

(also referred to as the "Firm")

U.S. persons/entities

- Waiver of client confidentiality (TX-100)
- W-9

All Canadian residents

**Valid government issued ID required for all applicants –*

Provide a copy of one of the following:

- Passport
- Birth Certificate (for applicants under 21)
- Canadian Citizenship Card
- Canadian Forces ID Card
- Certificate of Indian Status
- Driver's Licence (QC only if client volunteers it)
- Provincial Health Insurance Card (ON, MB, PEI not allowed by law, QC only if client volunteers it)
- Permanent Resident Card
- BC ID Card
- MB Driver's Licence Certification (Part 2) and Manitoba Public Insurance Certificate (MP)
- NFLD Photo ID Card
- NS ID Card
- PEI Voluntary ID
- SK Mandatory Photo ID and valid SK Annual Driver's Licence and Automobile Accident Insurance Certificate

If your SIN begins with the digit "9", or you choose not to provide a SIN, or you are a non-resident of Canada, you are required to complete a W-8BEN. Note: This form expires every 3 years so the form must be renewed prior to expiry while the account is active.

Investment club

- NAAF
- SIN, Photo ID and citizenship for all members

Non-profit organization

Incorporated:

- Articles of incorporation
- Established via constitution, bylaws, meeting minutes & directors' resolution*
- Resolution for signing authority signed by two senior officers (NP-105)
- Establishing documentation – constitution, bylaws, etc. – certified true copy

All accounts must provide:

- All trading and signing authorities – provide photocopy of one valid government photo ID
- CRA Registration Number NAAF
- Limitation of Benefits Statements (TX-101)

Estate accounts for continuous use

Complex Trusts

- Probated Will or Letters of Administration (notarized or all pages certified true copy)
- W-8BEN - signed by an executor (includes limitation on benefits statement)

Simple Trusts

- Probated Will or Letters of Administration (notarized or all pages certified true copy)
- W-8BEN – signed by all non-US beneficiaries (includes limitation on benefits statement)
- W-8IMY – signed by an executor
- Waiver of confidentiality – signed by all beneficiaries (TX-100)
- W-9 – signed by all US beneficiaries NAAF

Corporation

- Corporate Resolution (NP-102)
- NAAF Limitation of Benefits Statements (TX-101)
- Articles of certificate of incorporation (all pages certified true or notarized)
- All trading and signing authorities, all > 10% beneficial owner (provide certified true copy of one valid photo ID)
- Security Deposits – Corporate Resolution for the transfer of physical securities, President must endorse the back of all certificates or POA.

Account transfers

- Authorization to Transfer Account (CA-101)

Sole ownership

- NAAF
- Photocopy of ID
- Certificate of Registration (certified true)

Partnership

- NAAF
- Partnership Account Certificate (NP-103)
- Certificate of Registration (certified true)
- W-8BEN – signed by all non-US partners (includes limitation on benefits statement)
- W-8IMY – from one general partner
- Waiver of client confidentiality signed by all partners (TX-100)
- W-9 – signed by each US Citizen Partner
- All partners – provide a certified true copy of one valid photo government ID