

US Regulatory and Legal Disclosures

Privacy policy (Customers of Canaccord Genuity Wealth Management (USA) Inc)

As a CGWM USA client, you have entrusted to us your assets and your personal and financial data. We recognize that your relationship with us is based on trust, and that you expect us to act responsibly and in your best interest. Because your personal and financial information is private, we hold ourselves to the highest standards in its safekeeping and use.

We may collect non-public personal information about you from the following sources:

- Information we receive from you on account applications or other forms, such as your name, address, telephone number, social security number/social insurance number/passport number, income, assets, and investment objectives;
- Information about your transactions with us, our affiliates, or others, such as your account numbers and balances, investment activity, and other transaction information; and
- Information from employers that administer employee benefits programs through us.

We have adopted policies and procedures that are reasonably designed to ensure the security and confidentiality of customer information which includes consumer report information. In addition, these policies and procedures are designed to prevent unauthorized access to or use of customer records or information that could result in substantial harm or inconvenience to any customer.

We use the information described above when administering your account. We may disclose non-public personal information in order to provide a service or complete a transaction that you request or authorize, or as otherwise required or permitted by the laws and industry standards that apply to us (i.e. anti-money laundering, regulatory requests, litigation). We may also disclose nonpublic personal information within our family of affiliated companies in order to inform you of other financial products and services that we offer.

We restrict access to non-public personal information about you to our employees who need to access the information to provide products and services to you. We maintain physical, electronic and procedural safeguards to protect your nonpublic personal information. Confidential customer information is destroyed or shredded prior to disposal.

Our privacy policies and procedures will continue to apply to your information even if your account is no longer active.

For your protection, we recommend that you do not provide your account information to anyone. If you become aware of any suspicious activity relating to your account, please contact us immediately.

You may receive notices of changes to our privacy policies and procedures or periodic updates of this notice, as required by law.

At CGWM USA, we are proud of the trust and confidence we have earned from you. We will continue to earn that trust and confidence by keeping your non-public personal information secure and confidential.

For any questions, please contact CGWM USA at 1.800.663.1899 or in writing at 1133 Melville Street, Suite 1200, Vancouver, BC, V6E 4E5.