

THIS FORM MUST BE FILLED OUT BEFORE THE ACCOUNT IS OPENED

Identification of the Entity

Name of the entity ("Client"): _____ Account number: _____

Country of incorporation: _____ Trust number (if applicable): _____

If the entity is a Non-Profit Organization (NPO), please specify:

- Charities registered with the Canada Revenue Agency
Please specify registration number: _____ (attach a copy from the CRA web site);
- Organization other than the one referred to above, which solicits charitable donations from the public.
- Other, specify: _____

Section 1 – Tax Residency Status of the Entity

Declaration of Entity's Residence for Tax Purposes

Please select all categories that apply to the entity (see "Agreements – Definitions" at the end of this form):

- The entity is a resident of Canada for tax purposes;
- The entity is a resident of the United States for tax purposes (account must not be opened for this entity);
- The entity is a "specified" United States person (account must not be opened for this entity);
- The entity is a resident of one or more countries other than Canada and United States for tax purposes. **(Please complete the section below)**

Please complete the country of residence for tax purpose and the tax identification number (TIN)¹ in the section below:

Country of Residence for Tax Purpose	Tax Identification Number (TIN) ¹	If the entity does not have a TIN ¹ , select <u>reason A, B or C</u>

¹ Tax identification number (TIN) is a unique combination of letters or numbers that a country assigns to an individual or entity for the purpose of tax identification. (Example: In Canada, the TIN correspond to the SIN for an individual person, the BN or provincial number for entities). If the entity does not have a TIN for a particular country, please choose one of the following reasons:

- Reason A: The entity will request a TIN or has already requested one but did not yet received it.
- Reason B: The country of residence does not issue a TIN for tax purposes to its residents. **(Not applicable for United States)**
- Reason C: Other reason, please specify in the section above.

Entity Classification

Please choose one (1) category applicable to the entity:

- A) The entity is a business or professional enterprise (restaurant, retailer, accounting firm, etc.) where less than 50% of its gross revenue comes from passive income (interest, dividends, etc.) and less than 50% of its assets generate passive income.
- B) The entity is an entity, or is related to an entity, whose shares are regularly traded on a regulated market.
- C) The entity is a government, a central bank, an international organization, or an entity associated with such an entity.
- D) The entity is an active non-financial entity recognized by the CRA other than the entities described in the above three options (NFPO/NPO, new entity existing less than 24 months, entity that has commenced winding-up proceedings).
- E) The entity is a non-financial passive entity with 50% or more of gross revenues derived from passive sources such as interest, dividends, capital gains, rents or royalties (trust, management company and investment club).

(Please complete the section below)

- Identify the natural persons who control or are beneficiaries of **at least 25%** of the entity. If no natural person is designated, a senior official must be identified in the table below;
- In the case of a trust, identify the Trustee(s), Constituent(s) and Beneficiary(ies);
- If one or more of these persons is a US person, attach a VD270 (W9) form for each of them.

Identification of persons who control the entity corresponding to category "E" above:

Last name: _____ First name: _____

Address (No. and street): _____ Apartment: _____

City: _____ Province: _____ Country: _____ Postal code: _____

Birth date (YYYY-MM-DD): _____

Role of person having control:

- shareholder associate member of an investment club beneficiary of a trust settlor of a trust
- trustee senior official

Country of Residence for Tax Purpose	Tax Identification Number (TIN) ¹	If the entity does not have a TIN ¹ , select reason A, B or C

¹ Tax identification number (TIN) is a unique combination of letters or numbers that a country assigns to an individual or entity for the purpose of tax identification. (Example: In Canada, the TIN correspond to the SIN for an individual person, the BN or provincial number for entities). If the entity does not have a TIN for a particular country, please choose one of the following reasons:

- Reason A: The entity will request a TIN or has already requested one but did not yet received it.
- Reason B: The country of residence does not issue a TIN for tax purposes to its residents. **(Not applicable for United States)**
- Reason C: Other reason, please specify in the section above.

If more than one person should be identified, please attach additional copies of this page.

Section 2 – Identification of the Client's Ownership Structure

Does the Client consist of:

- # _____ **Entities** that control or are beneficiaries of over 10% (complete Sections 3, 4 and 5 for each entity)
Number
- # _____ **Physical persons** who control or are beneficiaries of over 10% (complete Sections 4 and 5 for each person)
Number
- # _____ **Client's Directors** (complete section 6)
Number
- # _____ **Settlers of a trust** (complete Sections 4 and 5 for each settlor)
Number
- # _____ **Trustees** (complete Sections 4 and 5 for each trustee)
Number

Section 3 – Identification of entities that control or are beneficiaries of more than 10% of the Client

Name of entity: _____

Entity's authorized representative Last name: _____ First name: _____

Percentage ownership of Client: _____ %

Number of beneficial or owners of more than 10% of the Client:

_____ **Entities** (please identify them below)
Number

_____ **Physical persons** (please complete Sections 4 and 5)
Number

Name of entity: _____

Entity's authorized representative Last name: _____ First name: _____

Percentage ownership of Client: _____ %

Number of beneficial or owners of more than 10% of the Client:

_____ **Entities** (please identify them below)
Number

_____ **Physical persons** (please complete Sections 4 and 5)
Number

Name of entity: _____

Entity's authorized representative Last name: _____ First name: _____

Percentage ownership of Client: _____ %

Number of beneficial or owners of more than 10% of the Client:

_____ **Entities** (please identify them below)
Number

_____ **Physical persons** (please complete Sections 4 and 5)
Number

Name of entity: _____

Entity's authorized representative Last name: _____ First name: _____

Percentage ownership of Client: _____ %

Number of beneficial or owners of more than 10% of the Client:

_____ **Entities** (please identify them below)
Number

_____ **Physical persons** (please complete Sections 4 and 5)
Number

If necessary, please attach additional copies of Section 3.

Section 4 – Identification of natural persons who control or are beneficiaries of over 10% of the Client, the constituents and trustees of a trust

Mr. Ms. Last name: _____ First name: _____
Name of entity in Section 3: _____ Percentage ownership of Client: _____ %
 Shareholder Associate Member of an Investment club
 Beneficiary of a trust Settlor of a trust Trustee
 Senior official, where no natural person controls or is the beneficiary of more than 10% of the entity.
(The senior official of the entity should be identified in section 1 of this document.)

Personal address

Address (No. and street): _____ Apartment: _____
City: _____ Province: _____ Country: _____ Postal code: _____
Citizen of: Canada United States Other: _____
Province/Country for tax purposes is identical to personal address: Yes No, please specify: _____

Other information

Date of birth (YYYY-MM-DD): _____ Social Insurance Number: _____
Primary phone number: _____ Additional phone number: _____
Occupation: _____ Employer's name: _____

Questions

Are you an employee of a securities dealer?
 No Yes (Name of the firm: _____)

Are you a reporting insider of a company whose shares are traded on a stock exchange or in over-the-counter markets?
 No Yes, please specify the company name, the stock symbol and the market:
Company name _____, stock symbol _____, market _____

Are you a major shareholder (owning, directly or indirectly, more than 20% of shares with voting rights)?
 No Yes, please specify the company name, the stock symbol and the market:
Company name _____, stock symbol _____, market _____

Are you, or have you been, a Politically exposed domestic person (in the last 5 years), a Politically exposed foreign person or are you currently the head of an international organization? Do you have close ties to someone in one of these categories (family member or close associate)? (See Agreements – Section 6 in the account opening form (D201))
 No Yes (attach VD2050)

Consent and attestation of the person whose identity is being verified

I, the undersigned, attest that I have read the previous sections, and confirm that the personal information herein is true, complete and accurate as of the present date. I authorize Desjardins Online Brokerage to collect, use and disclose my personal information to verify my identity, to protect itself against fraud and error and to comply with the requirements set out in the laws and regulations. I authorize my financial institution, as well as Desjardins Online Brokerage, to use certain personal information solely to verify my identity within the definition of the the *Proceeds of Crime (Money Laundering) and Terrorist Financing Act* and for no other purpose. I authorize the transmission of the personal information appearing on this form to both parties.

Signature of the person whose identity is verified

Date (YYYY-MM-DD)

Please attach a legible copy of an official photo identification document.
If necessary, please attach additional copies of Section 4.

Section 5 – Verification of the identity of natural persons who control or are beneficiaries of more than 10% of the Client, the constituents¹ and Trustees of a Trust identified in Section 4

¹ This section does not apply to settlors of a trust in Section 4 if they hold the professional title of accountant, notary or lawyer.

IDENTITY VERIFICATION is required under the Proceeds of Crime (Money Laundering), the Terrorist Financing Act (PCMLTFA) and the Internal Revenue Service (IRS).

Client Resident of Canada

Identity verification by: (Reserved for Caisse Desjardins Advisor/Desjardins Online Brokerage Representative)

Desjardins Online Brokerage Caisse Desjardins (Please complete method 1: Identity verification done in person)

Name of Caisse: _____ Transit No.: _____ Institution No.: _____

Name of Advisor: _____ Verification Date (YYYY-MM-DD): _____

Legible copies must be attached at all times:

- Document(s) collected to verify the identity of the client (PCMLTFA requirement)

Complete one [1] of the two sections below, according to the method of identification used

Method 1: Identity verification done in person

Verification of one (1) piece of government issued photo ID:

- driver's licence¹ health insurance card¹⁻² passport³ (issuing country: _____)
- provincial or territorial identity card (ex: "Photo Card")¹ permanent Resident Card of Canada secure Certificate of Indian Status

Document No.: _____ Expiry date (YYYY-MM-DD): _____ Verification date (YYYY-MM-DD): _____

¹ Indicate the issuing **Canadian** province or territory: _____

² Not valid in Ontario, New Brunswick, Nova Scotia, Manitoba or Prince Edward Island.

³ A certified translation may be required.

Method 2: Identity verification done in person or not

Equifax (existing for **more than three (3) years** including name, address and date of birth)

File No.: _____ Verification Date (YYYY-MM-DD): _____

OR

verification of **two [2] of the following three [3] options:**

1) Equifax (existing for **more than six (6) months** including name, address and date of birth)

File No.: _____ Verification Date (YYYY-MM-DD): _____

2) Original utility account statement (ex: electricity, telecommunications, etc.)

OR Original document from the Canada Revenue Agency (ex: T4)

Document No.: _____ Document Date (YYYY-MM-DD): _____ Verification Date (YYYY-MM-DD): _____

3) Original bank account statement, credit card statement or loan statement:

Document No.: _____ Document Date (YYYY-MM-DD): _____ Verification Date (YYYY-MM-DD): _____

OR Bank reference

Name of Financial institution: _____ Phone No.: _____

Institution No.: _____ Transit No.: _____ Account No.: _____

Contact name: _____ Verification Date (YYYY-MM-DD): _____

Note: the original version corresponds to the document that the person has downloaded or received from the issuer, either by mail or electronically.

Signature (Reserved for Desjardins Online Brokerage)

Date of identity verification of the person who controlled entitie from the information provided by Caisse Desjardins (if applicable): _____

Name of the representative (in block letters)

Signature of the representative

Date (YYYY-MM-DD)

Name of Branch Manager (in block letters)

Signature of Branch Manager

Date (YYYY-MM-DD)

Desjardins Securities Inc. uses the trade name "Desjardins Online Brokerage" for its discount brokerage activities. Discount brokerage products and services are consolidated under the trademark "Disnat". Desjardins Securities is a member of the Investment Industry Regulatory Organization of Canada (IIROC) and the Canadian Investor Protection Fund (CIPF).

Section 6 – Identification of Client’s Directors

Mr. Ms. Last name: _____ First name: _____
Address (No. and street): _____ Apartment: _____
City: _____ Province: _____ Country: _____ Postal code: _____
Birth Date (YYYY-MM-DD): _____ Occupation: _____
Name of employer: _____

Mr. Ms. Last name: _____ First name: _____
Address (No. and street): _____ Apartment: _____
City: _____ Province: _____ Country: _____ Postal code: _____
Birth Date (YYYY-MM-DD): _____ Occupation: _____
Name of employer: _____

Mr. Ms. Last name: _____ First name: _____
Address (No. and street): _____ Apartment: _____
City: _____ Province: _____ Country: _____ Postal code: _____
Birth Date (YYYY-MM-DD): _____ Occupation: _____
Name of employer: _____

Mr. Ms. Last name: _____ First name: _____
Address (No. and street): _____ Apartment: _____
City: _____ Province: _____ Country: _____ Postal code: _____
Birth Date (YYYY-MM-DD): _____ Occupation: _____
Name of employer: _____

Mr. Ms. Last name: _____ First name: _____
Address (No. and street): _____ Apartment: _____
City: _____ Province: _____ Country: _____ Postal code: _____
Birth Date (YYYY-MM-DD): _____ Occupation: _____
Name of employer: _____

Mr. Ms. Last name: _____ First name: _____
Address (No. and street): _____ Apartment: _____
City: _____ Province: _____ Country: _____ Postal code: _____
Birth Date (YYYY-MM-DD): _____ Occupation: _____
Name of employer: _____

Mr. Ms. Last name: _____ First name: _____
Address (No. and street): _____ Apartment: _____
City: _____ Province: _____ Country: _____ Postal code: _____
Birth Date (YYYY-MM-DD): _____ Occupation: _____
Name of employer: _____

If necessary, please attach additional copies of Section 6.

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Agreements – Definitions

Tax Residence:

In general, a person is resident of a country for tax purposes if, under the laws of that country, they pay or are required to pay tax because they are domiciled or resident therein, or meet similar criteria.

Person from the United States (“US”):

An entity is a US person in the following cases:

- A corporation or partnership incorporated in the United States or in one of its States.
- A trust subject to US law and controlled by one or more US residents or citizens for tax purposes;
- A testamentary trust or deceased person who was, at the time of death, a citizen or resident of the United States for tax purposes.

Designated Person of the United States (“US”):

An entity is a designated person of the US when it is a US person as described above, excluding the following entities:

- A corporation incorporated in the United States whose shares are regularly traded on one or more regulated stock exchanges and any US incorporated company within the same expanded affiliate, as the term “*expanded affiliated group*” means in Section 1471(e)(2) of the Internal Revenue Code of the United States;
- Public corporation belonging 100% to the government of the United States;
- US States and US territories, including any political subdivision and any public-law corporation wholly owned by such State, Territory or Subdivision;
- US Financial Institutions;
- US regulated investment company;
- US Real Estate Investment Trust;
- Group trust funds;
- Tax-exempt Organization or Trust, and US Individual Pension Plan;
- US dealer in securities, derivatives and commodities.