1. What does the security screening check form allow the OPP to do?

The security screening check form ("Security Screening Form") attached as Exhibit 1 to the Personal Information Form and the Declaration clarifies the legislative authority for the Ontario Provincial Police ("OPP") to collect personal information and the purpose(s) for which the collected information will be used (i.e. to complete the requested security screening check ("Security Screening Check").

Questions concerning the collection of personal information should be directed to Toronto Stock Exchange - Lois Badley at 416.947.4582 or lois.badley@tmx.com or to TSX Venture Exchange - Mary Lorimer at 416.947.4514 or mary.lorimer@tmx.com.

2. What level of Security Screening Check does the OPP conduct for Toronto Stock Exchange and TSX Venture Exchange?

The OPP conducts a Level 1 Security Screening Check for Toronto Stock Exchange ("TSX") and TSX Venture Exchange ("TSXV").

The OPP searches the following information sources in a Level 1 Security Screening Check:

- Criminal Record information from the Royal Canadian Mounted Police (RCMP) National Repository of Criminal Records (Identification Databank), Canadian Police Information Centre ("CPIC") for which a pardon (record suspension) has not been granted or where discharge information is still within disclosure timelines, and local police databases where the applicant resides or resided during the past five years; and
- Entries from CPIC Intelligence and Investigative Databanks, such as charges and warrants; judicial orders e.g. peace bonds; probation and prohibition orders; and absolute and conditional discharges (from local databases only).

3. What information must applicants provide?

- Information must specify all previous names and surnames, which may include maiden names, previous married names, name changes, and names the applicant has been known by in the past, etc.
- Include other commonly used first names, e.g. a nickname, a middle name if used rather than a first name, or a Canadianized name if different from a legal name. Please note that you cannot use initials. You must spell out all names in full. If you use initials, and they are not part of your full name, the OPP will reject your Security Screening Form which will lead to delays.
- Applicants must provide any address(es) at which the applicant has lived during the past five years, if different from his or her current address. This is used to determine which police service(s) need to be contacted for the local police records check.

NOTE: The address on the Security Screening Form must match the address found on the applicant’s driver’s licence, if a driver’s licence is used for identification purposes.

4. What if an applicant does not fully complete the Security Screening Form?

Failure to complete the Security Screening Form in full or to supply all applicable correspondence or documents will result in the Security Screening Check not being processed, causing delays until issues are rectified.
Please note that completion of the question on the Security Screening Form relating to an applicant’s driver’s licence number is not mandatory.

5. How do TSX and TSXV use the information from the Security Screening Check?

TSX/TSXV use the results of the Security Screening Check for the purpose of considering an applicant’s suitability to act as an officer, director (or in another capacity similar to those positions) or insider of an issuer. Additionally, TSXV requires checks for individuals acting as a promoter or performing investor relations or market making activities and, at the discretion of TSXV, an employee, agent or consultant of an applicant or a listed issuer.

6. What does the third party disclosure allow the OPP to do?

The third party disclosure section in the Security Screening Form gives the OPP permission to release the results of the Security Screening Check directly to TSX or TSXV, as applicable.

7. By signing the Release, Discharge and Consent, to what has an individual agreed?

An applicant must provide true and correct information to the best of his or her knowledge and belief, and authorize the OPP to conduct the Level 1 Security Screening Check and to disclose search results to TSX/TSXV, as applicable. By signing the Security Screening Form, the applicant forever discharges and releases Her Majesty the Queen in Right of Ontario, the Commissioner of the OPP and all members, agents, and employees of the OPP from any and all actions, claims and demands for damages, loss or injury howsoever arising which may hereafter be sustained by the applicant as a result of the collection and/or disclosure of information by the OPP.

The applicant also consents to and acknowledges that the information about the applicant obtained as a result of the Level 1 Security Screening Check may be used or disclosed by the OPP to TSX or TSXV, as applicable, for the purpose of making a decision with respect to the applicant’s suitability, as outlined in section 5 above.

Furthermore, the applicant waives all rights, present and future, relating to the disclosure of the information set out in the Security Screening Form, and the applicant understands that, upon disclosure of such information, the OPP and all the aforesaid waive any responsibility for the use, application and/or dissemination of same by TSX or TSXV, as applicable. The box on the Security Screening Form referencing Form LE229 – Declaration of Criminal Record is not applicable to Security Screening Checks for TSX/TSXV.

8. What identification does an applicant have to submit with the PIF?

An applicant must submit photocopies of two pieces of valid and legible identification (both of which must be government-issued and one of which must contain a photograph of the applicant) (“ID”) that have been approved and authenticated by a notary public. The applicant acknowledges that TSX or TSXV, as applicable, does not independently verify the applicant’s identification and instead, with the consent of the OPP, relies solely upon the authentication provided by the notary public along with the applicant’s completed and duly executed Security Screening Form.

When having IDs verified by a notary, applicants must have the notary sign, stamp and date EACH page of the copies of the ID. Some notaries prefer to provide a separate verification letter. If a separate letter is provided, the letter must specifically reference the full details of the IDs being verified. For example: “True copy of [type of ID, name on ID, and ID number]. Certified on [date] by [name of notary] [signature and stamp of notary]."
A complete list of acceptable identification is set out below. The two most commonly-used IDs are driver's licences and passports. Often, both front and back of the ID need to be photocopied (for a passport, the page with the picture plus the opposite facing page with the signature must be photocopied). Applicants are reminded that Canadian passports must be signed by the passport holder on the line which says SIGNATURE OF BEARER. If SIGNATURE OF BEARER is blank, the passport is not valid identification.

ACCEPTABLE PHOTO IDENTIFICATION:

1. Driver’s Licence
2. Canadian or Foreign-issued Passport
3. Canadian Citizenship Card
4. Possession & Acquisition Licence (PAL card)
5. Permanent Residency Card
6. Military Employment Card
7. Certificate of Indian Status
8. International Student Card
9. Age of Majority Card/BYID Card

ACCEPTABLE NON-PHOTO IDENTIFICATION

1. Birth Certificate
2. Baptismal Certificate
3. Hunting Licence
4. Outdoors Card
5. Canadian Blood Donor Card
6. Immigration Papers

NOTE: Health cards cannot be accepted for identification purposes under the Personal Health Information Protection Act, 2004 (Section 34). Social Insurance Cards are not to be copied or distributed and are therefore also not acceptable as ID.

9. Does the Security Screening Form ‘expire’?

Yes. The Security Screening Form must be signed and dated within 90 days of the date that it is provided by TSX or TSXV to the OPP. If the Security Screening Form becomes ‘stale-dated’, the applicant will need to re-submit the form.

10. What should I review or whom should I contact, if I have further questions?

Please refer to Item 11 of Form 4 - Personal Information Form of Toronto Stock Exchange and Personal Information Form - Form 2A of TSX Venture Exchange for further information and guidance on providing identification.

Additionally, please do not hesitate to contact the following individuals if you have further questions:

Toronto Stock Exchange - Lois Badley at 416.947.4582 or lois.badley@tmx.com

TSX Venture Exchange - Mary Lorimer at 416.947.4514 or mary.lorimer@tmx.com