

In accordance with the Proceeds of Crime (Money Laundering) and Terrorist Financing Act (hereinafter "PCMLTFA"), National Bank Direct Brokerage (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 Regulation 1300.1 of the Investment Industry Regulatory Organization of Canada (hereinafter "IIROC") to ascertain the identity of any individual who is the beneficial owner of more than 10% of the corporation or similar entity. If you are one of these person, 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:			
<input type="checkbox"/> Account holder <small>(Please go to section 3)</small>	OR	<input type="checkbox"/> Person authorized to give instructions or with a financial interest in the account	OR
<input type="checkbox"/> Other		Specified : _____	
Surname	First Name	Date of Birth (MM DD YYYY)	
Occupation	Type of business		
Current address	City	Province	Postal Code
Have you lived at this address for more than 12 months?			
<input type="checkbox"/> Yes		<input type="checkbox"/> No, please provide previous permanent address:	
Previous address	City	Province	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 original and valid photo identification document from the following:			
<input type="checkbox"/> Driver's licence issued in Canada	OR	<input type="checkbox"/> Health Insurance Card issued by the Province of Quebec	OR
<input type="checkbox"/> Canadian passport		OR	
<input type="checkbox"/> Permanent Resident Card			
Reference No.:	Place of issuance:	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: _____		Branch: _____	
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 an acceptable financial institution 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 principal financial institution

Name of Financial Institution _____

Address of Financial Institution	City	Province	Postal Code
Telephone No.	Transit	Institution No.	Account No.
<small>(usually 5 digits)</small>		<small>(usually 7 digits *Refer to the bottom of cheque)</small>	

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

4. CONSENT TO THE COLLECTION, USE AND DISCLOSURE OF PERSONAL INFORMATION	
For the purpose of applying the provisions of the Applicable Regulations, I, the undersigned (account holder or person authorized to give instructions or who benefits from a brokerage account), hereby authorize my financial institution and NBDB to exchange certain personal information about me, solely to confirm my identity as stipulated in the Applicable Regulations and for no other purpose. I therefore authorize both parties to exchange the personal information provided on this form.	
Date (MM DD YYYY): _____	Signature: X

RESERVED FOR NBDB	
<input type="checkbox"/> SSC verification Methods used to verify identity in absence <input type="checkbox"/> NBC Bank reference or <input type="checkbox"/> Bank reference from another financial institution Person contacted at the other financial institution : _____ Identity confirmed: <input type="checkbox"/> Yes <input type="checkbox"/> No or <input type="checkbox"/> Cleared cheque Name of Financial Institution: _____ Account No.: _____	Methods used to verify identity in presence <input type="checkbox"/> Verification of an identity document or <input type="checkbox"/> Verification of an identity document at CIS (CLTIDD screen)
AND	Cross reference of information Identity confirmed: <input type="checkbox"/> Yes <input type="checkbox"/> No Verified by: _____ <div style="text-align: right; padding-right: 20px;">Name of the employee</div>
<input type="checkbox"/> Credit Report or <input type="checkbox"/> Identification Report	_____ Initials Date (MM DD YYYY)