

PEP Form

FILL OUT THIS FORM IF:

There is one or more Politically Exposed Foreign Person (PEP), Politically Exposed Domestic Person (DPEP), Head of an International Organization (HIO) or Close Associate (CA) of a PEP, DPEP or HIO, who is/are associated in any way with the applicant of this account.

Definitions:

A **Politically Exposed Foreign Person (PEP)** is 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 executive council of government 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 higher; president 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 a leader or president of a political party represented in a legislature.

Politically Exposed Domestic Person (DPEP) is a person who currently holds, or has held within the last 5 years, a specific office or position on behalf of the Canadian federal government, a Canadian provincial (or territorial) government, or a Canadian municipal government. Specifically, the person has held the office or position of: 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 counsellor 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 legislature; or mayor, reeve or other similar chief officer of a municipal or local government*. A person ceases to be a Domestic PEP 5 years after they have left office or 5 years after they are deceased.

*In line with legislation across Canada, municipal governments include cities, towns, villages, and rural (county) or metropolitan municipalities. As such, a mayor is the head of a city, town, village and rural or metropolitan municipality, regardless of the size of the population.

A **Head of an International Organization (HIO)** is a person who currently holds or has held within the last 5 years the specific office or position of head of an international organization and the international organization that they head or were head of is either: a) an international organization established by the government of states; b) an institution of an organization referred to in a) above; c) an international sports organization.

Close Associate (CA) of a PEP, DPEP or HIO, means an individual who is widely and publicly known to maintain an unusually close relationship with the PEP, DPEP, or HIO, and includes an individual who is in a position to conduct substantial domestic and international financial transactions on behalf of the PEP, DPEP, or HIO.

1. What is the full name of each PEP/DPEP/HIO/CA?

- a. First Name _____ Last Name _____ Date of Birth _____
- b. First Name _____ Last Name _____ Date of Birth _____
- c. First Name _____ Last Name _____ Date of Birth _____
- d. First Name _____ Last Name _____ Date of Birth _____
- e. First Name _____ Last Name _____ Date of Birth _____

2. What is the nature of the PEP/DPEP/HIO/CA's association with the account applicant?

- a. _____

- b. _____

- c. _____

- d. _____

- e. _____

3. Please provide details in relation to each PEP/DPEP/HIO/CA:

- a. Country _____ Position _____ Start Date _____
End Date _____
- b. Country _____ Position _____ Start Date _____
End Date _____
- c. Country _____ Position _____ Start Date _____
End Date _____
- d. Country _____ Position _____ Start Date _____
End Date _____
- e. Country _____ Position _____ Start Date _____
End Date _____

4. What is the source of funds being or will be deposited in the account? Please mark all boxes that apply.

- Employment Income Investment Income Savings Inheritance
- Payment for Legal Settlement Sale of an Asset Gift Other _____

5. What is the source of wealth of PEP / DPEP / HIO / CA (origin of total assets)? Please mark all boxes that apply.

- Business Undertakings Previous and Current Employment Income Real Estate Inheritance
- Family Estates Investments Lottery Winnings Other _____

Applicant Certification

By signing below, I certify that the information provided above is current, complete, and accurate, and I will update this information as soon as there are any changes in the future.

Signed this _____ day of _____, 20_____

Name of Applicant

Signature of Applicant

Subsequent Collection Form Standard Privacy Notice

CI Investment Services Inc. also doing business under the registered trade name of CI Direct Trading ("CIIS", "we", "our", "us") requires personal information to administer and provide services associated with your account ("Account Services"). We use the personal information collected on this form to provide the products and services you have requested, improve our products and services, and fulfill our legal and regulatory obligations. Additional privacy terms apply to use of our online services and certain other services. We are not responsible for Third Party Providers such as your financial advisor and their dealership, who process personal information in accordance with their own terms. We share your personal information with CI Financial company affiliates and their subsidiaries where necessary to administer and service your account. You have the right to request access to or correction of, or withdraw your consent to the processing of, your personal information. For more information, including with respect to our use of service providers outside of Canada or your province of residence, please contact our Privacy Officer or see the CIIS's Privacy Policy at <https://www.cifinancial.com/ci-is/ca/en/privacy.html>.