

Canadian Investment Regulatory Organization

Date: 01.02.2023

Scope of the License:

Under the authority of this license, RBC EDGE TRADING is authorized to engage in the following activities within Canada:

Execution of Securities

Transactions:

- o Facilitate the buying and selling of securities, including equities, fixed-income instruments, and derivatives, on behalf of retail and institutional clients.
- o Act as an intermediary in financial transactions conducted on recognized Canadian exchanges and over-the-counter markets.

Company Address:

275 Slater St., #1500, Ottawa,
ON K1P 5H9, Canada

LICENSE TO OPERATE AS A REGISTERED BROKER- DEALER

This certifies that RBC EDGE TRADING, located at 275 Slater St., #1500, Ottawa, ON K1P 5H9, Canada, is duly licensed to operate as a broker-dealer under the regulations of the Canadian Investment Regulatory Organization (CIRO).

Investment Advisory Services:

- Provide tailored investment advice to clients based on risk tolerance, financial objectives, and compliance with CIRO regulations.
- Offer portfolio management services designed to meet the needs of individual and institutional investors.

Conditions of the License:

This license is granted on the condition that RBC EDGE TRADING continues to meet all membership obligations as prescribed by CIRO, including but not limited to:

- Submission of regular financial statements and audits.
- Implementation of effective internal control systems.
- Ongoing training and certification of key personnel.

By virtue of this license, RBC EDGE TRADING is authorized to perform the following activities in accordance with CIRO's rules and regulations:

- Execution of Securities Transactions: Facilitate the buying and selling of securities for clients.
- Client Advisory Services: Provide financial and investment advice in compliance with CIRO standards.
- Asset Management and Custodianship: Manage and safeguard client assets under CIRO's investor protection rules.
- Compliance with Canadian Securities Law: Ensure adherence to all federal and provincial securities regulations.

Compliance with Canadian Securities Laws:

- Maintain adherence to all federal and provincial securities regulations, including requirements for anti-money laundering (AML) policies, ongoing financial reporting, and operational audits.
- Develop and enforce internal compliance programs to align with CIRO's Code of Conduct and ethical guidelines.

**Failure to comply with CIRO
regulations may result in
suspension or revocation of
this license.**

Issued by:

Andrew J. Kriegler
President & CEO
Canadian Investment Regulatory
Organization

Expiration Date:

01.02.2033





U.S. Securities and Exchange Commission

BROKER-DEALER REGISTRATION CERTIFICATE

FROM:

Securities and Exchange Commission
100 F Street NE
Washington, DC 20549
USA

Date: 03.04.1997

This certifies that **RBC EDGE TRADING**, located at 275 Slater St., #1500, Ottawa, ON K1P 5H9, Canada, is hereby registered as a broker-dealer under the authority of the Securities and Exchange Commission (SEC) pursuant to the Securities Exchange Act of 1934.

BY OBTAINING THIS LICENSE, RBC EDGE TRADING IS AUTHORIZED TO CONDUCT THE FOLLOWING ACTIVITIES IN THE UNITED STATES:

- Securities Trading and Brokerage: Engage in the purchase and sale of securities on behalf of clients.
- Investment Advisory Services: Provide investment recommendations in compliance with SEC standards.
- Market Participation: Operate as a participant in U.S. securities markets under SEC and FINRA oversight.
- Regulatory Reporting: Comply with SEC requirements for financial disclosures, audits, and regulatory filings.

This license is contingent upon continued adherence to SEC rules, including maintaining adequate financial reserves, implementing anti-money laundering protocols, and providing investor protections.

Authorized By:
Jay Klenton

United States Securities and Exchange
Commission
Expiration Date: 03.04.2026


