



CLIENT ACKNOWLEDGEMENT FORM

Complete this form as your Client Acknowledgement page. Return this completed form along with clear copies of your documents to Friedberg Direct. You may submit this form using the automatic upload feature in my.friedbergdirectav.ca. Pending and incomplete accounts will be activated upon document review.

Account Number (if available)

Email Address

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New Client Acknowledgement (Required)

In connection with the proposed opening of an account at FMGL, I acknowledge and confirm as follows:

- I have been provided with copies of each of the following:
 - The Client Application Form setting out all requested information about me, which I have reviewed to confirm the accuracy and completeness of the information,
 - The New Client Documentation booklet, which includes FMGL's Relationship Disclosure Document, the Customer's Agreement which I have entered into, Risk Disclosure Statements and FMGL's related and connected issuer and conflicts disclosure statement and shared facilities disclosure statement, the suitability exemption disclosure, the order execution only policy, and
 - The IIROC complaints brochure.
- I was provided with an explanation of the importance of fully and accurately providing information about me and with summaries of the documents listed in paragraph 1 above.
- I have read and understand the documents listed in paragraph 1 above, and was given the opportunity to ask questions about those documents. I understand that all the latest disclosures are always available on the web site or upon request.

Primary/Joint Account Holders and/or Corporate Account Owners*

Signature (Primary/Owner)

Print Name

Date

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Signature (Primary/Owner)

Print Name

Date

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Signature (Primary/Owner)

Print Name

Date

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*If your account is held in the name of a Corporation or Partnership, shareholders or beneficiaries with 10% or more ownership interest are required to submit their signature as well as the requirements listed below. Please use a duplicate of this form if needed to obtain all signatures.

Friedberg Direct is a division of Friedberg Mercantile Group Ltd., a member of the Investment Industry Regulatory Organization of Canada (IIROC), the Canadian Investor Protection Fund (CIPF), and all Canadian Exchanges. Friedberg Mercantile Group Ltd. is headquartered at 181 Bay St., Suite 250, Toronto, ON M5J 2T3, Canada.

All references to "AvaTrade" refer to the AvaTrade group of companies (collectively, the "AvaTrade Group"). AvaTrade provides administrative services for Friedberg Direct clients. AvaTrade is headquartered at Five Lamps Place, Amiens Street, Dublin 1, Ireland

Are you or any of your family members or close associates a Politically Exposed Person/Head of International Organization as defined under AML regulations?

- a) Foreign Politically Exposed Person
- b) Domestic Politically Exposed Person
- c) Head of International Organization

☐ Yes ☐ No
☐ Yes ☐ No
☐ Yes ☐ No

Is your main country of residence for tax purposes a country other than Canada? ☐ Yes ☐ No
If yes, please complete the table below and list all applicable countries of residence for tax purposes.

COUNTRY OF RESIDENCE FOR TAX PURPOSES	TAXPAYER IDENTIFICATION NUMBER (SSN/ITIN/TIN)	IF NO SSN/ITIN/TIN IS AVAILABLE PLEASE SELECT THE REASON* (A, B, C, OR D)

*If the SSN/ITIN/TIN is not provided, please indicate one of the following reasons as to why it is not available:

Reason A: I will request my SSN /ITIN/TIN or I have already requested it but have not yet received it. If I have not yet requested one, I have 90 days to apply for it and 15 days after I receive it to provide it to my financial institution.

Reason B: The country where I am a resident for tax purposes does NOT issue a TIN to its residents (excluding the United States).

Reason C: I have it, but I do not have it on hand. I will provide it within 15 days.

Reason D: I refuse to provide it, as requested per Part XVIII and Part XIX of the Income Tax Act.

NOTE: If the reason for not providing my SSN/ITIN/TIN is A, C or D, I understand that my financial institution may have to declare my account based on any indicia that may indicate a foreign tax residence and that I may be subject to penalties from CRA as a result of my refusal or negligence to provide this information as required under Part XVIII and/or XIX of the Income Tax Act. I agree to assume any liability directly or indirectly related to this situation.

IMPORTANT INFORMATION: In addition to this form, Friedberg Direct requires the following for each named party to the account:

- a. ☐ **Government Issued Photo Identification** - Valid forms of Government Issued Photo Identification include a non-expired driver's license OR passport.
- b. ☐ **Additional Verification - ONE** of the following options- which CANNOT be used for Proof of Residence in c. below:
 - I. Original Bank, Loan/Mortgage or Credit Card account statement – scanned or photographed
 - II. Bank letter (signed and dated with contact number of bank manager or signee)
 - III. \$1 cheque made payable and addressed to Friedberg Direct at 181 Bay St. Suite 250, Toronto, ON M5J 2T3.
 - IV. Fund your account with a **USD** wire deposit
- c. ☐ **Proof of Residence**** - (as represented on the Friedberg Direct Trading Agreement)
 - I. Valid forms of proof of address include a phone or utility bill, credit card, investment or bank account statement, CRA Notice of Assessment or GST refund letter, and property tax assessment.
 - II. Proof of residence must be dated within six (6) months of the current date.

**Please note that a separate Proof of Residence is still required even if the address on your government issued photo ID and bank statement/letter/\$1 cheque matches the residential address listed on your application.

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d. ☐ **W-8BEN Form** - the link to this form will be found in your Trading Application Information email.

Corporate/Partnership Documents (if applicable)

- ☐ Certificate of Incorporation, Articles of Organization and/or Partnership Agreement.
- ☐ Corporate W-8BEN Form (must be signed by authorized trader)
- ☐ Proof of Active Status for Corporations that were registered at least 2 years earlier from the date of account application (tax filing, notice of assessment, or other similar corporate filing)
- ☐ Breakdown of Shares/Share Registry, (if any shareholder owns 10% or more of the entity, Friedberg Direct will require an identification card, proof of address, W-8BEN form, \$1 Personal Cheque made payable to "Friedberg Direct" and a Client Acknowledgement Form from that individual(s).
- ☐ \$1 corporate cheque made payable and addressed to Friedberg Direct at 181 Bay St. Suite 250, Toronto, ON M5J 2T3.
- ☐ Legal Entity Identifier (LEI). If you do not have a Legal Entity Identifier (LEI), please proceed to the [GLEIF's website](#) or the [Ontario Securities Commission's website](#) for instructions on how to obtain one.

Note: Document details, such as name, address, date of birth, expiration date (if applicable) must be legible in the fax transmission. Documents received that are too light, too dark or with illegible details as referenced above will not be accepted.

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