of and, to the best of my knowledge, am entitled to the benefits of the tax treaty, if any, between Canada and my Tax Residency on all this account's income. I agree to immediately notify Scotia iTRADE of any changes to my Tax Residency, and I further agree to fully reimburse and indemnify Scotia iTRADE for any liability that Scotia iTRADE may incur in connection with under withholding of tax based on my instructions. I hereby certify that the information provided on this Form is correct and complete. I 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 based on this certification. I 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 on the Form as being a country in which I am a resident for tax purposes.
I 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 an updated Tax Residency Self-Certification form within 30 days of such change in circumstances. I understand that it is my obligation to provide Scotia iTRADE my TIN(s) at the time it is requested. I understand that my failure to provide my TIN(s) may result in my incurring regulatory fines, either directly or indirectly.
9. If I am resident in Quebec, I have requested that this Form and all documents relating to my account(s) be in English. Au Québec, les parties conviennent et exigent expressément que ce contrat ainsi que tous documents et avis émis en vertu de celui-ci ou s'y rattachant soient rédigés en anglais.

ACKNOWLEDGEMENTS

I acknowledge that Scotia iTRADE does not provide personal, client-specific, or tailored investment advice or recommendations to me, make any determination of my general investment needs and objectives or suitability of any of my investment decisions or transactions, and does not accept any responsibility to advise me on any of the foregoing. I acknowledge that I am responsible for my investment decisions and transactions, as well as for any profits or losses that may arise, and Scotia iTRADE will not consider my financial situation, investment knowledge, investment objectives and risk tolerance when accepting and processing orders placed by me.

I acknowledge that the use of leverage may not be suitable for all investors. Using borrowed money, whether through a margin account or any other method of borrowing, to finance the purchase of securities involves greater risk than using cash resources only. If I borrow money to purchase securities, my responsibility to repay the loan, pay interest, and meet margin calls as required by the margin terms remains the same even if the value of the securities purchased declines.

I acknowledge that Scotia Capital Inc. is a separate entity from The Bank of Nova Scotia. Unless otherwise advised, securities purchased from or through Scotia Capital Inc. (a) are not insured by a government deposit insurer, (b) are not guaranteed by a Canadian financial institution, and (c) may fluctuate in value.

I acknowledge that I have received, read, and understand the terms and conditions contained in this Form and in the Scotia iTRADE Relationship Disclosure Document and Terms and Conditions brochure previously provided to me, including the Risk Disclosure Statement, Client Account and Margin Agreement containing the terms and conditions governing the operation of client accounts with Scotia iTRADE (if I have a margin account), and the Options Account Agreement explaining the operation of options trading accounts at Scotia iTRADE (if I have an options trading account) and agree to the terms and conditions set forth therein to the extent applicable to my accounts.

If I have an account involving margin and/or options trading, I understand that a margin account involves the borrowing* of money for account transactions and acknowledge that I am aware of the risks involved in trading on margin and am willing to take those risks and I acknowledge that I am aware of the risks involved in options trading and am willing to take those risks.

I understand that a short margin account involves the borrowing* of a security to complete a transaction.

NAME OF AUTHORIZED PERSON (PLEASE PRINT)

POSITION WITH ORGANIZATION (CEO, PRESIDENT, TRUSTEE etc)

SIGNATURE OF AUTHORIZED PERSON

DATE

If you have any questions, please contact a Scotia iTRADE Service Representative at **1-888-872-3388** or email us at **service@scotiaitrade.com**

* Scotia iTRADE reserves the right to remove or decrease loan values without warning. Not all securities have a margin loan value. Please speak with a Customer Service Representative to obtain our most up to date rates in respect of margin loans.

If you would like to receive copies of any Scotia iTRADE documents previously provided to you, including but not limited to the Scotia iTRADE Relationship Disclosure Document and Terms and Conditions brochure, including the Conflicts of Interest disclosure therein, Privacy Brochure, and Scotia iTRADE Commission/Fee Schedule, please contact a Scotia iTRADE Customer Service Representative by phone at 1-888-872-3388.

Scotia iTRADE is a division of Scotia Capital Inc. Scotia Capital Inc. is a separate but wholly owned subsidiary of The Bank of Nova Scotia. Cash and securities held in or sold through your Scotia iTRADE account are not insured by The Bank of Nova Scotia, Canada Deposit Insurance Corporation or any other government deposit insurer.

Customers' accounts are protected by the Canadian Investor Protection Fund within specified limits. A brochure describing the nature and limits of this coverage is available upon request.

Scotia iTRADE® (Order-Execution Only Accounts) is a division of Scotia Capital Inc. ("SCI"). SCI is regulated by the Investment Industry Regulatory Organization of Canada and is a member of the Canadian Investor Protection Fund. Scotia iTRADE does not provide investment advice or recommendations and investors are responsible for their own investment decisions.

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