

To be completed by all Trading Authorities, Trustees, Partners, Members, Executors, and Beneficial Owners of 25% or more of the Entity

Are you a (select all that apply): ☐ Trading Authority ☐ Trustee ☐ Partner/Member ☐ Executor
☐ Beneficial Owner If a Beneficial Owner, specify percentage _____%

First Name	Middle Name	Last Name	Contact Number	Email Address	
Address		City	Province	Postal Code	
Employer Name		Type of Business / Industry		Occupation / Job Title	
Citizenship		Country of Residence	Social Insurance Number (required for credit file ID method)	Date of Birth (mm/dd/yyyy)	
1. _____ 2. _____					

- A. Are you a tax resident of: ☐ Canada ☐ U.S.: _____ ☐ Other: _____
(select all that apply) Tax Identification Number (TIN) _____ List all Country Names and Tax Identification Numbers
Note: You are considered a US tax resident if you are a US resident or citizen. US tax residents must include an IRS Form W9.
- B. 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*.
- C. Are you an "insider," "reporting insider," or Affiliate of any publicly traded company for purposes of applicable securities regulations? You are responsible for knowing the securities rules that apply to you, but you may be a "reporting insider" if you are a CEO, CFO, or COO of the reporting issuer or major subsidiary of the reporting issuer, a significant shareholder, director of the board of the reporting issuer, or have responsibility for a principal business unit, or division of the reporting issuer whose shares trade on any Canadian exchange. If yes, specify the security symbol.
☐ No ☐ Yes Security Symbol: _____
- D. Do you either individually or as part of a group, own 10% or more of the voting rights of a publicly traded company? If yes, specify the security symbol.
☐ No ☐ Yes Security Symbol: _____
- E. Do you either individually or as part of a group, own 20% or more of the voting rights of a publicly traded company? If yes, specify the security symbol.
☐ No ☐ Yes Security Symbol: _____
- F. Are you, your spouse or any member of your household an employee, Director, Partner or Officer of a securities dealer? If yes, specify the security dealer.
☐ No ☐ Yes Securities Dealer: _____
Household Member: Name _____ Securities Dealer _____
- G. a. How would you rate your investment knowledge? ☐ Sophisticated ☐ Average ☐ Limited ☐ None b. In which of the following do you have investment experience?
☐ Stocks ☐ Bonds ☐ Mutual Funds ☐ None
- H. **Identification:** Required for each Trading Authority, Trustee, Settlor, Partner/Member, Executor, and Beneficial Owner of 25% or more of the Entity. If you are meeting with the Advisor in person, provide them with an original, valid, government issued photo ID. If you are not meeting with the Advisor in person, provide a legible copy of valid, government issued photo ID. Your identity will be verified by referring to a Canadian credit file. If your identity cannot be verified, the Advisor will provide you with alternative identity verification options.

ID Type	ID Number	Jurisdiction	Expiry Date (mm/dd/yyyy)

Authorization

By signing below, you hereby declare that the information provided above is full, true and complete. You also acknowledge that you have reviewed a copy of the *Aviso Wealth Account Agreement and Disclosure Document* booklet and agree to the terms therein. Aviso Wealth may rely on the information you have provided until you send us written notice of any changes.

X _____
Signature Date (mm/dd/yyyy)

Investment Advisor Authorization

_____ **X** _____
Investment Advisor Name IA Code Investment Advisor Signature Date (mm/dd/yyyy)

I confirm I have met with the individual in person to view their original photo ID document in order to verify their identity:

Advisor/AFI Registrant Name Date (mm/dd/yyyy)