

FEDERATION OF CANADIAN INDEPENDENT DEPOSIT BROKERS (FCIDB)

GUIDELINES FOR THE USE OF THE CLIENT INFORMATION AND CONSENT FORMS (CICF)

The CICF has four purposes:

- ~~///~~ It lists the identification and information required to meet anti-money laundering requirements.
- ~~///~~ It confirms the information supplied has been seen and personally verified by the agent/broker (agent declaration).
- ~~///~~ It obtains client consent to use his personal information for purposes of making the investment (privacy).
- ~~///~~ It obtains the client consent for the broker to act on his verbal instruction for re-investments when the client is unable to provide a signature.

GUIDELINES FOR USE OF THE CICF:

1. The FCIDB CICF is a tool to assist our members to comply with the new AML Standards. The CICF is to be used when the client application form is not compliant (being compliant means proper ID, occupation, signatures on the application and a copy of the cheque used to purchase the GIC) and it should be retained on file for each client of the Member Firm.
2. The Member Firm undertakes to obtain up to date current information and new forms at the time they are aware of any material changes.
3. The FCIDB CICF is for the sole use of Deposit Broker and Financial Institution Members in good standing of the FCIDB.
4. Each sales representative within the Member Firm and affiliated agents or businesses associated to a Member Firm, selling guaranteed investment products and thereby utilizing the forms, will be required to be registered as a Member of the FCIDB. Member Firms undertake to provide a list to the FCIDB of Sales Representatives who will use these forms.
5. The forms have been vetted by legal counsel, are copyrighted and available only to FCIDB Members. The forms may be altered in colour, print style and adding the Member Firm's company logo only after obtaining prior written approval of the FCIDB. The FCIDB logo and copyright statement must remain on the forms.
6. Should you cease to be a member of the FCIDB, you agree to discontinue using the forms. The uses of any and all forms copyrighted by the FCIDB are for member use only.

