



Client Identification and Verification

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

Law Firm Name _____

1. IDENTIFICATION OF INDIVIDUAL CLIENT

Full legal Name: _____

Residential Address: _____

Residential Phone No: _____

Employer's Name: _____

Employer's Address: _____

Employer's Phone No: _____

Cell Phone No: _____

Email Address: _____

Nature of Principal
Business or
Occupation(s): _____

2. IDENTIFICATION OF THIRD PARTIES (IF APPLICABLE)

If the client is acting for or representing a third party, complete this section

Full legal Name: _____

Residential Address: _____

Residential Phone No: _____

Employer's Name: _____

Employer's Address: _____

Employer's Phone No: _____

Cell Phone No: _____

Email Address: _____

Nature of Principal
Business or
Occupation: _____

Incorporation number
and place of issue: _____

Relationship between
third party and client: _____

3. VERIFICATION OF INDIVIDUAL CLIENT

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 client.

Full legal Name: _____

Residential Address: _____

Date of Birth: _____

Verify the identity of the individual client, third party (if applicable) **OR** individual authorized to instruct Counsel using one of the methods outlined below.

3.1 Federal/Provincial/Territorial Government-Issued Photo ID – Attach Copy

If the individual is physically present with their government photo ID: Ascertain the individual's identity in person by comparing the individual to their government photo ID. The name and photograph must match.

Type of Identification Document: _____
Must view original - ID must have photo (see Guidance materials for examples)

Document Identifier Number: _____

Issuing Jurisdiction: _____
Country (insert applicable Province, Territory, Foreign Jurisdiction or "Canada")

Document Expiry Date: _____
(ID must be valid and not expired)

Date of Verification: _____

If the individual is not physically present: Ascertain the individual's identity by authenticating the government ID and determining that the authenticated document is valid and current. The name and photograph must match.

Type of Identification Document: _____
Must view a copy of original - ID must have photo (see Guidance materials for examples)

Document Identifier Number: _____

Issuing Jurisdiction: _____
Country (insert applicable Province, Territory, Foreign Jurisdiction or "Canada")

Document Expiry Date: _____
(ID must be valid and not expired)

Details of How the Government ID was Authenticated: _____
(include information about the technology or other processes used and attach proof where possible)

Details of How it was Determined that the Government ID is Valid and Current: _____
(include information about the technology or other processes used and attach proof where possible)

Date of Verification: _____

3.2 Credit File Method

Ascertain the individual's identity by comparing the individual's name, date of birth and address information above to information in a Canadian credit file that has been in existence for at least three years. If any of the information does not match, you will need to use another method to ascertain client identity. Consult the credit file at the time you ascertain the individual's identity. The individual does not need to be physically present.

Name of Canadian Credit Bureau Holding the Credit File: _____

Reference Number of Credit File: _____

Date of verification: _____

3.3 Dual ID Process Method

Complete any **two** of the following three categories by referring to information from **two** independent, reliable, sources. The name, address and date of birth must match. Each source must be well known and reputable (e.g., federal, provincial, territorial and municipal levels of government, crown corporations, financial entities or utility providers). Any document must be an original paper or original electronic document (e.g., the individual can email you electronic documents downloaded from a website). Documents cannot be photocopied, faxed or digitally scanned. The information referred to must be valid and current. The individual does not need to be physically present.

- I. Verify the individual's **name and date of birth** by referring to a document or source containing the individual's name and date of birth:

Name of Source: _____

(Must be valid and not expired; must be recent if no expiry date)

Type of Information: _____

Account or Reference Number: _____

- II. Verify the individual's **name and address** by referring to a document or source containing the individual's name and address:

Name of Source: _____

(Must be valid and not expired; must be recent if no expiry date)

Type of Information: _____

Account or Reference Number: _____

- III. Verify the individuals' **name and confirm a financial account**:

Name of Source: _____

(Must be valid and not expired; must be recent if no expiry date)

Type of Information: _____

Account or Reference Number: _____

4. 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: _____

Details Concerning Source
of Funds: _____

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

5. LAWYER

Lawyer: _____

File No: _____

Date: _____

Signature: _____