

Investments

Special Resolution: No. 4

Effective Date: April 24, 2014

Revised: November 26, 2009; May 4, 2006; September 28, 2000; April 22, 1999; October 3, 1996; January 21, 1996; January 28, 1994; March 24, 1988; March 29, 1984; September 22, 1983, November 18, 1977

1. Any one of Group "A" hereunder, together with any one of Group "B" hereunder, may purchase, transfer, exchange or otherwise dispose of securities owned by or held in the name of The University of Western Ontario.

GROUP "A"

President & Vice-Chancellor _____

Vice-President (Operations & Finance) _____

Provost & Vice-President (Academic) _____

Secretary, The Board of Governors _____

GROUP "B"

Associate Vice-President (Finance & Facilities) _____

Director, Investments _____

Controller _____

Manager, Treasury & Investments _____

2. (a) In the event that the University implements "Organized Closure" procedures as a result of the Middlesex-London Health Unit raising the pandemic alert level to phase 6, any one of Group "A" OR Group "B" may purchase, transfer, exchange or otherwise dispose of investments owned by or held in the name of the University of Western Ontario.
- (b) In the case of donated securities, where donors transfer securities to an approved brokerage account in the name of The University of Western Ontario in accordance with Gift Acceptance Policy (2.1) and Gift Valuation Policy (2.28), any one of the following will have authority to issue sell instructions related to those donated securities held in the approved brokerage accounts.

Financial Officer, Finance & Budget (External) _____
Finance & Budget Analyst (External) _____
Executive Director, Advancement _____

- (c) Subsequent reporting to the Property & Finance Committee will be completed for any transactions initiated under 2(a) that exceed \$5.0 million.
- 3. All investment transactions will be conducted in accordance with policies approved by the Board of Governors.

Dated this _____ day of _____, 20____, at London, Ontario

THE BOARD OF GOVERNORS
THE UNIVERSITY OF WESTERN ONTARIO

A. Chakma
President & Vice-Chancellor

I. Birrell
Secretary of the Board of Governors

(Corporate Seal)