

In accordance with the *Proceeds of Crime (Money Laundering) and Terrorist Financing Act* (hereinafter "PCMLTFA"), National Bank Direct Brokerage, a division of National Bank Financial Inc. (hereinafter "NBDB") is required to verify the identity of all account holders, all persons empowered to give instructions and any person who has a financial interest in the account. This includes the requirements of Rule 3200 of the Investment Industry Regulatory Organization of Canada (hereinafter "IIROC") to ascertain the identity of any individual who is the beneficial owner of 25% or more of the corporation or similar entity or, for a trust, ascertain the identity of any individual that exercises control over the affairs of the trust, usually the trustees. If you are one of these persons, please complete this form.

1. IDENTIFICATION OF ACCOUNT HOLDER

Surname of Account Holder _____ First name of Account Holder _____ Account Number _____

2. GENERAL INFORMATION

Indicate in which capacity you are acting:
 Account holder (Please go to section 3) **OR** Person authorized to give instructions or with a financial interest in the account **OR** Other Specified: _____

Surname _____ First Name _____ Date of Birth (MM DD YYYY) _____

Occupation _____ Type of business _____

Current address _____ City _____ Province _____ Country _____ Postal Code _____

Have you lived at this address for more than 12 months? Yes No, please provide previous permanent address: _____

Previous address _____ City _____ Province _____ Country _____ Postal Code _____

3. VERIFICATION OF IDENTITY

3.1 Identification document method – In presence
 If you are physically present at a branch of National Bank of Canada or at our offices, NBDB must verify your identity by referring to an authentic government issued, identity document with photo, valid and up to date:

Driver's licence issued in Canada **OR** Health Insurance Card issued by the Province of Quebec **OR** Canadian passport **OR** Permanent Resident Card

Reference No.: _____ Issuing province (if applicable): _____ Issuing country: _____ Expiry date: _____ (MM DD YYYY)

I hereby acknowledge that I have seen the original document of the piece of identification checked above in the presence of the person to be identified.

First name and Surname of the Employee: _____ Transit: _____

Signature of the Employee: X _____ Date: _____ (MM DD YYYY)

3.2 Dual process method – In absence
 If you are not physically present at a branch of National Bank of Canada or at our offices, NBDB must identify you by using a combination of the following methods: 1) by confirming that you hold a deposit account with National Bank of Canada OR by confirming that a cheque drawn on a deposit account with an acceptable financial institution has cleared AND 2) by referring to your credit file OR by referring to an independent and reliable identification product that is based on your personal and Canadian credit history information¹.

¹ Please note that if you are a National Bank of Canada client, unless you notify us otherwise and if some conditions are fulfilled, referring to your credit file or to an independent and reliable identification product might not be necessary in order to verify your identity, NBDB will automatically proceed with identifying you by validating your identity with National Bank of Canada.

Please choose one of the following options:
A Confirmation of a bank reference: Information on the client's account at **National Bank of Canada**

Institution No. _____ Transit (usually 5 digits) _____ Account No. (usually 7 digits *Refer to the bottom of cheque) _____

B Cleared cheque (NBDB account holder only)
 Please attach a check of at least \$25.00 made out to National Bank Direct Brokerage. The check will be deposited to your brokerage account and will be used to verify your identity.

4. CONSENT

For the purpose of applying the provisions of the Applicable Regulations, I (account holder or person authorized to give instructions or who benefits from a brokerage account) hereby authorize my financial institution, National Bank Financial Inc. (if applicable) and NBDB to exchange certain personal information about me, including those in this form, to confirm my identity as stipulated in the Applicable Regulations.

Date (MM DD YYYY): _____ Signature: X _____

RESERVED FOR NBDB

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| AND | <input type="checkbox"/> SSC verification Methods used to verify identity in absence <input type="checkbox"/> NBC Bank reference | Methods used to verify identity in presence <input type="checkbox"/> Verification of an authentic government issued, identity document with photo, valid and up to date or <input type="checkbox"/> Verification of an identity document at CIS (CLTIDD screen) or SAP |
| | <input type="checkbox"/> Cleared cheque Name of Financial Institution: _____ Account No.: _____ | Cross reference of information Identity confirmed: <input type="checkbox"/> Yes <input type="checkbox"/> No Verified by: _____ Name of the employee |
| | <input type="checkbox"/> Credit Report or <input type="checkbox"/> Identification Report | _____ Initials Date (MM DD YYYY) |