



FRIEDBERG DIRECT  
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CIPF  
Canadian Investor Protection Fund  
MEMBER

IIROC  
Investment Industry  
Regulatory Organization  
of Canada

OCRCVM  
Organisme canadien de  
régulation du commerce  
des valeurs mobilières

# Trusted Contact Person Information and Consent

Recent changes to regulations to protect vulnerable clients<sup>1</sup> against financial exploitation<sup>2</sup> require that we ask you for the name and contact information for one or more person(s) that you trust (a **Trusted Contact Person** or **TCP**) to assist us in protecting your investments. We could contact this person to confirm or make inquiries about any of the following:

- Possible financial exploitation affecting you or your account(s)
- Your current contact information
- Concerns about your mental capacity as it relates to financial decision making
- The name and contact information of any legal guardian, executor, trustee or other personal or legal representative you may have

The vast majority of Canadians support the idea of appointing a trusted contact person to help protect their money.

You are encouraged to name as your TCP one or more individuals who you trust, are mature and have the ability to communicate and engage in potentially difficult conversations with your account executive and other representatives of our firm about your personal situation. You are also encouraged to name as your Trusted Contact Person an individual that is not involved in making decisions for your accounts (examples of such persons who may have authority to make decisions are joint account holders or those you have given a power of attorney to).

Your Trusted Contact Person may be asked to assist your account executive and our firm in protecting your investment accounts. They may be asked questions about you such as, for example, if your account executive or other representatives of our firm have concerns that you may be experiencing financial exploitation or diminished mental capacity.

As someone you trust, your TCP may know more about your personal situation, your family dynamic or health information than your account executive and other representatives of our firm and they may be asked to help protect your accounts if there is an emergency.

A Trusted Contact Person cannot make financial decisions or account changes by virtue of being named as your TCP. An individual named as a Trusted Contact Person is not, by virtue of being named as your TCP, your legal representative, guardian or trustee.

## If you would like to appoint a TCP, please complete form with your TCP's information:

FIRST NAME _____		LAST NAME _____		YOUR RELATIONSHIP WITH THIS PERSON _____	
ADDRESS _____				PHONE _____	
CITY _____	PROVINCE _____	POSTAL CODE _____		EMAIL ADDRESS _____	

*You may change your appointed Trusted Contact Person or withdraw your consent for us to contact your Trusted Contact Person at any time by submitting a written request via e-mail to us at [TCP@friedberg.ca](mailto:TCP@friedberg.ca) or contacting our Client Services department at [cs@avatrade.ca](mailto:cs@avatrade.ca).*

## Agree to Appoint a Trusted Contact Person

By checking this box and signing below, I acknowledge and understand the purpose of a Trusted Contact Person and I consent to have my account executive and/or another Friedberg Mercantile Group Limited representative contact my Trusted Contact Person appointed in the form above.

CLIENT NAME \_\_\_\_\_

CLIENT SIGNATURE \_\_\_\_\_

## Decline to Appoint a Trusted Contact Person

By checking this box and signing below, I acknowledge and understand the purpose of a Trusted Contact Person, but I decline to appoint a Trusted Contact Person at this time.

CLIENT NAME \_\_\_\_\_

CLIENT SIGNATURE \_\_\_\_\_

Please submit your completed, signed and dated form to us via e-mail to: [cs@avatrade.ca](mailto:cs@avatrade.ca) or upload it in your client portal at: <https://myvip.friedbergdirectav.ca/> Or via regular mail to: Friedberg Mercantile Group Limited., 220 Bay Street, Suite 600, Toronto, Ontario M5J 2W4, Attention: TCP Compliance

[1] The Canadian Securities Administrators (the CS) define "vulnerable clients" to include clients who might have an illness, impairment, disability, or ageing-process limitations that places them at risk of financial exploitation [2] The CSA define "financial exploitation" as the use or control of, or deprivation of the use or control of, a financial asset of an individual by a person or company through undue influence, unlawful conduct or another wrongful act.