

## Introducing Broker / Carrying Broker Disclosure

Client acknowledges that **OTT Financial Canada Inc.** (“OTT”) has entered an arrangement with Questrade, Inc. (“Questrade”), a member of the Investment Industry Regulatory Organization of Canada (IIROC) and the Canadian Investor Protection Fund (CIPF), who will perform carrying broker functions on behalf of OTT, including trade execution and clearing, client and regulatory reporting, margin financing, record-keeping and custodial services for your account.

As **Introducing Broker**, OTT is responsible for:

- approving the opening of your account and obtaining the necessary account documentation in accordance with applicable law and our own policies and procedures;
- servicing and supervising your account in accordance with applicable law and our own policies and procedures;
- accepting your orders for execution by transmitting such orders to the Carrying Broker;
- ensuring that any funds or securities intended for your account are correctly identified and forwarded to the Carrying Broker;
- supervising the activities of the individual or individuals who service your account; and
- resolving any complaints regarding the handling of your account and, in general, managing the ongoing relationship that we have with you.

In the normal course of OTT’s business operations, individuals seeking to access its products and services are required to provide OTT with certain personal information that can be used to identify and contact them, and to allow OTT to comply with its know-your-client obligations when approving your account. It includes, but is not limited to, personal and financial details such as name, address, age, citizenship, ID numbers, income, net worth, credit and employment history, etc. The collection and use of your personal information, as well as its disclosure to other third parties such as OTT’s agent, service provider, carrying broker or other entities is governed strictly by [The Personal Information Protection and Electronic Documents Act \(PIPEDA\)](#), and in compliance with our [Privacy Policy Statement](#).

As OTT’s **Carrying Broker** and agent, Questrade is responsible for:

- providing maintenance of and access to your account;
- accepting, executing and clearing trades in accordance with instructions OTT gives Questrade on your behalf;
- issuing and receiving payment as well as delivering and receiving securities on your behalf with respect to all transactions directed to the Carrying Broker;
- safekeeping your assets received and delivered through the Introducing Broker;
- issuing electronic trade confirmations, account statements and tax reporting information where applicable, for your account; and
- maintaining the required regulatory capital associated with the activity in your account including, and if applicable, financing the margin requirement of your trading positions.

Questrade is a separate legal entity and does not control, audit or otherwise supervise the activities of OTT or its employees. Questrade’s registered offices are located at 5650 Yonge Street, Unit 1700, Toronto ON M2M 4G3 Canada.

Neither OTT nor Questrade will provide investment advice or recommendations regarding the purchase or sale of any securities or derivatives for your account. OTT and Questrade are both responsible for compliance with all applicable securities and derivatives legislations, as well as by-laws and regulations of our Self Regulatory Organizations (SROs).