



# SALES AND DEPOSITS OF OTC ISSUER SECURITIES (ESTATE ACCOUNTS ONLY)

Form 155.2 03/20

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“OTC Issuer” means an issuer quoted on the OTC Bulletin Board or the Pink Sheets that is not inter-listed on the TSX, TSX-V, CNSX, NYSE, AMEX or NASDAQ.

## 1. INSTRUCTIONS

Indicate whether the proposed transaction is an order to sell securities of an OTC Issuer or an electronic deposit of securities of an OTC issuer to the account via transfer from another brokerage account. Qtrade Investor does not accept deposits of physical certificates for OTC Issuers.

- Sale (For sales, complete sections 2 through 5 below prior to the sale)
- Deposits (For deposits, complete sections 2 through 4 below prior to the deposit)

## 2. ACCOUNT HOLDER AND TRANSACTION DETAILS

|                                            |                |
|--------------------------------------------|----------------|
| Account Holder Name (First, Initial, Last) | Account Number |
| OTC Issuer Security Name                   | CUSIP          |
| Proposed Transaction Date (dd/mm/yyyy)     |                |

## 3. BENEFICIAL OWNERSHIP

Make the inquiries necessary to form a reasonable belief as to the identity of the beneficial owner of the securities. If the account holder is simply holding securities in their name on behalf of someone else or there is a specific bequest of the securities in the account holder’s will, the account holder is not the beneficial owner.

Identity of beneficial owner

If beneficial owner is not an individual (e.g. a corporation or trust), provide name(s) of individual(s) who control it

## 4. CONNECTION TO OTC ISSUER

Check all boxes that apply to the beneficial owner:

- Insider** (a director, senior officer or owner of 10% or more of the OTC Issuer)
- Control Person** (an owner of 20% or more of the OTC Issuer or someone who has the ability to materially affect control of the Issuer)
- Founder** (someone who alone, or with others, founded or reorganized the OTC Issuer and is actively involved in its business at the time of the trade)
- Investor Relations Person** (Investor relations activities are actions or communications that promote the purchase or sale of the OTC Issuer’s securities)
- None of the above**

## 5. SOURCE OF SECURITIES

State how the beneficial owner acquired the securities (e.g. purchased on OTCBB, bought privately from a named individual, acquired from treasury).

## 6. AUTHORIZATION

- Executor/Executrix
- Administrator

Name of person providing above information (First, Initial, Last)

x  
Signature

Date (dd/mm/yyyy)