

Obtaining an approval is required before opening the account.

In accordance with the *Proceeds of Crime (Money Laundering) and Terrorist Financing Act (PCMLTFA)*, Desjardins Securities Inc. must establish if it is dealing with a PEP or a HIO.

Identification of the client

Mr. Ms. Last name: _____ First name: _____ Client number: _____

Identification of the Person who Holds or has Held the Office or Position

- Client;
- Family member: spouse/common law partner, child, father/mother, father/mother of their spouse/common law partner, child of their father/mother (sibling);
- Person closely associated with the client for personal or professional reasons.

Relationship: _____ Last name: _____ First name: _____

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

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

Choose ONE of the three categories applicable to the person

Category 1 – Politically Exposed Foreign Person (foreign PEP)

A person who **holds or has held** one of the following offices or positions in or on behalf of a foreign state:

- head of state or head of government;
- member of the exclusive council of government or member of a legislature;
- deputy minister or equivalent rank;
- ambassador or attaché or counsellor of an ambassador;
- military officer with a rank of general or higher;
- officer of a state-owned company or a state-owned bank;
- head of a government agency;
- judge of a supreme court, constitutional court or other court of last resort; or;
- leader or president of a political party represented in a legislature;
- other, specify: _____

Category 2 – Politically Exposed Domestic Person (domestic PEP)

A person who **holds or has held within the last 5 years** a specific office or position in or on behalf of the Canadian federal government, a Canadian provincial government, or a Canadian municipal government:

- Governor General, lieutenant governor or head of government;
- member of the Senate or House of Commons or member of a legislature;
- deputy minister or equivalent rank;
- ambassador, or attaché or counselor of an ambassador;
- military officer with a rank of general or above;
- president of a corporation that is wholly owned directly by Her Majesty in right of Canada or a province;
- head of a government agency;
- judge of an appellate court in a province, the Federal Court of Appeal or the Supreme Court of Canada;
- leader or president of a political party represented in a legislature; or
- mayor (head of a city, town, village, or rural or metropolitan municipality)
- other, specify: _____

Category 3 - Head of an International Organization (HIO)

A person who **is** either the head of an international organization established by the governments of states or the head of an institution established by an international organization.

Title of the position held: _____

Name of the organisation/institution: _____

Identification of the entity in which the functions are or have been performed

Name of entity: _____ Sector of business: _____
Address (No. and street): _____ Apartment: _____
City: _____ Province: _____ Country: _____ Postal code: _____

Identification of the Financial Institution/Origin of the Funds

Name of the Financial Institution: _____ Telephone: _____
Address (No. and street): _____ Apartment: _____
City: _____ Province: _____ Country: _____ Postal code: _____
Transit No.: _____ Institution No.: _____ Account No.: _____

Description of source of funds: _____

Verification of bank references:

Name of the Contact: _____ Telephone number: _____ Date: _____
(YYYY-MM-DD)

Signature

Client's signature*: _____ Date: _____
(YYYY-MM-DD)

**If the client's signature is not obtained, the Investment advisor or representative must complete the section below.*

DECLARATION AND SIGNATURE OF THE INVESTMENT ADVISOR OR REPRESENTATIVE (IF APPLICABLE)

I the undersigned, an investment advisor or representative, declare that I have contacted the client and confirm that I obtained the information on that particular form in a: meeting telephone conversation

other, please specify: _____ Date (YYYY-MM-DD) _____

Investment advisor or representative's name _____ Signature _____ Date (YYYY-MM-DD) _____

Comments: _____

APPROVAL OF THE ACCOUNT (RESERVED TO DESJARDINS SECURITIES INC.)

Confirmation that the client is a Foreign PEP Domestic PEP HIO _____
Date (YYYY-MM-DD) _____

Name of authorized director _____ Signature of authorized director _____