

FORM ADV

UNIFORM APPLICATION FOR INVESTMENT ADVISER REGISTRATION AND REPORT BY EXEMPT REPORTING ADVISERS

Primary Business Name: RBC PRIVATE COUNSEL (USA) INC.	CRD Number: 109648
Other-Than-Annual Amendment - All Sections	Rev. 10 / 2021
6 / 30 / 2026 10:53:13 AM	

WARNING: Complete this form truthfully. False statements or omissions may result in denial of your application, revocation of your registration, or criminal prosecution. You must keep this form updated by filing periodic amendments. See Form ADV General Instruction 4.

Item 1 Identifying Information

Responses to this Item tell us who you are, where you are doing business, and how we can contact you. If you are filing an *umbrella registration*, the information in Item 1 should be provided for the *filing adviser* only. General Instruction 5 provides information to assist you with filing an *umbrella registration*.

A. Your full legal name (if you are a sole proprietor, your last, first, and middle names):
RBC PRIVATE COUNSEL (USA) INC.

B. (1) Name under which you primarily conduct your advisory business, if different from Item 1.A.
RBC PRIVATE COUNSEL (USA) INC.

List on [Section 1.B. of Schedule D](#) any additional names under which you conduct your advisory business.

(2) If you are using this Form ADV to register more than one investment adviser under an *umbrella registration*, check this box ☐

If you check this box, complete a Schedule R for each relying adviser.

C. If this filing is reporting a change in your legal name (Item 1.A.) or primary business name (Item 1.B.(1)), enter the new name and specify whether the name change is of
☐ your legal name or ☐ your primary business name:

D. (1) If you are registered with the SEC as an investment adviser, your SEC file number: **801-55491**
(2) If you report to the SEC as an *exempt reporting adviser*, your SEC file number:
(3) If you have one or more Central Index Key numbers assigned by the SEC ("CIK Numbers"), all of your CIK numbers:

CIK Number
1332123

E. (1) If you have a number ("CRD Number") assigned by the *FINRA's CRD* system or by the IARD system, your *CRD* number: **109648**

If your firm does not have a *CRD* number, skip this Item 1.E. Do not provide the *CRD* number of one of your officers, employees, or affiliates.

(2) If you have additional *CRD* Numbers, your additional *CRD* numbers:
No Information Filed

F. Principal Office and Place of Business

(1) Address (do not use a P.O. Box):
Number and Street 1: 155 WELLINGTON STREET WEST, 17TH FLOOR
City: TORONTO, ON State: Country: Canada ZIP+4/Postal Code: M5V 3K7
Number and Street 2: RBC CENTRE

If this address is a private residence, check this box: ☐

List on [Section 1.F. of Schedule D](#) any office, other than your principal office and place of business, at which you conduct investment advisory business. If you are applying for registration, or are registered, with one or more state securities authorities, you must list all of your offices in the state or states to which you are applying for registration or with whom you are registered. If you are applying for SEC registration, if you are registered only with the SEC, or if you are reporting to the SEC as an exempt reporting adviser, list the largest twenty-five offices in terms of numbers of employees as of the end of your most recently completed fiscal year.

(2) Days of week that you normally conduct business at your *principal office and place of business*:
☒ Monday - Friday ☐ Other:
Normal business hours at this location:
8:30 AM - 5:00 PM EST
(3) Telephone number at this location:
416-955-7782
(4) Facsimile number at this location, if any:
(5) What is the total number of offices, other than your *principal office and place of business*, at which you conduct investment advisory business as of

the end of your most recently completed fiscal year?

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G.

Mailing address, if different from your *principal office and place of business* address:

Number and Street 1:

City:

State:

Number and Street 2:

Country:

ZIP+4/Postal Code:

If this address is a private residence, check this box: ☐

H.

If you are a sole proprietor, state your full residence address, if different from your *principal office and place of business* address in Item 1.F.:

Number and Street 1:

City:

State:

Number and Street 2:

Country:

ZIP+4/Postal Code:

Yes

No

I.

Do you have one or more websites or accounts on publicly available social media platforms (including, but not limited to, Twitter, Facebook and LinkedIn)?

☐

☒

If "yes," list all firm website addresses and the address for each of the firm's accounts on publicly available social media platforms on [Section 1.I. of Schedule D](#). If a website address serves as a portal through which to access other information you have published on the web, you may list the portal without listing addresses for all of the other information. You may need to list more than one portal address. Do not provide the addresses of websites or accounts on publicly available social media platforms where you do not control the content. Do not provide the individual electronic mail (e-mail) addresses of employees or the addresses of employee accounts on publicly available social media platforms.

J.

Chief Compliance Officer

(1) Provide the name and contact information of your Chief Compliance Officer. If you are an *exempt reporting adviser*, you must provide the contact information for your Chief Compliance Officer, if you have one. If not, you must complete Item 1.K. below.

Name:

Telephone number:

Number and Street 1:

City:

State:

Other titles, if any:

Facsimile number, if any:

Number and Street 2:

Country:

ZIP+4/Postal Code:

Electronic mail (e-mail) address, if Chief Compliance Officer has one:

(2) If your Chief Compliance Officer is compensated or employed by any *person* other than you, a *related person* or an investment company registered under the Investment Company Act of 1940 that you advise for providing chief compliance officer services to you, provide the *person's* name and IRS Employer Identification Number (if any):

Name:

IRS Employer Identification Number:

K.

Additional Regulatory Contact Person: If a person other than the Chief Compliance Officer is authorized to receive information and respond to questions about this Form ADV, you may provide that information here.

Name:

Telephone number:

Number and Street 1:

City:

State:

Titles:

Facsimile number, if any:

Number and Street 2:

Country:

ZIP+4/Postal Code:

Electronic mail (e-mail) address, if contact person has one:

Yes

No

L.

Do you maintain some or all of the books and records you are required to keep under Section 204 of the Advisers Act, or similar state law, somewhere other than your *principal office and place of business*?

☒

☐

If "yes," complete [Section 1.L. of Schedule D](#).

Yes

No

M.

Are you registered with a *foreign financial regulatory authority*?

☒

☐

Answer "no" if you are not registered with a foreign financial regulatory authority, even if you have an affiliate that is registered with a foreign financial regulatory authority. If "yes," complete [Section 1.M. of Schedule D](#).

Yes

No

N.

Are you a public reporting company under Sections 12 or 15(d) of the Securities Exchange Act of 1934?

☐

☒

Yes

No

O.

Did you have \$1 billion or more in assets on the last day of your most recent fiscal year?

If yes, what is the approximate amount of your assets:

☐ \$1 billion to less than \$10 billion

☐ \$10 billion to less than \$50 billion

☒ \$50 billion or more

For purposes of Item 1.O. only, "assets" refers to your total assets, rather than the assets you manage on behalf of clients. Determine your total assets using the total assets shown on the balance sheet for your most recent fiscal year end.

P. Provide your *Legal Entity Identifier* if you have one:
549300JTW6OHPSUU8T23

A *legal entity identifier* is a unique number that companies use to identify each other in the financial marketplace. You may not have a *legal entity identifier*.

SECTION 1.B. Other Business Names

List your other business names and the jurisdictions in which you use them. You must complete a separate Schedule D Section 1.B. for each business name.

Name: RBC WEALTH MANAGEMENT

Jurisdictions

☒ AL	☒ IL	☒ NE	☒ SC
☒ AK	☒ IN	☒ NV	☒ SD
☒ AZ	☒ IA	☒ NH	☒ TN
☒ AR	☒ KS	☒ NJ	☒ TX
☒ CA	☒ KY	☒ NM	☒ UT
☒ CO	☒ LA	☒ NY	☒ VT
☒ CT	☒ ME	☒ NC	☒ VI
☒ DE	☒ MD	☒ ND	☒ VA
☒ DC	☒ MA	☒ OH	☒ WA
☒ FL	☒ MI	☒ OK	☒ WV
☒ GA	☒ MN	☒ OR	☒ WI
☐ GU	☒ MS	☒ PA	☒ WY
☒ HI	☒ MO	☒ PR	☐ Other:
☒ ID	☒ MT	☒ RI	

SECTION 1.F. Other Offices

Complete the following information for each office, other than your *principal office and place of business*, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an *exempt reporting adviser*, list only the largest twenty-five offices (in terms of numbers of *employees*).

Number and Street 1: 90701 - AB RBCDS INC-CALGARY DOME		Number and Street 2: 333 7TH AVENUE SW, 14TH FLOOR	
City: CALGARY, ALBERTA	State:	Country: Canada	ZIP+4/Postal Code: T2P 2Z1

If this address is a private residence, check this box: ☐

Telephone Number: 403-299-7000	Facsimile Number, if any: 403-299-6521
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If this office location is also required to be registered with FINRA or a *state securities authority* as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the *CRD* Branch Number here:

How many *employees* perform investment advisory functions from this office location?
56

Are other business activities conducted at this office location? (check all that apply)

☒ (1) Broker-dealer (registered or unregistered)

☐ (2) Bank (including a separately identifiable department or division of a bank)

☒ (3) Insurance broker or agent

☐ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)

☐ (5) Registered municipal advisor

☐ (6) Accountant or accounting firm

☐ (7) Lawyer or law firm

Describe any other *investment-related* business activities conducted from this office location:

EMPLOYEES ARE DUALY REGISTERED WITH RELATED CANADIAN BROKER-DEALER, RBC DOMINION SECURITIES INC. AND/OR RELATED CANADIAN INSURANCE AGENT, RBC WEALTH MANAGEMENT FINANCIAL SERVICES INC.

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Number and Street 1:

90345 - QC RBCDS INC-POINTE-CLAIRE

City:

POINT-CLAIRE, QUEBEC

State:

Number and Street 2:

755 ST. JEAN BOULEVARD, SUITE 500

Country:

Canada

ZIP+4/Postal Code:

H9R 5M9

If this address is a private residence, check this box: ☐

Telephone Number:

514-630-6470

Facsimile Number, if any:

514-630-1551

If this office location is also required to be registered with FINRA or a *state securities authority* as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the *CRD* Branch Number here:

How many *employees* perform investment advisory functions from this office location?

14

Are other business activities conducted at this office location? (check all that apply)

☒ (1) Broker-dealer (registered or unregistered)

☐ (2) Bank (including a separately identifiable department or division of a bank)

☒ (3) Insurance broker or agent

☐ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)

☐ (5) Registered municipal advisor

☐ (6) Accountant or accounting firm

☐ (7) Lawyer or law firm

Describe any other *investment-related* business activities conducted from this office location:

EMPLOYEES ARE DUALY REGISTERED WITH RELATED CANADIAN BROKER-DEALER, RBC DOMINION SECURITIES INC. AND/OR RELATED CANADIAN INSURANCE AGENT, RBC WEALTH MANAGEMENT FINANCIAL SERVICES INC.

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Number and Street 1:

90421 - ON RBCDS INC-BCE 22

City:

TORONTO, ONTARIO

State:

Number and Street 2:

181 BAY STREET, 22ND FLOOR

Country:

Canada

ZIP+4/Postal Code:

M5J 2V1

If this address is a private residence, check this box: ☐

Telephone Number:

416-842-3466

Facsimile Number, if any:

416-842-7242

If this office location is also required to be registered with FINRA or a *state securities authority* as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the *CRD* Branch Number here:

How many *employees* perform investment advisory functions from this office location?

45

Are other business activities conducted at this office location? (check all that apply)

- ☒ (1) Broker-dealer (registered or unregistered)
- ☐ (2) Bank (including a separately identifiable department or division of a bank)
- ☒ (3) Insurance broker or agent
- ☐ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
- ☐ (5) Registered municipal advisor
- ☐ (6) Accountant or accounting firm
- ☐ (7) Lawyer or law firm

Describe any other *investment-related* business activities conducted from this office location:
EMPLOYEES ARE DUALY REGISTERED WITH RELATED CANADIAN BROKER-DEALER, RBC DOMINION SECURITIES INC. AND/OR RELATED CANADIAN INSURANCE AGENT, RBC WEALTH MANAGEMENT FINANCIAL SERVICES INC.

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Number and Street 1:
90537 - ON RBCDS INC-OAKVILLE

City:
OAKVILLE, ONTARIO

State:

Country:
Canada

Number and Street 2:
435 NORTH SERVICE RD W

ZIP+4/Postal Code:
L6M 4X8

If this address is a private residence, check this box: ☐

Telephone Number:
905-469-7000

Facsimile Number, if any:
905-469-7005

If this office location is also required to be registered with FINRA or a *state securities authority* as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the *CRD* Branch Number here:

How many *employees* perform investment advisory functions from this office location?
22

Are other business activities conducted at this office location? (check all that apply)

- ☒ (1) Broker-dealer (registered or unregistered)
- ☐ (2) Bank (including a separately identifiable department or division of a bank)
- ☒ (3) Insurance broker or agent
- ☐ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
- ☐ (5) Registered municipal advisor
- ☐ (6) Accountant or accounting firm
- ☐ (7) Lawyer or law firm

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Number and Street 1:
90439 - ON RBCDS INC-ETOBICOKE

City:
ETOBICOKE, ONTARIO

State:

Country:
Canada

Number and Street 2:
3250 BLOOR ST. W., EAST TOWER, SUITE 705

ZIP+4/Postal Code:
M8X 2X9

If this address is a private residence, check this box: ☐

Telephone Number:
416-231-6766

Facsimile Number, if any:
416-231-8229

If this office location is also required to be registered with FINRA or a *state securities authority* as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the *CRD* Branch Number here:

How many *employees* perform investment advisory functions from this office location?
29

Are other business activities conducted at this office location? (check all that apply)

- ☒ (1) Broker-dealer (registered or unregistered)
- ☐ (2) Bank (including a separately identifiable department or division of a bank)
- ☒ (3) Insurance broker or agent
- ☐ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
- ☐ (5) Registered municipal advisor
- ☐ (6) Accountant or accounting firm
- ☐ (7) Lawyer or law firm

Describe any other *investment-related* business activities conducted from this office location:
EMPLOYEES ARE DUALY REGISTERED WITH RELATED CANADIAN BROKER-DEALER, RBC DOMINION SECURITIES INC. AND/OR RELATED CANADIAN INSURANCE AGENT, RBC WEALTH MANAGEMENT FINANCIAL SERVICES INC.

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Number and Street 1:	Number and Street 2:		
90810 - BC RBCDS INC-WHITE ROCK	2626 CROYDON DRIVE, SUITE 400		
City:	State:	Country:	ZIP+4/Postal Code:
SURREY, BRITISH COLUMBIA		Canada	V3Z 0S8

If this address is a private residence, check this box: ☐

Telephone Number:	Facsimile Number, if any:
604-535-3800	604-535-3899

If this office location is also required to be registered with FINRA or a *state securities authority* as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the *CRD* Branch Number here:

How many *employees* perform investment advisory functions from this office location?
17

Are other business activities conducted at this office location? (check all that apply)

- ☒ (1) Broker-dealer (registered or unregistered)
- ☐ (2) Bank (including a separately identifiable department or division of a bank)
- ☒ (3) Insurance broker or agent
- ☐ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
- ☐ (5) Registered municipal advisor
- ☐ (6) Accountant or accounting firm
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Number and Street 1:	Number and Street 2:		
90641 - ON RBCDS INC-LONDON	148 FULLERTON STREET, SUITE 1900		
City:	State:	Country:	ZIP+4/Postal Code:

If this address is a private residence, check this box: ☐

Telephone Number:
519-675-2000

Facsimile Number, if any:
519-675-2020

If this office location is also required to be registered with FINRA or a *state securities authority* as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the *CRD* Branch Number here:

How many *employees* perform investment advisory functions from this office location?
26

Are other business activities conducted at this office location? (check all that apply)

- ☒ (1) Broker-dealer (registered or unregistered)
- ☐ (2) Bank (including a separately identifiable department or division of a bank)
- ☒ (3) Insurance broker or agent
- ☐ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
- ☐ (5) Registered municipal advisor
- ☐ (6) Accountant or accounting firm
- ☐ (7) Lawyer or law firm

Describe any other *investment-related* business activities conducted from this office location:
EMPLOYEES ARE DUALY REGISTERED WITH RELATED CANADIAN BROKER-DEALER, RBC DOMINION SECURITIES INC. AND/OR RELATED CANADIAN INSURANCE AGENT, RBC WEALTH MANAGEMENT FINANCIAL SERVICES INC.

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Number and Street 1:
90311 - QC RBCDS INC-MONTREAL UPTOWN

City:
MONTREAL, QUEBEC

State:

Number and Street 2:
1501 AVE MCGILL COLLEGE, BUREAU 2150

Country:
Canada

ZIP+4/Postal Code:
H3A 1Z4

If this address is a private residence, check this box: ☐

Telephone Number:
514-840-7644

Facsimile Number, if any:
514-840-7663

If this office location is also required to be registered with FINRA or a *state securities authority* as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the *CRD* Branch Number here:

How many *employees* perform investment advisory functions from this office location?
20

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Number and Street 1: 90508 - ON RBCDS INC-BELLS CORNER		Number and Street 2: 303 MOODIE DRIVE, SUITE 550	
City: OTTAWA, ONTARIO	State:	Country: Canada	ZIP+4/Postal Code: K2H 9R4

If this address is a private residence, check this box: ☐

Telephone Number: 613-721-4670	Facsimile Number, if any: 613-721-4680
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If this office location is also required to be registered with FINRA or a *state securities authority* as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the *CRD* Branch Number here:

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Number and Street 1: 90301 - QC RBCDS INC-MONTREAL PVM 3		Number and Street 2: 1 PLACE VILLE MARIE, BUREAU 300	
City: MONTREAL, QUEBEC	State:	Country: Canada	ZIP+4/Postal Code: H3B 4R8

If this address is a private residence, check this box: ☐

Telephone Number: 514-874-7222	Facsimile Number, if any: 514-878-7278
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If this office location is also required to be registered with FINRA or a *state securities authority* as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the *CRD* Branch Number here:

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- ☒ (3) Insurance broker or agent
- ☐ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
- ☐ (5) Registered municipal advisor
- ☐ (6) Accountant or accounting firm
- ☐ (7) Lawyer or law firm

Describe any other *investment-related* business activities conducted from this office location:

EMPLOYEES ARE DUALY REGISTERED WITH RELATED CANADIAN BROKER-DEALER, RBC DOMINION SECURITIES INC. AND/OR RELATED CANADIAN INSURANCE AGENT, RBC WEALTH MANAGEMENT FINANCIAL SERVICES INC.

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Number and Street 1:		Number and Street 2:	
90501 - ON RBCDS INC-OTTAWA		45 O'CONNOR ST., #900, WORLD EXCHANGE PLAZA	
City:	State:	Country:	ZIP+4/Postal Code:
OTTAWA, ONTARIO		Canada	K1P 5E1

If this address is a private residence, check this box: ☐

Telephone Number:	Facsimile Number, if any:
613-566-7500	613-566-7597

If this office location is also required to be registered with FINRA or a *state securities authority* as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the *CRD* Branch Number here:

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- ☐ (5) Registered municipal advisor
- ☐ (6) Accountant or accounting firm
- ☐ (7) Lawyer or law firm

Describe any other *investment-related* business activities conducted from this office location:
EMPLOYEES ARE DUALY REGISTERED WITH RELATED CANADIAN BROKER-DEALER, RBC DOMINION SECURITIES INC. AND/OR RELATED CANADIAN INSURANCE AGENT, RBC WEALTH MANAGEMENT FINANCIAL SERVICES INC.

Complete the following information for each office, other than your *principal office and place of business*, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an *exempt reporting adviser*, list only the largest twenty-five offices (in terms of numbers of *employees*).

Number and Street 1:		Number and Street 2:	
PHN TORONTO		200 BAY STREET, 25TH FLOOR, SOUTH TOWER,	
City:	State:	Country:	ZIP+4/Postal Code:
TORONTO, ON		Canada	M5J 2J2

If this address is a private residence, check this box: ☐

Telephone Number:	Facsimile Number, if any:
416-842-2300	416-956-5060

If this office location is also required to be registered with FINRA or a *state securities authority* as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the *CRD* Branch Number here:

How many *employees* perform investment advisory functions from this office location?
22

Are other business activities conducted at this office location? (check all that apply)

- ☐ (1) Broker-dealer (registered or unregistered)
- ☐ (2) Bank (including a separately identifiable department or division of a bank)
- ☒ (3) Insurance broker or agent

- ☐ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
- ☐ (5) Registered municipal advisor
- ☐ (6) Accountant or accounting firm
- ☐ (7) Lawyer or law firm

Describe any other *investment-related* business activities conducted from this office location:
EMPLOYEES ARE DUALY REGISTERED WITH RELATED CANADIAN REGISTERED PORTFOLIO MANAGER, RBCPHILLIPS, HAGER & NORTH INVESTMENT COUNSEL INC., AND/OR RELATED CANADIAN INSURANCE AGENT, RBC WEALTH MANAGEMENT FINANCIAL SERVICES INC.

Complete the following information for each office, other than your *principal office and place of business*, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an *exempt reporting adviser*, list only the largest twenty-five offices (in terms of numbers of *employees*).

Number and Street 1:		Number and Street 2:	
90621 - ON RBCDS INC-WINDSOR		1922 WYANDOTTE STREET EAST, 3RD FL	
City:	State:	Country:	ZIP+4/Postal Code:
WINDSOR		Canada	N8Y 1E4

If this address is a private residence, check this box: ☐

Telephone Number:	Facsimile Number, if any:
519-252-3663	519-252-3672

If this office location is also required to be registered with FINRA or a *state securities authority* as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the *CRD* Branch Number here:

How many *employees* perform investment advisory functions from this office location?
15

Are other business activities conducted at this office location? (check all that apply)

- ☒ (1) Broker-dealer (registered or unregistered)
- ☐ (2) Bank (including a separately identifiable department or division of a bank)
- ☒ (3) Insurance broker or agent
- ☐ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
- ☐ (5) Registered municipal advisor
- ☐ (6) Accountant or accounting firm
- ☐ (7) Lawyer or law firm

Describe any other *investment-related* business activities conducted from this office location:
EMPLOYEES ARE DUALY REGISTERED WITH RELATED CANADIAN BROKER-DEALER, RBC DOMINION SECURITIES INC. AND/OR RELATED CANADIAN INSURANCE AGENT, RBC WEALTH MANAGEMENT FINANCIAL SERVICES INC.

Complete the following information for each office, other than your *principal office and place of business*, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an *exempt reporting adviser*, list only the largest twenty-five offices (in terms of numbers of *employees*).

Number and Street 1:		Number and Street 2:	
90535 - ON RBCDS INC-MISSISSAUGA		4 ROBERT SPECK PARKWAY, SUITE 1100	
City:	State:	Country:	ZIP+4/Postal Code:
MISSISSAUGA, ONTARIO		Canada	L4Z 1S1

If this address is a private residence, check this box: ☐

Telephone Number:	Facsimile Number, if any:
905-897-8333	905-277-6007

If this office location is also required to be registered with FINRA or a *state securities authority* as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the *CRD* Branch Number here:

How many *employees* perform investment advisory functions from this office location?
28

Are other business activities conducted at this office location? (check all that apply)

- ☒ (1) Broker-dealer (registered or unregistered)
- ☐ (2) Bank (including a separately identifiable department or division of a bank)
- ☒ (3) Insurance broker or agent
- ☐ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
- ☐ (5) Registered municipal advisor
- ☐ (6) Accountant or accounting firm
- ☐ (7) Lawyer or law firm

Describe any other *investment-related* business activities conducted from this office location:
EMPLOYEES ARE DUALY REGISTERED WITH RELATED CANADIAN BROKER-DEALER, RBC DOMINION SECURITIES INC. AND/OR RELATED CANADIAN INSURANCE AGENT, RBC WEALTH MANAGEMENT FINANCIAL SERVICES INC.

Complete the following information for each office, other than your *principal office and place of business*, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an *exempt reporting adviser*, list only the largest twenty-five offices (in terms of numbers of *employees*).

Number and Street 1:
90423 - ON RBC DS INC-BCE 23

City:
TORONTO, ONTARIO

State:

Number and Street 2:
181 BAY ST., STE.2350, BCE PLACE

Country:
Canada

ZIP+4/Postal Code:
M5J 2V1

If this address is a private residence, check this box: ☐

Telephone Number:
416-842-3466

Facsimile Number, if any:
416-842-3472

If this office location is also required to be registered with FINRA or a *state securities authority* as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the *CRD* Branch Number here:

How many *employees* perform investment advisory functions from this office location?
22

Are other business activities conducted at this office location? (check all that apply)

- ☒ (1) Broker-dealer (registered or unregistered)
- ☐ (2) Bank (including a separately identifiable department or division of a bank)
- ☒ (3) Insurance broker or agent
- ☐ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
- ☐ (5) Registered municipal advisor
- ☐ (6) Accountant or accounting firm
- ☐ (7) Lawyer or law firm

Describe any other *investment-related* business activities conducted from this office location:
EMPLOYEES ARE DUALY REGISTERED WITH RELATED CANADIAN BROKER-DEALER, RBC DOMINION SECURITIES INC. AND/OR RELATED CANADIAN INSURANCE AGENT, RBC WEALTH MANAGEMENT FINANCIAL SERVICES INC.

Complete the following information for each office, other than your *principal office and place of business*, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an *exempt reporting adviser*, list only the largest twenty-five offices (in terms of numbers of *employees*).

Number and Street 1:
90411 - ON RBCDS INC-NORTH YORK

City:
NORTH YORK, ONTARIO

State:

Number and Street 2:
5140 YONGE STREET, 11TH FLOOR

Country:
Canada

ZIP+4/Postal Code:
M2N 6L7

If this address is a private residence, check this box: ☐

Telephone Number:
416-733-5200

Facsimile Number, if any:
416 733-5220

If this office location is also required to be registered with FINRA or a *state securities authority* as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the *CRD* Branch Number here:

How many *employees* perform investment advisory functions from this office location?
38

Are other business activities conducted at this office location? (check all that apply)

- ☒ (1) Broker-dealer (registered or unregistered)
- ☐ (2) Bank (including a separately identifiable department or division of a bank)
- ☒ (3) Insurance broker or agent
- ☐ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
- ☐ (5) Registered municipal advisor
- ☐ (6) Accountant or accounting firm
- ☐ (7) Lawyer or law firm

Describe any other *investment-related* business activities conducted from this office location:
EMPLOYEES ARE DUALY REGISTERED WITH RELATED CANADIAN BROKER-DEALER, RBC DOMINION SECURITIES INC. AND/OR RELATED CANADIAN INSURANCE AGENT, RBC WEALTH MANAGEMENT FINANCIAL SERVICES INC.

Complete the following information for each office, other than your *principal office and place of business*, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an *exempt reporting adviser*, list only the largest twenty-five offices (in terms of numbers of *employees*).

Number and Street 1:	Number and Street 2:		
90428 - ON RBCDS INC-YONGE & BLOOR	2 BLOOR ST. E., SUITE 2300		
City:	State:	Country:	ZIP+4/Postal Code:
TORONTO, ONTARIO		Canada	M4W 3H7

If this address is a private residence, check this box: ☐

Telephone Number:	Facsimile Number, if any:
416-974-2746	416-974-3057

If this office location is also required to be registered with FINRA or a *state securities authority* as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the *CRD* Branch Number here:

How many *employees* perform investment advisory functions from this office location?
24

Are other business activities conducted at this office location? (check all that apply)

- ☒ (1) Broker-dealer (registered or unregistered)
- ☐ (2) Bank (including a separately identifiable department or division of a bank)
- ☒ (3) Insurance broker or agent
- ☐ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
- ☐ (5) Registered municipal advisor
- ☐ (6) Accountant or accounting firm
- ☐ (7) Lawyer or law firm

Describe any other *investment-related* business activities conducted from this office location:
EMPLOYEES ARE DUALY REGISTERED WITH RELATED CANADIAN BROKER-DEALER, RBC DOMINION SECURITIES INC. AND/OR RELATED CANADIAN INSURANCE AGENT, RBC WEALTH MANAGEMENT FINANCIAL SERVICES INC.

Complete the following information for each office, other than your *principal office and place of business*, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an *exempt reporting adviser*, list only the largest twenty-five offices (in terms of numbers of *employees*).

Number and Street 1:	Number and Street 2:		
90783 - MB RBCDS INC-WINNIPEG	3100-201 PORTAGE AVENUE		
City:	State:	Country:	ZIP+4/Postal Code:
WINNIPEG, MANITOBA		Canada	R3B 3K6

If this address is a private residence, check this box: ☐

Telephone Number:
204-982-3450

Facsimile Number, if any:
204-982-3460

If this office location is also required to be registered with FINRA or a *state securities authority* as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the *CRD* Branch Number here:

How many *employees* perform investment advisory functions from this office location?
32

Are other business activities conducted at this office location? (check all that apply)

- ☒ (1) Broker-dealer (registered or unregistered)
- ☐ (2) Bank (including a separately identifiable department or division of a bank)
- ☒ (3) Insurance broker or agent
- ☐ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
- ☐ (5) Registered municipal advisor
- ☐ (6) Accountant or accounting firm
- ☐ (7) Lawyer or law firm

Describe any other *investment-related* business activities conducted from this office location:
EMPLOYEES ARE DUALY REGISTERED WITH RELATED CANADIAN BROKER-DEALER, RBC DOMINION SECURITIES INC. AND/OR RELATED CANADIAN INSURANCE AGENT, RBC WEALTH MANAGEMENT FINANCIAL SERVICES INC.

Complete the following information for each office, other than your *principal office and place of business*, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an *exempt reporting adviser*, list only the largest twenty-five offices (in terms of numbers of *employees*).

Number and Street 1:
90447 - ON RBCDS INC-YONGE & EGLINTON

City:
TORONTO, ONTARIO

State:

Number and Street 2:
2345 YONGE ST., SUITE 1000

Country:
Canada

ZIP+4/Postal Code:
M4P 2E5

If this address is a private residence, check this box: ☐

Telephone Number:
416-974-0202

Facsimile Number, if any:
416-974-0332

If this office location is also required to be registered with FINRA or a *state securities authority* as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the *CRD* Branch Number here:

How many *employees* perform investment advisory functions from this office location?
19

Are other business activities conducted at this office location? (check all that apply)

- ☒ (1) Broker-dealer (registered or unregistered)
- ☐ (2) Bank (including a separately identifiable department or division of a bank)
- ☒ (3) Insurance broker or agent
- ☐ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
- ☐ (5) Registered municipal advisor
- ☐ (6) Accountant or accounting firm
- ☐ (7) Lawyer or law firm

Describe any other *investment-related* business activities conducted from this office location:
EMPLOYEES ARE DUALY REGISTERED WITH RELATED CANADIAN BROKER-DEALER, RBC DOMINION SECURITIES INC. AND/OR RELATED CANADIAN INSURANCE AGENT, RBC WEALTH MANAGEMENT FINANCIAL SERVICES INC.

Complete the following information for each office, other than your *principal office and place of business*, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or

if you are an *exempt reporting adviser*, list only the largest twenty-five offices (in terms of numbers of *employees*).

Number and Street 1: 90571 - ON RBCDS INC-HAMILTON		Number and Street 2: 259 WILSON ST E	
City: HAMILTON, ONTARIO	State:	Country: Canada	ZIP+4/Postal Code: L9G 2B8

If this address is a private residence, check this box: ☐

Telephone Number: 905-546-5800	Facsimile Number, if any: 905-546-5030
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If this office location is also required to be registered with FINRA or a *state securities authority* as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the *CRD* Branch Number here:

How many *employees* perform investment advisory functions from this office location?
20

Are other business activities conducted at this office location? (check all that apply)

☒ (1) Broker-dealer (registered or unregistered)

☐ (2) Bank (including a separately identifiable department or division of a bank)

☒ (3) Insurance broker or agent

☐ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)

☐ (5) Registered municipal advisor

☐ (6) Accountant or accounting firm

☐ (7) Lawyer or law firm

Describe any other *investment-related* business activities conducted from this office location:
EMPLOYEES ARE DUALY REGISTERED WITH RELATED CANADIAN BROKER-DEALER, RBC DOMINION SECURITIES INC. AND/OR RELATED CANADIAN INSURANCE AGENT, RBC WEALTH MANAGEMENT FINANCIAL SERVICES INC.

Complete the following information for each office, other than your *principal office and place of business*, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an *exempt reporting adviser*, list only the largest twenty-five offices (in terms of numbers of *employees*).

Number and Street 1: 90327 - QC RBCDS INC-MONTREAL PVM 5		Number and Street 2: 1 PLACE VILLE MARIE, 5TH FLOOR	
City: MONTREAL, QUEBEC	State:	Country: Canada	ZIP+4/Postal Code: H3B 3Y1

If this address is a private residence, check this box: ☐

Telephone Number: 514-874-7222	Facsimile Number, if any: 514-878-5070
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If this office location is also required to be registered with FINRA or a *state securities authority* as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the *CRD* Branch Number here:

How many *employees* perform investment advisory functions from this office location?
34

Are other business activities conducted at this office location? (check all that apply)

☒ (1) Broker-dealer (registered or unregistered)

☐ (2) Bank (including a separately identifiable department or division of a bank)

☒ (3) Insurance broker or agent

☐ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)

☐ (5) Registered municipal advisor

☐ (6) Accountant or accounting firm

☐ (7) Lawyer or law firm

Describe any other *investment-related* business activities conducted from this office location:
EMPLOYEES ARE DUALY REGISTERED WITH RELATED CANADIAN BROKER-DEALER, RBC DOMINION SECURITIES INC. AND/OR RELATED CANADIAN INSURANCE

Complete the following information for each office, other than your *principal office and place of business*, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an *exempt reporting adviser*, list only the largest twenty-five offices (in terms of numbers of *employees*).

Number and Street 1:		Number and Street 2:	
90892 - BC RBCDS INC-VANCOUVER ROYAL CENTRE		1055 W GEORGIA ST - SUITE 3233	
City:	State:	Country:	ZIP+4/Postal Code:
VANCOUVER, BRITISH COLUMBIA		Canada	V6E 3S5

If this address is a private residence, check this box: ☐

Telephone Number:	Facsimile Number, if any:
604-665-6991	604-257-7044

If this office location is also required to be registered with FINRA or a *state securities authority* as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the *CRD* Branch Number here:

How many *employees* perform investment advisory functions from this office location?
34

Are other business activities conducted at this office location? (check all that apply)

- ☒ (1) Broker-dealer (registered or unregistered)
- ☐ (2) Bank (including a separately identifiable department or division of a bank)
- ☒ (3) Insurance broker or agent
- ☐ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
- ☐ (5) Registered municipal advisor
- ☐ (6) Accountant or accounting firm
- ☐ (7) Lawyer or law firm

Describe any other *investment-related* business activities conducted from this office location:
EMPLOYEES ARE DUALY REGISTERED WITH RELATED CANADIAN BROKER-DEALER, RBC DOMINION SECURITIES INC. AND/OR RELATED CANADIAN INSURANCE AGENT, RBC WEALTH MANAGEMENT FINANCIAL SERVICES INC.

Complete the following information for each office, other than your *principal office and place of business*, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an *exempt reporting adviser*, list only the largest twenty-five offices (in terms of numbers of *employees*).

Number and Street 1:		Number and Street 2:	
90803 - BC RBCDS INC-VANCOUVER THURLOW		745 THURLOW STREET - SUITE 2000	
City:	State:	Country:	ZIP+4/Postal Code:
VANCOUVER, BRITISH COLUMBIA		Canada	V6E 0C5

If this address is a private residence, check this box: ☐

Telephone Number:	Facsimile Number, if any:
604-257-7200	604-257-7391

If this office location is also required to be registered with FINRA or a *state securities authority* as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the *CRD* Branch Number here:

How many *employees* perform investment advisory functions from this office location?
54

Are other business activities conducted at this office location? (check all that apply)

- ☒ (1) Broker-dealer (registered or unregistered)
- ☐ (2) Bank (including a separately identifiable department or division of a bank)
- ☒ (3) Insurance broker or agent
- ☐ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)

- ☐ (5) Registered municipal advisor
- ☐ (6) Accountant or accounting firm
- ☐ (7) Lawyer or law firm

Describe any other *investment-related* business activities conducted from this office location:
EMPLOYEES ARE DUALY REGISTERED WITH RELATED CANADIAN BROKER-DEALER, RBC DOMINION SECURITIES INC. AND/OR RELATED CANADIAN INSURANCE AGENT, RBC WEALTH MANAGEMENT FINANCIAL SERVICES INC.

Complete the following information for each office, other than your *principal office and place of business*, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an *exempt reporting adviser*, list only the largest twenty-five offices (in terms of numbers of *employees*).

Number and Street 1: 90270 - NS RBCDS INC-HALIFAX		Number and Street 2: 1959 UPPER WATER STREET, SUITE 1400, PURDYS WHARF	
City: HALIFAX, NOVA SCOTIA	State:	Country: Canada	ZIP+4/Postal Code: B3J 3N2

If this address is a private residence, check this box: ☐

Telephone Number: 902-424-1000	Facsimile Number, if any: 902-424-1027
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If this office location is also required to be registered with FINRA or a *state securities authority* as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the *CRD* Branch Number here:

How many *employees* perform investment advisory functions from this office location?
23

- Are other business activities conducted at this office location? (check all that apply)
- ☒ (1) Broker-dealer (registered or unregistered)
 - ☐ (2) Bank (including a separately identifiable department or division of a bank)
 - ☒ (3) Insurance broker or agent
 - ☐ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
 - ☐ (5) Registered municipal advisor
 - ☐ (6) Accountant or accounting firm
 - ☐ (7) Lawyer or law firm

Describe any other *investment-related* business activities conducted from this office location:
EMPLOYEES ARE DUALY REGISTERED WITH RELATED CANADIAN BROKER-DEALER, RBC DOMINION SECURITIES INC. AND/OR RELATED CANADIAN INSURANCE AGENT, RBC WEALTH MANAGEMENT FINANCIAL SERVICES INC.

Complete the following information for each office, other than your *principal office and place of business*, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an *exempt reporting adviser*, list only the largest twenty-five offices (in terms of numbers of *employees*).

Number and Street 1: 90441 - ON RBCDS INC-RBP 39		Number and Street 2: 200 BAY STREET, ROYAL BANK PLAZA, SUITE 3900	
City: TORONTO, ONTARIO	State:	Country: Canada	ZIP+4/Postal Code: M5J 2J5

If this address is a private residence, check this box: ☐

Telephone Number: 416-974-3940	Facsimile Number, if any: 416-842 2220
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If this office location is also required to be registered with FINRA or a *state securities authority* as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the *CRD* Branch Number here:

How many *employees* perform investment advisory functions from this office location?
61

Are other business activities conducted at this office location? (check all that apply)

- ☒ (1) Broker-dealer (registered or unregistered)
- ☐ (2) Bank (including a separately identifiable department or division of a bank)
- ☒ (3) Insurance broker or agent
- ☐ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
- ☐ (5) Registered municipal advisor
- ☐ (6) Accountant or accounting firm
- ☐ (7) Lawyer or law firm

Describe any other *investment-related* business activities conducted from this office location:
EMPLOYEES ARE DUALY REGISTERED WITH RELATED CANADIAN BROKER-DEALER, RBC DOMINION SECURITIES INC. AND/OR RELATED CANADIAN INSURANCE AGENT, RBC WEALTH MANAGEMENT FINANCIAL SERVICES INC.

Complete the following information for each office, other than your *principal office and place of business*, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an *exempt reporting adviser*, list only the largest twenty-five offices (in terms of numbers of *employees*).

Number and Street 1:
90416 - ON RBCDS INC-RICHMOND HILL

City:
RICHMOND HILL, ONTARIO

State:

Country:
Canada

Number and Street 2:
260 EAST BEAVER CREEK ROAD, SUITE 500

ZIP+4/Postal Code:
L4B 3M3

If this address is a private residence, check this box: ☐

Telephone Number:
905-764-3923

Facsimile Number, if any:
905-764-7324

If this office location is also required to be registered with FINRA or a *state securities authority* as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the *CRD* Branch Number here:

How many *employees* perform investment advisory functions from this office location?
38

Are other business activities conducted at this office location? (check all that apply)

- ☒ (1) Broker-dealer (registered or unregistered)
- ☐ (2) Bank (including a separately identifiable department or division of a bank)
- ☒ (3) Insurance broker or agent
- ☐ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
- ☐ (5) Registered municipal advisor
- ☐ (6) Accountant or accounting firm
- ☐ (7) Lawyer or law firm

Describe any other *investment-related* business activities conducted from this office location:
EMPLOYEES ARE DUALY REGISTERED WITH RELATED CANADIAN BROKER-DEALER, RBC DOMINION SECURITIES INC. AND/OR RELATED CANADIAN INSURANCE AGENT, RBC WEALTH MANAGEMENT FINANCIAL SERVICES INC.

Complete the following information for each office, other than your *principal office and place of business*, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an *exempt reporting adviser*, list only the largest twenty-five offices (in terms of numbers of *employees*).

Number and Street 1:
PHN VANCOUVER

City:
VANCOUVER, BRITISH COLUMBIA

State:

Country:
Canada

Number and Street 2:
1055 W GEORGIA ST - 34TH FLR ROYAL CENTRE

ZIP+4/Postal Code:
V6E 3P3

If this address is a private residence, check this box: ☐

Telephone Number:
604-257-7120

Facsimile Number, if any:
604-665-0180

If this office location is also required to be registered with FINRA or a *state securities authority* as a branch office location for a broker-dealer or investment adviser on the Uniform Branch Office Registration Form (Form BR), please provide the *CRD* Branch Number here:

How many *employees* perform investment advisory functions from this office location?
19

Are other business activities conducted at this office location? (check all that apply)

- ☐ (1) Broker-dealer (registered or unregistered)
- ☐ (2) Bank (including a separately identifiable department or division of a bank)
- ☒ (3) Insurance broker or agent
- ☐ (4) Commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
- ☐ (5) Registered municipal advisor
- ☐ (6) Accountant or accounting firm
- ☐ (7) Lawyer or law firm

Describe any other *investment-related* business activities conducted from this office location:
EMPLOYEES ARE DUALY REGISTERED WITH RELATED CANADIAN REGISTERED PORTFOLIO MANAGER, RBCPHILLIPS, HAGER & NORTH INVESTMENT COUNSEL INC., AND/OR RELATED CANADIAN INSURANCE AGENT, RBC WEALTH MANAGEMENT FINANCIAL SERVICES INC.

SECTION 1.I. Website Addresses

No Information Filed

SECTION 1.L. Location of Books and Records

Complete the following information for each location at which you keep your books and records, other than your *principal office and place of business*. You must complete a separate Schedule D, Section 1.L. for each location.

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:
90415 - ON RBCDS INC-LEASIDE

City:
TORONTO, ONTARIO

State:

Number and Street 2:
45 WICKSTEED AVE - 2ND FLR

Country:
Canada

ZIP+4/Postal Code:
M4G 4H9

If this address is a private residence, check this box: ☐

Telephone Number:
416-699-4411

Facsimile number, if any:
416-699-9016

- This is (check one):
- ☒ one of your branch offices or affiliates.
- ☐ a third-party unaffiliated recordkeeper.
- ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:
90761 - SK RBCDS INC-SASKATOON

City:
SASKATOON, SASKATCHEWAN

State:

Number and Street 2:
410 - 22ND STREET EAST, 10TH FLOOR

Country:
Canada

ZIP+4/Postal Code:
S7K 5T6

If this address is a private residence, check this box: ☐

Telephone Number:

Facsimile number, if any:

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC PHILLIPS, HAGER & NORTH INVESTMENT COUNSEL INC.

Number and Street 1: PHN VICTORIA		Number and Street 2: 707 FORT STREET, SUITE 502
City: VICTORIA, BRITISH COLUMBIA	State:	Country: ZIP+4/Postal Code: Canada V8W 3G3

If this address is a private residence, check this box: ☐

Telephone Number: 604-363-1367	Facsimile number, if any: 250-356-3929
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- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1: 90711 - AB RBCDS INC-LETHBRIDGE		Number and Street 2: 204 1ST AVE S
City: LETHBRIDGE, ALBERTA	State:	Country: ZIP+4/Postal Code: Canada T1J 0A4

If this address is a private residence, check this box: ☐

Telephone Number: 403-317-4300	Facsimile number, if any: 403-317-4333
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- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1: 90505 - ON RBCDS INC-CORNWALL		Number and Street 2: 10 THIRD ST E
City: CORNWALL, ONTARIO	State:	Country: ZIP+4/Postal Code: Canada K6H 2C7

If this address is a private residence, check this box: ☐

Telephone Number:

613-933-0283

Facsimile number, if any:

613-933-8475

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC PHILLIPS, HAGER & NORTH INVESTMENT COUNSEL INC.

Number and Street 1:

PHN HALIFAX

City:

HALIFAX, NOVA SOCTIA

State:

Number and Street 2:

1871 HOLLIS ST - 8TH FLR

Country:

Canada

ZIP+4/Postal Code:

B3J 0C3

If this address is a private residence, check this box: ☐

Telephone Number:

902-420-8341

Facsimile number, if any:

902-420-3894

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:

90409 - ON RBCDS INC-AURORA (BAYVIEW)

City:

AURORA, ONTARIO

State:

Number and Street 2:

15420 BAYVIEW AVE

Country:

Canada

ZIP+4/Postal Code:

L4G 7J1

If this address is a private residence, check this box: ☐

Telephone Number:

905-841-2800

Facsimile number, if any:

905-841-7616

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT OPENING DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:
90776 - SK RBCDS INC-SWIFT CURRENT

City:
SWIFT CURRENT, SASKATCHEWAN

State:

Number and Street 2:
137 1ST AVE NE

Country:
Canada

ZIP+4/Postal Code:
S9H 2B1

If this address is a private residence, check this box: ☐

Telephone Number:
306-773-1591

Facsimile number, if any:
306-773-8602

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:
90536 - ON RBCDS INC-OAKVILLE TOWNE SQ

City:
OAKVILLE, ONTARIO

State:

Number and Street 2:
435 NORTH SERVICE ROAD WEST, SUITE 301

Country:
Canada

ZIP+4/Postal Code:
L6M 4X8

If this address is a private residence, check this box: ☐

Telephone Number:
905-469-7000

Facsimile number, if any:
905-849-4033

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:
90514 - ON RBCDS INC-COBOURG

City:
COBOURG, ONTARIO

State:

Number and Street 2:
204D DIVISION ST

Country:
Canada

ZIP+4/Postal Code:
K9A 3P7

If this address is a private residence, check this box: ☐

Telephone Number:
905-372-3385

Facsimile number, if any:
705-743-4516

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:
90407 - ON RBCDS INC-NEWMARKET

City:
NEWMARKET, ONTARIO

State:

Number and Street 2:
17120 LESLIE STREET, SUITE 200

Country: ZIP+4/Postal Code:
Canada L3Y 8K7

If this address is a private residence, check this box: ☐

Telephone Number: Facsimile number, if any:
905-895-2377 905-895-8781

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:
90331 - QC RBCDS INC-QUEBEC CITY

City:
QUEBEC CITY, QUEBEC

State:

Number and Street 2:
COMPLEXE JULES-DALLAIRE, 2828 BOUL. LAURIER, #800

Country: ZIP+4/Postal Code:
Canada G1V 0C1

If this address is a private residence, check this box: ☐

Telephone Number: Facsimile number, if any:
418-527-6768 418-654-0535

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:
90282 - NB RBCDS INC-ST JOHN NEW BR

City:
SAINT JOHN, NEW BRUNSWICK

State:

Number and Street 2:
55 UNION ST SUITE 650

Country: ZIP+4/Postal Code:
Canada E2L 5B7

If this address is a private residence, check this box: ☐

Telephone Number: Facsimile number, if any:
506-637-7500 506-637-7524

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:
90423 - ON RBCDS INC - BROOKFIELD PLACE 23
City:
TORONTO, ONTARIO

State:

Number and Street 2:
2350-181 BAY ST, BCE PLACE
Country: ZIP+4/Postal Code:
Canada M5J 2V1

If this address is a private residence, check this box: ☐

Telephone Number: 416-231-6766
Facsimile number, if any: 416-842-3472

This is (check one):
☒ one of your branch offices or affiliates.
☐ a third-party unaffiliated recordkeeper.
☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC PHILLIPS, HAGER & NORTH INVESTMENT COUNSEL INC.

Number and Street 1:
PHN LONDON
City:
LONDON, ONTARIO

State:

Number and Street 2:
148 FULLARTON STREET, 18TH FLOOR
Country: ZIP+4/Postal Code:
Canada N6A 1H8

If this address is a private residence, check this box: ☐

Telephone Number: 1-800-361-6754
Facsimile number, if any: 519-432-5315

This is (check one):
☒ one of your branch offices or affiliates.
☐ a third-party unaffiliated recordkeeper.
☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:
90721 - AB RBCDS INC-RED DEER
City:
RED DEER, ALBERTA

State:

Number and Street 2:
4900 50TH ST-SUITE 300
Country: ZIP+4/Postal Code:
Canada T4N 1X7

If this address is a private residence, check this box: ☐

Telephone Number: 403-341-8888
Facsimile number, if any: 403-341-8887

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1: 90337 - QC RBCDS INC-TROIS-RIVIERES		Number and Street 2: 25 RUE DES FORGES, BUREAU 100	
City: TROIS-RIVIERES, QUEBEC	State:	Country: Canada	ZIP+4/Postal Code: G9A 6A8

If this address is a private residence, check this box: ☐

Telephone Number: 819-379-3600	Facsimile number, if any: 819-379-2029
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- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1: 90736 - AB RBCDS INC-EDMONTON ARENA DISTRICT		Number and Street 2: 10111 - 104 AVENUE, 2300 EDMONTON TOWER	
City: EDMONTON, ALBERTA	State:	Country: Canada	ZIP+4/Postal Code: T5J 0J4

If this address is a private residence, check this box: ☐

Telephone Number: 780-428-0601	Facsimile number, if any: 780-426-7838
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- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1: 90823 - BC RBCDS INC-KAMLOOPS		Number and Street 2: 402 - 186 VICTORIA ST	
City: KAMLOOPS, BRITISH COLUMBIA	State:	Country: Canada	ZIP+4/Postal Code: V2C 5R3

If this address is a private residence, check this box: ☐

Telephone Number:
250-372-8006

Facsimile number, if any:
250-372-9513

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:
90504 - ON RBCDS INC-BROCKVILLE

City:
BROCKVILLE, ONTARIO

State:

Number and Street 2:
82 KING STREET WEST

Country:
Canada

ZIP+4/Postal Code:
K6V 3P9

If this address is a private residence, check this box: ☐

Telephone Number:
613-345-7555

Facsimile number, if any:
613-345-7707

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:
90322 - QC RBCDS INC-GRANBY

City:
GRANBY, QUEBEC

State:

Number and Street 2:
35 DUFFERIN ST

Country:
Canada

ZIP+4/Postal Code:
J2G 4W5

If this address is a private residence, check this box: ☐

Telephone Number:
450-375-8181

Facsimile number, if any:
450-375-8180

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:
90414 - ON RBCDS INC-VAUGHAN/CONCORD

Number and Street 2:
3300 HIGHWAY 7 W - 7TH FLR SUITE 701

City:

CONCORD, ONTARIO

State:

Country:

Canada

ZIP+4/Postal Code:

L4K 4M3

If this address is a private residence, check this box: ☐

Telephone Number:

905-738-3200

Facsimile number, if any:

905-738-4190

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:

90522 - ON RBCDS INC-DURHAM REGION

Number and Street 2:

17 KING ST E - 3RD FLR

City:

OSHAWA, ONTARIO

State:

Country:

Canada

ZIP+4/Postal Code:

L1H 1A8

If this address is a private residence, check this box: ☐

Telephone Number:

905-434-6161

Facsimile number, if any:

905-436-5068

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC PHILLIPS, HAGER & NORTH INVESTMENT COUNSEL INC.

Number and Street 1:

PHN QUEBEC CITY

Number and Street 2:

COMPLEXE JULES-DALLAIRE, 2828 LAURER BOULEVARD

City:

QUEBEC CITY, QUEBEC

State:

Country:

Canada

ZIP+4/Postal Code:

G1V 0B9

If this address is a private residence, check this box: ☐

Telephone Number:

418-654-3060

Facsimile number, if any:

419-654-3059

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:
90544 - ON RBCDS INC-COLLINGWOOD
City:
COLLINGWOOD, ONTARIO

State:

Number and Street 2:
1 FIRST STREET, SUITE 230
Country:
Canada
ZIP+4/Postal Code:
L9Y 1A1

If this address is a private residence, check this box: ☐

Telephone Number:
705-444-4774
Facsimile number, if any:
705-444-1551

This is (check one):
☒ one of your branch offices or affiliates.
☐ a third-party unaffiliated recordkeeper.
☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC PHILLIPS, HAGER & NORTH INVESTMENT COUNSEL INC.

Number and Street 1:
PHN OTTAWA
City:
OTTAWA, ONTARIO
State:

Number and Street 2:
50 O'CONNOR STREET, SUITE 915
Country:
Canada
ZIP+4/Postal Code:
K1P 6L2

If this address is a private residence, check this box: ☐

Telephone Number:
902-420-8341
Facsimile number, if any:
613-239-3812

This is (check one):
☒ one of your branch offices or affiliates.
☐ a third-party unaffiliated recordkeeper.
☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:
90542 - ON RBCDS INC-ORILLIA
City:
ORILLIA, ONTARIO
State:

Number and Street 2:
19 FRONT ST N - SUITE 200
Country:
Canada
ZIP+4/Postal Code:
L3V 4R6

If this address is a private residence, check this box: ☐

Telephone Number:
705-329-1255
Facsimile number, if any:
705-329-1292

This is (check one):
☒ one of your branch offices or affiliates.
☐ a third-party unaffiliated recordkeeper.
☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC PHILLIPS, HAGER & NORTH INVESTMENT COUNSEL INC.

Number and Street 1: PHN WINNIPEG		Number and Street 2: 220 PORTAGE AVENUE, SUITE 1605	
City: WINNIPEG, MANITOBA	State:	Country: Canada	ZIP+4/Postal Code: R3C 0A5

If this address is a private residence, check this box: ☐

Telephone Number: (403) 390-2470	Facsimile number, if any:
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This is (check one):

- ☒ one of your branch offices or affiliates.
- ☐ a third-party unaffiliated recordkeeper.
- ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1: 90857 - BC RBCDS INC-COURTENAY		Number and Street 2: 777A FITZGERALD AVE	
City: COURTENAY, BRITISH COLUMBIA	State:	Country: Canada	ZIP+4/Postal Code: V9N 2R4

If this address is a private residence, check this box: ☐

Telephone Number: 250-334-5600	Facsimile number, if any: 250-338-0496
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This is (check one):

- ☒ one of your branch offices or affiliates.
- ☐ a third-party unaffiliated recordkeeper.
- ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1: 90508 - ON RBCDS INC-BELLS CORNERS		Number and Street 2: 303 MOODIE DRIVE, SUITE 5500	
City: OTTAWA	State:	Country: Canada	ZIP+4/Postal Code: K2H 9R4

If this address is a private residence, check this box: ☐

Telephone Number: 613-721-4670	Facsimile number, if any: 613-721-4680
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This is (check one):

- ☒ one of your branch offices or affiliates.

- ☐ a third-party unaffiliated recordkeeper.
- ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
ROSEDALE EXPEDITER LTD.

Number and Street 1: CNR BUILDING, INDUSTRIAL PARK,	Number and Street 2: 24 SHEDDEN ROAD
City: GEORGETOWN, GRAND CAYMAN	State: Country: Cayman Islands
	ZIP+4/Postal Code: KY1-1103

If this address is a private residence, check this box: ☐

Telephone Number: 345-949-6836	Facsimile number, if any: 345-949-0092
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This is (check one):

☐ one of your branch offices or affiliates.

☒ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location.
CLIENT RECORDS AND ACCOUNT DOCUMENTATION

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1: 90868 - BC RBCDS INC-VANCOUVER INTL	Number and Street 2: 1055 W GEORGIA ST - 33RD FLR ROYAL CENTRE
City: VANCOUVER, BRITISH COLUMBIA	State: Country: Canada
	ZIP+4/Postal Code: V6E 3S5

If this address is a private residence, check this box: ☐

Telephone Number: 604-257-7120	Facsimile number, if any: 604-257-7168
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This is (check one):

☒ one of your branch offices or affiliates.

☐ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1: 90601 - ON RBCDS INC-NORTH BAY	Number and Street 2: 945 STOCKDALE RD - SUITE 100
City: NORTH BAY, ONTARIO	State: Country: Canada
	ZIP+4/Postal Code: P1B 9S5

If this address is a private residence, check this box: ☐

Telephone Number:
705-476-3444

Facsimile number, if any:
705-495-3389

This is (check one):
☒ one of your branch offices or affiliates.
☐ a third-party unaffiliated recordkeeper.
☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:
90731 - AB RBCDS INC-EDMONTON CP

Number and Street 2:
301- 1074 103A STREET SW

City:
EDMONTON, ALBERTA

State:

Country:
Canada

ZIP+4/Postal Code:
T6W 1A1

If this address is a private residence, check this box: ☐

Telephone Number:
780-944-8800

Facsimile number, if any:
780-424-7153

This is (check one):
☒ one of your branch offices or affiliates.
☐ a third-party unaffiliated recordkeeper.
☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:
90806 - BC RBCDS INC-NEW WESTMINSTER

Number and Street 2:
4370 KINGSWAY, 12TH FLOOR

City:
BURNABY

State:

Country:
Canada

ZIP+4/Postal Code:
V5H 4G9

If this address is a private residence, check this box: ☐

Telephone Number:
604-257-7799

Facsimile number, if any:
604-257-7444

This is (check one):
☒ one of your branch offices or affiliates.
☐ a third-party unaffiliated recordkeeper.
☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:
RBC CENTRE

Number and Street 2:
155 WELLINGTON STREET WEST, 17TH FLOOR

City:

State:

Country:

ZIP+4/Postal Code:

If this address is a private residence, check this box: ☐

Telephone Number:
416-955-6400

Facsimile number, if any:
416-955-8334

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:
90551 - ON RBCDS INC-GUELPH

City:
GUELPH, ONTARIO

State:

Country:
Canada

Number and Street 2:
42 WYNDHAM STREET NORTH, 3RD FLOOR

ZIP+4/Postal Code:
N1H 4E6

If this address is a private residence, check this box: ☐

Telephone Number:
519-822-1900

Facsimile number, if any:
519-822-1982

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:
90591 - ON RBCDS INC-OWEN SOUND

City:
OWEN SOUND, ONTARIO

State:

Country:
Canada

Number and Street 2:
619-10TH ST W - SUITE 2

ZIP+4/Postal Code:
N4K 3R8

If this address is a private residence, check this box: ☐

Telephone Number:
519-376-2410

Facsimile number, if any:
705-444-1551

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:
90326 - QC RBCDS INC-SHERBROOKE

City:
SHERBROOKE, QUEBEC

State:

Country:
Canada

Number and Street 2:
455 KING ST W, SUITE 320

ZIP+4/Postal Code:
J1H 6E9

If this address is a private residence, check this box: ☐

Telephone Number:
819-829-5533

Facsimile number, if any:
819-823-5900

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:
90341 - QC RBCDS INC-LAVAL

City:
LAVAL, QUEBEC

State:

Country:
Canada

Number and Street 2:
545 PROMENADE DU CENTROPOLIS, BUREAU 200

ZIP+4/Postal Code:
H7T 0A3

If this address is a private residence, check this box: ☐

Telephone Number:
450-686-3434

Facsimile number, if any:
450-686-3423

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC PHILLIPS, HAGER & NORTH INVESTMENT COUNSEL INC.

Number and Street 1:
PHN MONTREAL

City:
MONTREAL, QUEBEC

State:

Country:
Canada

Number and Street 2:
1 PLACE VILLE MARIE, 6TH FLOOR, EAST WING

ZIP+4/Postal Code:
H3B 3Y1

If this address is a private residence, check this box: ☐

Telephone Number:
514-874-7222

Facsimile number, if any:
514-876-2778

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:
90503 - ON RBCDS INC-OTTAWA PRESTON
City:
OTTAWA, ONTARIO

State:

Number and Street 2:
333 PRESTON ST - 11TH FLR
Country:
Canada
ZIP+4/Postal Code:
K1S 5N4

If this address is a private residence, check this box: ☐

Telephone Number:
613-564-4800
Facsimile number, if any:
613-564-4801

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:
90853 - BC RBCDS INC-SIDNEY
City:
SIDNEY, BRITISH COLUMBIA

State:

Number and Street 2:
2491 BEVAN AVE - UNIT 1
Country:
Canada
ZIP+4/Postal Code:
V8L 1W2

If this address is a private residence, check this box: ☐

Telephone Number:
250-655-2880
Facsimile number, if any:
250-655-2890

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:
90825 - BC RBCDS INC-PENTICTON
City:
PENTICTON, BRITISH COLUMBIA

State:

Number and Street 2:
101-100 FRONT ST
Country:
Canada
ZIP+4/Postal Code:
V2A 1H1

If this address is a private residence, check this box: ☐

Telephone Number:
250-492-0344
Facsimile number, if any:
250-712-2177

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:
90288 - PE RBCDS INC-CHARLOTTETOWN

City:
CHARLOTTETOWN, PRINCE EDWARD ISLAND

Number and Street 2:
134 KENT ST. SUITE 602

State:
Country:
Canada

ZIP+4/Postal Code:
C1A 8R8

If this address is a private residence, check this box: ☐

Telephone Number:
902-566-5544

Facsimile number, if any:
902-566-1569

This is (check one):
☒ one of your branch offices or affiliates.
☐ a third-party unaffiliated recordkeeper.
☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:
90286 - NB RBCDS INC-MONCTON

City:
MONCTON, NEW BRUNSWICK

Number and Street 2:
633 MAIN ST - SUITE 650

State:
Country:
Canada

ZIP+4/Postal Code:
E1C 9X9

If this address is a private residence, check this box: ☐

Telephone Number:
506-869-5444

Facsimile number, if any:
506-869-5460

This is (check one):
☒ one of your branch offices or affiliates.
☐ a third-party unaffiliated recordkeeper.
☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:
90428 - ON RBCDS INC-YONGE & BLOOR

City:
TORONTO, ONTARIO

Number and Street 2:
2 BLOOR STREET EAST, SUITE 3000

State:
Country:
Canada

ZIP+4/Postal Code:
M4W 3H7

If this address is a private residence, check this box: ☐

Telephone Number:
416-974-2977

Facsimile number, if any:
416-974-3057

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES GLOBAL LIMITED

Number and Street 1: 93100 - BS RBCDS GLOBAL LTD-BAHAMAS BR		Number and Street 2: ALBANY FINANCIAL CENTRE, 2ND FLOOR, P.O. BOX N3234	
City: NASSAU, BAHAMAS	State:	Country: Bahamas, The	ZIP+4/Postal Code: N-3234

If this address is a private residence, check this box: ☐

Telephone Number: 242-702-5950	Facsimile number, if any:
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- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1: 90615 - ON RBCDS INC-SAULT STE MARIE		Number and Street 2: 432 GREAT NORTHERN RD - SUITE 300	
City: SAULT STE MARIE, ONTARIO	State:	Country: Canada	ZIP+4/Postal Code: P6B 4Z9

If this address is a private residence, check this box: ☐

Telephone Number: 705-759-6100	Facsimile number, if any: 705-523-3726
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- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1: 90588 - ON RBCDS INC-STRATFORD		Number and Street 2: 187 ONTARIO ST	
City: STRATFORD, ONTARIO	State:	Country: Canada	ZIP+4/Postal Code: N5A 3H3

If this address is a private residence, check this box: ☐

Telephone Number:
519-271-4611

Facsimile number, if any:
519-271-7429

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:
90323 - QC RBCDS INC-RIVE-SUD

City:
BROSSARD, QUEBEC

State:

Country:
Canada

Number and Street 2:
2000 RUE DE L'ECLIPSE, 6E ETAGE

ZIP+4/Postal Code:
J4Z 0S2

If this address is a private residence, check this box: ☐

Telephone Number:
450-656-2045

Facsimile number, if any:

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC PHILLIPS, HAGER & NORTH INVESTMENT COUNSEL INC.

Number and Street 1:
PHN MISSISSAUGA

City:
MISSISSAUGA, ONTARIO

State:

Country:
Canada

Number and Street 2:
4 ROBERT SPECK PARKWAY, 10TH FLOOR

ZIP+4/Postal Code:
L4Z 1S1

If this address is a private residence, check this box: ☐

Telephone Number:
1-877-685-5683

Facsimile number, if any:

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:
90453 - ON RBCDS INC-TOR BEACHES

City:
TORONTO, ONTARIO

State:

Country:
Canada

Number and Street 2:
2175 QUEEN ST E - 2ND FLR

ZIP+4/Postal Code:
M4E 1E5

If this address is a private residence, check this box: ☐

Telephone Number:
416-699-4411

Facsimile number, if any:
416-699-2420

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC PHILLIPS, HAGER & NORTH INVESTMENT COUNSEL INC.

Number and Street 1:
PHN TORONTO

City:
TORONTO, ONTARIO

State:

Country:
Canada

Number and Street 2:
200 BAY STREET, SOUTH TOWER 17TH FLOOR

ZIP+4/Postal Code:
M5J 2J5

If this address is a private residence, check this box: ☐

Telephone Number:
1-800-661-6141

Facsimile number, if any:
476-360-4347

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATIN AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES GLOBAL LIMITED

Number and Street 1:
93097 - KY RBCDS GLOBAL LTD-CAYMAN BR

City:
GRORGETOWN, GRAND CAYMAN

State:

Country:
Cayman Islands

Number and Street 2:
24 SHEDDEN ROAD - 4TH FLR

ZIP+4/Postal Code:
KY1-1103

If this address is a private residence, check this box: ☐

Telephone Number:
345-949-6836

Facsimile number, if any:
345-949-0092

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:
90717 - AB RBCDS INC-CALGARY BRANCH
City:
CALGARY, ALBERTA

State:

Number and Street 2:
14505 BANNISTER ROAD SE, SUITE 203
Country:
Canada
ZIP+4/Postal Code:
T2X 3J3

If this address is a private residence, check this box: ☐

Telephone Number:
403-299-6553
Facsimile number, if any:
403-299-6513

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:
90613 - ON RBCDS INC-SUDBURY
City:
SUDBURY, ONTARIO

State:

Number and Street 2:
1361 PARIS ST, STE 200
Country:
Canada
ZIP+4/Postal Code:
P3E 3B6

If this address is a private residence, check this box: ☐

Telephone Number:
705-523-3100
Facsimile number, if any:
705-523-3726

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:
90706 - AB RBCDS INC-CALGARY NORTH
City:
CALGARY, ALBERTA

State:

Number and Street 2:
600 CROWFOOT CRES NW, SUITE 410
Country:
Canada
ZIP+4/Postal Code:
T3G 0B4

If this address is a private residence, check this box: ☐

Telephone Number:
403-299-2390
Facsimile number, if any:
403-299-6512

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:
90809 - BC RBCDS INC-WEST VANCOUVER

City:
SECHELT, BRITISH COLUMBIA

State:

Number and Street 2:
212-5760 TEREDO ST

Country: ZIP+4/Postal Code:
Canada V0N 3A0

If this address is a private residence, check this box: ☐

Telephone Number:
604-885-0154

Facsimile number, if any:
604-885-0619

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:
90546 - ON RBCDS INC-BRACEBRIDGE

City:
COLLINGWOOD, ONTARIO

State:

Number and Street 2:
1 FIRST STREET, SUITE 230

Country: ZIP+4/Postal Code:
Canada L9Y 1A1

If this address is a private residence, check this box: ☐

Telephone Number:
705-444-4774

Facsimile number, if any:
705-444-1551

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:
90348 - QC RBCDS INC-GATINEAU

City:
GATINEAU, QUEBEC

State:

Number and Street 2:
R13-200 RUE MONTCALM

Country: ZIP+4/Postal Code:
Canada J8Y 3B5

If this address is a private residence, check this box: ☐

Telephone Number:
819-776-1500

Facsimile number, if any:
819-776-4900

This is (check one):

- ☒ one of your branch offices or affiliates.
- ☐ a third-party unaffiliated recordkeeper.
- ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:
90555 - ON RBCDS INC-CAMBRIDGE

City:
CAMBRIDGE, ONTARIO

State:

Number and Street 2:
231 SHEARSON CRES - 3RD FLR SUITE 301

Country:
Canada

ZIP+4/Postal Code:
N1T 1J5

If this address is a private residence, check this box: ☐

Telephone Number:
519-621-6994

Facsimile number, if any:
519-621-8561

This is (check one):

- ☒ one of your branch offices or affiliates.
- ☐ a third-party unaffiliated recordkeeper.
- ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:
90814 - BC RBCDS INC-COQUITLAM

City:
COQUITLAM, BRITISH COLUMBIA

State:

Number and Street 2:
2950 GLEN DR-7TH FLR

Country:
Canada

ZIP+4/Postal Code:
V3B 0J1

If this address is a private residence, check this box: ☐

Telephone Number:
604-257-7799

Facsimile number, if any:
778-284-2522

This is (check one):

- ☒ one of your branch offices or affiliates.
- ☐ a third-party unaffiliated recordkeeper.
- ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:
90715 - AB RBCDS INC-MEDICINE HAT

City:
MEDICINE HAT, ALBERTA

State:

Number and Street 2:
320 SOUTH RAILWAY ST SE

Country:
Canada

ZIP+4/Postal Code:
T1A 2V4

If this address is a private residence, check this box: ☐

Telephone Number:
403-504-2700

Facsimile number, if any:
403-504-2705

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:
90510 - ON RBCDS INC-PICKERING

City:
PICKERING, ONTARIO

State:

Number and Street 2:
1315 PICKERING PARKWAY, 7TH FLR

Country:
Canada

ZIP+4/Postal Code:
L1V 7G5

If this address is a private residence, check this box: ☐

Telephone Number:
905-420-3430

Facsimile number, if any:
905-839-8731

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:
90637 - ON RBCDS INC-CHATHAM

City:
CHATHAM, ONTARIO

State:

Number and Street 2:
382 WELLINGTON STREET WEST

Country:
Canada

ZIP+4/Postal Code:
N7M 1K4

If this address is a private residence, check this box: ☐

Telephone Number:
519-352-1510

Facsimile number, if any:
519-352-4918

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:
90829 - BC RBCDS INC-RICHMOND

Number and Street 2:
450 SOUTHWEST MARINE DRIVE,16TH FLOOR

City:

VANCOUVER

State:

Country:

Canada

ZIP+4/Postal Code:

V5X 4V2

If this address is a private residence, check this box: ☐

Telephone Number:

604-718-3000

Facsimile number, if any:

604-718-3050

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:

90565 - ON RBCDS INC-BRANTFORD

City:

BRANTFORD, ONTARIO

State:

Country:

Canada

ZIP+4/Postal Code:

N3R 0B9

Number and Street 2:

274 LYNDEN RD - SUITE A

If this address is a private residence, check this box: ☐

Telephone Number:

519-756-1800

Facsimile number, if any:

519-756-3177

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:

90561 - ON RBCDS INC-WATERLOO

City:

WATERLOO, ONTARIO

State:

Country:

Canada

ZIP+4/Postal Code:

N2J 5A2

Number and Street 2:

95 KING STREET SOUTH, 3RD FLOOR

If this address is a private residence, check this box: ☐

Telephone Number:

519-747-8007

Facsimile number, if any:

519-747-1808

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC PHILLIPS, HAGER & NORTH INVESTMENT COUNSEL INC.

Number and Street 1: PHN WATERLOO		Number and Street 2: 95 KING STREET, SUITE 202	
City: WATERLOO, ONTARIO	State:	Country: Canada	ZIP+4/Postal Code: N2J 5A2

If this address is a private residence, check this box: ☐

Telephone Number: 1-877-730-0004	Facsimile number, if any: 519-747-6929
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This is (check one):

☒ one of your branch offices or affiliates.

☐ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1: 90533 - ON RBCDS INC-ORANGEVILLE		Number and Street 2: 210 BROADWAY AVE, SUITE 207	
City: ORANGEVILLE, ONTARIO	State:	Country: Canada	ZIP+4/Postal Code: L9W 5G4

If this address is a private residence, check this box: ☐

Telephone Number: 519-942-1811	Facsimile number, if any: 519-822-1982
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This is (check one):

☒ one of your branch offices or affiliates.

☐ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1: 90771 - SK RBCDS INC-REGINA		Number and Street 2: 1133 4 STREET, SUITE 301	
City: REGINA, SASKATCHEWAN	State:	Country: Canada	ZIP+4/Postal Code: S4A 0W6

If this address is a private residence, check this box: ☐

Telephone Number: 306-637-4490	Facsimile number, if any: 306-757-2606
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This is (check one):

☒ one of your branch offices or affiliates.

☐ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:
90511 - ON RBCDS INC-PETERBOROUGH
City:
PETERBOROUGH, ONTARIO

Number and Street 2:
60 HUNTER STREET EAST
State:
Country:
Canada
ZIP+4/Postal Code:
K9H 1G5

If this address is a private residence, check this box: ☐

Telephone Number:
705-743-4275
Facsimile number, if any:
705-743-4516

This is (check one):
☒ one of your branch offices or affiliates.
☐ a third-party unaffiliated recordkeeper.
☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:
90647 - ON RBCDS INC-WOODSTOCK
City:
WOODSTOCK, ONTARIO

Number and Street 2:
26 HURON ST
State:
Country:
Canada
ZIP+4/Postal Code:
N4S 6Z2

If this address is a private residence, check this box: ☐

Telephone Number:
519-539-9821
Facsimile number, if any:
519-539-9259

This is (check one):
☒ one of your branch offices or affiliates.
☐ a third-party unaffiliated recordkeeper.
☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:
90515 - ON RBCDS INC-BELLEVILLE
City:
BELLEVILLE, ONTARIO

Number and Street 2:
10 FRONT ST. SOUTH - 3RD FLR
State:
Country:
Canada
ZIP+4/Postal Code:
K8N 2Y3

If this address is a private residence, check this box: ☐

Telephone Number:
800-267-0918
Facsimile number, if any:
613-966-1811

This is (check one):
☒ one of your branch offices or affiliates.

- ☒ a third-party unaffiliated recordkeeper.
- ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1: 90328 - QC RBC DS INC-MONTREAL PVM 4		Number and Street 2: 1 PLACE VILLE-MARIE, 3RD FLOOR	
City: MONTREAL, QUEBEC	State:	Country: Canada	ZIP+4/Postal Code: H3B 4R8

If this address is a private residence, check this box: ☐

Telephone Number: 514-878-7000	Facsimile number, if any: 514-878-7341
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- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1: 90808 - BC RBCDS INC-ABBOTSFORD		Number and Street 2: 2001 MCCALLUM ROAD, SUITE 301	
City: ABBOTSFORD, BRITISH COLUMBIA	State:	Country: Canada	ZIP+4/Postal Code: V2S 3N5

If this address is a private residence, check this box: ☐

Telephone Number: 604-870-7100	Facsimile number, if any: 604-870-7171
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- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1: 90314 - QC RBCDS INC-BELOEIL		Number and Street 2: 383, BOUL. SIR WILFRID LAURIER	
City: MONT SAINT-HILAIRE, QUEBEC	State:	Country: Canada	ZIP+4/Postal Code: J3H 3P1

If this address is a private residence, check this box: ☐

Telephone Number:
450-536-1600

Facsimile number, if any:
450-536-1586

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
IRON MOUNTAIN CANADA CORPORATION

Number and Street 1:
IRON MOUNTAIN CANADA CORPORATION

Number and Street 2:
195 SUMMERLEA ROAD

City:
BRAMPTON, ONTARIO

State:

Country:
Canada

ZIP+4/Postal Code:
L6T 4W4

If this address is a private residence, check this box: ☐

Telephone Number:
(800) 899-4766

Facsimile number, if any:

- This is (check one):
- ☐ one of your branch offices or affiliates.
 - ☒ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS.

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:
90441 - ON RBCDS INC-RBP 39

Number and Street 2:
200 BAY STREET, SOUTH TOWER, SUITE 3900

City:
TORONTO, ONTARIO

State:

Country:
Canada

ZIP+4/Postal Code:
M5J 2J2

If this address is a private residence, check this box: ☐

Telephone Number:
416-842-2200

Facsimile number, if any:
416-842-2220

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:
90417 - ON RBCDS INC-TORONTO EAST

Number and Street 2:
111 GRANGWAY AVE - 2ND FLR

City:

Country: ZIP+4/Postal Code:

If this address is a private residence, check this box: ☐

Telephone Number:
416-289-2430

Facsimile number, if any:
416-289-3561

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:
90826 - BC RBCDS INC-CRANBROOK

City:
CRANBROOK, BRITISH COLUMBIA

State:

Country:
Canada

Number and Street 2:
926 BAKER ST - SUITE 1

ZIP+4/Postal Code:
V1C 1A5

If this address is a private residence, check this box: ☐

Telephone Number:
250-426-6237

Facsimile number, if any:

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:
90621 - ON RBCDS INC-WINDSOR

City:
WINDSOR, ONTARIO

State:

Country:
Canada

Number and Street 2:
1922 WYANDOTTE ST. E

ZIP+4/Postal Code:
N8Y 1E4

If this address is a private residence, check this box: ☐

Telephone Number:
519-252-3663

Facsimile number, if any:
519-252-3672

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:
90283 - NB RBCDS INC-FREDERICTON

City:
FREDERICTON, NEW BRUNSWICK

State:

Country:
Canada

Number and Street 2:
371 QUEEN ST - 1ST FLR, SUITE 100

ZIP+4/Postal Code:
E3B 1B1

If this address is a private residence, check this box: ☐

Telephone Number:
506-458-9174

Facsimile number, if any:
506-459-2725

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:
90608 - ON RBCDS INC-THUNDER BAY

City:
THUNDER BAY, ONTARIO

State:

Country:
Canada

Number and Street 2:
1001 WILLIAM STREET, SUITE 300

ZIP+4/Postal Code:
P7B 6M1

If this address is a private residence, check this box: ☐

Telephone Number:
807-343-2042

Facsimile number, if any:
807-345-3481

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:
90275 - NL RBCDS INC-ST JOHNS NFLD

City:
ST JOHN'S, NEWFOUNDLAND & LABRADOR

State:

Country:
Canada

Number and Street 2:
10 FORT WILLIAM PLACE - 8TH FLR SUITE 803

ZIP+4/Postal Code:
A1C 1K4

If this address is a private residence, check this box: ☐

Telephone Number:
709-576-4975

Facsimile number, if any:
709-576-4922

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:
90451 - ON RBCDS INC-TOR RBP 25

City:
TORONTO, ONTARIO

State:

Number and Street 2:
200 BAY ST, SUITE 2500A

Country: ZIP+4/Postal Code:
Canada M5J 2J5

If this address is a private residence, check this box: ☐

Telephone Number: Facsimile number, if any:
416-842-2300 416-842-2222

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:
90851 - BC RBCDS INC-VICTORIA

City:
VICTORIA, BRITISH COLUMBIA

State:

Number and Street 2:
ST. ANDREW'S SQUARE II, 730 VIEW STREET, SUITE 500

Country: ZIP+4/Postal Code:
Canada V8W 3Y7

If this address is a private residence, check this box: ☐

Telephone Number: Facsimile number, if any:
250-356-4800 250-356-4880

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:
90452 - ON RBCDS INC-YONGE & ST CLAIR

City:

State:

Number and Street 2:
2 SAINT CLAIR AVENUE WEST, SUITE 1900

Country: ZIP+4/Postal Code:

If this address is a private residence, check this box: ☐

Telephone Number: Facsimile number, if any:
416-296-0040 416-974-0332

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC PHILLIPS, HAGER & NORTH INVESTMENT COUNSEL INC.

Number and Street 1: PHN VAUGHAN		Number and Street 2: 3300 HIGHWAY 7 WEST, SUITE 360	
City: VAUGHAN, ONTARIO	State:	Country: Canada	ZIP+4/Postal Code: L4K 4M3

If this address is a private residence, check this box: ☐

Telephone Number: 905-738-5001	Facsimile number, if any:
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This is (check one):

☒ one of your branch offices or affiliates.

☐ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC PHILLIPS, HAGER & NORTH INVESTMENT COUNSEL INC.

Number and Street 1: PHN GUELPH		Number and Street 2: 42 WYNDHAM STREET N, 3RD FLOOR	
City: GUELPH, ONTARIO	State:	Country: Canada	ZIP+4/Postal Code: N1H 4E6

If this address is a private residence, check this box: ☐

Telephone Number: 519-822-1900	Facsimile number, if any:
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This is (check one):

☒ one of your branch offices or affiliates.

☐ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1: 90581 - ON RBCDS INC-ST CATHARINES		Number and Street 2: 63 CHURCH STREET, SUITE 306	
City: ST. CATHARINES, ONTARIO	State:	Country: Canada	ZIP+4/Postal Code: L2R 3C4

If this address is a private residence, check this box: ☐

Telephone Number: 905-988-5888	Facsimile number, if any: 905-988-5889
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- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC PHILLIPS, HAGER & NORTH INVESTMENT COUNSEL INC.

Number and Street 1: PHN OAKVILLE		Number and Street 2: 277 LAKESHORE RD E - 3RD FLR - SUITE 306	
City: OAKVILLE, ONTARIO	State:	Country: Canada	ZIP+4/Postal Code: L6J 1H9

If this address is a private residence, check this box: ☐

Telephone Number: 905-845-4224	Facsimile number, if any: 905-849-4010
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- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1: 90805 - BC RBCDS INC-KERRISDALE		Number and Street 2: 2052 WEST 41ST AVENUE, 3RD FLOOR	
City: VANCOUVER, BRITISH COLUMBIA	State:	Country: Canada	ZIP+4/Postal Code: V6M 1Y8

If this address is a private residence, check this box: ☐

Telephone Number: 604-665-0699	Facsimile number, if any: 604-266-1147
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- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1: 90547 - ON RBCDS INC-MIDLAND		Number and Street 2: 512 YONGE STREET	
City: MIDLAND, ONTARIO	State:	Country: Canada	ZIP+4/Postal Code: L4R 2C5

If this address is a private residence, check this box: ☐

Telephone Number:
705-526-4683

Facsimile number, if any:
705-527-6131

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:
90855 - BC RBCDS INC-NANAIMO

City:
DUNCAN, BRITISH COLUMBIA

State:

Number and Street 2:
201-2755 BEVERLY ST

Country:
Canada

ZIP+4/Postal Code:
V9L 6X2

If this address is a private residence, check this box: ☐

Telephone Number:
250-746-9494

Facsimile number, if any:
250-746-0254

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC PHILLIPS, HAGER & NORTH INVESTMENT COUNSEL INC.

Number and Street 1:
PHN EDMONTON

City:
EDMONTON, ALBERTA

State:

Number and Street 2:
10111 - 104TH AVENUE NW, SUITE 2420

Country:
Canada

ZIP+4/Postal Code:
T5J 0J4

If this address is a private residence, check this box: ☐

Telephone Number:
780-670-7247

Facsimile number, if any:
(780) 944-5042

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1: 90421 - ON RBCDS INC - BROOKFIELD PLACE 21		Number and Street 2: 2200-181 BAY ST, BCE PLACE	
City: TORONTO, ONTARIO	State:	Country: Canada	ZIP+4/Postal Code: M5J 2T3
If this address is a private residence, check this box: ☐			
Telephone Number: 416-842-7000		Facsimile number, if any: 416-842-7070	
This is (check one): ☒ one of your branch offices or affiliates. ☐ a third-party unaffiliated recordkeeper. ☐ other.			
Briefly describe the books and records kept at this location. ACCOUNT DOCUMENTATION AND CLIENT RECORDS			

Name of entity where books and records are kept: RBC DOMINION SECURITIES INC.			
Number and Street 1: 90605 - ON RBCDS INC - TIMMINS		Number and Street 2: 103-100 ALGONQUIN BLVD E	
City: TIMMINS, ONTARIO	State:	Country: Canada	ZIP+4/Postal Code: P4N 1A4
If this address is a private residence, check this box: ☐			
Telephone Number: 705-759-7011		Facsimile number, if any: 705-268-2949	
This is (check one): ☒ one of your branch offices or affiliates. ☐ a third-party unaffiliated recordkeeper. ☐ other.			
Briefly describe the books and records kept at this location. ACCOUNT DOCUMENTATION AND CLIENT RECORDS			

Name of entity where books and records are kept: RBC DOMINION SECURITIES INC.			
Number and Street 1: 90811 - BC RBCDS INC-VERNON		Number and Street 2: 2701A HIGHWAY 6	
City: VERNON, BRITISH COLUMBIA	State:	Country: Canada	ZIP+4/Postal Code: V1T 5G6
If this address is a private residence, check this box: ☐			
Telephone Number: 250-549-4050		Facsimile number, if any: 250-545-4139	
This is (check one): ☒ one of your branch offices or affiliates. ☐ a third-party unaffiliated recordkeeper. ☐ other.			
Briefly describe the books and records kept at this location. ACCOUNT DOCUMENTATION AND CLIENT RECORDS			

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1: 90862 - BC RBCDS INC-OAKRIDGE INTL		Number and Street 2: 450 SOUTHWEST MARINE DRIVE,16TH FLOOR	
City: VANCOUVER	State:	Country: Canada	ZIP+4/Postal Code: V5X 4V2

If this address is a private residence, check this box: ☐

Telephone Number: 604-718-3000	Facsimile number, if any: 604-257-7168
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- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1: 90704 - AB RBCDS INC - CANMORE		Number and Street 2: 1000 RAILWAY AVE	
City: CANMORE, ALBERTA	State:	Country: Canada	ZIP+4/Postal Code: T1W 3H9

If this address is a private residence, check this box: ☐

Telephone Number: 403-678-3180	Facsimile number, if any: 403-678-3187
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- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1: 90835 - BC RBCDS INC-GEORGIA VIEW VIL		Number and Street 2: 6588 APPLECROSS RD - UNIT 101	
City: NANAIMO, BRITISH COLUMBIA	State:	Country: Canada	ZIP+4/Postal Code: V9V 0A4

If this address is a private residence, check this box: ☐

Telephone Number: 250-390-7163	Facsimile number, if any: 250-729-3272
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- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
ROYAL BANK OF CANADA

Number and Street 1: SUBSIDIARY GOVERNANCE OFFICE		Number and Street 2: 200 BAY ST., SOUTH TOWER, 9TH FLOOR	
City: TORONTO, ONTARIO	State:	Country: Canada	ZIP+4/Postal Code: M5J 2J2

If this address is a private residence, check this box: ☐

Telephone Number: 416-974-3940	Facsimile number, if any: 416-974-3535
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- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
CORPORATE RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1: 90538 - ON RBCDS INC-BURLINGTON		Number and Street 2: 4475 NORTH SERVICE RD, SUITE 400	
City: BURLINGTON, ONTARIO	State:	Country: Canada	ZIP+4/Postal Code: L7L 4X7

If this address is a private residence, check this box: ☐

Telephone Number: 905-332-2600	Facsimile number, if any: 905-332-2650
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- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1: 90509 - ON RBCDS INC-KINGSTON		Number and Street 2: 366 KING STREET EAST, SUITE 210	
City: KINGSTON, ONTARIO	State:	Country: Canada	ZIP+4/Postal Code: K7K 6Y3

If this address is a private residence, check this box: ☐

Telephone Number: 613-549-6370	Facsimile number, if any: 613-549-6555
-----------------------------------	---

This is (check one):

- ☒ one of your branch offices or affiliates.
- ☐ a third-party unaffiliated recordkeeper.
- ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
ROYAL BANK OF CANADA

Number and Street 1:
ROYAL BANK OF CANADA, CORPORATE ARCHIVES
City:
MISSISSAUGA, ONTARIO

State:

Number and Street 2:
6880 FINANCIAL DRIVE, 2ND FLOOR
Country: ZIP+4/Postal Code:
Canada L5N 7Y5

If this address is a private residence, check this box: ☐

Telephone Number:
905-286-7100

Facsimile number, if any:

This is (check one):

- ☒ one of your branch offices or affiliates.
- ☐ a third-party unaffiliated recordkeeper.
- ☐ other.

Briefly describe the books and records kept at this location.
CORPORATE RECORDS

Name of entity where books and records are kept:
RBC PHILLIPS, HAGER & NORTH INVESTMENT COUNSEL INC.

Number and Street 1:
PHN CALGARY
City: State:
CALGARY, ALBERTA

Number and Street 2:
333 7TH AVENUE SW, SUITE 1100
Country: ZIP+4/Postal Code:
Canada T2P 2Z1

If this address is a private residence, check this box: ☐

Telephone Number:
403-390-2470

Facsimile number, if any:
403-299-5201

This is (check one):

- ☒ one of your branch offices or affiliates.
- ☐ a third-party unaffiliated recordkeeper.
- ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:
90832 - BC RBCDS INC-KELOWNA
City: State:
KELOWNA, BRITISH COLUMBIA

Number and Street 2:
1631 DICKSON AVE, SUITE 1400, LANDMARK 6
Country: ZIP+4/Postal Code:
Canada V1Y 0B5

If this address is a private residence, check this box: ☐

Telephone Number:
604-363-1367

Facsimile number, if any:
250-712-2120

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:
90839 - BC RBCDS INC-LANGLEY

City:
LANGLEY, BRITISH COLUMBIA

State:

Country:
Canada

Number and Street 2:
8411 200TH STREET, UNIT 101

ZIP+4/Postal Code:
V2Y 0E7

If this address is a private residence, check this box: ☐

Telephone Number:
604-881-8506

Facsimile number, if any:
604-888-6504

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:
90530 - ON RBCDS INC-MISS LAKESHORE SB

City:
MISSISSAUGA, ONTARIO

State:

Country:
Canada

Number and Street 2:
1672 LAKESHORE RD W

ZIP+4/Postal Code:
L5J 1J5

If this address is a private residence, check this box: ☐

Telephone Number:
905-822-1926

Facsimile number, if any:
905-822-1370

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:
90541 - ON RBCDS INC-BARRIE

Number and Street 2:
11 VICTORIA ST - SUITE 100

City:

BARRIE, ONTARIO

State:

Country:

Canada

ZIP+4/Postal Code:

L4N 6T3

If this address is a private residence, check this box: ☐

Telephone Number:

705-725-7400

Facsimile number, if any:

705-728-6416

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:

90631 - ON RBCDS INC-SARNIA

Number and Street 2:

340 NORTH FRONT STREET, P.O. BOX 2046

City:

SARNIA, ONTARIO

State:

Country:

Canada

ZIP+4/Postal Code:

N7T 7L1

If this address is a private residence, check this box: ☐

Telephone Number:

519-337-3706

Facsimile number, if any:

519-332-3775

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

Name of entity where books and records are kept:
RBC DOMINION SECURITIES INC.

Number and Street 1:

90587 - ON RBCDS INC-NIAGARA FALLS

Number and Street 2:

4342 QUEEN STREET, SUITE 450

City:

NIAGARA FALLS, ONTARIO

State:

Country:

Canada

ZIP+4/Postal Code:

L2E 7J7

If this address is a private residence, check this box: ☐

Telephone Number:

905-358-3262

Facsimile number, if any:

905-358-3556

- This is (check one):
- ☒ one of your branch offices or affiliates.
 - ☐ a third-party unaffiliated recordkeeper.
 - ☐ other.

Briefly describe the books and records kept at this location.
CLIENT RECORDS AND ACCOUNT DOCUMENTATION

Name of entity where books and records are kept:
RBC PHILLIPS, HAGER & NORTH INVESTMENT COUNSEL INC.

Number and Street 1: PHN KELOWNA		Number and Street 2: 1631 DICKSON AVENUE, SUITE 1205	
City: KELOWNA, BRITISH COLUMBIA	State:	Country: Canada	ZIP+4/Postal Code: V1Y 0B5

If this address is a private residence, check this box: ☐

Telephone Number: 250-469-7401	Facsimile number, if any: 250-717-4802
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This is (check one):

☒ one of your branch offices or affiliates.

☐ a third-party unaffiliated recordkeeper.

☐ other.

Briefly describe the books and records kept at this location.
ACCOUNT DOCUMENTATION AND CLIENT RECORDS

SECTION 1.M. Registration with Foreign Financial Regulatory Authorities

List the name and country, in English, of each *foreign financial regulatory authority* with which you are registered. You must complete a separate Schedule D Section 1.M. for each *foreign financial regulatory authority* with whom you are registered.

Name of Country/*Foreign Financial Regulatory Authority*:
Cayman Islands - Cayman Islands Monetary Authority

Other:

Item 2 SEC Registration / Reporting

Responses to this Item help us (and you) determine whether you are eligible to register with the SEC. Complete this Item 2.A. only if you are applying for SEC registration or submitting an *annual updating amendment* to your SEC registration. If you are filing an *umbrella registration*, the information in Item 2 should be provided for the *filing adviser* only.

- A. To register (or remain registered) with the SEC, you must check **at least one** of the Items 2.A.(1) through 2.A.(12), below. If you are submitting an *annual updating amendment* to your SEC registration and you are no longer eligible to register with the SEC, check Item 2.A.(13). [Part 1A Instruction 2](#) provides information to help you determine whether you may affirmatively respond to each of these items.
- You (the adviser):
- ☒

(1) are a **large advisory firm** that either:

(a) has regulatory assets under management of \$100 million (in U.S. dollars) or more; or

(b) has regulatory assets under management of \$90 million (in U.S. dollars) or more at the time of filing its most recent *annual updating amendment* and is registered with the SEC;
- ☐

(2) are a **mid-sized advisory firm** that has regulatory assets under management of \$25 million (in U.S. dollars) or more but less than \$100 million (in U.S. dollars) and you are either:

(a) not required to be registered as an adviser with the *state securities authority* of the state where you maintain your *principal office and place of business*; or

(b) not subject to examination by the *state securities authority* of the state where you maintain your *principal office and place of business*;

Click [HERE](#) for a list of states in which an investment adviser, if registered, would not be subject to examination by the state securities authority.
- ☐

(3) Reserved
- ☒

(4) have your *principal office and place of business* **outside the United States**;
- ☐

(5) are **an investment adviser (or subadviser) to an investment company** registered under the Investment Company Act of 1940;
- ☐

(6) are **an investment adviser to a company which has elected to be a business development company** pursuant to section 54 of the Investment Company Act of 1940 and has not withdrawn the election, and you have at least \$25 million of regulatory assets under management;
- ☐

(7) are a **pension consultant** with respect to assets of plans having an aggregate value of at least \$200,000,000 that qualifies for the exemption

in rule 203A-2(a);

- ☐
- (8) are a **related adviser** under rule 203A-2(b) that *controls*, is *controlled* by, or is under common *control* with, an investment adviser that is registered with the SEC, and your *principal office and place of business* is the same as the registered adviser;

If you check this box, complete [Section 2.A.\(8\) of Schedule D](#).

- ☐
- (9) are an **adviser** relying on rule 203A-2(c) because you **expect to be eligible for SEC registration within 120 days**;

If you check this box, complete [Section 2.A.\(9\) of Schedule D](#).

- ☐
- (10) are a **multi-state adviser** that is required to register in 15 or more states and is relying on rule 203A-2(d);

If you check this box, complete [Section 2.A.\(10\) of Schedule D](#).

- ☐
- (11) are an **Internet adviser** relying on rule 203A-2(e);

If you check this box, complete [Section 2.A.\(11\) of Schedule D](#).

- ☐
- (12) have **received an SEC order** exempting you from the prohibition against registration with the SEC;

If you check this box, complete [Section 2.A.\(12\) of Schedule D](#).

- ☐
- (13) are **no longer eligible** to remain registered with the SEC.

State Securities Authority Notice Filings and State Reporting by Exempt Reporting Advisers

C. Under state laws, SEC-registered advisers may be required to provide to *state securities authorities* a copy of the Form ADV and any amendments they file with the SEC. These are called *notice filings*. In addition, *exempt reporting advisers* may be required to provide *state securities authorities* with a copy of reports and any amendments they file with the SEC. If this is an initial application or report, check the box(es) next to the state(s) that you would like to receive notice of this and all subsequent filings or reports you submit to the SEC. If this is an amendment to direct your *notice filings* or reports to additional state(s), check the box(es) next to the state(s) that you would like to receive notice of this and all subsequent filings or reports you submit to the SEC. If this is an amendment to your registration to stop your *notice filings* or reports from going to state(s) that currently receive them, uncheck the box(es) next to those state(s).

Jurisdictions

☒ AL	☒ IL	☒ NE	☒ SC
☒ AK	☒ IN	☒ NV	☒ SD
☒ AZ	☒ IA	☒ NH	☒ TN
☒ AR	☒ KS	☒ NJ	☒ TX
☒ CA	☒ KY	☒ NM	☒ UT
☒ CO	☒ LA	☒ NY	☒ VT
☒ CT	☒ ME	☒ NC	☒ VI
☒ DE	☒ MD	☒ ND	☒ VA
☒ DC	☒ MA	☒ OH	☒ WA
☒ FL	☒ MI	☒ OK	☒ WV
☒ GA	☒ MN	☒ OR	☒ WI
☐ GU	☒ MS	☒ PA	☒ WY
☒ HI	☒ MO	☒ PR	
☒ ID	☒ MT	☒ RI	

If you are amending your registration to stop your notice filings or reports from going to a state that currently receives them and you do not want to pay that state's notice filing or report filing fee for the coming year, your amendment must be filed before the end of the year (December 31).

SECTION 2.A.(8) Related Adviser

If you are relying on the exemption in rule 203A-2(b) from the prohibition on registration because you *control*, are *controlled* by, or are under common *control* with an investment adviser that is registered with the SEC and your *principal office and place of business* is the same as that of the registered adviser, provide the following information:

Name of Registered Investment Adviser

CRD Number of Registered Investment Adviser

SEC Number of Registered Investment Adviser

-

SECTION 2.A.(9) Investment Adviser Expecting to be Eligible for Commission Registration within 120 Days

If you are relying on rule 203A-2(c), the exemption from the prohibition on registration available to an adviser that expects to be eligible for SEC registration within 120 days, you are required to make certain representations about your eligibility for SEC registration. By checking the appropriate boxes, you will be

deemed to have made the required representations. You must make both of these representations:

☐ I am not registered or required to be registered with the SEC or a *state securities authority* and I have a reasonable expectation that I will be eligible to register with the SEC within 120 days after the date my registration with the SEC becomes effective.

☐ I undertake to withdraw from SEC registration if, on the 120th day after my registration with the SEC becomes effective, I would be prohibited by Section 203A(a) of the Advisers Act from registering with the SEC.

SECTION 2.A.(10) Multi-State Adviser

If you are relying on rule 203A-2(d), the multi-state adviser exemption from the prohibition on registration, you are required to make certain representations about your eligibility for SEC registration. By checking the appropriate boxes, you will be deemed to have made the required representations.

If you are applying for registration as an investment adviser with the SEC, you must make both of these representations:

☐ I have reviewed the applicable state and federal laws and have concluded that I am required by the laws of 15 or more states to register as an investment adviser with the *state securities authorities* in those states.

☐ I undertake to withdraw from SEC registration if I file an amendment to this registration indicating that I would be required by the laws of fewer than 15 states to register as an investment adviser with the *state securities authorities* of those states.

If you are submitting your *annual updating amendment*, you must make this representation:

☐ Within 90 days prior to the date of filing this amendment, I have reviewed the applicable state and federal laws and have concluded that I am required by the laws of at least 15 states to register as an investment adviser with the *state securities authorities* in those states.

SECTION 2.A.(11) Internet Adviser

If you are relying on rule 203A-2(e), the Internet adviser exemption from the prohibition on registration, you are required to make a representation about your eligibility for SEC registration. By checking the appropriate box, you will be deemed to have made the required representation.

If you are applying for registration as an investment adviser with the SEC or changing your existing Item 2 response regarding your eligibility for SEC registration, you must make this representation:

☐ I will provide investment advice on an ongoing basis to more than one client exclusively through an *operational interactive website*.

If you are filing an annual updating amendment to your existing registration and are continuing to rely on the Internet adviser exemption for SEC registration, you must make this representation:

☐ I have provided and will continue to provide investment advice on an ongoing basis to more than one client exclusively through an *operational interactive website*.

SECTION 2.A.(12) SEC Exemptive Order

If you are relying upon an SEC *order* exempting you from the prohibition on registration, provide the following information:

Application Number:

803-

Date of *order*:

Item 3 Form of Organization

If you are filing an *umbrella registration*, the information in Item 3 should be provided for the *filing adviser* only.

A. How are you organized?

☒ Corporation

☐ Sole Proprietorship

☐ Limited Liability Partnership (LLP)

☐ Partnership

☐ Limited Liability Company (LLC)

☐ Limited Partnership (LP)

☐ Other (specify):

If you are changing your response to this Item, see [Part 1A Instruction 4](#).

B. In what month does your fiscal year end each year?

OCTOBER

C. Under the laws of what state or country are you organized?

State	Country
Canada	

If you are a partnership, provide the name of the state or country under whose laws your partnership was formed. If you are a sole proprietor, provide the name of the state or country where you reside.

If you are changing your response to this Item, see [Part 1A Instruction 4](#).

If you are changing your response to this Item, see [Part 1A Instruction 4](#).

Item 4 Successions

Yes No

- A. Are you, at the time of this filing, succeeding to the business of a registered investment adviser, including, for example, a change of your structure or legal status (e.g., form of organization or state of incorporation)?

If "yes", complete Item 4.B. and Section 4 of Schedule D.

- B. Date of Succession: (MM/DD/YYYY)

If you have already reported this succession on a previous Form ADV filing, do not report the succession again. Instead, check "No." See [Part 1A Instruction 4](#).

SECTION 4 Successions

No Information Filed

Item 5 Information About Your Advisory Business - Employees, Clients, and Compensation

Responses to this Item help us understand your business, assist us in preparing for on-site examinations, and provide us with data we use when making regulatory policy. [Part 1A Instruction 5.a.](#) provides additional guidance to newly formed advisers for completing this Item 5.

Employees	
1	2
3	4
5	6
7	8
9	10
11	12
13	14
15	16
17	18
19	20
21	22
23	24
25	26
27	28
29	30
31	32
33	34
35	36
37	38
39	40
41	42
43	44
45	46
47	48
49	50
51	52
53	54
55	56
57	58
59	60
61	62
63	64
65	66
67	68
69	70
71	72
73	74
75	76
77	78
79	80
81	82
83	84
85	86
87	88
89	90
91	92
93	94
95	96
97	98
99	100

If you are organized as a sole proprietorship, include yourself as an employee in your responses to Item 5.A. and Items 5.B.(1), (2), (3), (4), and (5). If an employee performs more than one function, you should count that employee in each of your responses to Items 5.B.(1), (2), (3), (4), and (5).

- A. Approximately how many *employees* do you have? Include full- and part-time *employees* but do not include any clerical workers.
1455
- B. (1) Approximately how many of the *employees* reported in 5.A. perform investment advisory functions (including research)?
1455
- (2) Approximately how many of the *employees* reported in 5.A. are registered representatives of a broker-dealer?
1354
- (3) Approximately how many of the *employees* reported in 5.A. are registered with one or more *state securities authorities* as *investment adviser representatives*?
292
- (4) Approximately how many of the *employees* reported in 5.A. are registered with one or more *state securities authorities* as *investment adviser representatives* for an investment adviser other than you?
0
- (5) Approximately how many of the *employees* reported in 5.A. are licensed agents of an insurance company or agency?
1048
- (6) Approximately how many firms or other *persons* solicit advisory *clients* on your behalf?
4

In your response to Item 5.B.(6), do not count any of your employees and count a firm only once – do not count each of the firm's employees that solicit on your behalf.

Clients

In your responses to Items 5.C. and 5.D. do not include as "clients" the investors in a private fund you advise, unless you have a separate advisory relationship with those investors.

- C. (1) To approximately how many *clients* for whom you do not have regulatory assets under management did you provide investment advisory services during your most recently completed fiscal year?
- 0
- (2) Approximately what percentage of your *clients* are non-*United States persons*?
- 3%

D. For purposes of this Item 5.D., the category "individuals" includes trusts, estates, and 401(k) plans and IRAs of individuals and their family members, but does not include businesses organized as sole proprietorships.

The category "business development companies" consists of companies that have made an election pursuant to section 54 of the Investment Company Act of 1940. Unless you provide advisory services pursuant to an investment advisory contract to an investment company registered under the Investment Company Act of 1940, do not answer (1)(d) or (3)(d) below.

Indicate the approximate number of your *clients* and amount of your total regulatory assets under management (reported in Item 5.F. below) attributable to each of the following type of *client*. If you have fewer than 5 *clients* in a particular category (other than (d), (e), and (f)) you may check Item 5.D.(2) rather than respond to Item 5.D.(1).

The aggregate amount of regulatory assets under management reported in Item 5.D.(3) should equal the total amount of regulatory assets under management reported in Item 5.F.(2)(c) below.

If a *client* fits into more than one category, select one category that most accurately represents the *client* to avoid double counting *clients* and assets. If you advise a registered investment company, business development company, or pooled investment vehicle, report those assets in categories (d), (e), and (f) as applicable.

Type of <i>Client</i>	(1) Number of <i>Client(s)</i>	(2) Fewer than 5 <i>Clients</i>	(3) Amount of Regulatory Assets under Management
(a) Individuals (other than <i>high net worth individuals</i>)	4529	☐	\$ 1,626,314,753
(b) <i>High net worth individuals</i>	1244	☐	\$ 4,991,028,273
(c) Banking or thrift institutions		☐	\$
(d) Investment companies			\$
(e) Business development companies			\$
(f) Pooled investment vehicles (other than investment companies and business development companies)			\$
(g) Pension and profit sharing plans (but not the plan participants or government pension plans)		☐	\$
(h) Charitable organizations		☐	\$
(i) State or municipal <i>government entities</i> (including government pension plans)		☐	\$
(j) Other investment advisers		☐	\$
(k) Insurance companies		☐	\$
(l) Sovereign wealth funds and foreign official institutions		☐	\$
(m) Corporations or other businesses not listed above	194	☐	\$ 1,270,291,744
(n) Other:		☐	\$

Compensation Arrangements

E. You are compensated for your investment advisory services by (check all that apply):

- ☒ (1) A percentage of assets under your management
- ☐ (2) Hourly charges
- ☐ (3) Subscription fees (for a newsletter or periodical)
- ☐ (4) Fixed fees (other than subscription fees)
- ☐ (5) Commissions
- ☐ (6) *Performance-based fees*
- ☐ (7) Other (specify):

Item 5 Information About Your Advisory Business - Regulatory Assets Under Management

Regulatory Assets Under Management

		Yes	No
F. (1)	Do you provide continuous and regular supervisory or management services to securities portfolios?	☒	☐
(2)	If yes, what is the amount of your regulatory assets under management and total number of accounts?		
	U.S. Dollar Amount	Total Number of Accounts	
Discretionary:	(a) \$ 7,670,366,932	(d)	9,314
Non-Discretionary:	(b) \$ 217,267,838	(e)	31
Total:	(c) \$ 7,887,634,770	(f)	9,345

Part 1A Instruction 5.b. explains how to calculate your regulatory assets under management. You must follow these instructions carefully when completing this Item.

(3) What is the approximate amount of your total regulatory assets under management (reported in Item 5.F.(2)(c) above) attributable to *clients* who are non-*United States persons*?

\$ 861,450,685

Item 5 Information About Your Advisory Business - Advisory Activities

Advisory Activities

- G. What type(s) of advisory services do you provide? Check all that apply.
- ☐ (1) Financial planning services
- ☒ (2) Portfolio management for individuals and/or small businesses
- ☐ (3) Portfolio management for investment companies (as well as "business development companies" that have made an election pursuant to section 54 of the Investment Company Act of 1940)
- ☐ (4) Portfolio management for pooled investment vehicles (other than investment companies)
- ☐ (5) Portfolio management for businesses (other than small businesses) or institutional *clients* (other than registered investment companies and other pooled investment vehicles)
- ☐ (6) Pension consulting services
- ☒ (7) Selection of other advisers (including *private fund* managers)
- ☐ (8) Publication of periodicals or newsletters
- ☐ (9) Security ratings or pricing services
- ☐ (10) Market timing services
- ☐ (11) Educational seminars/workshops
- ☐ (12) Other(specify):

Do not check Item 5.G.(3) unless you provide advisory services pursuant to an investment advisory contract to an investment company registered under the Investment Company Act of 1940, including as a subadviser. If you check Item 5.G.(3), report the 811 or 814 number of the investment company or investment companies to which you provide advice in [Section 5.G.\(3\) of Schedule D](#).

- H. If you provide financial planning services, to how many *clients* did you provide these services during your last fiscal year?
- ☐ 0
- ☐ 1 - 10
- ☐ 11 - 25
- ☐ 26 - 50
- ☐ 51 - 100
- ☐ 101 - 250
- ☐ 251 - 500
- ☐ More than 500
- If more than 500, how many?
(round to the nearest 500)

In your responses to this Item 5.H., do not include as "clients" the investors in a private fund you advise, unless you have a separate advisory relationship with those investors.

- I.

(1) Do you participate in a *wrap fee program*?

Yes

No

☒

☐
- (2) If you participate in a *wrap fee program*, what is the amount of your regulatory assets under management attributable to acting as:

(a) *sponsor* to a *wrap fee program*

\$ 1,387,802,252

(b) portfolio manager for a *wrap fee program*?

\$ 0

(c) *sponsor* to and portfolio manager for the same *wrap fee program*?

\$ 5,750,606,545

If you report an amount in Item 5.I.(2)(c), do not report that amount in Item 5.I.(2)(a) or Item 5.I.(2)(b).

If you are a portfolio manager for a wrap fee program, list the names of the programs, their sponsors and related information in [Section 5.I.\(2\) of Schedule D](#).

If your involvement in a wrap fee program is limited to recommending wrap fee programs to your clients, or you advise a mutual fund that is offered through a wrap fee program, do not check Item 5.I.(1) or enter any amounts in response to Item 5.I.(2).

- J.

(1) In response to Item 4.B. of Part 2A of Form ADV, do you indicate that you provide investment advice only with respect to limited types of investments?

Yes

No

☐

☒
- (2) Do you report *client* assets in Item 4.E. of Part 2A that are computed using a different method than the method used to compute your regulatory assets under management?

Yes

No

☐

☒

- K. Separately Managed Account *Clients*
- (1) Do you have regulatory assets under management attributable to *clients* other than those listed in Item 5.D.(3)(d)-(f) (separately managed account *clients*)?

Yes

No

☒

☐
- If yes, complete [Section 5.K.\(1\) of Schedule D](#).*

(2) Do you engage in borrowing transactions on behalf of any of the separately managed account <i>clients</i> that you advise?	☐	☒
<i>If yes, complete Section 5.K.(2) of Schedule D.</i>		
(3) Do you engage in derivative transactions on behalf of any of the separately managed account <i>clients</i> that you advise?	☐	☒
<i>If yes, complete Section 5.K.(2) of Schedule D.</i>		
(4) After subtracting the amounts in Item 5.D.(3)(d)-(f) above from your total regulatory assets under management, does any custodian hold ten percent or more of this remaining amount of regulatory assets under management?	☒	☐
<i>If yes, complete Section 5.K.(3) of Schedule D for each custodian.</i>		
L. Marketing Activities		
	Yes	No
(1) Do any of your <i>advertisements</i> include:		
(a) Performance results?	☐	☒
(b) A reference to specific investment advice provided by you (as that phrase is used in rule 206(4)-1(a)(5))?	☐	☒
(c) <i>Testimonials</i> (other than those that satisfy rule 206(4)-1(b)(4)(ii))?	☐	☒
(d) <i>Endorsements</i> (other than those that satisfy rule 206(4)-1(b)(4)(ii))?	☐	☒
(e) <i>Third-party ratings</i> ?	☐	☒
(2) If you answer "yes" to L(1)(c), (d), or (e) above, do you pay or otherwise provide cash or non-cash compensation, directly or indirectly, in connection with the use of <i>testimonials</i> , <i>endorsements</i> , or <i>third-party ratings</i> ?	☐	☐
(3) Do any of your <i>advertisements</i> include <i>hypothetical performance</i> ?	☒	☐
(4) Do any of your <i>advertisements</i> include <i>predecessor performance</i> ?	☐	☒

SECTION 5.G.(3) Advisers to Registered Investment Companies and Business Development Companies

No Information Filed

SECTION 5.I.(2) Wrap Fee Programs

If you are a portfolio manager for one or more *wrap fee programs*, list the name of each program and its *sponsor*. You must complete a separate Schedule D Section 5.I.(2) for each *wrap fee program* for which you are a portfolio manager.

Name of *Wrap Fee Program*

ADVISOR PROGRAM

Name of *Sponsor*

RBC PRIVATE COUNSEL (USA) INC.

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):

801 - 55491

Sponsor's CRD Number (if any):

109648

Name of *Wrap Fee Program*

PRIVATE INVESTMENT MANAGEMENT

Name of *Sponsor*

RBC PRIVATE COUNSEL (USA) INC.

Sponsor's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-):

801 - 55491

Sponsor's CRD Number (if any):

109648

SECTION 5.K.(1) Separately Managed Accounts

After subtracting the amounts reported in Item 5.D.(3)(d)-(f) from your total regulatory assets under management, indicate the approximate percentage of this remaining amount attributable to each of the following categories of assets. If the remaining amount is at least \$10 billion in regulatory assets under management, complete Question (a). If the remaining amount is less than \$10 billion in regulatory assets under management, complete Question (b).

Any regulatory assets under management reported in Item 5.D.(3)(d), (e), and (f) should not be reported below.

If you are a subadviser to a separately managed account, you should only provide information with respect to the portion of the account that you subadvise.

End of year refers to the date used to calculate your regulatory assets under management for purposes of your *annual updating amendment* . Mid-year is the date six months before the end of year date. Each column should add up to 100% and numbers should be rounded to the nearest percent.

Investments in derivatives, registered investment companies, business development companies, and pooled investment vehicles should be reported in those categories. Do not report those investments based on related or underlying portfolio assets. Cash equivalents include bank deposits, certificates of deposit, bankers' acceptances and similar bank instruments.

Some assets could be classified into more than one category or require discretion about which category applies. You may use your own internal methodologies and the conventions of your service providers in determining how to categorize assets, so long as the methodologies or conventions are consistently applied and consistent with information you report internally and to current and prospective clients. However, you should not double count assets, and your responses must be consistent with any instructions or other guidance relating to this Section.

(a)	Asset Type	Mid-year	End of year
	(i) Exchange-Traded Equity Securities	%	%
	(ii) Non Exchange-Traded Equity Securities	%	%
	(iii) U.S. Government/Agency Bonds	%	%
	(iv) U.S. State and Local Bonds	%	%
	(v) Sovereign Bonds	%	%
	(vi) Investment Grade Corporate Bonds	%	%
	(vii) Non-Investment Grade Corporate Bonds	%	%
	(viii) Derivatives	%	%
	(ix) Securities Issued by Registered Investment Companies or Business Development Companies	%	%
	(x) Securities Issued by Pooled Investment Vehicles (other than Registered Investment Companies or Business Development Companies)	%	%
	(xi) Cash and Cash Equivalents	%	%
	(xii) Other	%	%

Generally describe any assets included in "Other"

(b)	Asset Type	End of year
	(i) Exchange-Traded Equity Securities	54 %
	(ii) Non Exchange-Traded Equity Securities	0 %
	(iii) U.S. Government/Agency Bonds	4 %
	(iv) U.S. State and Local Bonds	0 %
	(v) Sovereign Bonds	4 %
	(vi) Investment Grade Corporate Bonds	8 %
	(vii) Non-Investment Grade Corporate Bonds	0 %
	(viii) Derivatives	0 %
	(ix) Securities Issued by Registered Investment Companies or Business Development Companies	16 %
	(x) Securities Issued by Pooled Investment Vehicles (other than Registered Investment Companies or Business Development Companies)	0 %
	(xi) Cash and Cash Equivalents	12 %
	(xii) Other	2 %

Generally describe any assets included in "Other"

SECTION 5.K.(2) Separately Managed Accounts - Use of Borrowingsand Derivatives

☒ No information is required to be reported in this Section 5.K.(2) per the instructions of this Section 5.K.(2)

If your regulatory assets under management attributable to separately managed accounts are at least \$10 billion, you should complete Question (a). If your regulatory assets under management attributable to separately managed accounts are at least \$500 million but less than \$10 billion, you should complete Question (b).

(a) In the table below, provide the following information regarding the separately managed accounts you advise. If you are a subadviser to a separately managed account, you should only provide information with respect to the portion of the account that you subadvise. End of year refers to the date used to calculate your regulatory assets under management for purposes of your *annual updating amendment*. Mid-year is the date six months before the end of year date.

In column 1, indicate the regulatory assets under management attributable to separately managed accounts associated with each level of gross notional exposure. For purposes of this table, the gross notional exposure of an account is the percentage obtained by dividing (i) the sum of (a) the dollar amount of any *borrowings* and (b) the *gross notional value* of all derivatives, by (ii) the regulatory assets under management of the account.

In column 2, provide the dollar amount of *borrowings* for the accounts included in column 1.

In column 3, provide aggregate *gross notional value* of derivatives divided by the aggregate regulatory assets under management of the accounts included in column 1 with respect to each category of derivatives specified in 3(a) through (f).

You may, but are not required to, complete the table with respect to any separately managed account with regulatory assets under management of less than \$10,000,000.

Any regulatory assets under management reported in Item 5.D.(3)(d), (e), and (f) should not be reported below.

(i) Mid-Year

Gross Notional Exposure	(1) Regulatory Assets Under Management	(2) Borrowings	(3) Derivative Exposures					
			(a) Interest Rate Derivative	(b) Foreign Exchange Derivative	(c) Credit Derivative	(d) Equity Derivative	(e) Commodity Derivative	(f) Other Derivative
Less than 10 %	\$	\$	%	%	%	%	%	%
10 -149 %	\$	\$	%	%	%	%	%	%
150 % or more	\$	\$	%	%	%	%	%	%

Optional: Use the space below to provide a narrative description of the strategies and/or manner in which *borrowings* and derivatives are used in the management of the separately managed accounts that you advise.

(ii) End of Year

Gross Notional Exposure	(1) Regulatory Assets Under Management	(2) Borrowings	(3) Derivative Exposures					
			(a) Interest Rate Derivative	(b) Foreign Exchange Derivative	(c) Credit Derivative	(d) Equity Derivative	(e) Commodity Derivative	(f) Other Derivative
Less than 10 %	\$	\$	%	%	%	%	%	%
10 -149 %	\$	\$	%	%	%	%	%	%
150 % or more	\$	\$	%	%	%	%	%	%

Optional: Use the space below to provide a narrative description of the strategies and/or manner in which *borrowings* and derivatives are used in the management of the separately managed accounts that you advise.

(b) In the table below, provide the following information regarding the separately managed accounts you advise as of the date used to calculate your regulatory assets under management for purposes of your *annual updating amendment*. If you are a subadviser to a separately managed account, you should only provide information with respect to the portion of the account that you subadvise.

In column 1, indicate the regulatory assets under management attributable to separately managed accounts associated with each level of gross notional exposure. For purposes of this table, the gross notional exposure of an account is the percentage obtained by dividing (i) the sum of (a) the dollar amount of any *borrowings* and (b) the *gross notional value* of all derivatives, by (ii) the regulatory assets under management of the account.

In column 2, provide the dollar amount of *borrowings* for the accounts included in column 1.

You may, but are not required to, complete the table with respect to any separately managed accounts with regulatory assets under management of less than \$10,000,000.

Any regulatory assets under management reported in Item 5.D.(3)(d), (e), and (f) should not be reported below.

Gross Notional Exposure	(1) Regulatory Assets Under Management	(2) Borrowings
Less than 10 %	\$	\$
10-149 %	\$	\$
150 % or more	\$	\$

Optional: Use the space below to provide a narrative description of the strategies and/or manner in which *borrowings* and derivatives are used in the management of the separately managed accounts that you advise.

SECTION 5.K.(3) Custodians for Separately Managed Accounts

Complete a separate Schedule D Section 5.K.(3) for each custodian that holds ten percent or more of your aggregate separately managed account regulatory assets under management.

(a)

Legal name of custodian:
RBC DOMINION SECURITIES INC.

(b)

Primary business name of custodian:
RBC DOMINION SECURITIES INC.

(c)

The location(s) of the custodian's office(s) responsible for *custody* of the assets :

City:
TORONTO, ONTARIO

State:

Country:
Canada

Yes

No

(d)

Is the custodian a *related person* of your firm?

Yes

No

(e)

If the custodian is a broker-dealer, provide its SEC registration number (if any)
-

(f)

If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its *legal entity identifier* (if any)
549300QJJX6CVVUXLE15

(g)

What amount of your regulatory assets under management attributable to separately managed accounts is held at the custodian?
\$ 7,121,670,514

(a)

Legal name of custodian:
THE ROYAL TRUST COMPANY

(b)

Primary business name of custodian:
ROYAL TRUST

(c)

The location(s) of the custodian's office(s) responsible for *custody* of the assets :

City:
TORONTO, ONTARIO

State:

Country:
Canada

Yes

No

(d)

Is the custodian a *related person* of your firm?

Yes

No

(e)

If the custodian is a broker-dealer, provide its SEC registration number (if any)
-

(f)

If the custodian is not a broker-dealer, or is a broker-dealer but does not have an SEC registration number, provide its *legal entity identifier* (if any)

(g)

What amount of your regulatory assets under management attributable to separately managed accounts is held at the custodian?
\$ 728,868,362

Item 6 Other Business Activities

In this Item, we request information about your firm's other business activities.

A. You are actively engaged in business as a (check all that apply):

- ☐ (1) broker-dealer (registered or unregistered)
 - ☐ (2) registered representative of a broker-dealer
 - ☐ (3) commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
 - ☐ (4) futures commission merchant
 - ☐ (5) real estate broker, dealer, or agent
 - ☐ (6) insurance broker or agent
 - ☐ (7) bank (including a separately identifiable department or division of a bank)
 - ☐ (8) trust company
 - ☐ (9) registered municipal advisor
 - ☐ (10) registered security-based swap dealer
 - ☐ (11) major security-based swap participant
 - ☐ (12) accountant or accounting firm
 - ☐ (13) lawyer or law firm
 - ☐ (14) other financial product salesperson (specify):

If you engage in other business using a name that is different from the names reported in Items 1.A. or 1.B.(1), complete **Section 6.A. of Schedule D.**

- | | | Yes | No |
|----|---|-----------------------|----------------------------------|
| B. | (1) Are you actively engaged in any other business not listed in Item 6.A. (other than giving investment advice)? | ☐ | ☒ |
| | (2) If yes, is this other business your primary business? | ☐ | ☐ |

If "yes," describe this other business on Section 6.B.(2) of Schedule D, and if you engage in this business under a different name, provide that name.

- | | Yes | No |
|---|-----------------------|----------------------------------|
| (3) Do you sell products or provide services other than investment advice to your advisory <i>clients</i> ? | ☐ | ☒ |

If "yes," describe this other business on Section 6.B.(3) of Schedule D, and if you engage in this business under a different name, provide that name.

SECTION 6.A. Names of Your Other Businesses

No Information Filed

SECTION 6.B.(2) Description of Primary Business

Describe your primary business (not your investment advisory business):

If you engage in that business under a different name, provide that name:

SECTION 6.B.(3) Description of Other Products and Services

Describe other products or services you sell to your *client*. You may omit products and services that you listed in Section 6.B.(2) above.

If you engage in that business under a different name, provide that name:

Item 7 Financial Industry Affiliations

In this Item, we request information about your financial industry affiliations and activities. This information identifies areas in which conflicts of interest may occur between you and your *clients*.

- A. This part of Item 7 requires you to provide information about you and your *related persons*, including foreign affiliates. Your *related persons* are all of your *advisory affiliates* and any *person* that is under common *control* with you.

You have a *related person* that is a (check all that apply):

- ☒ (1) broker-dealer, municipal securities dealer, or government securities broker or dealer (registered or unregistered)
 - ☒ (2) other investment adviser (including financial planners)
 - ☒ (3) registered municipal advisor
 - ☒ (4) registered security-based swap dealer
 - ☐ (5) major security-based swap participant
 - ☒ (6) commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
 - ☒ (7) futures commission merchant
 - ☒ (8) banking or thrift institution
 - ☒ (9) trust company
 - ☐ (10) accountant or accounting firm
 - ☐ (11) lawyer or law firm
 - ☒ (12) insurance company or agency
 - ☒ (13) pension consultant
 - ☐ (14) real estate broker or dealer
 - ☒ (15) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles
 - ☒ (16) sponsor, general partner, managing member (or equivalent) of pooled investment vehicles

Note that Item 7.A. should not be used to disclose that some of your employees perform investment advisory functions or are registered representatives of a broker-dealer. The number of your firm's employees who perform investment advisory functions should be disclosed under Item 5.B.(1). The number of your firm's employees who are registered representatives of a broker-dealer should be disclosed under Item 5.B.(2).

Note that if you are filing an umbrella registration, you should not check Item 7.A.(2) with respect to your relying advisers, and you do not have to complete Section 7.A. in Schedule D for your relying advisers. You should complete a Schedule R for each relying adviser.

For each related person, including foreign affiliates that may not be registered or required to be registered in the United States, complete [Section 7.A. of Schedule D](#).

You do not need to complete Section 7.A. of Schedule D for any related person if: (1) you have no business dealings with the related person in connection with advisory services you provide to your clients; (2) you do not conduct shared operations with the related person; (3) you do not refer clients or business to the related person, and the related person does not refer prospective clients or business to you; (4) you do not share supervised persons or premises with the related person; and (5) you have no reason to believe that your relationship with the related person otherwise creates a conflict of interest with your clients.

You must complete [Section 7.A. of Schedule D](#) for each related person acting as qualified custodian in connection with advisory services you provide to your clients (other than any mutual fund transfer agent pursuant to rule 206(4)-2(b)(1)), regardless of whether you have determined the related person to be operationally independent under rule 206(4)-2 of the Advisers Act.

SECTION 7.A. Financial Industry Affiliations

Complete a separate Schedule D Section 7.A. for each *related person* listed in Item 7.A.

1. Legal Name of *Related Person*:
PHILLIPS, HAGER & NORTH INVESTMENT FUNDS LTD.

2. Primary Business Name of *Related Person*:
PHILLIPS, HAGER & NORTH INVESTMENT FUNDS LTD.

3. *Related Person's* SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)
-
or
Other

4. *Related Person's*
(a) CRD Number (if any):

(b) CIK Number(s) (if any):

No Information Filed

5. *Related Person* is: (check all that apply)
(a) ☒ broker-dealer, municipal securities dealer, or government securities broker or dealer
(b) ☐ other investment adviser (including financial planners)
(c) ☐ registered municipal advisor
(d) ☐ registered security-based swap dealer
(e) ☐ major security-based swap participant
(f) ☐ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
(g) ☐ futures commission merchant
(h) ☐ banking or thrift institution
(i) ☐ trust company
(j) ☐ accountant or accounting firm
(k) ☐ lawyer or law firm
(l) ☐ insurance company or agency
(m) ☐ pension consultant
(n) ☐ real estate broker or dealer
(o) ☐ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles
(p) ☐ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles

Yes

No

6. Do you *control* or are you *controlled* by the *related person*?

7. Are you and the *related person* under common *control*?

8. (a) Does the *related person* act as a qualified custodian for your *clients* in connection with advisory services you provide to *clients*?
(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the *related person* and thus are not required to obtain a surprise examination for your *clients'* funds or securities that are maintained at the *related person*?
(c) If you have answered "yes" to question 8.(a) above, provide the location of the *related person's* office responsible for *custody* of your *clients'* assets:
Number and Street 1:
Number and Street 2:

City:

State:

Country:

ZIP+4/Postal Code:

If this address is a private residence, check this box: ☐

YesNo

9.

(a)

If the *related person* is an investment adviser, is it exempt from registration?

(b)

If the answer is yes, under what exemption?

10.

(a)

Is the *related person* registered with a *foreign financial regulatory authority* ?

(b)

If the answer is yes, list the name and country, in English of each *foreign financial regulatory authority* with which the *related person* is registered.

Name of Country/English Name of Foreign Financial Regulatory Authority

Canada - Alberta Securities Commission

Canada - British Columbia Securities Commission

Canada - Manitoba Securities Commission

Canada - New Brunswick Securities Commission

Canada - Newfoundland and Labrador, Financial Services Regulation Division

Canada - Northwest Territories, Office of the Registrar of Securities

Canada - Nova Scotia Securities Commission

Canada - Nunavut, Registrar of Securities

Canada - Ontario Securities Commission

Canada - Prince Edward Island, Securities Office

Canada - Quebec, Financial Markets Authority

Canada - Saskatchewan Financial Services Commission

Canada - Yukon Territories, Registrar of Securities

Other - CANADIAN INVESTMENT REGULATORY ORGANIZATION

11.

Do you and the *related person* share any *supervised persons*?

12.

Do you and the *related person* share the same physical location?

1.

Legal Name of *Related Person*:

RBC WEALTH MANAGEMENT FINANCIAL SERVICES INC.

2.

Primary Business Name of *Related Person*:

RBC WEALTH MANAGEMENT FINANCIAL SERVICES INC.

3.

Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)

-

or

Other

4.

Related Person's

(a)

CRD Number (if any):

(b)

CIK Number(s) (if any):

No Information Filed

5.

Related Person is: (check all that apply)

(a)

☐

broker-dealer, municipal securities dealer, or government securities broker or dealer

(b)

☐

other investment adviser (including financial planners)

(c)

☐

registered municipal advisor

(d)

☐

registered security-based swap dealer

(e)

☐

major security-based swap participant

(f)

☐

commodity pool operator or commodity trading advisor (whether registered or exempt from registration)

(g)

☐

futures commission merchant

(h)

☐

banking or thrift institution

(i)

☐

trust company

(j)

☐

accountant or accounting firm

(k)

☐

lawyer or law firm

(l)

☒

insurance company or agency

(m)

☐

pension consultant

(n)

☐

real estate broker or dealer

(o)

☐

sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles

(p)

☐

sponsor, general partner, managing member (or equivalent) of pooled investment vehicles

YesNo

- (i) ☒ trust company

(j) ☐ accountant or accounting firm

(k) ☐ lawyer or law firm

(l) ☐ insurance company or agency

(m) ☐ pension consultant

(n) ☐ real estate broker or dealer

(o) ☐ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles

(p) ☐ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles

6. Do you control or are you controlled by the related person?

Yes

No

7. Are you and the related person under common control?

Yes

No

8. (a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?

Yes

No

(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are maintained at the related person?

Yes

No

(c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:

Number and Street 1:155 WELLINGTON STREET WEST, 17TH FLOORCity:TORONTO, ONTARIO

Number and Street 2:RBC CENTRE

State:Country:CanadaZIP+4/Postal Code:M5V 3K7

If this address is a private residence, check this box: ☐

9. (a) If the related person is an investment adviser, is it exempt from registration?

Yes

No

(b) If the answer is yes, under what exemption?

Yes

No

10. (a) Is the related person registered with a foreign financial regulatory authority ?

Yes

No

(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.

Name of Country / English Name of Foreign Financial Regulatory Authority
Canada - Quebec, Financial Markets Authority
Other - CANADA - ALBERTA SUPERINTENDENT OF FINANCIAL INSTITUTIONS
Other - CANADA - BRITISH COLUMBIA FINAICAL INSTITUTIONS COMMISSION
Other - CANADA - CANADA DEPOSIT INSURANCE CORPORATION
Other - CANADA - FINANCIAL SERVICES COMMISSION OF ONTARIO
Other - CANADA - MANITOBA FINANCE
Other - CANADA - NEW BRUNSWICK DEPARTMENT OF JUSTICE, CONSUMER AFFAIRS BRANCH
Other - CANADA - NOVA SCOTIA MINISTER OF FINANCE, FINANCIAL INSTITUTIONS DIVISION
Other - CANADA - SASKATCHEWAN FINANCIAL SERVICES COMMISSION
Other - OFFICE OF THE SUPERINTENDENT OF FINANCIAL INSTITUTIONS, CANADA
Other - OTHER - CANADA - PRINCE EDWARD ISLAND DEPT. OF JUSTICE AND PUBLIC SAFETY

11. Do you and the related person share any supervised persons?

Yes

No

12. Do you and the related person share the same physical location?

Yes

No

1. Legal Name of Related Person:

RBC SECURITIES, INC.

2. Primary Business Name of Related Person:

RBC SECURITIES, INC.

3. Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)

801 - 71181

or

Other

4. Related Person's

(a) CRD Number (if any):

103705

(b) CIK Number(s) (if any):

No Information Filed

5. Related Person is: (check all that apply)

(a) ☒ broker-dealer, municipal securities dealer, or government securities broker or dealer

(b) ☒ other investment adviser (including financial planners)

(c) ☐ registered municipal advisor

(d) ☐ registered security-based swap dealer

(e) ☐ major security-based swap participant

(f) ☐ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)

(g) ☐ futures commission merchant

(h) ☐ banking or thrift institution

(i) ☐ trust company

(j) ☐ accountant or accounting firm

(k) ☐ lawyer or law firm

(l) ☐ insurance company or agency

(m) ☐ pension consultant

(n) ☐ real estate broker or dealer

(o) ☐ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles

(p) ☐ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles

Yes

No

6. Do you control or are you controlled by the related person?

7. Are you and the related person under common control?

8. (a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?

(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are maintained at the related person?

(c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:

Number and Street 1:555 SOUTH FLOWER STREET

City:LOS ANGELES

State:California

Country:United States

ZIP+4/Postal Code:90071

Number and Street 2:

If this address is a private residence, check this box: ☐

Yes

No

9. (a) If the related person is an investment adviser, is it exempt from registration?

(b) If the answer is yes, under what exemption?

10. (a) Is the related person registered with a foreign financial regulatory authority ?

(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.

No Information Filed

11. Do you and the related person share any supervised persons?

12. Do you and the related person share the same physical location?

1. Legal Name of Related Person:

RBC PHILLIPS, HAGER & NORTH INVESTMENT COUNSEL INC.

2. Primary Business Name of Related Person:

RBC PHILLIPS, HAGER & NORTH INVESTMENT COUNSEL INC.

3. Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)

-

or

Other

4. Related Person's

(a) CRD Number (if any):

(b) CIK Number(s) (if any):

No Information Filed

5. Related Person is: (check all that apply)

(a) ☐ broker-dealer, municipal securities dealer, or government securities broker or dealer

(b) ☒ other investment adviser (including financial planners)

(c) ☐ registered municipal advisor

6. Do you *control* or are you *controlled* by the *related person*? Yes ☐ No ☒

7. Are you and the *related person* under common *control*? Yes ☒ No ☐

8. (a) Does the *related person* act as a qualified custodian for your *clients* in connection with advisory services you provide to *clients*? Yes ☐ No ☒

(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the *related person* and thus are not required to obtain a surprise examination for your *clients'* funds or securities that are maintained at the *related person*? Yes ☐ No ☐

(c) If you have answered "yes" to question 8.(a) above, provide the location of the *related person's* office responsible for *custody* of your *clients'* assets

Number and Street 1: _____ Number and Street 2: _____

City: _____ State: _____ Country: _____ ZIP+4/Postal Code: _____

If this address is a private residence, check this box: ☐

10. (a) Is the *related person* registered with a *foreign financial regulatory authority* ? ⓪ ○
- (b) If the answer is yes, list the name and country, in English of each *foreign financial regulatory authority* with which the *related person* is registered.

Name of Country/English Name of Foreign Financial Regulatory Authority
Canada - Alberta Securities Commission
Canada - British Columbia Securities Commission
Canada - Manitoba Securities Commission
Canada - New Brunswick Securities Commission
Canada - Newfoundland and Labrador, Financial Services Regulation Division
Canada - Northwest Territories, Office of the Registrar of Securities
Canada - Nova Scotia Securities Commission
Canada - Nunavut, Registrar of Securities
Canada - Ontario Securities Commission
Canada - Prince Edward Island, Securities Office
Canada - Quebec, Financial Markets Authority
Canada - Saskatchewan Financial Services Commission
Canada - Yukon Territories, Registrar of Securities

11. Do you and the *related person* share any *supervised persons*? ☒ ☐
12. Do you and the *related person* share the same physical location? ☒ ☐

1. Legal Name of *Related Person*:
RBC GLOBAL ASSET MANAGEMENT (U.S.) INC.
2. Primary Business Name of *Related Person*:
RBC GLOBAL ASSET MANAGEMENT (U.S.) INC.
3. *Related Person's* SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)
801 - 20303
or
Other
4. *Related Person's*
(a) CRD Number (if any):

(b) CIK Number(s) (if any):

No Information Filed

5. *Related Person* is: (check all that apply)

- (a) ☐ broker-dealer, municipal securities dealer, or government securities broker or dealer
- (b) ☒ other investment adviser (including financial planners)
- (c) ☐ registered municipal advisor
- (d) ☐ registered security-based swap dealer
- (e) ☐ major security-based swap participant
- (f) ☒ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
- (g) ☐ futures commission merchant
- (h) ☐ banking or thrift institution
- (i) ☐ trust company
- (j) ☐ accountant or accounting firm
- (k) ☐ lawyer or law firm
- (l) ☐ insurance company or agency
- (m) ☐ pension consultant
- (n) ☐ real estate broker or dealer
- (o) ☐ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles
- (p) ☐ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles

Yes No

6. Do you *control* or are you *controlled* by the *related person*?

☐ ☒

7. Are you and the *related person* under common *control*?

☒ ☐

8. (a) Does the *related person* act as a qualified custodian for your *clients* in connection with advisory services you provide to *clients*?

☐ ☒

(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the *related person* and thus are not required to obtain a surprise examination for your *clients'* funds or securities that are maintained at the *related person*?

☐ ☐

(c) If you have answered "yes" to question 8.(a) above, provide the location of the *related person's* office responsible for *custody* of your *clients'* assets:

Number and Street 1:

Number and Street 2:

City:

State:

Country:

ZIP+4/Postal Code:

If this address is a private residence, check this box: ☐

Yes No

9. (a) If the *related person* is an investment adviser, is it exempt from registration?

☐ ☒

(b) If the answer is yes, under what exemption?

10. (a) Is the *related person* registered with a *foreign financial regulatory authority* ?

☐ ☒

(b) If the answer is yes, list the name and country, in English of each *foreign financial regulatory authority* with which the *related person* is registered.

No Information Filed

11. Do you and the *related person* share any *supervised persons*?

☐ ☒

12. Do you and the *related person* share the same physical location?

☐ ☒

1. Legal Name of *Related Person*:

ROYAL BANK OF CANADA

2. Primary Business Name of *Related Person*:

ROYAL BANK OF CANADA

3. *Related Person's* SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)

-

or

Other

4. *Related Person's*

(a) CRD Number (if any):

(b) CIK Number(s) (if any):

CIK Number

1000275

5. Related Person is: (check all that apply)

(a)

☐

broker-dealer, municipal securities dealer, or government securities broker or dealer

(b)

☐

other investment adviser (including financial planners)

(c)

☐

registered municipal advisor

(d)

☒

registered security-based swap dealer

(e)

☐

major security-based swap participant

(f)

☐

commodity pool operator or commodity trading advisor (whether registered or exempt from registration)

(g)

☐

futures commission merchant

(h)

☒

banking or thrift institution

(i)

☐

trust company

(j)

☐

accountant or accounting firm

(k)

☐

lawyer or law firm

(l)

☐

insurance company or agency

(m)

☐

pension consultant

(n)

☐

real estate broker or dealer

(o)

☐

sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles

(p)

☐

sponsor, general partner, managing member (or equivalent) of pooled investment vehicles

Yes

No

6. Do you control or are you controlled by the related person?

☒

☐

7. Are you and the related person under common control?

☒

☐

8. (a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?

☐

☒

(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are maintained at the related person?

☐

☐

(c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:

Number and Street 1:

Number and Street 2:

City:

State:

Country:

ZIP+4/Postal Code:

If this address is a private residence, check this box: ☐

Yes

No

9. (a) If the related person is an investment adviser, is it exempt from registration?

☐

☐

(b) If the answer is yes, under what exemption?

☐

☐

10. (a) Is the related person registered with a foreign financial regulatory authority ?

☒

☐

(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.

Name of Country/English Name of Foreign Financial Regulatory Authority

Other - OFFICE OF THE SUPERINTENDENT OF FINANCIAL INSTITUTIONS, CANADA

11. Do you and the related person share any supervised persons?

☒

☐

12. Do you and the related person share the same physical location?

☒

☐

1. Legal Name of Related Person:

ROYAL TRUST CORPORATION OF CANADA

2. Primary Business Name of Related Person:

ROYAL TRUST

3. Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)

-

or

Other

4. Related Person's

(a) CRD Number (if any):

(b) CIK Number(s) (if any):

No Information Filed

5. Related Person is: (check all that apply)

(a)

☐

broker-dealer, municipal securities dealer, or government securities broker or dealer

(b)

☐

other investment adviser (including financial planners)

(c)

☐

registered municipal advisor

(d)

☐

registered security-based swap dealer

- (e) ☐ major security-based swap participant
- (f) ☐ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
- (g) ☐ futures commission merchant
- (h) ☐ banking or thrift institution
- (i) ☒ trust company
- (j) ☐ accountant or accounting firm
- (k) ☐ lawyer or law firm
- (l) ☐ insurance company or agency
- (m) ☐ pension consultant
- (n) ☐ real estate broker or dealer
- (o) ☐ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles
- (p) ☐ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles

Yes No

6. Do you *control* or are you *controlled* by the *related person*?

7. Are you and the *related person* under common control?



8. (a) Does the *related person* act as a qualified custodian for your *clients* in connection with advisory services you provide to *clients*?



(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the *related person* and thus are not required to obtain a surprise examination for your *clients'* funds or securities that are maintained at the *related person*?

(c) If you have answered "yes" to question 8.(a) above, provide the location of the *related person's* office responsible for *custody* of your *clients'* assets:

Number and Street 1:

155 WELLINGTON STREET WEST, 17TH FLOOR

City:

TORONTO, ONTARIO

If this address is a private residence, check this box: ☐

Number and Street 2:

RBC CENTRE

Country:

Canada

ZIP+4/Postal Code:

M5V 3K7

Yes No

9. (a) If the *related person* is an investment adviser, is it exempt from registration?

(b) If the answer is yes, under what exemption?

10. (a) Is the *related person* registered with a *foreign financial regulatory authority* ?

(b) If the answer is yes, list the name and country, in English of each *foreign financial regulatory authority* with which the *related person* is registered.

Name of Country/English Name of Foreign Financial Regulatory Authority
Other - CANADA - ALBERTA SUPERINTENDENT OF FINANCIAL INSTITUTIONS
Other - CANADA - BRITISH COLUMBIA FINAICAL INSTITUTIONS COMMISSION
Other - CANADA - CANADA DEPOSIT INSURANCE CORPORATION
Other - CANADA - FINANCIAL SERVICES COMMISSION OF ONTARIO
Other - CANADA - MANITOBA FINANCE
Other - CANADA - NEW BRUNSWICK DEPARTMENT OF JUSTICE, CONSUMER AFFAIRS BRANCH
Other - CANADA - NOVA SCOTIA MINISTER OF FINANCE, FINANCIAL INSTITUTIONS DIVISION
Other - CANADA - NOVA SCOTIA MINISTER OF FINANCE, NOVA SCOTIA & MUNICIPAL RELATIONS
Other - CANADA - PRINCE EDWARD ISLAND DEPT. OF JUSTICE AND PUBLIC SAFETY
Other - CANADA - SASKATCHEWAN FINANCIAL SERVICES COMMISSION
Other - OFFICE OF THE SUPERINTENDENT OF FINANCIAL INSTITUTIONS, CANADA

11. Do you and the *related person* share any *supervised persons*?

12. Do you and the *related person* share the same physical location?



1. Legal Name of *Related Person*:
RBC DOMINION SECURITIES INC.

2. Primary Business Name of *Related Person*:
RBC DOMINION SECURITIES INC.

3. *Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)*

—

or

Other

4. *Related Person's*

(a) *CRD* Number (if any):

(b)CIK Number(s) (if any):

No Information Filed

5. Related Person is: (check all that apply)

(a)☒broker-dealer, municipal securities dealer, or government securities broker or dealer

(b)☐other investment adviser (including financial planners)

(c)☐registered municipal advisor

(d)☐registered security-based swap dealer

(e)☐major security-based swap participant

(f)☐commodity pool operator or commodity trading advisor (whether registered or exempt from registration)

(g)☒futures commission merchant

(h)☐banking or thrift institution

(i)☐trust company

(j)☐accountant or accounting firm

(k)☐lawyer or law firm

(l)☐insurance company or agency

(m)☐pension consultant

(n)☐real estate broker or dealer

(o)☐sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles

(p)☐sponsor, general partner, managing member (or equivalent) of pooled investment vehicles

6. Do you control or are you controlled by the related person?

Yes

No

7. Are you and the related person under common control?

Yes

No

8. (a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?

Yes

No

(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are maintained at the related person?

Yes

No

(c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:

Number and Street 1:155 WELLINGTON STREET WEST, 17TH FLOORCity:TORONTO, ONTARIOState:Country:CanadaZIP+4/Postal Code:M5V3K7

Number and Street 2:RBC CENTRECountry:CanadaZIP+4/Postal Code:M5V3K7

If this address is a private residence, check this box: ☐

9. (a) If the related person is an investment adviser, is it exempt from registration?

Yes

No

(b) If the answer is yes, under what exemption?

Yes

No

10. (a) Is the related person registered with a foreign financial regulatory authority ?

Yes

No

(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.

Name of Country/English Name of Foreign Financial Regulatory Authority
Canada - Alberta Securities Commission
Canada - British Columbia Securities Commission
Canada - Manitoba Securities Commission
Canada - New Brunswick Securities Commission
Canada - Newfoundland and Labrador, Financial Services Regulation Division
Canada - Northwest Territories, Office of the Registrar of Securities
Canada - Nova Scotia Securities Commission
Canada - Nunavut, Registrar of Securities
Canada - Ontario Securities Commission
Canada - Prince Edward Island, Securities Office
Canada - Quebec, Financial Markets Authority
Canada - Saskatchewan Financial Services Commission
Canada - Yukon Territories, Registrar of Securities
Other - CANADIAN INVESTMENT REGULATORY ORGANIZATION

11. Do you and the related person share any supervised persons?

Yes

No

12. Do you and the related person share the same physical location?

Yes

No

1. Legal Name of Related Person:
RBC GLOBAL ASSET MANAGEMENT (UK) LIMITED

2. Primary Business Name of *Related Person*:
RBC GLOBAL ASSET MANAGEMENT (UK) LIMITED

3. *Related Person's* SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)
801 - 78436
or
Other

4. *Related Person's*
(a) *CRD* Number (if any):
168551
(b) CIK Number(s) (if any):

No Information Filed

5. *Related Person* is: (check all that apply)
(a) ☐ broker-dealer, municipal securities dealer, or government securities broker or dealer
(b) ☒ other investment adviser (including financial planners)
(c) ☐ registered municipal advisor
(d) ☐ registered security-based swap dealer
(e) ☐ major security-based swap participant
(f) ☐ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
(g) ☐ futures commission merchant
(h) ☐ banking or thrift institution
(i) ☐ trust company
(j) ☐ accountant or accounting firm
(k) ☐ lawyer or law firm
(l) ☐ insurance company or agency
(m) ☐ pension consultant
(n) ☐ real estate broker or dealer
(o) ☐ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles
(p) ☐ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles

6. Do you *control* or are you *controlled* by the *related person*?

7. Are you and the *related person* under common *control*?

8. (a) Does the *related person* act as a qualified custodian for your *clients* in connection with advisory services you provide to *clients*?
(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the *related person* and thus are not required to obtain a surprise examination for your *clients'* funds or securities that are maintained at the *related person*?
(c) If you have answered "yes" to question 8.(a) above, provide the location of the *related person's* office responsible for *custody* of your *clients'* assets:
Number and Street 1: Number and Street 2:
City: State: Country: ZIP+4/Postal Code:
If this address is a private residence, check this box: ☐

9. (a) If the *related person* is an investment adviser, is it exempt from registration?
(b) If the answer is yes, under what exemption?

10. (a) Is the *related person* registered with a *foreign financial regulatory authority* ?
(b) If the answer is yes, list the name and country, in English of each *foreign financial regulatory authority* with which the *related person* is registered.

Name of Country/English Name of Foreign Financial Regulatory Authority
United Kingdom - Financial Conduct Authority

11. Do you and the *related person* share any *supervised persons*?

12. Do you and the *related person* share the same physical location?

1. Legal Name of *Related Person*:
RBC DOMINION SECURITIES GLOBAL LIMITED

2. Primary Business Name of *Related Person*:
RBC DOMINION SECURITIES GLOBAL LIMITED

3. *Related Person's* SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)

-
or
Other

4. Related Person's

(a) CRD Number (if any):

(b) CIK Number(s) (if any):

No Information Filed

5. Related Person is: (check all that apply)

(a) ☒ broker-dealer, municipal securities dealer, or government securities broker or dealer
(b) ☒ other investment adviser (including financial planners)
(c) ☐ registered municipal advisor
(d) ☐ registered security-based swap dealer
(e) ☐ major security-based swap participant
(f) ☐ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
(g) ☐ futures commission merchant
(h) ☐ banking or thrift institution
(i) ☐ trust company
(j) ☐ accountant or accounting firm
(k) ☐ lawyer or law firm
(l) ☐ insurance company or agency
(m) ☐ pension consultant
(n) ☐ real estate broker or dealer
(o) ☐ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles
(p) ☐ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles

6. Do you control or are you controlled by the related person?

Yes No

7. Are you and the related person under common control?

Yes No

8. (a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?

Yes No

(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are maintained at the related person?

Yes No

(c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:

Number and Street 1: Number and Street 2:
City: State: Country: ZIP+4/Postal Code:
If this address is a private residence, check this box: ☐

Yes No

9. (a) If the related person is an investment adviser, is it exempt from registration?

Yes No

(b) If the answer is yes, under what exemption?

10. (a) Is the related person registered with a foreign financial regulatory authority ?

Yes No

(b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.

Name of Country/English Name of Foreign Financial Regulatory Authority
Bahamas - Securities Commission of the Bahamas
Cayman Islands - Cayman Islands Monetary Authority
Other - BARBADOS FINANCIAL SERVICES COMMISSION

11. Do you and the related person share any supervised persons?

Yes No

12. Do you and the related person share the same physical location?

Yes No

1. Legal Name of Related Person:
RBC GLOBAL ASSET MANAGEMENT INC.

2. Primary Business Name of Related Person:
RBC GLOBAL ASSET MANAGEMENT INC.

3. Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)
-
or

Other

4. Related Person's

- (a) CRD Number (if any):
- (b) CIK Number(s) (if any):

No Information Filed

5. Related Person is: (check all that apply)

- (a) ☐ broker-dealer, municipal securities dealer, or government securities broker or dealer
- (b) ☒ other investment adviser (including financial planners)
- (c) ☐ registered municipal advisor
- (d) ☐ registered security-based swap dealer
- (e) ☐ major security-based swap participant
- (f) ☒ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
- (g) ☐ futures commission merchant
- (h) ☐ banking or thrift institution
- (i) ☐ trust company
- (j) ☐ accountant or accounting firm
- (k) ☐ lawyer or law firm
- (l) ☐ insurance company or agency
- (m) ☐ pension consultant
- (n) ☐ real estate broker or dealer
- (o) ☐ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles
- (p) ☐ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles

Yes No

6. Do you control or are you controlled by the related person?

☐ ☒

7. Are you and the related person under common control?

☒ ☐

8. (a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?

☐ ☒

- (b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are maintained at the related person?

☐ ☐

- (c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:

Number and Street 1:

Number and Street 2:

City:

State:

Country:

ZIP+4/Postal Code:

If this address is a private residence, check this box: ☐

Yes No

9. (a) If the related person is an investment adviser, is it exempt from registration?

☐ ☒

- (b) If the answer is yes, under what exemption?

10. (a) Is the related person registered with a foreign financial regulatory authority ?

☒ ☐

- (b) If the answer is yes, list the name and country, in English of each foreign financial regulatory authority with which the related person is registered.

Name of Country/English Name of Foreign Financial Regulatory Authority

Canada - Alberta Securities Commission

Canada - British Columbia Securities Commission

Canada - Manitoba Securities Commission

Canada - New Brunswick Securities Commission

Canada - Newfoundland and Labrador, Financial Services Regulation Division

Canada - Northwest Territories, Office of the Registrar of Securities

Canada - Nova Scotia Securities Commission

Canada - Nunavut, Registrar of Securities

Canada - Ontario Securities Commission

Canada - Prince Edward Island, Securities Office

Canada - Quebec, Financial Markets Authority

Canada - Saskatchewan Financial Services Commission

Canada - Yukon Territories, Registrar of Securities

11. Do you and the related person share any supervised persons?

☐ ☒

12. Do you and the related person share the same physical location?

☐ ☒

1. Legal Name of *Related Person*:
RBC CAPITAL MARKETS, LLC

2. Primary Business Name of *Related Person*:
RBC CAPITAL MARKETS, LLC

3. *Related Person's* SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)
801 - 13059
or
Other

4. *Related Person's*
(a) *CRD* Number (if any):
31194
(b) CIK Number(s) (if any):

No Information Filed

5. *Related Person* is: (check all that apply)
(a) ☒ broker-dealer, municipal securities dealer, or government securities broker or dealer
(b) ☒ other investment adviser (including financial planners)
(c) ☒ registered municipal advisor
(d) ☒ registered security-based swap dealer
(e) ☐ major security-based swap participant
(f) ☐ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)
(g) ☒ futures commission merchant
(h) ☐ banking or thrift institution
(i) ☐ trust company
(j) ☐ accountant or accounting firm
(k) ☐ lawyer or law firm
(l) ☒ insurance company or agency
(m) ☒ pension consultant
(n) ☐ real estate broker or dealer
(o) ☐ sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles
(p) ☐ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles

Yes

No

6. Do you *control* or are you *controlled* by the *related person*?

7. Are you and the *related person* under common *control*?

8. (a) Does the *related person* act as a qualified custodian for your *clients* in connection with advisory services you provide to *clients*?
(b) If you are registering or registered with the SEC and you have answered "yes," to question 8.(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-2(d)(5)) from the *related person* and thus are not required to obtain a surprise examination for your *clients'* funds or securities that are maintained at the *related person*?
(c) If you have answered "yes" to question 8.(a) above, provide the location of the *related person's* office responsible for *custody* of your *clients'* assets:
Number and Street 1: Number and Street 2:
City: State: Country: ZIP+4/Postal Code:
If this address is a private residence, check this box: ☐

Yes

No

9. (a) If the *related person* is an investment adviser, is it exempt from registration?
(b) If the answer is yes, under what exemption?

10. (a) Is the *related person* registered with a *foreign financial regulatory authority* ?
(b) If the answer is yes, list the name and country, in English of each *foreign financial regulatory authority* with which the *related person* is registered.

Name of Country/English Name of Foreign Financial Regulatory Authority
Canada - Alberta Securities Commission
Canada - British Columbia Securities Commission
Canada - Manitoba Securities Commission
Canada - New Brunswick Securities Commission
Canada - Newfoundland and Labrador, Financial Services Regulation Division
Canada - Northwest Territories, Office of the Registrar of Securities
Canada - Nova Scotia Securities Commission
Canada - Nunavut, Registrar of Securities
Canada - Ontario Securities Commission
Canada - Prince Edward Island, Securities Office

	Canada - Quebec, Financial Markets Authority
	Canada - Saskatchewan Financial Services Commission
	Canada - Yukon Territories, Registrar of Securities

11. Do you and the *related person* share any *supervised persons*?

☐☒

12. Do you and the *related person* share the same physical location?

☐☒

Item 7 *Private Fund Reporting*

B. Are you an adviser to any *private fund*?

☐☒

If "yes," then for each private fund that you advise, you must complete a [Section 7.B.\(1\) of Schedule D](#), except in certain circumstances described in the next sentence and in Instruction 6 of the [Instructions to Part 1A](#). If you are registered or applying for registration with the SEC or reporting as an SEC exempt reporting adviser, and another SEC-registered adviser or SEC exempt reporting adviser reports this information with respect to any such private fund in Section 7.B.(1) of Schedule D of its Form ADV (e.g., if you are a subadviser), do not complete Section 7.B.(1) of Schedule D with respect to that private fund. You must, instead, complete [Section 7.B.\(2\) of Schedule D](#).

In either case, if you seek to preserve the anonymity of a private fund client by maintaining its identity in your books and records in numerical or alphabetical code, or similar designation, pursuant to rule 204-2(d), you may identify the private fund in Section 7.B.(1) or 7.B.(2) of Schedule D using the same code or designation in place of the fund's name.

SECTION 7.B.(1) *Private Fund Reporting*

No Information Filed

SECTION 7.B.(2) *Private Fund Reporting*

No Information Filed

Item 8 Participation or Interest in *Client* Transactions

In this Item, we request information about your participation and interest in your *clients'* transactions. This information identifies additional areas in which conflicts of interest may occur between you and your *clients*. Newly-formed advisers should base responses to these questions on the types of participation and interest that you expect to engage in during the next year.

Like Item 7, Item 8 requires you to provide information about you and your *related persons*, including foreign affiliates.

Proprietary Interest in *Client* Transactions

A. Do you or any *related person*:

(1) buy securities for yourself from advisory *clients*, or sell securities you own to advisory *clients* (principal transactions)?

☒☐

(2) buy or sell for yourself securities (other than shares of mutual funds) that you also recommend to advisory *clients*?

☒☐

(3) recommend securities (or other investment products) to advisory *clients* in which you or any *related person* has some other proprietary (ownership) interest (other than those mentioned in Items 8.A.(1) or (2))?

☒☐

Sales Interest in *Client* Transactions

B. Do you or any *related person*:

(1) as a broker-dealer or registered representative of a broker-dealer, execute securities trades for brokerage customers in which advisory *client* securities are sold to or bought from the brokerage customer (agency cross transactions)?

☐☒

(2) recommend to advisory *clients*, or act as a purchaser representative for advisory *clients* with respect to, the purchase of securities for which you or any *related person* serves as underwriter or general or managing partner?

☒☐

(3) recommend purchase or sale of securities to advisory *clients* for which you or any *related person* has any other sales interest (other than the receipt of sales commissions as a broker or registered representative of a broker-dealer)?

☒☐

Investment or Brokerage Discretion

C. Do you or any *related person* have *discretionary authority* to determine the:

(1) securities to be bought or sold for a *client's* account?

☒☐

(2) amount of securities to be bought or sold for a *client's* account?

☒☐

(3) broker or dealer to be used for a purchase or sale of securities for a *client's* account?

☒☐

(4) commission rates to be paid to a broker or dealer for a *client's* securities transactions?

☒☐

D.

If you answer "yes" to C.(3) above, are any of the brokers or dealers *related persons*?

E.

Do you or any *related person* recommend brokers or dealers to *clients*?

F.

If you answer "yes" to E. above, are any of the brokers or dealers *related persons*?

G.

(1) Do you or any *related person* receive research or other products or services other than execution from a broker-dealer or a third party ("soft dollar benefits") in connection with *client* securities transactions?

(2) If "yes" to G.(1) above, are all the "soft dollar benefits" you or any *related persons* receive eligible "research or brokerage services" under section 28(e) of the Securities Exchange Act of 1934?

H.

(1) Do you or any *related person*, directly or indirectly, compensate any *person* that is not an *employee* for *client* referrals?

(2) Do you or any *related person*, directly or indirectly, provide any *employee* compensation that is specifically related to obtaining *clients* for the firm (cash or non-cash compensation in addition to the *employee's* regular salary)?

I.

Do you or any *related person*, including any *employee*, directly or indirectly, receive compensation from any *person* (other than you or any *related person*) for *client* referrals?

In your response to Item 8.I., do not include the regular salary you pay to an employee.

In responding to Items 8.H. and 8.I., consider all cash and non-cash compensation that you or a related person gave to (in answering Item 8.H.) or received from (in answering Item 8.I.) any person in exchange for client referrals, including any bonus that is based, at least in part, on the number or amount of client referrals.

Item 9 Custody

In this Item, we ask you whether you or a *related person* has *custody* of *client* (other than *clients* that are investment companies registered under the Investment Company Act of 1940) assets and about your custodial practices.

A.

(1) Do you have *custody* of any advisory *clients*':

(a) cash or bank accounts?

(b) securities?

Yes

No

If you are registering or registered with the SEC, answer "No" to Item 9.A.(1)(a) and (b) if you have custody solely because (i) you deduct your advisory fees directly from your clients' accounts, or (ii) a related person has custody of client assets in connection with advisory services you provide to clients, but you have overcome the presumption that you are not operationally independent (pursuant to Advisers Act rule 206(4)-2(d)(5)) from the related person.

(2) If you checked "yes" to Item 9.A.(1)(a) or (b), what is the approximate amount of *client* funds and securities and total number of *clients* for which you have *custody*:

U.S. Dollar Amount

Total Number of *Clients*

(a) \$

(b)

If you are registering or registered with the SEC and you have custody solely because you deduct your advisory fees directly from your clients' accounts, do not include the amount of those assets and the number of those clients in your response to Item 9.A.(2). If your related person has custody of client assets in connection with advisory services you provide to clients, do not include the amount of those assets and number of those clients in your response to 9.A.(2). Instead, include that information in your response to Item 9.B.(2).

B.

(1) In connection with advisory services you provide to *clients*, do any of your *related persons* have *custody* of any of your advisory *clients*':

(a) cash or bank accounts?

(b) securities?

Yes

No

You are required to answer this item regardless of how you answered Item 9.A.(1)(a) or (b).

(2) If you checked "yes" to Item 9.B.(1)(a) or (b), what is the approximate amount of *client* funds and securities and total number of *clients* for which your *related persons* have *custody*:

U.S. Dollar Amount

Total Number of *Clients*

(a) \$ 7,883,573,594

(b) 5,967

C.

If you or your *related persons* have *custody* of *client* funds or securities in connection with advisory services you provide to *clients*, check all the following that apply:

(1) A qualified custodian(s) sends account statements at least quarterly to the investors in the pooled investment vehicle(s) you manage.

(2) An *independent public accountant* audits annually the pooled investment vehicle(s) that you manage and the audited financial statements are distributed to the investors in the pools.

(3) An *independent public accountant* conducts an annual surprise examination of *client* funds and securities.

(4) An *independent public accountant* prepares an internal control report with respect to custodial services when you or your *related persons* are qualified custodians for *client* funds and securities.

☒

☒

If you checked Item 9.C.(2), C.(3) or C.(4), list in [Section 9.C. of Schedule D](#) the accountants that are engaged to perform the audit or examination or prepare an internal control report. (If you checked Item 9.C.(2), you do not have to list auditor information in [Section 9.C. of Schedule D](#) if you already provided this information with respect to the private funds you advise in [Section 7.B.\(1\) of Schedule D](#)).

- D. Do you or your *related person(s)* act as qualified custodians for your *clients* in connection with advisory services you provide to *clients*?

YesNo
- (1) you act as a qualified custodian

☐☒
- (2) your *related person(s)* act as qualified custodian(s)

☒☐

If you checked "yes" to Item 9.D.(2), all related persons that act as qualified custodians (other than any mutual fund transfer agent pursuant to rule 206(4)-2(b)(1)) must be identified in [Section 7.A. of Schedule D](#), regardless of whether you have determined the related person to be operationally independent under rule 206(4)-2 of the Advisers Act.

- E. If you are filing your *annual updating amendment* and you were subject to a surprise examination by an *independent public accountant* during your last fiscal year, provide the date (MM/YYYY) the examination commenced:

05/2025
- F. If you or your *related persons* have *custody of client* funds or securities, how many *persons*, including, but not limited to, you and your *related persons*, act as qualified custodians for your *clients* in connection with advisory services you provide to *clients*?

5

SECTION 9.C. Independent Public Accountant

You must complete the following information for each *independent public accountant* engaged to perform a surprise examination, perform an audit of a pooled investment vehicle that you manage, or prepare an internal control report. You must complete a separate Schedule D Section 9.C. for each *independent public accountant*.

- (1) Name of the *independent public accountant*:

PRICEWATERHOUSECOOPERS LLP
- (2) The location of the *independent public accountant's* office responsible for the services provided:

Number and Street 1:

18 YORK STREET, SUITE 2600

City:

TORONTO, ONTARIO

Number and Street 2:

PWC TOWER

Country:

Canada

ZIP+4/Postal Code:

M5J 0B2
- (3) Is the *independent public accountant* registered with the Public Company Accounting Oversight Board?

YesNo

If "yes," Public Company Accounting Oversight Board-Assigned Number:

231
- (4) If "yes" to (3) above, is the *independent public accountant* subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules?

☒☐
- (5) The *independent public accountant* is engaged to:

A. ☐ audit a pooled investment vehicle

B. ☒ perform a surprise examination of *clients'* assets

C. ☒ prepare an internal control report
- (6) Since your last *annual updating amendment*, did all of the reports prepared by the *independent public accountant* that audited the pooled investment vehicle or that examined internal controls contain unqualified opinions?

☒ Yes

☐ No

☐ Report Not Yet Received

If you check "Report Not Yet Received", you must promptly file an amendment to your Form ADV to update your response when the accountant's report is available.

Item 10 Control Persons

In this Item, we ask you to identify every *person* that, directly or indirectly, *controls* you. If you are filing an *umbrella registration*, the information in Item 10 should be provided for the *filing adviser* only.

If you are submitting an initial application or report, you must complete Schedule A and Schedule B. Schedule A asks for information about your direct owners and executive officers. Schedule B asks for information about your indirect owners. If this is an amendment and you are updating information you reported on either Schedule A or Schedule B (or both) that you filed with your initial application or report, you must complete Schedule C.

	Yes	No
A. Does any <i>person</i> not named in Item 1.A. or Schedules A, B, or C, directly or indirectly, <i>control</i> your management or policies?	☐	☒
If yes, complete <i>Section 10.A. of Schedule D</i> .		
B. If any <i>person</i> named in Schedules A, B, or C or in Section 10.A. of Schedule D is a public reporting company under Sections 12 or 15(d) of the Securities Exchange Act of 1934, please complete <i>Section 10.B. of Schedule D</i> .		

SECTION 10.A. Control Persons

No Information Filed

SECTION 10.B. Control Person Public Reporting Companies

B. If any <i>person</i> named in Schedules A, B, or C, or in Section 10.A. of Schedule D is a public reporting company under Sections 12 or 15(d) of the Securities Exchange Act of 1934, please provide the following information (you must complete a separate Schedule D Section 10.B. for each public reporting company):	
(1) Full legal name of the public reporting company:	ROYAL BANK OF CANADA
(2) The public reporting company's CIK number (Central Index Key number that the SEC assigns to each reporting company):	1000275

Item 11 Disclosure Information

In this Item, we ask for information about your disciplinary history and the disciplinary history of all your *advisory affiliates*. We use this information to determine whether to grant your application for registration, to decide whether to revoke your registration or to place limitations on your activities as an investment adviser, and to identify potential problem areas to focus on during our on-site examinations. One event may result in "yes" answers to more than one of the questions below. In accordance with General Instruction 5 to Form ADV, "you" and "your" include the *filing adviser* and all *relying advisers* under an *umbrella registration*.

Your *advisory affiliates* are: (1) all of your current *employees* (other than *employees* performing only clerical, administrative, support or similar functions); (2) all of your officers, partners, or directors (or any *person* performing similar functions); and (3) all *persons* directly or indirectly *controlling* you or *controlled* by you. If you are a "separately identifiable department or division" (SID) of a bank, see the Glossary of Terms to determine who your *advisory affiliates* are.

If you are registered or registering with the SEC or if you are an exempt reporting adviser, you may limit your disclosure of any event listed in Item 11 to ten years following the date of the event. If you are registered or registering with a state, you must respond to the questions as posed; you may, therefore, limit your disclosure to ten years following the date of an event only in responding to Items 11.A.(1), 11.A.(2), 11.B.(1), 11.B.(2), 11.D.(4), and 11.H.(1)(a). For purposes of calculating this ten-year period, the date of an event is the date the final order, judgment, or decree was entered, or the date any rights of appeal from preliminary orders, judgments, or decrees lapsed.

You must complete the appropriate Disclosure Reporting Page ("DRP") for "yes" answers to the questions in this Item 11.

	Yes	No
Do any of the events below involve you or any of your <i>supervised persons</i> ?	☒	☐
For "yes" answers to the following questions, complete a Criminal Action DRP:		
A. In the past ten years, have you or any <i>advisory affiliate</i> :	Yes	No
(1) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to any <i>felony</i> ?	☐	☒
(2) been <i>charged</i> with any <i>felony</i> ?	☐	☒
If you are registered or registering with the SEC, or if you are reporting as an exempt reporting adviser, you may limit your response to Item 11.A.(2) to charges that are currently pending.		
B. In the past ten years, have you or any <i>advisory affiliate</i> :		
(1) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to a <i>misdemeanor</i> involving: investments or an <i>investment-related</i> business, or any fraud, false statements, or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses?	☐	☒
(2) been <i>charged</i> with a <i>misdemeanor</i> listed in Item 11.B.(1)?	☐	☒
If you are registered or registering with the SEC, or if you are reporting as an exempt reporting adviser, you may limit your response to Item 11.B.(2) to charges that are currently pending.		
For "yes" answers to the following questions, complete a Regulatory Action DRP:		
C. Has the SEC or the Commodity Futures Trading Commission (CFTC) ever:	Yes	No
(1) <i>found</i> you or any <i>advisory affiliate</i> to have made a false statement or omission?	☐	☒
(2) <i>found</i> you or any <i>advisory affiliate</i> to have been <i>involved</i> in a violation of SEC or CFTC regulations or statutes?	☒	☐

	(3) <i>found</i> you or any <i>advisory affiliate</i> to have been a cause of an <i>investment-related</i> business having its authorization to do business denied, suspended, revoked, or restricted?	☐	☒
	(4) entered an <i>order</i> against you or any <i>advisory affiliate</i> in connection with <i>investment-related</i> activity?	☐	☒
	(5) imposed a civil money penalty on you or any <i>advisory affiliate</i> , or <i>ordered</i> you or any <i>advisory affiliate</i> to cease and desist from any activity?	☒	☐
D.	Has any other federal regulatory agency, any state regulatory agency, or any <i>foreign financial regulatory authority</i> :		
	(1) ever <i>found</i> you or any <i>advisory affiliate</i> to have made a false statement or omission, or been dishonest, unfair, or unethical?	☐	☒
	(2) ever <i>found</i> you or any <i>advisory affiliate</i> to have been <i>involved</i> in a violation of <i>investment-related</i> regulations or statutes?	☒	☐
	(3) ever <i>found</i> you or any <i>advisory affiliate</i> to have been a cause of an <i>investment-related</i> business having its authorization to do business denied, suspended, revoked, or restricted?	☐	☒
	(4) in the past ten years, entered an <i>order</i> against you or any <i>advisory affiliate</i> in connection with an <i>investment-related</i> activity?	☐	☒
	(5) ever denied, suspended, or revoked your or any <i>advisory affiliate's</i> registration or license, or otherwise prevented you or any <i>advisory affiliate</i> , by <i>order</i> , from associating with an <i>investment-related</i> business or restricted your or any <i>advisory affiliate's</i> activity?	☐	☒
E.	Has any <i>self-regulatory organization</i> or commodities exchange ever:		
	(1) <i>found</i> you or any <i>advisory affiliate</i> to have made a false statement or omission?	☐	☒
	(2) <i>found</i> you or any <i>advisory affiliate</i> to have been <i>involved</i> in a violation of its rules (other than a violation designated as a " <i>minor rule violation</i> " under a plan approved by the SEC)?	☐	☒
	(3) <i>found</i> you or any <i>advisory affiliate</i> to have been the cause of an <i>investment-related</i> business having its authorization to do business denied, suspended, revoked, or restricted?	☐	☒
	(4) disciplined you or any <i>advisory affiliate</i> by expelling or suspending you or the <i>advisory affiliate</i> from membership, barring or suspending you or the <i>advisory affiliate</i> from association with other members, or otherwise restricting your or the <i>advisory affiliate's</i> activities?	☐	☒
F.	Has an authorization to act as an attorney, accountant, or federal contractor granted to you or any <i>advisory affiliate</i> ever been revoked or suspended?	☐	☒
G.	Are you or any <i>advisory affiliate</i> now the subject of any regulatory <i>proceeding</i> that could result in a "yes" answer to any part of Item 11.C., 11.D., or 11.E.?	☐	☒
For "yes" answers to the following questions, complete a Civil Judicial Action DRP:			
H.	(1) Has any domestic or foreign court:	Yes	No
	(a) in the past ten years, <i>enjoined</i> you or any <i>advisory affiliate</i> in connection with any <i>investment-related</i> activity?	☐	☒
	(b) ever <i>found</i> that you or any <i>advisory affiliate</i> were <i>involved</i> in a violation of <i>investment-related</i> statutes or regulations?	☐	☒
	(c) ever dismissed, pursuant to a settlement agreement, an <i>investment-related</i> civil action brought against you or any <i>advisory affiliate</i> by a state or <i>foreign financial regulatory authority</i> ?	☐	☒
	(2) Are you or any <i>advisory affiliate</i> now the subject of any civil <i>proceeding</i> that could result in a "yes" answer to any part of Item 11.H.(1)?	☐	☒

Item 12 Small Businesses			
The SEC is required by the Regulatory Flexibility Act to consider the effect of its regulations on small entities. In order to do this, we need to determine whether you meet the definition of "small business" or "small organization" under rule 0-7.			
Answer this Item 12 only if you are registered or registering with the SEC and you indicated in response to Item 5.F.(2)(c) that you have regulatory assets under management of less than \$25 million. You are not required to answer this Item 12 if you are filing for initial registration as a state adviser, amending a current state registration, or switching from SEC to state registration.			
For purposes of this Item 12 only:			
• Total Assets refers to the total assets of a firm, rather than the assets managed on behalf of <i>clients</i>. In determining your or another <i>person's</i> total assets, you may use the total assets shown on a current balance sheet (but use total assets reported on a consolidated balance sheet with subsidiaries included, if that amount is larger). • <i>Control</i> means the power to direct or cause the direction of the management or policies of a <i>person</i>, whether through ownership of securities, by contract, or otherwise. Any <i>person</i> that directly or indirectly has the right to vote 25 percent or more of the voting securities, or is entitled to 25 percent or more of the profits, of another <i>person</i> is presumed to <i>control</i> the other <i>person</i>.			
		Yes	No
A.	Did you have total assets of \$5 million or more on the last day of your most recent fiscal year?	☐	☐
If "yes," you do not need to answer Items 12.B. and 12.C.			
B.	Do you:		
	(1) <i>control</i> another investment adviser that had regulatory assets under management (calculated in response to Item 5.F.(2)(c) of Form ADV) of \$25 million or more on the last day of its most recent fiscal year?	☐	☐
	(2) <i>control</i> another <i>person</i> (other than a natural person) that had total assets of \$5 million or more on the last day of its most recent fiscal year?	☐	☐

- C. Are you:
- (1) *controlled* by or under common *control* with another investment adviser that had regulatory assets under management (calculated in response to Item 5.F.(2)(c) of Form ADV) of \$25 million or more on the last day of its most recent fiscal year?

(2) *controlled* by or under common *control* with another *person* (other than a natural person) that had total assets of \$5 million or more on the last day of its most recent fiscal year?

Schedule A

Direct Owners and Executive Officers

1. Complete Schedule A only if you are submitting an initial application or report. Schedule A asks for information about your direct owners and executive officers. Use Schedule C to amend this information.
2. Direct Owners and Executive Officers. List below the names of:

(a) each Chief Executive Officer, Chief Financial Officer, Chief Operations Officer, Chief Legal Officer, Chief Compliance Officer(Chief Compliance Officer is required if you are registered or applying for registration and cannot be more than one individual), director, and any other individuals with similar status or functions;

(b) if you are organized as a corporation, each shareholder that is a direct owner of 5% or more of a class of your voting securities, unless you are a public reporting company (a company subject to Section 12 or 15(d) of the Exchange Act);
Direct owners include any *person* that owns, beneficially owns, has the right to vote, or has the power to sell or direct the sale of, 5% or more of a class of your voting securities. For purposes of this Schedule, a *person* beneficially owns any securities: (i) owned by his/her child, stepchild, grandchild, parent, stepparent, grandparent, spouse, sibling, mother-in-law, father-in-law, son-in-law, daughter-in-law, brother-in-law, or sister-in-law, sharing the same residence; or (ii) that he/she has the right to acquire, within 60 days, through the exercise of any option, warrant, or right to purchase the security.

(c) if you are organized as a partnership, all general partners and those limited and special partners that have the right to receive upon dissolution, or have contributed, 5% or more of your capital;

(d) in the case of a trust that directly owns 5% or more of a class of your voting securities, or that has the right to receive upon dissolution, or has contributed, 5% or more of your capital, the trust and each trustee; and

(e) if you are organized as a limited liability company ("LLC"), (i) those members that have the right to receive upon dissolution, or have contributed, 5% or more of your capital, and (ii) if managed by elected managers, all elected managers.
3. Do you have any indirect owners to be reported on Schedule B?

YesNo
4. In the DE/FE/I column below, enter "DE" if the owner is a domestic entity, "FE" if the owner is an entity incorporated or domiciled in a foreign country, or "I" if the owner or executive officer is an individual.
5. Complete the Title or Status column by entering board/management titles; status as partner, trustee, sole proprietor, elected manager, shareholder, or member; and for shareholders or members, the class of securities owned (if more than one is issued).
6. Ownership codes are:

NA - less than 5%

B - 10% but less than 25%

D - 50% but less than 75%

A - 5% but less than 10%

C - 25% but less than 50%

E - 75% or more

7. (a) In the *Control Person* column, enter "Yes" if the *person* has *control* as defined in the Glossary of Terms to Form ADV, and enter "No" if the *person* does not have *control*. Note that under this definition, most executive officers and all 25% owners, general partners, elected managers, and trustees are *control persons*.

(b) In the PR column, enter "PR" if the owner is a public reporting company under Sections 12 or 15(d) of the Exchange Act.

(c) Complete each column.

FULL LEGAL NAME (Individuals: Last Name, First Name, Middle Name)	DE/FE/I	Title or Status	Date Title or Status Acquired MM/YYYY	Ownership Code	Control Person	PR	CRD No. If None: S.S. No. and Date of Birth, IRS Tax No. or Employer ID No.
ROYAL BANK HOLDING INC.	FE	IMMEDIATE PARENT	10/2002	E	Y	N	
AGNEW, DAVID, JOHN	I	DIRECTOR, CHAIR & CO-PRESIDENT	05/2004	NA	Y	N	2575090
KARLSSON, ANNICA, ELISABETH	I	CHIEF COMPLIANCE OFFICER	04/2007	NA	Y	N	5332905
PARMAR, VIJAY, SINGH	I	DIRECTOR & CO-PRESIDENT	09/2009	NA	Y	N	5720362
SCOTT, MICHAEL, PETER	I	DIRECTOR & VICE-PRESIDENT	12/2009	NA	Y	N	4548112
HUQ, FAIZA, MARIUM	I	CHIEF FINANCIAL OFFICER	07/2017	NA	Y	N	5130029
Tinker, Nadine	I	DIRECTOR	12/2024	NA	Y	N	8030992
Boulianne, Martin-pierre	I	CORPORATE SECRETARY	06/2025	NA	N	N	8163419
Russo, Erica	I	ASSISTANT CORPORATE SECRETARY	06/2025	NA	N	N	8165053

Schedule B

Indirect Owners

1. Complete Schedule B only if you are submitting an initial application or report. Schedule B asks for information about your indirect owners; you must first complete Schedule A, which asks for information about your direct owners. Use Schedule C to amend this information.
2. Indirect Owners. With respect to each owner listed on Schedule A (except individual owners), list below:

(a) in the case of an owner that is a corporation, each of its shareholders that beneficially owns, has the right to vote, or has the power to sell or direct the sale of, 25% or more of a class of a voting security of that corporation;

For purposes of this Schedule, a *person* beneficially owns any securities: (i) owned by his/her child, stepchild, grandchild, parent, stepparent, grandparent, spouse, sibling, mother-in-law, father-in-law, son-in-law, daughter-in-law, brother-in-law, or sister-in-law, sharing the same residence; or (ii) that he/she has the right to acquire, within 60 days, through the exercise of any option, warrant, or right to purchase the security.

(b) in the case of an owner that is a partnership, all general partners and those limited and special partners that have the right to receive upon dissolution, or have contributed, 25% or more of the partnership's capital;

(c) in the case of an owner that is a trust, the trust and each trustee; and

(d) in the case of an owner that is a limited liability company ("LLC"), (i) those members that have the right to receive upon dissolution, or have contributed, 25% or more of the LLC's capital, and (ii) if managed by elected managers, all elected managers.

3. Continue up the chain of ownership listing all 25% owners at each level. Once a public reporting company (a company subject to Sections 12 or 15(d) of the Exchange Act) is reached, no further ownership information need be given.

4. In the DE/FE/I column below, enter "DE" if the owner is a domestic entity, "FE" if the owner is an entity incorporated or domiciled in a foreign country, or "I" if the owner is an individual.

5. Complete the Status column by entering the owner's status as partner, trustee, elected manager, shareholder, or member; and for shareholders or members, the class of securities owned (if more than one is issued).

6. Ownership codes are: C - 25% but less than 50% E - 75% or more
D - 50% but less than 75% F - Other (general partner, trustee, or elected manager)

7. (a) In the *Control Person* column, enter "Yes" if the *person* has *control* as defined in the Glossary of Terms to Form ADV, and enter "No" if the *person* does not have *control*. Note that under this definition, most executive officers and all 25% owners, general partners, elected managers, and trustees are *control persons*.

(b) In the PR column, enter "PR" if the owner is a public reporting company under Sections 12 or 15(d) of the Exchange Act.

(c) Complete each column.

FULL LEGAL NAME (Individuals: Last Name, First Name, Middle Name)	DE/FE/I	Entity in Which Interest is Owned	Status	Date Status Acquired MM / YYYY	Ownership Code	Control Person	PR	CRD No. If None: S.S. No. and Date of Birth, IRS Tax No. or Employer ID No.
ROYAL BANK OF CANADA	FE	ROYAL BANK HOLDING INC.	PARENT COMPANY	04/1998	E	Y	Y	

Schedule D - Miscellaneous

You may use the space below to explain a response to an Item or to provide any other information.

INFORMATION AND DATA PROVIDED ON THIS FORM ADV, INCLUDING INFORMATION/DATA UNDER ITEM 5 INFORMATION ABOUT YOUR ADVISORY BUSINESS, IS AS AT FISCAL YEAR-END OCTOBER 31, 2024. SCHEDULE E ITEM 5K(1): EXCHANGE TRADED EQUITY SECURITIES INCLUDES NON-U.S. LISTED ETFs.

Schedule R

No Information Filed

DRP Pages

CRIMINAL DISCLOSURE REPORTING PAGE (ADV)

No Information Filed

REGULATORY ACTION DISCLOSURE REPORTING PAGE (ADV)

GENERAL INSTRUCTIONS

This Disclosure Reporting Page (DRP ADV) is an ☐ INITIAL **OR** ☒ AMENDED response used to report details for affirmative responses to Items 11.C., 11.D., 11.E., 11.F. or 11.G. of Form ADV.

Regulatory Action

Check item(s) being responded to:

☐ 11.C(1)

☐ 11.D(1)

☐ 11.E(1)

☐ 11.F.

☐ 11.C(2)

☒ 11.D(2)

☐ 11.E(2)

☐ 11.G.

☐ 11.C(3)

☐ 11.D(3)

☐ 11.E(3)

☐ 11.C(4)

☐ 11.D(4)

☐ 11.E(4)

☐ 11.C(5)

☐ 11.D(5)

Use a separate DRP for each event or *proceeding* . The same event or *proceeding* may be reported for more than one *person* or entity using one DRP. File with a completed Execution Page.

One event may result in more than one affirmative answer to Items 11.C., 11.D., 11.E., 11.F. or 11.G. Use only one DRP to report details related to the same event. If an event gives rise to actions by more than one regulator, provide details for each action on a separate DRP.

PART I

- A. The *person(s)* or entity(ies) for whom this *DRP* is being filed is (are):
- ☐ You (the advisory firm)
 - ☐ You and one or more of your *advisory affiliates*
 - ☒ One or more of your *advisory affiliates*

If this *DRP* is being filed for an *advisory affiliate*, give the full name of the *advisory affiliate* below (for individuals, Last name, First name, Middle name). If the *advisory affiliate* has a *CRD* number, provide that number. If not, indicate "non-registered" by checking the appropriate box.

ADV *DRP* - *ADVISORY AFFILIATE*

<i>CRD</i> Number:	This <i>advisory affiliate</i> is ☒ a Firm ☐ an Individual
Registered:	☐ Yes ☒ No
Name:	ROYAL BANK OF CANADA (For individuals, Last, First, Middle)

- ☐ This *DRP* should be removed from the *ADV* record because the *advisory affiliate(s)* is no longer associated with the adviser.
- ☐ This *DRP* should be removed from the *ADV* record because: (1) the event or *proceeding* occurred more than ten years ago or (2) the adviser is registered or applying for registration with the SEC or reporting as an *exempt reporting adviser* with the SEC and the event was resolved in the adviser's or *advisory affiliate's* favor.

If you are registered or registering with a *state securities authority* , you may remove a *DRP* for an event you reported only in response to Item 11.D(4), and only if that event occurred more than ten years ago. If you are registered or registering with the SEC, you may remove a *DRP* for any event listed in Item 11 that occurred more than ten years ago.

- ☐ This *DRP* should be removed from the *ADV* record because it was filed in error, such as due to a clerical or data-entry mistake. Explain the circumstances:

- B. If the *advisory affiliate* is registered through the *IARD* system or *CRD* system, has the *advisory affiliate* submitted a *DRP* (with Form *ADV*, *BD* or *U-4*) to the *IARD* or *CRD* for the event? If the answer is "Yes," no other information on this *DRP* must be provided.
- ☐ Yes ☒ No

NOTE: The completion of this form does not relieve the *advisory affiliate* of its obligation to update its *IARD* or *CRD* records.

PART II

1. Regulatory Action initiated by:
☐ SEC ☐ Other Federal ☐ State ☐ *SRO* ☒ Foreign
(Full name of regulator, *foreign financial regulatory authority*, federal, state, or *SRO*)
ONTARIO SECURITIES COMMISSION
2. Principal Sanction:
Civil and Administrative Penalt(ies) /Fine(s)
Other Sanctions:
3. Date Initiated (MM/DD/YYYY):
08/23/2019 ☒ Exact ☐ Explanation
If not exact, provide explanation:
4. Docket/Case Number:
5. *Advisory Affiliate* Employing Firm when activity occurred which led to the regulatory action (if applicable):
6. Principal Product Type:
Other
Other Product Types:
FOREIGN EXCHANGE
7. Describe the allegations related to this regulatory action (your response must fit within the space provided):
FAILURE TO HAVE SUFFICIENT SUPERVISION AND CONTROLS IN ITS FX TRADING BUSINESS.
8. Current Status? ☐ Pending ☐ On Appeal ☒ Final

9. If on appeal, regulatory action appealed to (SEC, SRO, Federal or State Court) and Date Appeal Filed:

If Final or On Appeal, complete all items below. For Pending Actions, complete Item 13 only.

10. How was matter resolved:
Decision & Order of Offer of Settlement

11. Resolution Date (MM/DD/YYYY):
08/30/2019 ☒ Exact ☐ Explanation
If not exact, provide explanation:

12. Resolution Detail:

A. Were any of the following Sanctions *Ordered* (check all appropriate items)?

☒ Monetary/Fine Amount: \$ 10,338,117.00

☐ Revocation/Expulsion/Denial

☐ Disgorgement/Restitution

☐ Censure

☐ Cease and Desist/Injunction

☐ Bar

☐ Suspension

B. Other Sanctions *Ordered*:
INTERNAL AUDIT OF ROYAL BANK OF CANADA'S COMPLIANCE WITH THE FX GLOBAL CODE AND PAYMENT OF \$608,263.00 IN COSTS TO COVER THE INVESTIGATION.
Sanction detail: if suspended, *enjoined* or barred, provide duration including start date and capacities affected (General Securities Principal, Financial Operations Principal, etc.). If requalification by exam/retraining was a condition of the sanction, provide length of time given to requalify/retrain, type of exam required and whether condition has been satisfied. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide total amount, portion levied against you or an *advisory affiliate*, date paid and if any portion of penalty was waived:
WITHOUT ADMITTING OR DENYING THE FINDINGS, ROYAL BANK OF CANADA CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF THE FINDINGS.

13. Provide a brief summary of details related to the action status and (or) disposition and include relevant terms, conditions and dates (your response must fit within the space provided).
WITHOUT ADMITTING OR DENYING THE FINDINGS, ROYAL BANK OF CANADA CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF THE FINDINGS.

GENERAL INSTRUCTIONS

This Disclosure Reporting Page (DRP ADV) is an ☐ INITIAL **OR** ☒ AMENDED response used to report details for affirmative responses to Items 11.C., 11.D., 11.E., 11.F. or 11.G. of Form ADV.

Regulatory Action

Check item(s) being responded to:

☐ 11.C(1)☐ 11.C(2)☐ 11.C(3)☐ 11.C(4)☐ 11.C(5)

☐ 11.D(1)☒ 11.D(2)☐ 11.D(3)☐ 11.D(4)☐ 11.D(5)

☐ 11.E(1)☐ 11.E(2)☐ 11.E(3)☐ 11.E(4)

☐ 11.F.☐ 11.G.

Use a separate DRP for each event or *proceeding* . The same event or *proceeding* may be reported for more than one *person* or entity using one DRP. File with a completed Execution Page.

One event may result in more than one affirmative answer to Items 11.C., 11.D., 11.E., 11.F. or 11.G. Use only one DRP to report details related to the same event. If an event gives rise to actions by more than one regulator, provide details for each action on a separate DRP.

PART I

A. The *person(s)* or entity(ies) for whom this DRP is being filed is (are):

☐ You (the advisory firm)

☐ You and one or more of your *advisory affiliates*

☒ One or more of your *advisory affiliates*

If this DRP is being filed for an *advisory affiliate*, give the full name of the *advisory affiliate* below (for individuals, Last name, First name, Middle name). If the *advisory affiliate* has a CRD number, provide that number. If not, indicate "non-registered" by checking the appropriate box.

ADV DRP - ADVISORY AFFILIATE

CRD7690670

This *advisory affiliate* is ☐ a Firm ☒ an Individual

Number:

Registered: ☐ Yes ☒ No

Name: FAIRCLOUGH (WOODS), NANCY
(For individuals, Last, First, Middle)

- ☐ This *DRP* should be removed from the *ADV* record because the *advisory affiliate(s)* is no longer associated with the adviser.
- ☐ This *DRP* should be removed from the *ADV* record because: (1) the event or *proceeding* occurred more than ten years ago or (2) the adviser is registered or applying for registration with the SEC or reporting as an *exempt reporting adviser* with the SEC and the event was resolved in the adviser's or *advisory affiliate's* favor.

If you are registered or registering with a *state securities authority* , you may remove a *DRP* for an event you reported only in response to Item 11.D(4), and only if that event occurred more than ten years ago. If you are registered or registering with the SEC, you may remove a *DRP* for any event listed in Item 11 that occurred more than ten years ago.

- ☐ This *DRP* should be removed from the *ADV* record because it was filed in error, such as due to a clerical or data-entry mistake. Explain the circumstances:

- B. If the *advisory affiliate* is registered through the *IARD* system or *CRD* system, has the *advisory affiliate* submitted a *DRP* (with Form *ADV*, *BD* or *U-4*) to the *IARD* or *CRD* for the event? If the answer is "Yes," no other information on this *DRP* must be provided.
- ☐ Yes ☒ No

NOTE: The completion of this form does not relieve the *advisory affiliate* of its obligation to update its *IARD* or *CRD* records.

PART II

1. Regulatory Action initiated by:
☐ SEC ☐ Other Federal ☐ State ☐ SRO ☒ Foreign
(Full name of regulator, *foreign financial regulatory authority*, federal, state, or *SRO*)
INVESTMENT INDUSTRY REGULATORY ORGANIZATION OF CANADA (IIROC)

2. Principal Sanction:
Civil and Administrative Penalt(ies) /Fine(s)
Other Sanctions:

3. Date Initiated (MM/DD/YYYY):
03/01/2022 ☒ Exact ☐ Explanation
If not exact, provide explanation:

4. Docket/Case Number:

5. *Advisory Affiliate* Employing Firm when activity occurred which led to the regulatory action (if applicable):
RBC DOMINION SECURITIES INC.

6. Principal Product Type:
No Product
Other Product Types:

7. Describe the allegations related to this regulatory action (your response must fit within the space provided):
MS. FAIRCLOUGH WAS ALLEGED TO HAVE CONTRAVENED THE INVESTMENT INDUSTRY REGULATORY ORGANIZATION OF CANADA (IIROC) RULES, NAMELY THAT, (1) SHE ACTED AS A POA FOR A CLIENT BETWEEN JANUARY 2019 AND JULY 2020 CONTRARY TO RULE 43.2(5)(I), AND (2) SHE ACCEPTED A \$50,000 GIFT FROM A CLIENT IN JANUARY 2019 CONTRARY TO RULE 43.2(1).

8. Current Status? ☐ Pending ☐ On Appeal ☒ Final

9. If on appeal, regulatory action appealed to (SEC, *SRO*, Federal or State Court) and Date Appeal Filed:

If Final or On Appeal, complete all items below. For Pending Actions, complete Item 13 only.

10. How was matter resolved:
Settled

11. Resolution Date (MM/DD/YYYY):
07/18/2022 ☒ Exact ☐ Explanation

If not exact, provide explanation:

12. Resolution Detail:

A. Were any of the following Sanctions *Ordered* (check all appropriate items)?

- ☒ Monetary/Fine Amount: \$ 22,500.00
- ☐ Revocation/Expulsion/Denial
- ☐ Censure
- ☐ Bar
- ☐ Disgorgement/Restitution
- ☐ Cease and Desist/Injunction
- ☐ Suspension

B. Other Sanctions *Ordered*:

Sanction detail: if suspended, *enjoined* or barred, provide duration including start date and capacities affected (General Securities Principal, Financial Operations Principal, etc.). If requalification by exam/retraining was a condition of the sanction, provide length of time given to requalify/retrain, type of exam required and whether condition has been satisfied. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide total amount, portion levied against you or an *advisory affiliate*, date paid and if any portion of penalty was waived:
AS PART OF THE SETTLEMENT, MS. FAIRCLOUGH AGREED TO PAY A SUM OF \$22,500 BECAUSE SHE ACCEPTED IIROC STAFF'S EARLY RESOLUTION OFFER. THE SUM PAID CONSISTS OF TWO PARTS: A FINE OF \$17,500 AND COSTS OF \$5,000.

13. Provide a brief summary of details related to the action status and (or) disposition and include relevant terms, conditions and dates (your response must fit within the space provided).

AS PART OF THE SETTLEMENT, MS. FAIRCLOUGH AGREED TO PAY A SUM OF \$22,500 BECAUSE SHE ACCEPTED IIROC STAFF'S EARLY RESOLUTION OFFER. THE SUM PAID CONSISTS OF TWO PARTS: A FINE OF \$17,500 AND COSTS OF \$5,000.

GENERAL INSTRUCTIONS

This Disclosure Reporting Page (DRP ADV) is an ☐ INITIAL **OR** ☒ AMENDED response used to report details for affirmative responses to Items 11.C., 11.D., 11.E., 11.F. or 11.G. of Form ADV.

Regulatory Action

Check item(s) being responded to:

- ☐ 11.C(1)
- ☒ 11.C(2)
- ☐ 11.C(3)
- ☐ 11.C(4)
- ☒ 11.C(5)
- ☐ 11.D(1)
- ☐ 11.D(2)
- ☐ 11.D(3)
- ☐ 11.D(4)
- ☐ 11.D(5)
- ☐ 11.E(1)
- ☐ 11.E(2)
- ☐ 11.E(3)
- ☐ 11.E(4)
- ☐ 11.F.
- ☐ 11.G.

Use a separate DRP for each event or *proceeding* . The same event or *proceeding* may be reported for more than one *person* or entity using one DRP. File with a completed Execution Page.

One event may result in more than one affirmative answer to Items 11.C., 11.D., 11.E., 11.F. or 11.G. Use only one DRP to report details related to the same event. If an event gives rise to actions by more than one regulator, provide details for each action on a separate DRP.

PART I

A. The *person(s)* or entity(ies) for whom this DRP is being filed is (are):

- ☐ You (the advisory firm)
- ☐ You and one or more of your *advisory affiliates*
- ☒ One or more of your *advisory affiliates*

If this DRP is being filed for an *advisory affiliate*, give the full name of the *advisory affiliate* below (for individuals, Last name, First name, Middle name). If the *advisory affiliate* has a CRD number, provide that number. If not, indicate "non-registered" by checking the appropriate box.

ADV DRP - ADVISORY AFFILIATE

CRD
Number:

This *advisory affiliate* is ☒ a Firm ☐ an Individual

Registered: ☐ Yes ☒ No

Name: ROYAL BANK OF CANADA
(For individuals, Last, First, Middle)

- ☐ This DRP should be removed from the ADV record because the *advisory affiliate(s)* is no longer associated with the adviser.
- ☐ This DRP should be removed from the ADV record because: (1) the event or *proceeding* occurred more than ten years ago or (2) the adviser is registered or applying for registration with the SEC or reporting as an *exempt reporting adviser* with the SEC and the event was resolved in the adviser's or *advisory affiliate's* favor.

If you are registered or registering with a *state securities authority* , you may remove a DRP for an event you reported only in response to Item 11.D(4), and only if that event occurred more than ten years ago. If you are registered or registering with the SEC, you may remove a DRP for any event listed in Item 11 that occurred more than ten years ago.

☐ This DRP should be removed from the ADV record because it was filed in error, such as due to a clerical or data-entry mistake. Explain the circumstances:

- B. If the *advisory affiliate* is registered through the IARD system or *CRD* system, has the *advisory affiliate* submitted a DRP (with Form ADV, BD or U-4) to the IARD or *CRD* for the event? If the answer is "Yes," no other information on this DRP must be provided.
- ☐ Yes ☒ No

NOTE: The completion of this form does not relieve the *advisory affiliate* of its obligation to update its IARD or *CRD* records.

PART II

1. Regulatory Action initiated by:
☒ SEC ☐ Other Federal ☐ State ☐ SRO ☐ Foreign
(Full name of regulator, *foreign financial regulatory authority*, federal, state, or *SRO*)
SECURITIES AND EXCHANGE COMMISSION
2. Principal Sanction:
Other
Other Sanctions:
IT WAS ORDERED THAT THE FIRM CEASE AND DESIST FROM COMMITTING OR CAUSING ANY VIOLATIONS AND ANY FUTURE VIOLATIONS OF SECTIONS 13(B)(2)(A) AND 13(B)(2)(B) OF THE EXCHANGE ACT.
3. Date Initiated (MM/DD/YYYY):
11/02/2023 ☒ Exact ☐ Explanation
If not exact, provide explanation:
4. Docket/Case Number:
ADMINISTRATIVE PROCEEDING FILE NO. 3-21792
5. *Advisory Affiliate* Employing Firm when activity occurred which led to the regulatory action (if applicable):
ROYAL BANK OF CANADA
6. Principal Product Type:
Other
Other Product Types:
IT WAS ORDERED THAT THE FIRM CEASE AND DESIST FROM COMMITTING OR CAUSING ANY VIOLATIONS AND ANY FUTURE VIOLATIONS OF SECTIONS 13(B)(2)(A) AND 13(B)(2)(B) OF THE EXCHANGE ACT.
7. Describe the allegations related to this regulatory action (your response must fit within the space provided):
FAILURE TO MAKE AND KEEP BOOKS, RECORDS, AND ACCOUNTS, WHICH, IN REASONABLE DETAIL, ACCURATELY AND FAIRLY REFLECT THE TRANSACTIONS AND DISPOSITIONS OF THE ASSETS OF THE ISSUER. FAILURE TO DEVISE AND MAINTAIN A SYSTEM OF INTERNAL ACCOUNTING CONTROLS SUFFICIENT TO PROVIDE REASONABLE ASSURANCE THAT TRANSACTIONS ARE RECORDED TO PERMIT PREPARATION OF FINANCIAL STATEMENTS IN CONFORMITY WITH GENERALLY ACCEPTED ACCOUNTING PRINCIPLES.
8. Current Status? ☐ Pending ☐ On Appeal ☒ Final
9. If on appeal, regulatory action appealed to (SEC, *SRO*, Federal or State Court) and Date Appeal Filed:

If Final or On Appeal, complete all items below. For Pending Actions, complete Item 13 only.

10. How was matter resolved:
Decision & Order of Offer of Settlement
11. Resolution Date (MM/DD/YYYY):
11/02/2023 ☒ Exact ☐ Explanation
If not exact, provide explanation:
12. Resolution Detail:
- A. Were any of the following Sanctions *Ordered* (check all appropriate items)?
- ☒ Monetary/Fine Amount: \$ 6,000,000.00

☐ Revocation/Expulsion/Denial

☐ Censure

☐ Bar

☐ Disgorgement/Restitution

☒ Cease and Desist/Injunction

☐ Suspension

B. Other Sanctions *Ordered*:

IT WAS ORDERED THAT THE FIRM CEASE AND DESIST FROM COMMITTING OR CAUSING ANY VIOLATIONS AND ANY FUTURE VIOLATIONS OF SECTIONS 13(B)(2)(A) AND 13(B)(2)(B) OF THE EXCHANGE ACT.

Sanction detail: if suspended, *enjoined* or barred, provide duration including start date and capacities affected (General Securities Principal, Financial Operations Principal, etc.). If requalification by exam/retraining was a condition of the sanction, provide length of time given to requalify/retrain, type of exam required and whether condition has been satisfied. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide total amount, portion levied against you or an *advisory affiliate*, date paid and if any portion of penalty was waived:

WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE ENTRY OF THE ORDER INSTITUTING CEASE-AND-DESIST PROCEEDINGS AND IMPOSING A CEASE-AND-DESIST ORDER

13. Provide a brief summary of details related to the action status and (or) disposition and include relevant terms, conditions and dates (your response must fit within the space provided).

WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE ENTRY OF THE ORDER INSTITUTING CEASE-AND-DESIST PROCEEDINGS AND IMPOSING A CEASE-AND-DESIST ORDER

CIVIL JUDICIAL ACTION DISCLOSURE REPORTING PAGE (ADV)

No Information Filed

Part 2

Exemption from brochure delivery requirements for SEC-registered advisers

SEC rules exempt SEC-registered advisers from delivering a firm brochure to some kinds of clients. If these exemptions excuse you from delivering a brochure to *all* of your advisory clients, you do not have to prepare a brochure.

Are you exempt from delivering a brochure to all of your clients under these rules?

Yes No



If no, complete the ADV Part 2 filing below.

Amend, retire or file new brochures:

Part 3

CRS	Type(s)	Affiliate Info	Retire
☐	Investment Advisor		
☐	Investment Advisor		

Execution Pages

DOMESTIC INVESTMENT ADVISER EXECUTION PAGE

You must complete the following Execution Page to Form ADV. This execution page must be signed and attached to your initial submission of Form ADV to the SEC and all amendments.

Appointment of Agent for Service of Process

By signing this Form ADV Execution Page, you, the undersigned adviser, irrevocably appoint the Secretary of State or other legally designated officer, of the state in which you maintain your *principal office and place of business* and any other state in which you are submitting a *notice filing*, as your agents to receive service, and agree that such *persons* may accept service on your behalf, of any notice, subpoena, summons, *order* instituting *proceedings*, demand for arbitration, or other process or papers, and you further agree that such service may be made by registered or certified mail, in any federal or state action, administrative *proceeding* or arbitration brought against you in any place subject to the jurisdiction of the United States, if the action, *proceeding*, or arbitration (a) arises out of any activity in connection with your investment advisory business that is subject to the jurisdiction of the United States, and (b) is *founded*, directly or indirectly, upon the provisions of: (i) the Securities Act of 1933, the Securities Exchange Act of 1934, the Trust Indenture Act of 1939, the Investment Company Act of 1940, or the Investment Advisers Act of 1940, or any rule or regulation under any of these acts, or (ii) the laws of the state in which you maintain your *principal office and place of business* or of any state in which you are submitting a *notice filing*.

Signature

I, the undersigned, sign this Form ADV on behalf of, and with the authority of, the investment adviser. The investment adviser and I both certify, under

penalty of perjury under the laws of the United States of America, that the information and statements made in this ADV, including exhibits and any other information submitted, are true and correct, and that I am signing this Form ADV Execution Page as a free and voluntary act.

I certify that the adviser's books and records will be preserved and available for inspection as required by law. Finally, I authorize any *person* having *custody* or possession of these books and records to make them available to federal and state regulatory representatives.

Signature:	Date: MM/DD/YYYY
Printed Name:	Title:
Adviser <i>CRD</i> Number:	
109648	

NON-RESIDENT INVESTMENT ADVISER EXECUTION PAGE

You must complete the following Execution Page to Form ADV. This execution page must be signed and attached to your initial submission of Form ADV to the SEC and all amendments.

1. Appointment of Agent for Service of Process

By signing this Form ADV Execution Page, you, the undersigned adviser, irrevocably appoint each of the Secretary of the SEC, and the Secretary of State or other legally designated officer, of any other state in which you are submitting a *notice filing*, as your agents to receive service, and agree that such persons may accept service on your behalf, of any notice, subpoena, summons, *order* instituting *proceedings*, demand for arbitration, or other process or papers, and you further agree that such service may be made by registered or certified mail, in any federal or state action, administrative *proceeding* or arbitration brought against you in any place subject to the jurisdiction of the United States, if the action, *proceeding* or arbitration (a) arises out of any activity in connection with your investment advisory business that is subject to the jurisdiction of the United States, and (b) is *founded*, directly or indirectly, upon the provisions of: (i) the Securities Act of 1933, the Securities Exchange Act of 1934, the Trust Indenture Act of 1939, the Investment Company Act of 1940, or the Investment Advisers Act of 1940, or any rule or regulation under any of these acts, or (ii) the laws of any state in which you are submitting a *notice filing*.

2. Appointment and Consent: Effect on Partnerships

If you are organized as a partnership, this irrevocable power of attorney and consent to service of process will continue in effect if any partner withdraws from or is admitted to the partnership, provided that the admission or withdrawal does not create a new partnership. If the partnership dissolves, this irrevocable power of attorney and consent shall be in effect for any action brought against you or any of your former partners.

3. *Non-Resident* Investment Adviser Undertaking Regarding Books and Records

By signing this Form ADV, you also agree to provide, at your own expense, to the U.S. Securities and Exchange Commission at its principal office in Washington D.C., at any Regional or District Office of the Commission, or at any one of its offices in the United States, as specified by the Commission, correct, current, and complete copies of any or all records that you are required to maintain under Rule 204-2 under the Investment Advisers Act of 1940. This undertaking shall be binding upon you, your heirs, successors and assigns, and any *person* subject to your written irrevocable consents or powers of attorney or any of your general partners and *managing agents*.

Signature

I, the undersigned, sign this Form ADV on behalf of, and with the authority of, the *non-resident* investment adviser. The investment adviser and I both certify, under penalty of perjury under the laws of the United States of America, that the information and statements made in this ADV, including exhibits and any other information submitted, are true and correct, and that I am signing this Form ADV Execution Page as a free and voluntary act.

I certify that the adviser's books and records will be preserved and available for inspection as required by law. Finally, I authorize any *person* having *custody* or possession of these books and records to make them available to federal and state regulatory representatives.

Signature:	Date: MM/DD/YYYY
ANNICA KARLSSON	06/30/2026
Printed Name:	Title:
ANNICA KARLSSON	CHIEF COMPLIANCE OFFICER
Adviser <i>CRD</i> Number:	
109648	