



## **PEAK'S PRIVACY POLICY**

### **OUR COMMITMENT**

At PEAK Financial Group and its subsidiaries (hereafter called <PEAK>), respect of confidential information collected is very important. Since our beginning we have worked successfully to maintain a standard of excellence and we wish to make sure that the same reputation applies to the protection of the personal information that we keep concerning our clients. In order to make sure that your personal information will be properly protected we are implementing the present policy.

### **WHY DO WE COLLECT INFORMATION?**

We collect personal information to ensure that we shall provide the level of service you are entitled to from us, and to make sure we offer you products that fit your needs. We only collect necessary information to meet that goal and to comply with laws and regulations in effect.

### **WHAT INFORMATION DO WE COLLECT ABOUT YOU?**

We collect personal information that we need for the purposes of our business, as follows, but with no limitations:

- Personal information required to open an account: your name, address, phone number, date of birth, your civil status, social insurance number, citizenship, and your dependants.
- All documents needed to comply with money laundering and terrorism legislation.
- Information required to comply with various securities legislation: banking information, your occupation and the name of your employer, your annual income, your net assets, your investment knowledge, your investment objectives, your tolerance level toward risk and the time horizon of your investments.
- All other pertinent information to make sure that we are servicing you well and offering you the proper products.

## **WHO HAS ACCESS TO THIS INFORMATION?**

Only the following persons will have access to your personal file:

- PEAK employees who are responsible for administrative tasks related to your accounts and who will service you in the future;
- PEAK employees who are responsible for supervision duties;
- All PEAK's sub-contracting agencies we deal with for administrative support and with which we have a privacy agreement;
- Your advisor and his/her employees;
- All individuals duly authorized by law or regulations;
- All individuals expressly designated by you

## **HOW DO WE KEEP THIS INFORMATION?**

The information collected about you is kept at our Head Office or in one of our branches, either on paper or electronic files. We deal with an external specialized firm to archive our information on electronic files. We make sure that the information we have is properly stored and that only the above-mentioned persons have access to it. In addition we keep this information for the full period prescribed by law.

## **HOW TO ACCESS YOUR INFORMATION?**

It is your right to access your personal and confidential information. You can ask us to change or modify the information we keep by making a written request to: PEAK Financial Group, c/o 2000 Mansfield, Suite 1800, Montreal, Quebec, H3A 3A6. We are committed to answer you in without delay.

## **COMPLAINTS**

If you believe that your personal information has not been treated in compliance with the present policy, you have the right to make a complaint to our Compliance department at this address: **compliance@peakgroup.com**. If your complaint is justified we are making the commitment to correct the situation immediately.

We thank you for placing your confidence in PEAK Financial Group.