

## THIRD PARTY INFORMATION FORM

**A THIRD PARTY DISCLOSURE EXEMPTION**

As a financial institution, BMO InvestorLine is required under the Federal Proceeds of Crime (Money Laundering) and Terrorist Financing Act to collect specific information relating to accounts being opened. This form must be completed as the client opening the account(s) has disclosed that someone other than the client will be contributing to the account or that the account will be used by or on behalf of one or more third parties.

**Account Holder Legal Name:**

**Account Number(s):**

\*\*\*A separate form must be completed for each additional third party individual \*\*\*

Please Complete Section A or B (whichever applies).

**A. Third Party Disclosure Exemption**

The requirement to disclose Third Party Information does not apply because the account holder is one of the following:

- ☐ A financial entity\*
- ☐ A securities dealer authorized under Canadian provincial legislation engaged in the business of dealing in securities in Canada
- ☐ An entity engaged in dealing in securities only outside of Canada and:
  - ☐ Client is in a country that is a member of the Financial Action Task Force on Money Laundering (FATF)\*\* OR
  - ☐ Client is in a country that is not a FATF member but otherwise fulfills the requirements of subsection 9(5) of the Proceeds of Crime (Money Laundering) and Terrorist Financing Regulations. (Clients relying on this exemption must furnish satisfactory evidence of compliance with subsection 9(5) of the Regulations.)
- ☐ A legal counsel, accountant, or licensed real estate broker or sales representative and the account is to be used-only for clients of the account holder.

**B. Third Party Information**

The account holder on this account is not one of the entities described in A above. The following third party will be using or directing transactions within the account.

Name of Third Party:

Address of Third Party:

Third Party Date of Birth (YY/MM/DD):

Name of Principal Business Occupation of the Third Party:

Nature of the relationship between account holder and third party or the financial interest of the Third Party (i.e. customer, friends, employer, family trust, etc.):

If Third Party is a corporation, incorporation number and place of issue:

**B CERTIFICATION**

I, \_\_\_\_\_ (Account Holder), have signing authority for the above noted account and I hereby certify that the information provided on this form and any appended attachments is true, correct and complete. I will advise BMO InvestorLine in writing immediately if the information contained in the statement is no longer complete and accurate.

The undersigned hereby certifies that the information provided on this form and any appended attachment is true, correct and complete.

Signature of Account Holder Authorized Signing Officer

Date (YY/MM/DD)

\*"Financial Entity" means an authorized foreign bank within the meaning of section 2 of the Bank Act in respect of business in Canada, or a bank to which that Act applies; a co-operative credit society, savings and credit union and caisse populaire that is regulated by a provincial Act; an association that is regulated by the Co-operative Credit Associations Act; a company to which the Trust and Loan Companies Act applies; a trust company and loan company regulated by a provincial Act; or a department or agent of her majesty in right of Canada or a province where the department or agent accepts deposit liabilities in course of providing financial services to the public.

\*\*See <http://www.toecd.org/fatf/Members-en.htm> for a current list.

As a member of BMO Financial Group, BMO InvestorLine Inc. is committed to protecting privacy as it relates to personal information. This information is gathered to be used in servicing the account to which it relates.

For complete details, refer to our Privacy Code available at [www.bmoinvestorline.com](http://www.bmoinvestorline.com).