

Client Identification and Verification
(For use where client, beneficiary or principal is an organization)

Law Firm Name: _____

PART 1 – IDENTIFICATION OF CLIENT

1. IDENTIFICATION OF INCORPORATION

Name: _____

Business address: _____

Business phone no.: _____

Incorporation or
business identification
no. _____

Place of issue: _____

Type of business or
activity: _____

2. IDENTIFICATION OF 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: _____

Type of business or activity: _____

Incorporation number and place of issue: _____

Relationship between third party and client: _____

PART 2 – VERIFICATION OF CLIENT

4. VERIFICATION OF CLIENT THAT IS AN ORGANIZATION

Where a lawyer, who has been retained by an organization 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 organization.

Name: _____

Address: _____

Names of directors (if corporation):

Use to the Client Identification & Verification sample form for individuals to **verify** the identify 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 incorporation, 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 no 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 or society registered in a government registry by relying on the organization's constating documents such as a trust or partnership agreement, articles of association or any other similar record that confirms its existence as an organization. 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 any registration number, the 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 no of entity: _____

Date of verification: _____

5. **BENEFICIAL OWNERSHIP**

5.1 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 of Directors and Officers	Occupation

Names addresses and occupation(s) of owners or shareholders owning directly or indirectly 25% or more of the organization or shares in the organization.

Name(s) of owner/ shareholder(s) owning 25% or more or organization	Address	Occupation

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.

Name(s) of trustees and beneficiaries a settlors	Address	Occupation

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

Name(s) of individuals	Address	Occupation

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 make reasonable efforts to 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.

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
- Conducting an open-source search
- Consulting commercially available information
- Other (explain) _____

Date on which above measures taken: _____

Reasons why measures were unsuccessful:

- 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 sample form for use where client is an individual to **verify** the identify 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 (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: _____

8. **LAWYER INFO**

Lawyer: _____

File No. _____

Date: _____

Signature: _____