

Client Identification and Verification

(For use where client, beneficiary or principal is an organization)

Law Firm Name _____

1. IDENTIFICATION OF CORPORATION

Name: _____

Business Address: _____

Business Phone No: _____

Incorporation or
Business Identification
No: _____

Place of Issue of No: _____

Type of Business or
Activity: _____

(not applicable if organization is a financial institution, public body or reporting issuer)

2. INDIVIDUAL AUTHORIZED TO INSTRUCT COUNSEL

Name: _____

Position: _____

Business Phone No: _____

Cell Phone No: _____

Email Address: _____

Attach a copy of corporate records showing authority to bind corporation regarding transaction (e.g., certificate of incumbency, articles of incorporation, by-laws setting out officers duly authorized to sign on behalf of corporation)

3. IDENTIFICATION OF THIRD PARTIES (IF APPLICABLE)

Name: _____

Business Address: _____

Business Phone No: _____

Incorporation or
Business Identification
No: _____

Place of Issue of No: _____

Type of Business or
Activity: _____

Incorporation number
and place of issue: _____

Relationship between
third party and client: _____

4. VERIFICATION OF ORGANIZATIONAL CLIENTS

Where a lawyer, who has been retained by a client to provide legal services, engages in or gives instructions in respect of the receiving, paying or transferring of funds, the lawyer must verify the identity of the organizational client.

Name: _____

Address: _____

Names of Directors (if Corporation): _____

Please refer to the Client identification and Verification document – (For use where client, beneficiary or principal is an individual) to verify the identity of the third party or Individual Authorized to Instruct Counsel

4.1 Confirming the existence of an entity that is a corporation

Must confirm existence of the corporation by referring to documents such as certificate of corporate status, published annual report, government notice of assessment. The name and address of the corporation and names of the directors must match. If record is in paper format, a copy must be kept. If record is an electronic version, a record of the corporation's registration number and type and source of record (e.g., Corporations Canada website) must be kept in a machine-readable or electronic form, if a paper copy can be readily produced from it.

Type and Source of Verification Record: _____

Registration number of corporation: _____

Date of verification: _____

4.2 Confirming the existence of an entity other than a corporation

Must confirm existence of an entity other than a corporation by relying on documents such as a partnership agreement; Articles of association; or Any other similar record that confirms the entity's existence. The name and address of the entity must match. If record is in paper format, a copy must be kept. If record is an electronic version, a record of the corporation's registration number and type and source of record (e.g., Corporations Canada website) must be kept in a machine-readable or electronic form, if a paper copy can be readily produced from it.

Type and Source of Verification Record: _____

Registration number of entity: _____

Date of verification: _____

5. BENEFICIAL OWNERSHIP

5.1 If the entity is a Corporation

Names and Occupation(s) of Directors and Officers - As set out in the certificate of corporate status or other record confirming the corporation's existence.

Names, Addresses and Occupation(s) of Owners or Shareholders owning directly or indirectly 25% or more of the organization or shares in the organization

Information on the ownership, control and structure of the corporation

5.2 If the entity is a Trust

Names, Addresses and Occupation(s) of all trustees and all known beneficiaries and settlors of the trust

Information on the ownership, control and structure of the trust

5.3 If the entity is other than a Corporation or Trust

Names, Addresses and Occupation(s) of all individuals who directly or indirectly own or control 25% or more of the entity

Information establishing the ownership, control and structure of the entity

5.4 Type and Source of Record used to confirm accuracy of information about Beneficial Owners:

Must confirm accuracy of beneficial ownership information by referring to official documentation such as articles of incorporation, annual returns, certificate of corporate status, shareholder agreements, partnership agreements, or board of director's meeting records of decisions. In the case of a trust, the accuracy of the information can be confirmed by reviewing the trust deed. If record is in paper format, a copy must be kept. If record is an electronic version, a record of the corporation's registration number and type and source of record (e.g., Corporations Canada website) must be kept.

Type and Source of
Verification Record:

Date of verification:

6. BENEFICIAL OWNERSHIP REASONABLE MEASURES

Complete this section if you are unable to obtain Beneficial Ownership information or accuracy cannot be confirmed

Measures Taken (check one)

- asking the client to provide supporting official documentation
- consulting commercially available information
- conducting an open-source search
- other (explain) _____

Date on which above measures taken: _____

Reason why measures were unsuccessful (check one):

- client did not provide information
- other (explain) _____

6.1 Verify the identity of the most senior managing officer of the entity

Please refer to the Client identification and Verification document – (For use where client, beneficiary or principal is an individual) to verify the identity of the most senior managing officer of the entity

Full legal Name: _____

Residential Address: _____

Residential Phone No: _____

Business Address: _____

Business Phone No: _____

Cell Phone No: _____

Email Address: _____

Position: _____

Date of Birth: _____

7. SOURCE OF FUNDS

This refers to the origin of the particular funds or any other monetary instrument which are the subject of the transaction. Where a lawyer, who has been retained by a client to provide legal services, engages in or gives instructions in respect of the receiving, paying or transferring of funds, the lawyer must obtain information about the source of funds.

Amount of funds received: _____

Currency: _____

Purpose of funds: _____

(e.g., Retainer, Disbursement, Expenses, Purchase etc)

Details concerning source of funds: _____

8. LAWYER

Lawyer: _____

File No: _____

Date: _____

Signature: _____