



INFORMATION REQUIRED FOR COMPANY PROFILES

Please use this checklist to gather the information required to create a Company Profile. An Investment Fund Manager that has gained access to SEDAR+ (and did not participate in pre-launch Onboarding), must create either a Company Profile or Third Party Profile.

Profile Details

* **Mandatory**

Does the company have an Agent Authorizing Representative? *

- ☐ Yes
- ☐ No

- ☐ Name *
- ☐ Telephone number *
- ☐ Email address *
- ☐ Full legal name *
- ☐ Effective from date
- ☐ Operating name

This company is an Investment Fund Manager: *

- ☐ Yes
- ☐ No

This company is an Underwriter: *

- ☐ Yes
- ☐ No

- ☐ Head office address *
- ☐ Mailing address *
- ☐ Other address *
- ☐ Telephone number *
- ☐ Fax number
- ☐ Email address *
- ☐ Website
- ☐ Contact person *
- ☐ Legal Entity Identifier (LEI)
- ☐ NRD number
- ☐ OSC unique identification number

Reporting issuer: *

- ☐ Yes
- ☐ No
- ☐ Pending

Over-the-Counter (OTC) issuer: *

- ☐ Yes
- ☐ No

☐ Exchangeable Security or Credit Support Issuer

Capital Pool Company (CPC): *

- ☐ Yes
- ☐ No

☐ Principal jurisdiction *

Is the basis for determining the principal jurisdiction the location of the head office of the company?: *

- ☐ 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

- ☐ Jurisdiction(s) where reporting issuer
- ☐ Date of formation

Manner of formation: *

- ☐ Corporation
- ☐ General Partnership
- ☐ Limited Partnership
- ☐ Trust
- ☐ Other

☐ Jurisdiction where formed *

- ☐ Chief Executive Officer (CEO) *
- ☐ Chief Finance Officer (CFO) *

Type of financial year end: *

- ☐ Fixed year end
- ☐ Floating year end

☐ NAICS *



Profile Details

* **Mandatory**

Size of issuer (assets) *

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

Listed on an exchange or marketplace? *

- ☐ Yes
- ☐ No

- ☐ Stock exchange(s) or marketplace(s)
- ☐ Stock symbol
- ☐ CUSIP
- ☐ ISIN
- ☐ Transfer agent or registrar
- ☐ Auditor name *
- ☐ Address *
- ☐ Telephone number *
- ☐ Fax number
- ☐ Email address *
- ☐ Previous issuers