Client Identification and Verification
(For use where client, third party, beneficiary is an individual)

Law Firm Name: ____

PART 1 - IDENTIFICATION OF CLIENT

1. **IDENTIFICATION OF INDIVIDUAL CLIENT (Rule 171(a))**

Full legal name: ____

Residential address: ____

Residential phone no: ____

Business address: ____

Business phone no.: ____

Cell phone no.: ____

Email address: ____

Employment/
Occupation: ____

2. **IDENTIFICATION OF THIRD PARTIES (IF APPLICABLE) (Rule 171(c))**
(If the client is acting for or representing a third party, complete this section)

Full legal name: ____

Residential address: ____

Residential phone no: ____

Business address: ____

Business 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: ____

PART 2 - VERIFICATION OF CLIENT

3. VERIFICATION OF INDIVIDUAL CLIENT (Rules 172 to 176)

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 (subject to exemptions under Rule 173), the lawyer must verify the identity of the client.

Full legal name: ______________________________

Residential address: ______________________________

Date of birth: ______________________________

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

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

Ascertain the individual's identity by comparing the individual to their photo ID. The name and photograph must match. The individual must be physically present.

Type of identification document: ______________________________
(Must view the original and have photo)

Document identifier number: ______________________________

Issuing jurisdiction: ______________________________

Document expiry date: ______________________________
(Must be valid not expired)

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 information cannot be from the same source (e.g. RBC bank statement confirming individual's name and address and RBC statement confirming individual's name and confirmation they have a deposit account). The individual does not need to be physically present.

a. 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 not expiry date)

Type of information: ____

Account or reference number: ____

b. 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 not expiry date)

Type of information: ____

Account or reference number: ____

c. Verify the individuals' name and confirm a financial account:

Name of source: ____
(Must be valid and not expired; must be recent if not expiry date)

Type of information: ____

Account or reference number: ____

4. **SOURCE OF FUNDS (Rule 174(1)(a))**

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 (subject to exemptions under Rule 173), 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: ____

5. **LAWYER INFO**

Lawyer: ____

File No. ____

Date: ____

Signature: ____