



LEEDE JONES GABLE INC.

PRIVACY LAW AND THE COLLECTION, USE AND DISCLOSURE OF PERSONAL INFORMATION

Leede Jones Gable Inc. ("Leede") collects personally identifying information about you when you provide it. The information collected may include your name, address, telephone number and email address, as well as other personal information required by law for the purposes of opening a brokerage account with Leede. You should be aware of the following:

- We are required under the federal Income Tax Act to ask for your Social Insurance Number or other tax identification number when you open an interest bearing or investment account;
- We are required to ask for citizenship and residential identification information when you open an account that may hold U.S. Securities, under contractual obligations that Leede has assumed with the U.S. Internal Revenue Service; and
- In order to assess your creditworthiness when opening an account, we may ask for information concerning your credit history.

Leede does not use personal information or release that information to anyone outside of Leede without your consent.

There are some exceptions to the above rules. For example, Leede may collect, use or disclose personal information without your consent if we:

1. Must use an outside company to process or store information

At times Leede uses the services of an outside company to do work for us involving some of your information for example, processing your account information or the mailing of shareholder information. When we use an outside company, we select the company carefully and confirm that it uses security standards acceptable to Leede.

2. Must disclose information for legal or contractual reasons

Leede may be compelled to release your information by a court of law, or by another legal authority, regulatory authority, or governmental body. Our policy is to release information only to the extent that we are required to do so.

For regulatory purposes, Canadian and United States self regulatory organizations including the Investment Industry Regulatory Organization of Canada, Bourse de Montreal Inc., the Canadian Investor Protection Fund, and the National Association of Securities Dealers (collectively, "SROs") require access to personal information of current and former clients, employees, agents, directors, officers, partners and others that has been collected or used by persons or firms under their jurisdiction ("Regulated Persons"). SROs collect, use or disclose such personal information obtained from such Regulated Persons for regulatory purposes, including:

- Surveillance of trading-related activity;
- Sales, financial compliance, trade desk review and other regulatory audits;
- Investigation of potential regulatory and statutory violation;
- Regulatory filings;
- Enforcement or disciplinary proceedings;
- Reporting to securities regulators, and

- Information-sharing with securities regulatory authorities, regulated marketplaces, other self-regulatory organizations and law enforcement agencies in any jurisdiction in connection with any of the foregoing.

We are also required under our contractual agreement with the U.S. Internal Revenue Service to withhold taxes, and report certain account activity, for accounts that hold U.S. securities or have U.S. beneficial owners.

3. Must protect the interests of Leede

In certain circumstances, Leede may have to collect, use or release information for its protection. For example, Leede may do so when collecting an overdue account, when defending a legal action, to detect or prevent fraud, or to detect or prevent any other illegal or improper activity.

4. Are acting in a personal emergency

In certain circumstances, Leede may be required to collect, use or release information where there is an emergency that threatens an individual's life, health or personal security.

Leede will only collect personal information for the purposes identified. Leede will use methods that are lawful and will not collect that information indiscriminately.

The Information Is Only Used For Specific Purposes

Leede collects personal information from you in order to:

- Establish your identity and provide contact information for you;
- Understand your needs and eligibility for products and services;
- Recommend particular products and services that are suitable to you;
- Maintain appropriate levels of service;
- Protect both you and Leede from error and fraud; and
- Comply with legal and regulatory requirements.

Personal information will only be used or disclosed for the purpose for which it is collected. Leede will not use personal information for any additional purpose unless we seek your consent to do so.