

**1. TRADING AUTHORITY INFORMATION**

Estate Account Name \_\_\_\_\_

Please be advised that the Estate has appointed:

\_\_\_\_\_  
 Executor 1 (First, Initial, Last)

\_\_\_\_\_  
 Executor 2 (First, Initial, Last)

(hereafter referred to as "Attorney" or, collectively "Attorneys") to act on behalf of the Estate as Attorney with respect to transactions in the Qtrade Direct Investing ("Qtrade") account(s), in accordance with the conditions set out in this document as follows:

1. The Estate's appointment of an Attorney and any actions taken by such Attorney are governed by the *Customer Agreements & Disclosure Documents* which both the Attorney and the undersigned Executor have read and agree to be bound by. The Estate's appointment of an Attorney will not, unless specifically directed otherwise, revoke any existing power of Attorney and;
2. Qtrade is hereby authorized to accept and act upon the instructions of such Attorney to:
  - A. purchase securities of whatsoever nature or kind, including options and foreign exchange contracts (hereinafter collectively called "securities"), on margin or otherwise;
  - B. sell (including short sales), assign, pledge, transfer, hypothecate or otherwise dispose of any securities held by Qtrade for the Estate whether or not registered in the name of the Estate;
  - C. make, execute and deliver all necessary agreements (including any account operating or trading agreements), documents, instruments, acts of assignment, pledges, transfers and hypothecations as may relate to any securities transactions or any borrowings or advances or any obligations heretofore, now or hereafter incurred by the Estate, as may be required by Qtrade;
  - D. borrow money on the credit of the Estate by obtaining loans or advances or as overdrafts whether by deed of loan or acknowledgement of debt or by any other means whatsoever;
  - E. assign, transfer, convey, hypothecate, mortgage, pledge, charge or give security in any manner upon all or any real or personal property or other assets, movable or immovable, present or future, of the Estate to secure any such obligations of the Estate;
  - F. receive any securities or property held on behalf of the Estate by Qtrade and to execute and deliver drafts or receipts for money or securities or other property and to verify and settle all books and accounts between the Estate and Qtrade, to secure any such obligations of the Estate;
  - G. receive payment or sign, make, execute, deliver, issue, accept, endorse, negotiate or discount any cheque, promissory note, bill of exchange or other negotiable instrument (including orders for the payment of money payable to the individual order of any signing officer(s) of the Estate); and
  - H. receive, sign and approve any withdrawal, document, voucher, bill of exchange, account statement and any documents or papers relating thereto and to reconcile any amounts pertaining to the operation of any such accounts.
3. Any and all transactions for the Estate's account(s) and any documents in connection therewith heretofore or hereafter executed by an Attorney on behalf of the Estate are hereby ratified and confirmed.
4. All acts and things done and instruments of payment, agreements or other documents signed or purporting to be signed on behalf of the Estate in the manner set forth in this resolution shall be valid and binding upon the Estate.
5. The Executor(s) hereby delegate any and all authority to the Attorney(s) named herein.
6. The Estate agrees that the foregoing instruction shall remain in full force and effect until notification to the contrary has been received in writing by Qtrade and until such notification, all that the Attorney shall do or purport to do by virtue hereof is fully ratified and confirmed;
7. The Estate expressly agrees that all such transactions handled by Qtrade are at the Estate's risk and the Estate undertakes to hold Qtrade harmless and indemnify Qtrade against all costs, damages and losses, including legal costs arising out of any such transactions; and
8. Qtrade will not notify the Estate if its Attorney(s) performs any of the above transactions since they have the same effect as if undertaken by the Estate. Please ensure the Executor(s) is aware of the permissions granted of any financial institution account that has been set up for electronic funds transfer.

**2. AUTHORIZATION**

I, the undersigned, certify that:

The authorized Attorney(s) of the Estate for the purpose of operating the Estate account(s) with Qtrade are listed above. The names and information pertaining to each Attorney along with the specimen signature(s) of such persons are attached.

_____ Executor Name (First, Initial, Last)	x	_____ Executor Signature	_____ Date (dd/mm/yyyy)
_____ Executor Name (First, Initial, Last)	x	_____ Executor Signature	_____ Date (dd/mm/yyyy)
_____ Executor Name (First, Initial, Last)	x	_____ Executor Signature	_____ Date (dd/mm/yyyy)

**3. INFORMATION ON BENEFICIARIES (REQUIRED BY REGULATORS)**

Please list the names and addresses for all Beneficiaries of the Estate (if more than 5 beneficiaries, attach an additional page).

Beneficiary Name (First, Initial, Last)	Address

**4.1 INFORMATION ON EXECUTOR (REQUIRED BY REGULATORS)**

Mr.  Mrs.  Ms.  Miss  Dr. \_\_\_\_\_  
Social Insurance Number

\_\_\_\_\_  
Name (First, Initial, Last) Contact Number Email Address

\_\_\_\_\_  
Home Address City Province Postal Code

Citizenship (List all countries) Country of Residence Occupation Employer Date of Birth (dd/mm/yyyy)

**A.** Are you or any member of your immediate family a Politically Exposed Person (PEP) or Head of International Organization (HIO), or a close associate of a PEP or HIO, as defined on the PEP and HIO form?  No  Yes  
If yes, complete a PEP and HIO form.

**B.** Do you own, or have control or direction over, directly or indirectly, alone or as part of a group, 10% or more of the voting rights of an issuer or publicly traded company or other entity?  No  Yes \_\_\_\_\_ %  
If yes, specify name(s) of company(ies) and % owned.

**C.** Are you a Director or Senior Officer, or an individual performing similar functions, of an issuer or publicly traded company or other entity whose shares trade on a marketplace?  No  Yes  
If yes, specify name(s) of company(ies).

**D.** Are you, your spouse, or any member of your household an employee, Director, Partner or Officer of a securities dealer?  No  Yes  
If yes, specify name(s) of security dealer(s).

**E.** In which of the following do you have investment experience?  
 None  Mutual Funds  Stocks  Bonds **Options:**  Long Calls or Puts  Covered Writing  Spreads  Uncovered Writing

**F. Identification:** Required for each Executor. Include a legible photocopy of valid government issued photo ID and select from the Verified Identification Methods below.  
Photo ID:  Passport  Driver's License (front & back)  Other ID Type & Number \_\_\_\_\_  
(Acceptable ID must have Unique Identifier, Signature and Expiry Date)  
Verified Identification Methods (select either Credit File\* or Dual Method):  
 Credit File\* (must be in existence for at least 3 years) \*Note – Qtrade will obtain the credit file report  
 Dual Method (select 2 of the following):  Credit File\* (at least 6 months to 3 years old)  Personal Cheque (minimum \$10, payable to Aviso Financial Inc.)  Reliable document (CRA Assessment, Utility bill)

I represent and warrant that the information provided herein is accurate and complete and that I have read and understand the terms and conditions of Qtrade's agreements governing the Estate's account(s) and acknowledge that Qtrade will not review any orders for suitability. Without this consent Qtrade will not open this account.  
 I Consent  I Do Not Consent

x \_\_\_\_\_  
Signature Date (dd/mm/yyyy)

**4.2 INFORMATION ON EXECUTOR (REQUIRED BY REGULATORS)**

Mr.  Mrs.  Ms.  Miss  Dr. \_\_\_\_\_  
Social Insurance Number

\_\_\_\_\_  
Name (First, Initial, Last) Contact Number Email Address

\_\_\_\_\_  
Home Address City Province Postal Code

Citizenship (List all countries) Country of Residence Occupation Employer Date of Birth (dd/mm/yyyy)

**A.** Are you or any member of your immediate family a Politically Exposed Person (PEP) or Head of International Organization (HIO), or a close associate of a PEP or HIO, as defined on the PEP and HIO form?  No  Yes  
If yes, complete a PEP and HIO form.

**B.** Do you own, or have control or direction over, directly or indirectly, alone or as part of a group, 10% or more of the voting rights of an issuer or publicly traded company or other entity?  No  Yes \_\_\_\_\_ %  
If yes, specify name(s) of company(ies) and % owned.

**C.** Are you a Director or Senior Officer, or an individual performing similar functions, of an issuer or publicly traded company or other entity whose shares trade on a marketplace?  No  Yes  
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**F. Identification:** Required for each Executor. Include a legible photocopy of valid government issued photo ID and select from the Verified Identification Methods below.  
Photo ID:  Passport  Driver's License (front & back)  Other ID Type & Number \_\_\_\_\_  
(Acceptable ID must have Unique Identifier, Signature and Expiry Date)  
Verified Identification Methods (select either Credit File\* or Dual Method):  
 Credit File\* (must be in existence for at least 3 years) \*Note – Qtrade will obtain the credit file report  
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 I Consent  I Do Not Consent

x \_\_\_\_\_  
Signature Date (dd/mm/yyyy)