

The Ten Guiding Principles

Principle 1 – Accountability: Stifel Canada is responsible for maintaining and protecting the personal information of clients. To fulfil this important mandate, Stifel Canada has designated a privacy officer, Christopher Hill, to ensure compliance with the Privacy Policy.

Principle 2 – Identifying Purposes: Stifel Canada will identify the purposes for which personal information is collected before or at the time of collection.

Principle 3 – Consent: Stifel Canada will obtain consent for collection, use, or disclosure of personal information unless not required by law, regulation, or self-regulation.

Principle 4 – Limiting Collection: Stifel Canada collects personal information by legal means and to the extent necessary to satisfy identified purposes.

Principle 5 – Limiting Use, Disclosure, and Retention: Stifel Canada may use or disclose personal information only for the purpose for which it was collected unless consent is obtained for other use or when required by law, regulations, or self-regulation. Stifel Canada retains personal information only for the period of time required to fulfil the purpose for which it was collected or as is required by law, regulations, or self-regulation.

Principle 6 – Accuracy: Stifel Canada will maintain personal information in its accurate, complete, and up-to-date form as is necessary to fulfil the purposes for which it is to be used.

Principle 7 – Safeguarding Client Information: Stifel Canada will protect personal information by security safeguards that are appropriate to its sensitivity level.

Principle 8 – Openness: Upon request, Stifel Canada will make available the policies and practices that apply to the management of personal information.

Principle 9 – Customer Access: Upon request and unless prohibited by law, regulation, or self-regulation, you will be given access to your personal information and be informed of its existence, use, and disclosure. You may also verify its accuracy and completeness and may request to amend it, if appropriate.

Principle 10 – Client Complaints and Suggestions: Questions or enquires with respect to Stifel Canada's Privacy Policy may be submitted to canadianprivacy@stifel.com.