

Related and Connected Issuer List

As part of the Wellington-Altus Group of Companies, Wellington-Altus Private Wealth Inc. (“WAPW”) is a wholly owned subsidiary of Wellington-Altus Financial Inc. (“WAFI”). WAFI operates a diversified financial services business and, as part of its offering to its clients, WAPW may on occasion advise clients or trade in securities of an issuer who is related or connected to WAPW. Securities are considered “related” when WAPW and the issuer of the securities, through the ownership of, or direction over voting securities, have the following relationships:

- The issuer and WAPW are controlled by the same person, company or professional group¹;
- The issuer controls WAPW; and/or
- WAPW and/or its professional group controls the issuer.

Securities are considered “connected” to WAPW where, due to indebtedness or other relationships with WAPW or its professional group, a reasonable prospective purchaser of the securities of the connected issuer might question the independence of WAPW from the issuer.

WAPW has policies and controls in place to ensure that any dealings in securities of related or connected issuers will comply with the investment objectives, restrictions, guidelines and other applicable provisions of your Client Account Agreements and Investment Policy Statement (as applicable).

List of Related and Connected Issuers to WAPW as at July 1, 2024:

1. Independent Advisor Solutions Inc.
2. Emerge Capital Management Inc.
3. Emerge Canada Inc.

List of Related and Connected Securities to WAPW as at July 1, 2024:

1. Global Systematic Active Equities Fund
2. Global Fixed Income Opportunities Fund
3. Global Tactical ETF Asset Allocation Fund
4. Global Liquid Alternatives Fund
5. Global Balanced Portfolio Fund
6. Emerge Canada ETFs, including any residual accounts receivable from Emerge Canada Inc.

WAPW on occasion may also advise client or trade in securities where WAPW may act as a Principal Distributor. A Principal Distributor will receive fees and costs associated with the distribution of shares outlined the funds’ prospectus.

List of Funds where WAPW is a Principal Distributor as at July 1, 2024

1. Class W Units of the SEI Funds
2. The Golden Opportunities Fund

If you have any questions, please contact your Investment Advisor.

¹ For WAPW, the “professional group” includes its employees, officers and directors.