



INFORMATION REQUIRED FOR FUND AND GROUP PROFILES

Please use this checklist to gather the information required to create an Investment Fund or Investment Fund Group profile in SEDAR+.

FUND PROFILE

Profile Details

*** Mandatory**

- | | |
|---|--|
| <input type="checkbox"/> Legal investment fund name * | <input type="checkbox"/> Investment fund manager name/NRD number * |
| <input type="checkbox"/> Effective from date | <input type="checkbox"/> Fund group name |

Is the investment fund organized under the laws of Canada? *

- ☐ Yes ☐ No

☐ Date of investment fund formation

☐ Date investment fund started

Manner of formation:

- | | |
|--|---|
| <input type="checkbox"/> Corporation | <input type="checkbox"/> Trust |
| <input type="checkbox"/> General Partnership | <input type="checkbox"/> Other (describe) |
| <input type="checkbox"/> Limited Partnership | |

☐ General partner name

☐ Jurisdiction where investment fund was formed *

Reporting issuer: *

- ☐ Yes ☐ No ☐ Pending

☐ Principal jurisdiction *

Is the basis for determining the principal jurisdiction the location of the head office of the investment fund manager? *

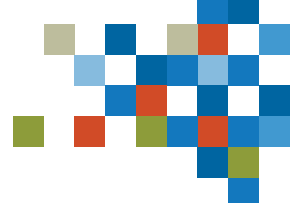
- ☐ Yes ☐ No

Is the basis for determining the principal jurisdiction an approved change of principal jurisdiction?

- ☐ Yes ☐ No

Other connection for determining the principal jurisdiction

- ☐ Location of management
- ☐ Location of assets and operations
- ☐ Location of trading market or quotation system in Canada
- ☐ Location of security holders (if issuer is not traded or quoted in Canada)
- ☐ Location of the underwriter
- ☐ Location of legal counsel
- ☐ Location of transfer agent



☐ Jurisdiction(s) where the investment fund is a reporting issuer

Type of financial year end: *

☐ Fixed year end; financial year end MM/DD ☐ Floating year end; provide details

Net Asset Value (NAV) of the investment fund:

☐ Under \$5 million ☐ \$100 million to under \$500 million
☐ \$5 million to under \$25 million ☐ \$500 million to under \$1 billion
☐ \$25 million to under \$100 million ☐ \$1 billion or over

☐ Date of Net Asset Value (NAV)

Category of investment fund:

☐ Conventional Mutual fund ☐ Split Share Corp.
☐ Hybrid ☐ Scholarship Plan
☐ Alternative Mutual Fund ☐ Labour Sponsored or Venture Capital Fund (NI 81-106)
☐ Alternative Hybrid ☐ Development Capital Investment Fund (Québec only)
☐ Exchange Traded Funds (ETF) ☐ Other (describe)
☐ Alternative ETF
☐ Non Redeemable Investment Fund (NRIF)
☐ Flow Through LP

Type of investment fund:

☐ Money Market ☐ Alternative Strategies
☐ Equity ☐ Fund of Fund
☐ Fixed Income ☐ Cryptoassets
☐ Balanced ☐ Other (describe)

Listed on an exchange or marketplace? *

☐ Yes ☐ No

Stock exchange(s) or marketplace(s)

☐ Stock symbol ☐ CUSIP ☐ ISIN ☐ LEI

Type of securities: *

☐ Units (UNT) ☐ Limited partnership units (LPU)
☐ Shares (SHR) ☐ Other (OTH) (describe)
☐ Preferred shares (PRS)

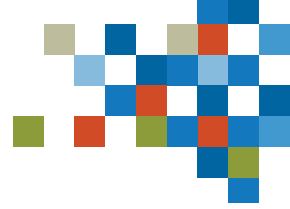
☐ Classes or series of securities are offered via exempt market

Trustee: *

☐ Same as in the group profile ☐ The IFM is the trustee ☐ There is no trustee

A different trustee:

☐ Individual ☐ Organization



If Individual

* Mandatory

- | | | |
|---|---|---|
| <input type="checkbox"/> Family name * | <input type="checkbox"/> City/Town * | <input type="checkbox"/> Telephone number * |
| <input type="checkbox"/> First name * | <input type="checkbox"/> Province/State * | <input type="checkbox"/> Fax number |
| <input type="checkbox"/> Secondary name | <input type="checkbox"/> Postal code/Zip code * | <input type="checkbox"/> Email address * |
| <input type="checkbox"/> Street address * | <input type="checkbox"/> Country * | |

If Organization

* Mandatory

- | | | |
|---|---|---|
| <input type="checkbox"/> Trustee name * | <input type="checkbox"/> Province/State * | <input type="checkbox"/> Telephone number * |
| <input type="checkbox"/> Street address * | <input type="checkbox"/> Postal code/Zip code * | <input type="checkbox"/> Fax number |
| <input type="checkbox"/> City/Town * | <input type="checkbox"/> Country * | <input type="checkbox"/> Email address * |

Portfolio Manager: *

- | | |
|---|--|
| <input type="checkbox"/> Same as in the group profile | <input type="checkbox"/> There is no portfolio manager |
| <input type="checkbox"/> The IFM is the portfolio manager | <input type="checkbox"/> A different portfolio manager |

Promoter: *

- | | |
|---|---|
| <input type="checkbox"/> Same as in the group profile | <input type="checkbox"/> There is no promoter |
| <input type="checkbox"/> The IFM is the promoter | <input type="checkbox"/> A different promoter |

If a different promoter:

- | | | |
|---|---|---|
| <input type="checkbox"/> Promoter name * | <input type="checkbox"/> Province/State * | <input type="checkbox"/> Telephone number * |
| <input type="checkbox"/> Street address * | <input type="checkbox"/> Postal code/Zip code * | <input type="checkbox"/> Fax number |
| <input type="checkbox"/> City/Town * | <input type="checkbox"/> Country * | <input type="checkbox"/> Email address * |

Principal distributor: *

- | | |
|---|---|
| <input type="checkbox"/> Same as in the group profile | <input type="checkbox"/> A different principal distributor: |
| <input type="checkbox"/> The IFM is the principal distributor | <input type="checkbox"/> Portfolio manager name/NRD number |
| <input type="checkbox"/> There is no principal distributor | |

Custodian: *

- | | |
|---|--|
| <input type="checkbox"/> Same as in the group profile | <input type="checkbox"/> There is no custodian |
|---|--|

Enter the custodian details:

- | | | |
|---|---|---|
| <input type="checkbox"/> Custodian name * | <input type="checkbox"/> Province/State * | <input type="checkbox"/> Telephone number * |
| <input type="checkbox"/> Street address * | <input type="checkbox"/> Postal code/Zip code * | <input type="checkbox"/> Fax number |
| <input type="checkbox"/> City/Town * | <input type="checkbox"/> Country * | <input type="checkbox"/> Email address * |

Transfer agent or registrar *

- | | |
|---|--|
| <input type="checkbox"/> Same as in the group profile | <input type="checkbox"/> There is no transfer agent or registrar |
| <input type="checkbox"/> The IFM is the transfer agent or registrar | |

Enter the transfer agent or registrar details:



- | | | |
|---|---|---|
| <input type="checkbox"/> Transfer agent or registrar name * | <input type="checkbox"/> Province/State * | <input type="checkbox"/> Telephone number * |
| <input type="checkbox"/> Street address * | <input type="checkbox"/> Postal code/Zip code * | <input type="checkbox"/> Fax number |
| <input type="checkbox"/> City/Town * | <input type="checkbox"/> Country * | <input type="checkbox"/> Email address * |

Auditor: *

- ☐ Same as in the group profile ☐ There is no auditor

Enter the auditor details:

- | | |
|---|---|
| <input type="checkbox"/> Auditor name * | <input type="checkbox"/> Country * |
| <input type="checkbox"/> Street address * | <input type="checkbox"/> Telephone number * |
| <input type="checkbox"/> City/Town * | <input type="checkbox"/> Fax number |
| <input type="checkbox"/> Province/State * | <input type="checkbox"/> Email address * |
| <input type="checkbox"/> Postal code/Zip code * | <input type="checkbox"/> Previous issuers * |

GROUP PROFILE

Profile Details

* **Mandatory**

- ☐ Fund group name *
- ☐ Effective from date
- ☐ Investment Fund Manager name/NRD number *
- ☐ Is the investment fund organized under the laws of Canada? *

Are any of the investment funds in the group a reporting issuer? *

- ☐ Yes ☐ No ☐ Pending

- ☐ Principal jurisdiction *

Is the basis for determining the principal jurisdiction the location of the head office of the investment fund manager? *

- ☐ Yes ☐ No

Other connection for determining the principal jurisdiction

- ☐ Location of management
- ☐ Location of assets and operations
- ☐ Location of trading market or quotation system in Canada
- ☐ Location of security holders (if issuer is not traded or quoted in Canada)
- ☐ Location of the underwriter
- ☐ Location of legal counsel
- ☐ Location of transfer agent

- ☐ Working list of classes or series offered via prospectus (each one must be entered)

- ☐ Classes or series of securities are offered via exempt market



Trustee: *

- ☐ The IFM is the trustee ☐ There is no trustee

A different trustee:

- ☐ Individual ☐ Organization

If Individual

* Mandatory

- | | | |
|---|---|---|
| <input type="checkbox"/> Family name * | <input type="checkbox"/> City/Town * | <input type="checkbox"/> Telephone number * |
| <input type="checkbox"/> First name * | <input type="checkbox"/> Province/State * | <input type="checkbox"/> Fax number |
| <input type="checkbox"/> Secondary name * | <input type="checkbox"/> Postal code/Zip code * | <input type="checkbox"/> Email address * |
| <input type="checkbox"/> Street address * | <input type="checkbox"/> Country * | |

If Organization

* Mandatory

- | | | |
|---|---|---|
| <input type="checkbox"/> Trustee name * | <input type="checkbox"/> Province/State * | <input type="checkbox"/> Telephone number * |
| <input type="checkbox"/> Street address * | <input type="checkbox"/> Postal code/Zip code * | <input type="checkbox"/> Fax number |
| <input type="checkbox"/> City/Town * | <input type="checkbox"/> Country * | <input type="checkbox"/> Email address * |

Portfolio Manager: *

- ☐ The IFM is the portfolio manager
- ☐ There is no portfolio manager
- ☐ A different portfolio manager:
- ☐ Principal distributor name/NRD number
 - ☐ Street address
 - ☐ City/Town
 - ☐ Province/State
 - ☐ Postal code/Zip code
 - ☐ Country

Promoter: *

- ☐ The IFM is the promoter ☐ There is no promoter ☐ A different promoter

If a different promoter:

- | | | |
|---|---|---|
| <input type="checkbox"/> Promoter name * | <input type="checkbox"/> Province/State * | <input type="checkbox"/> Telephone number * |
| <input type="checkbox"/> Street address * | <input type="checkbox"/> Postal code/Zip code * | <input type="checkbox"/> Fax number |
| <input type="checkbox"/> City/Town * | <input type="checkbox"/> Country * | <input type="checkbox"/> Email address * |

Principal distributor: *

- ☐ The IFM is the principal distributor
- ☐ There is no principal distributor
- ☐ A different principal distributor
- ☐ Portfolio manager name/NRD number



Custodian: *

- ☐ There is no custodian ☐ Enter the custodian details

Enter the custodian details

- | | | |
|---|---|---|
| <input type="checkbox"/> Custodian name * | <input type="checkbox"/> Province/State * | <input type="checkbox"/> Telephone number * |
| <input type="checkbox"/> Street address * | <input type="checkbox"/> Postal code/Zip code * | <input type="checkbox"/> Fax number * |
| <input type="checkbox"/> City/Town * | <input type="checkbox"/> Country * | <input type="checkbox"/> Email address * |

Transfer agent or registrar: *

- ☐ The IFM is the transfer agent or registrar
☐ There is no transfer agent or registrar

Enter the transfer agent or registrar details:

- | | | |
|---|---|---|
| <input type="checkbox"/> Transfer agent or registrar name * | <input type="checkbox"/> Province/State * | <input type="checkbox"/> Telephone number * |
| <input type="checkbox"/> Street address * | <input type="checkbox"/> Postal code/Zip code * | <input type="checkbox"/> Fax number |
| <input type="checkbox"/> City/Town * | <input type="checkbox"/> Country * | <input type="checkbox"/> Email address * |

Auditor: *

- ☐ There is no auditor ☐ Enter the auditor details

Enter the auditor details

- | | | |
|---|---|---|
| <input type="checkbox"/> Auditor name * | <input type="checkbox"/> Province/State * | <input type="checkbox"/> Telephone number * |
| <input type="checkbox"/> Street address * | <input type="checkbox"/> Postal code/Zip code * | <input type="checkbox"/> Fax number |
| <input type="checkbox"/> City/Town * | <input type="checkbox"/> Country * | <input type="checkbox"/> Email address * |