NATIONAL BANK
DIRECT BROKERAGE

VERIFICATION OF IDENTITY

Clear all

In accordance with *the Proceeds of Crime (Money Laundering) and Terrorist Financing Act* (hereinafter "PCMLTFA"), National Bank Direct Brokerage (hereinafter "NBDB"), a division of National Bank Financial Inc. (hereinafter "NBF") 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 Canadian Investment Regulatory Organization (hereinafter "CIRO") 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. *NBF has signed a Qualified Intermediary (QI) agreement with the IRS that allows non-U.S. clients to benefit from reduced tax rates on U.S.-source income as long as it properly identifies and documents clients.*

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: Choose ... ______ 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: Choose ... ______ Country ______ Postal Code ______

3. VERIFICATION OF IDENTITY

3.1 Identification document method – In presence

Acceptable for PCMLTFA and QI.
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)

Does the ID provided by the customer contain a US indicia? ☐ Yes ☐ No

If yes, ask the customer to provide a hand-signed W9. Available on www.bncd.ca
If this form is used to identify a non-resident client of Canada, a W8BEN must be obtained for QI purposes as this method of identity verification is only valid for Canadian residents.
Please complete and/or update the customer identity documentation on CRM-SAP.

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

Acceptable only for PCMLTFA.
For QI documentation purposes, please use a Form W-9 for a client who is a citizen or resident of the United States or in any other case, a Form W-8BEN.

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 information[1].

[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.: 006 ______ 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

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