



# Corporate Information Statement

The purpose of this form is to collect information which securities dealers are required by law to obtain under the Proceeds of Crime (Money Laundering) and Terrorist Financing Act and by the By-laws, Regulations and Rules of the self-regulatory organizations governing securities dealers when opening an account.

1. Corporation Name: \_\_\_\_\_ ("Corporation")
2. Jurisdiction of Incorporation: \_\_\_\_\_
3. Account No. (if known): \_\_\_\_\_ ("Account")
4. Our Dealer Name: \_\_\_\_\_ ("Dealer")

5. Each of the Corporation's directors' name, address and occupation as of the date hereof:

Full Name	Address	Occupation
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- |    |       |       |
|----|-------|-------|
| 1. | _____ | _____ |
| 2. | _____ | _____ |
| 3. | _____ | _____ |
| 4. | _____ | _____ |

Attach additional sheets if required.

6. Attached is a copy of the Corporation's Articles of Incorporation.

7. Attached is:

- (a) a Certificate of Status issued by the Corporation's jurisdiction of incorporation dated less than 90 days' prior to the date hereof; or
- (b) a copy of a Canadian federal, provincial, territorial or municipal notice of assessment in the name of the Corporation and dated less than 12 month's prior to the date hereof.

8. Attached is a copy of the Corporation's most recent annual return filed with the Corporation's jurisdiction of incorporation bearing a "received" stamp of not more than 12 month's prior to the date hereof confirming the name and address of the directors of the Corporation as identified above.

9. The following individuals own or control, directly or indirectly, more than 10% of the shares of the Corporation.

Attach additional sheets if required.

Please consult your financial advisor for instructions with respect to the determination of the beneficial ownership or control of shares of the Corporation held indirectly through one or more corporations or other entities.

For each individual identified below, please complete and attach a Corporate Beneficial Shareholder Information Statement.

## INDIVIDUAL A

Name: \_\_\_\_\_ % Ownership/Control: \_\_\_\_\_ %  
% Ownership/Control of voting securities: \_\_\_\_\_ %

## INDIVIDUAL B

Name: \_\_\_\_\_ % Ownership/Control: \_\_\_\_\_ %  
% Ownership/Control of voting securities: \_\_\_\_\_ %

## INDIVIDUAL C

Name: \_\_\_\_\_ % Ownership/Control: \_\_\_\_\_ %  
% Ownership/Control of voting securities: \_\_\_\_\_ %

10. (a) Our Dealer is a member of the Investment Industry Regulatory Organization of Canada. ☐ Yes ☐ No If No, please go to section 11.
- (b) If section 10(a) is Yes, the Corporation is exempt from the Investment Industry Regulatory Organization of Canada's requirements to verify the identity of individuals owning or controlling, directly or indirectly, more than 10% of the shares of the Corporation: ☐ Yes ☐ No
- (c) If section 10(b) is Yes, which of the following reasons apply:
- ☐ The Corporation is or is an affiliate of a bank, trust or loan company, credit union, caisse populaire, insurance company, mutual fund, mutual fund management company, pension fund, securities dealer or broker, investment manager or similar financial institution subject to a satisfactory regulatory regime in the country in which it is located.
  - ☐ The securities of the Corporation or an affiliate of the Corporation are publicly traded.

NOTE: Each individual shareholder identified in section 9 must complete a Corporate Beneficial Shareholder Information Statement.

If sections 10(a) and (b) are Yes, their identity does not need to be verified.

If section 10(a) is Yes and section 10(b) is No, their identity must be verified.

11. The Corporation is a not-for-profit organization: ☐ Yes ☐ No

If Yes: (a) the Corporation is a charity registered with Canada Revenue Agency and, if yes, the Corporation's charitable registration number is \_\_\_\_\_; or, if not

(b) the Corporation is an organization that solicits charitable financial donations from the public:  
☐ Yes ☐ No

### To: Dealer

By signing below and with respect to the Account application form to which this Corporate Information Statement is attached or is related to, I declare that I am authorized to make this Corporate Information Statement on behalf of the above-noted Corporation and the foregoing information to be true and complete and the Corporation undertakes to promptly advise the Dealer in writing of any change in the above information.

\_\_\_\_\_  
Date (mm/dd/yyyy)

\_\_\_\_\_  
Name

\_\_\_\_\_  
Title

\_\_\_\_\_  
Signature

I have authority to bind the Corporation.

### Dealer Use

Received, reviewed and complete.

If the Dealer is a member of the Mutual Fund Dealers Association of Canada, individual shareholders DO NOT need to have their identity verified.

If the Dealer is a member of the Investment Industry Regulatory Organization of Canada, do the individual shareholders need to have their identity verified: ☐ Yes ☐ No

\_\_\_\_\_  
Date (mm/dd/yyyy)

\_\_\_\_\_  
Name of Individual completing review

\_\_\_\_\_  
Signature

### NOTE TO DEALERS AND FINANCIAL ADVISORS

This form is provided as a courtesy only and B2B Bank Financial Services Inc., B2B Bank Securities Services Inc. and B2B Bank Intermediary Services Inc. make no representations or warranties that this form or its use satisfies the requirements of the Proceeds of Crime (Money Laundering) and Terrorist Financing Act or the By-laws, Regulations and Rules of any applicable self-regulatory organization. It is recommended that this form only be used with the prior approval of your Compliance Department.

B2B Bank Dealer Services includes B2B Bank Financial Services Inc. (an MFDA member), B2B Bank Securities Services Inc. (an IIROC member, Member — Canadian Investor Protection Fund) and B2B Bank Intermediary Services Inc. (an AMF-regulated dealer operating in Quebec). B2B Bank is a trademark used under license.