

# Enhanced Client Information Form

All Sections Must Be Completed

## 1. Client Information

This form is required for all persons considered to be Politically Exposed Foreign Persons (PEP), Politically Exposed Domestic Person (DPEP) including prescribed family members; Head of an International Organization (HIO); Close Associate (CA) of the same; or living in a high-risk jurisdiction.

\_\_\_\_\_  
Last name of client

\_\_\_\_\_  
First name and initials of client

\_\_\_\_\_  
Account Number

## 2. Definitions

### Politically Exposed Foreign Person (PEP)

An individual who holds or has held one of the following offices or positions in or on behalf of a state other than Canada and includes any spouse, common-law partner, child, mother, father, mother-in-law, father-in-law, brother, sister, or close associate of each:

- a) head of state or head of government
- b) member of the executive council of government or member of a legislature
- c) deputy minister or equivalent rank
- d) ambassador or attaché or counselor of an ambassador
- e) military officer with a rank of general or above
- f) president of a state-owned company or a state-owned bank
- g) head of a government agency
- h) judge of a supreme court, constitutional court, or other court of last resort
- i) leader or president of a political party represented in legislature, or
- j) holder of any prescribed office or position.

### Politically Exposed Domestic Person (DPEP)

An individual who holds or has held within the previous five years one of the following offices or positions referred to in any of paragraphs (a) and (c) to (j) in or on behalf of the Canadian federal government or a Canadian provincial government, or any of the offices or positions referred to in paragraphs (b) and (k), and includes any spouse, common-law partner, child, mother, father, mother-in-law, father-in-law, brother, sister, or close associate of each:

- a) Governor General, lieutenant governor, or head of government
- b) member of the Senate or House of Commons, or member of a legislature
- c) deputy minister or equivalent rank
- d) ambassador, or attaché or counsellor of an ambassador
- e) military officer with a rank of general or above
- f) president of a corporation that is wholly owned directly by Her Majesty in right of Canada or a province
- g) head of a government agency
- h) judge of an appellate court in a province, the Federal Court of Appeal, or the Supreme Court of Canada

- i) leader or president of a political party represented in legislature
- j) holder of any prescribed office or position, or
- k) mayor, reeve, or other similar chief officer of a municipal or local government.

### Head of International Organization (HIO)

An individual who holds or has held within the previous five years the office or position of head of:

- a) an international organization that is established by the governments of states
- b) an institution of an international organization that is established by the governments of states
- c) an international sports organization

### Close Associate (CA)

An Individual who are 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.

A. Is the Account holder a PEP/DPEP/HIO/CA?  No  Yes

\_\_\_\_\_  
If yes, country position is/was held

\_\_\_\_\_  
Title and position held (e.g. Judge, CEO)

\_\_\_\_\_  
If no, please indicate the relationship between the Account holder and the PEP/DPEP/HIO/CA

B. Is the Account holder living in a high-risk jurisdiction?  No  Yes

\_\_\_\_\_  
If yes, please indicate the country

## 3. Client Acknowledgment

\_\_\_\_\_  
First and last name of client

\_\_\_\_\_  
Client Signature

\_\_\_\_\_  
Date (MM/DD/YYYY)

#### 4. To Be Completed By Internal Office

Is Client Identification current?  No  Yes

Is Beneficial Ownership Information current?  No  Yes

If either above answer is "NO", please provide details

Source of Funds (e.g., inheritance; diplomatic salary)

Reason for High Risk

Have you met the client in person?  No  Yes

Client's Enrolled Firm

Rep Code

AMLO Name (please print)

AMLO Signature

Date (MM/DD/YYYY)

Chief Compliance Officer Name, or alternate (only required for PEP/DPEP/HIO/CA)

Chief Compliance Officer Signature

Date (MM/DD/YYYY)

#### Subsequent Collection Form Standard Privacy Notice

CI Investment Services Inc. ("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>