



Order Execution  
Only Account



# CLIENT ACKNOWLEDGEMENT FORM

Complete this form as your Client Acknowledgement page. Return pages **one and two** of this completed form along with clear copies of your documents to Friedberg Direct. You may submit this form using the automatic upload feature in [myvip.friedbergdirectav.ca](http://myvip.friedbergdirectav.ca). Processing time is generally two (2) business days. Pending and incomplete accounts will be activated upon compliance review and approval. Account information will be sent via email when documents and application meet compliance review requirements.

Account Number(s) (if available)	Email Address

## New Client Acknowledgement (Required)

In connection with the proposed opening of an account at Friedberg Direct, a division of Friedberg Mercantile Group Ltd., 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, which includes Friedberg Mercantile Group Ltd.'s Relationship Disclosure Document, the Customer's Agreement, also referred to as the General Terms and Conditions, which I have entered into, Risk Disclosure Statements and Friedberg Mercantile Group Ltd.'s related and connected issuer and conflicts disclosure statement and shared facilities disclosure statement, the suitability exemption disclosure, the order execution only policy, the electronic signature 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, understood and agreed to the General Terms and Conditions and 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 and documents are always available on the web site or upon request.

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

Signature (Primary/Owner)	Print First Name and Last Name	Today's Date

Signature (Joint/Owner)	Print First Name and Last Name	Today's Date

Signature (Joint/Owner)	Print First Name and Last Name	Today's Date

\*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.

**\*\*\* Required questions continue on page 2 – please complete and submit pages 1 and 2 \*\*\***

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

**Third Party Determination:**

Please confirm that you will be the only one accessing, trading and funding your account with Friedberg Direct powered by AvaTrade technology by checking the appropriate boxes, below, or if you are receiving funds from or granting permission to a third party and if so, please provide full name, contact information and copy of government issued photo ID for the third party as well as a description of the purpose of the access being granted and/or funding details:

No Third Party Funding     No Third Party Access Granted

Third Party Funding or Access being Granted, complete section below:

<b>Full Name</b>	
<b>Contact Information</b>	
<b>Intended Purpose of Access Granted</b>	
<b>Third Party Funding Details</b>	

**Intended Purpose of the Account:**

What is the intended purpose of opening a trading account with Friedberg Direct powered by AvaTrade technology?

speculative trading     investment portfolio hedging     other: please specify \_\_\_\_\_

**FATCA Determination:**

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  | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| b) Domestic Politically Exposed Person | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| c) Head of International Organization  | <input type="checkbox"/> Yes | <input type="checkbox"/> 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.

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