



Dear Valued Customer,

IMPORTANT DEADLINE: JUNE 30, 2017. OUR RECORDS INDICATE YOU HAVE NOT PROVIDED US WITH UPDATED FX TRADING DOCUMENTATION. PLEASE COMPLETE AND RETURN THE ENCLOSED DOCUMENTS TO HAVE YOUR TRADING ACCESS RE-INSTATED.

Thank you for your continued business. In an effort to streamline our FX offering we are consolidating all FX trading activity through the wholesale banking division of The Toronto-Dominion Bank, an affiliate of TD Bank N.A. and a chartered bank under the laws of Canada. There will be no changes to any of your account settings and you will continue to have the same market access through our e-trading platform. However, we will require updated documentation including the following:

- **Existence/Address document:** examples are articles of incorporation, audited annual report, business status report) – Document(s) must be within 1 year to reflect current existence and contain a registered and/or physical address if different.
- **Formation documents:** examples are: articles of incorporation or secretary of state registry certificate
- **Power to Bind the Corporation:** examples are: corporate resolution, certificate of incumbency, certificate of authority. Document will identify all individuals authorized to act on behalf of the company. Attached is Corporate Resolution Form.
- **Binding Agreement:** Attached (“Acknowledgement letter”).
- **Full Name of all Directors**
- **Beneficial Ownership at 10%:** Attached.
- **Signing Officers/Authorities:** Attached. We need to obtain the signatures and ID Validation of a minimum of 3 authorized signatories or all if less than 3.
- **IRS Tax Form** - The Foreign Account Tax Compliance Act ("FATCA") became effective July 1, 2014 and, as a result, we require you to complete and submit any one of the following IRS (US Government – Internal Revenue Services Agency - <http://www.irs.gov/Businesses/Corporations/Frequently-Asked-Questions-FAQs-FATCA--Compliance-Legal>) forms: **W-9**, **W-8BEN-E**, **W-8IMY**, **W-8EXP**. For further guidance on how to complete these forms, visit the IRS web site (<http://apps.irs.gov/app/picklist/list/formsPublications.html>) or contact your tax advisor.)

Please submit the completed documents to our Global Client Management team at GCMRequest@tdsecurities.com. If you have any questions about these documentation requirements please contact the GCM team via email or at 416-983-1153.

TD Foreign Exchange



Resolution of the Directors of _____ (the Corporation)
carrying on business under the name of _____ (the Business Name)

Whereas it is in the interest of the Corporation to enter into arrangements for the provision of financial products and/or services with The Toronto-Dominion Bank, TD Mortgage Corporation, TD Pacific Mortgage Corporation and The Canada Trust Company (collectively, the "Bank"), therefore;

Be it resolved that:

- 1. The Corporation may from time to time:
(a) open, maintain and operate one or more accounts with the Bank and do all things in relation thereto;
(b) borrow money or otherwise obtain credit from the Bank in such amounts and on such terms as may be deemed appropriate, by loans, advances, overdrafts, financial leases or otherwise;
(c) mortgage, hypothecate, charge, pledge, assign, convey, transfer or otherwise grant a security interest in any or all of the property, real and personal, immovable and moveable, undertaking and rights of the Corporation, present and future, to secure the payment and performance of any or all of the present and future indebtedness, liabilities and obligations of the Corporation to the Bank;
(d) enter into further arrangements for the provision of financial products and/or services with the Bank;
(e) guarantee the obligations of any third party to the Bank either with or without security; and
(f) do all such acts and things and execute and deliver any and all agreements or other instruments as deemed necessary by the Bank to give full effect to this resolution.
2. In accordance with any restrictions set out below, the persons holding the offices listed below from time to time are authorized for and on behalf of the Corporation to:
(a) execute and deliver all of the documents and instruments contemplated by this resolution;
(b) give the Bank instructions in connection with any of the foregoing;
(c) conduct all aspects of the Corporation's banking relationship with the Bank;
(d) further delegate the authority granted hereunder to such person or persons as the authorized signing officer(s) may select at any time and from time to time; and
(e) appoint, add, remove and/or replace signing officers (including appointing specific signing officers in respect of specified accounts) and to establish and change the Signing Officer Requirements/Restrictions from time to time on prior written notice to the Bank.

The Bank is entitled to rely on such documents, instruments, instructions and transactions as duly and validly authorized and binding on the Corporation including, without limitation, any documents, instruments, instructions and transactions made, drawn, accepted, endorsed or signed by any delegate(s). The Bank does not need to make any further inquiry into the authority of the authorized signing officers or delegates to bind the Corporation.

Signing Officers (Identify by title and not by name)

Title: _____
Title: _____
Title: _____
Title: _____
Title: _____
Title: _____

The persons holding the corresponding offices, as of the date hereof, are:

Name: _____
Name: _____
Name: _____
Name: _____
Name: _____
Name: _____

Any titled officer or signing officer of the Corporation is authorized to certify to the Bank the names of those persons who are holders from time to time of the positions authorized as signing officers, and such certification, when received by the Bank, shall be binding on the Corporation.

Signing Officer Requirements/Restrictions

Record the signing requirements, using titles only and not names, e.g. "any one to sign", "the President to sign alone", the President and the Secretary to sign together.

Certified a true copy of a Resolution duly passed by the Board of Directors of the Corporation and that this Resolution is now in full force and effect and unamended.

Dated this _____ day of _____, 20 _____

X _____
Name:

X _____
Name:

Note: This form must be signed by the Corporation's titled officer(s), e.g. President, Secretary, Treasurer, Vice-President or signing officer(s) of the Corporation.



TD Securities

TD Securities Inc.
TD Tower
66 Wellington Street West, 9th Floor
Toronto, Ontario M5K 1A2

ACKNOWLEDGEMENT

The Toronto-Dominion Bank or one of its affiliates ("TD") may enter into a business relationship with _____ (the "Counterparty") in connection with the trading or dealing in certain treasury products including without limitation to foreign exchange, global metals, funding or fixed income instruments. In connection with such business relationship the Counterparty represents and warrants to TD as follows.

1.1 Capacity

It has all requisite power, authority and approvals to enter into or trade and perform its obligations with TD.

2.1 Authority

It has, and any person designated by it has, and will at all times have, due authorisation to act in all respects in relation to each transaction and contract entered into by it with TD and this acknowledgement has been executed by a duly authorized signing officer and has provided evidence of such authority to TD.

3.1 Licences and Consents

It has obtained and made and will maintain in effect all necessary authorisations, consents or approvals, exemptions, licences, notifications and filings and it will comply with the terms of the same to allow it to enter into transactions with TD.

To the extent of any inconsistency between this acknowledgement and any other agreement entered into by the parties with respect to any transaction, the terms of the other agreement shall govern. This acknowledgement shall be binding on the successors and assigns.

Dated this _____ of _____, _____

By: _____

Title: _____

Signature: _____



The Toronto-Dominion Bank

Beneficial Ownership and Director Information Form

The purpose of this form is to obtain the beneficial ownership and director information as per the Canadian AML Regulations. The requirements are as follows:

Provide documents evidencing ownership structure and director information as outlined below **or** complete this form.

<p>Documents must include the following:</p> <ul style="list-style-type: none"> • Identify all direct/indirect owners that own/control <input type="checkbox"/>% or more of the entity. This includes: <ul style="list-style-type: none"> ▪ For entities: legal name, country of domicile, percentage of ownership ▪ For individuals: full name, residential address, percentage of ownership • Director information (applicable to corporations only) 	<p>Examples of appropriate documentation include (but not limited to):</p> <ul style="list-style-type: none"> • Copies of executed documents. This refers to all core constitutional documents (e.g., articles of incorporation, trust deed, share register, partnership agreement, articles of association etc.) • Audited financial statements (AFS) • Attestation by an external/internal third party
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To be completed in lieu of providing documents evidencing ownership structure outlined above

Legal entity name: _____

Are there any individual(s) that directly/indirectly own/control <input type="checkbox"/>% or more of your entity?	No	Please complete Section D. If your entity is a corporation, also complete Section B.
	Yes	If your entity is a corporation, please complete Section A, B, and D.
		If your entity is not a corporation, please complete Section A and D.

* If your entity is a **trust**, please complete Section C and D only.

Section A | Ownership Structure

A1 - Direct Beneficial Owner(s)

Name of beneficial owner	If owner is an entity: country of domicile If owner is an individual: residential address	If owner is an individual: occupation (<i>optional</i>)	% of ownership

A2 – Indirect Beneficial Owner(s): To be completed where a beneficial owner in A1 is an entity.

Name of entity owner in section A1	Name of beneficial owner	If owner is an entity: country of domicile If owner is an individual: residential address	If owner is an individual: occupation (<i>optional</i>)	% of ownership



A2 – Indirect Beneficial Owner(s) continued

Name of entity owner in section A1	Name of beneficial owner	If owner is an entity: country of domicile If owner is an individual: residential address	If owner is an individual: occupation (<i>optional</i>)	% of ownership

A3 – Indirect Beneficial Owner(s): To be completed where a beneficial owner in A2 is an entity. Please drill down to individual level.

Name of entity owner in section A2	Name of beneficial owner	If owner is an entity: country of domicile If owner is an individual: residential address	If owner is an individual: occupation (<i>optional</i>)	% of ownership

NOTE: IF THERE ARE ADDITIONAL LAYERS OF OWNERSHIP BEYOND LEVEL A3 WHERE BENEFICIAL OWNERS EXIST AT THE REQUIRED THRESHOLD, PLEASE PROVIDE SUPPORTING DOCUMENTATION THAT CAPTURES THE INFORMATION DETAILED ABOVE.

Section B	Director information (<u>applicable to corporations only</u>)
	This section must be completed only if supporting documents evidencing director information have not been provided.
	Director information already collected by TD <input type="checkbox"/> Director information must be provided by the client <input type="checkbox"/>

Full name of director	Occupation (<i>optional</i>)

NOTE: ALL DIRECTORS MUST BE LISTED. IF THERE ARE ADDITIONAL DIRECTORS, PLEASE PROVIDE SUPPORTING DOCUMENTATION THAT CAPTURES THE INFORMATION DETAILED ABOVE.



Section C Beneficial Owners for Trusts

Please indicate the type of trust below:

- Inter-vivos trusts: Provide the names and addresses of all trustees and all known beneficiaries and settlors of the trust.
- Other trusts (testamentary and institutional trusts): Provide the names and addresses of all trustees and settlors of the trust.

Legal Name	Indicate if a trustee, settlor or beneficiary	Address

NOTE: ALL TRUSTEES, SETTLORS AND BENEFICIARIES MUST BE LISTED. IF THERE ARE ADDITIONAL TRUSTEES, SETTLORS AND BENEFICIARIES, PLEASE PROVIDE SUPPORTING DOCUMENTATION THAT CAPTURES THE INFORMATION DETAILED ABOVE.

Section D Attestation

To be completed and signed by an external/internal agent (i.e. legal counsel, chartered accountant, notary) or internal senior management (e.g. CEO, CFO, COO, president, treasurer or corporate secretary).

I _____ (full name), in my capacity as _____
(position held/title) at _____ (company name) am authorized to act on behalf of
_____ (name of the client) and attest that the information provided above, including
supporting documentation, is accurate, current and complete.

By signing this form, I acknowledge and accept that TD may from time to time request for updated information and/or additional supporting information.

Date _____

Signature _____



TD Securities
Global Counterparty Credit
Regulatory Identification Requirements Form

In order to meet Canadian AML identification requirements, TD Securities Inc./The Toronto Dominion Bank ("TD") must validate the identification of three individuals who have **any** of the following for products executed:

- Funding authority
- Trading Authority
- Signing authority

To fulfill this requirement, please complete the following:

- Have a witness attest to this form. See Appendix A for a list of acceptable witnesses.
- Complete Section A – information to be filled in regarding the three individuals (or less if there are not three individuals) who have authority to act. Acceptable identification is listed in Appendix B.
- Complete Section B – information to be filled in regarding the witness.

*If there are not three individuals that have funding/trading authority for all asset classes executed with TD, please indicate for which asset classes they have authority.

Agreement to Verify Identity and Identification Record

This agreement is between The Toronto-Dominion Bank and the Witness. It set out the terms and conditions pursuant to which Witness will provide services to assist TD in meeting its legislative and regulatory requirements.

Section A	Identified Individuals
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Complete where the individual(s) is/are an authorized signatory or has funding/trading authority and **request 1 piece of identification** (see Appendix B) from the individual and record below:

Legal entity name: _____

	First Individual	Second Individual	Third Individual
First name and last name:			
Residential address:			
Date of birth:			
Type of identification:			
Identification number:			
Place of issuance <i>(country/state/province):</i>			
Signature:			

Appendix A	Witnesses
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A Witness must be a external/internal agent (ie. legal counsel, chartered accountant, notary).

The Witness will:

- (A) ascertain the identity of the individuals named by meeting with such individuals in person, and examining original, valid and unexpired government-issued identification documents of such individual;
- (B) record the details of the identification prescribed on this form.

Appendix B	Acceptable Forms of Identification
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- Driver's license (Canada, US, UK, Hong Kong, Singapore, Australia, Netherlands and Barbados)
- Canadian Passport
- Foreign Passport
- Certificate of Canadian Citizenship or Certificate of Naturalization in the form of a paper document or card but not a commemorative issue
- Permanent Resident Card or Citizenship and Immigration Form IMM1000 (prior to June 28th, 2002) or IMM1442 or IMM5292
- Provincial Health Insurance card as permitted to be used for identification purposes under provincial law
 - not permitted in PEI, Manitoba or Ontario
- A document or card, bearing the individual's photograph and signature, issued by any federal, provincial or territorial government or by the following authorities or their successors
 - Insurance Corporation of British Columbia
 - Alberta Registries
 - Saskatchewan Government Insurance
 - Department of Service Nova Scotia and Municipal Relations
 - Department of Transportation and public Works of PEI
 - Service New Brunswick
 - Department of Government Services and Lands Newfoundland & Labrador
 - Department of Transportation of the Northwest Territories
 - Department of Community Government and Transportation of Nunavut