

1. CLIENT IDENTIFICATION RECORD (INDIVIDUAL) (FINTRAC – PCMLTFA Compliant)

Client Full Legal Name: _____

Date of Birth (YYYY/MM/DD): _____

Citizenship(s): _____

Country of Current Residence: _____

Canadian SIN (if applicable): _____

Identification Method Used (check one)

 Government-issued photo ID Dual-process method Other (explain):
_____**Identification Details:**

Document Type: _____

Issuing Authority / Country: _____

Document Number: _____

Expiry Date (if applicable): _____

Dual-Process Method (if applicable)

Source #1 (Name + DOB): _____

Source #2 (Name + Address): _____

Date Identity Verified: _____

Method: In-person Non-face-to-face**Broker / Agent Name & License #:** _____**Signature:** _____ **Date:** _____**2. POLITICALLY EXPOSED PERSON (PEP) & HIO DECLARATION (Mandatory for All Clients – FINTRAC Requirement)**

Please answer YES or NO to each question:

1. Are you a Politically Exposed Person (PEP) in Canada or abroad? Yes No
2. Are you a family member of a PEP? Yes No
3. Are you a close associate of a PEP? Yes No
4. Are you a Head of an International Organization (HIO) or a family member/associate of one? Yes No

If YES to any above, please provide details:

Position / Relationship: _____

Country / Organization: _____

Term Dates (if applicable): _____

I confirm the above information is true and complete.

Client Name: _____ Signature: _____ Date: _____

3. SANCTIONS & WATCHLIST DECLARATION (Canadian, UN & OSFI Sanctions Screening)

Please confirm the following:

I am **not subject** to Canadian, United Nations, or other international sanctions.

I am **not listed** on any terrorist property or restricted persons list.

I am **not acting on behalf** of any sanctioned individual or entity.

Client Name: _____ Signature: _____ Date: _____

4. NON-RESIDENT CANADIAN DECLARATION (BEST PRACTICE – MCE)

I confirm that I am a **Canadian citizen/permanent resident currently residing outside Canada**.

I understand that my non-resident status may require **enhanced due diligence**, including additional verification of identity, source of funds, and income.

I acknowledge that the mortgage broker has **not provided legal or tax advice** regarding residency or cross-border implications and that I have been advised to seek independent professional advice where appropriate.

Client Name: _____ Signature: _____ Date: _____

5. INTERNAL COMPLIANCE USE ONLY (BROKERAGE)

Sanctions Screening Method: Verifast/Equifax Manual list review

Date Screened: _____ Result: Clear Further Review Required

Enhanced Due Diligence Required? Yes No If yes, explain:

Reviewed By (Broker / Agent): _____

Signature: _____ Date: _____