



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

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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 Direct Investing does not accept deposits of physical certificates for OTC Issuers.

- Radio buttons for Sale and Deposits options.

2. ACCOUNT HOLDER AND TRANSACTION DETAILS

Form fields for Account Holder Name, Account Number, OTC Issuer Security Name, CUSIP, and Proposed Transaction Date.

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.

Form fields for Identity of beneficial owner and a note about providing names of individuals who control it.

4. CONNECTION TO OTC ISSUER

Check all boxes that apply to the beneficial owner:

- Radio buttons for Insider, Control Person, Founder, Investor Relations Person, and 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).

Form fields for describing the source of securities.

6. AUTHORIZATION

- Radio buttons for Executor/Executrix and Administrator.

Form fields for Name of person providing information, Signature, and Date.