

STEP-BY-STEP

VERIFICATION CHECKLIST
Client is a Trust

Client No./Matter No.: _____

Matter Description: _____

Client Name: _____

Responsible Lawyer: _____

Verification Conducted By: _____

This Form Completed By: _____

Date Completed: _____

To be completed to verify where my client is a trust.

My client or third party is a trust (whether a trust established under a will or other trust) and I am providing legal services in respect of a financial transaction (the receipt, payment or transfer of funds on behalf of the client or giving instructions on behalf of the client in respect of the receipt, payment or transfer of funds). Yes No

1. VERIFICATION OF INSTRUCTING INDIVIDUAL

I have verified the identity of the individual authorized to provide me with instructions. (Complete Verification Checklist – Client is an Individual) Rule 5-120 Yes No

2. RECORD OF TRUSTEES, SETTLORS AND BENEFICIARIES

I have recorded the names and addresses of the settlors of the trust, all trustees and all known beneficiaries. Rule 5-121(5)(b)(ii) Yes No

Trustees, settlors and all known beneficiaries:

- Name: _____
- Address: _____
- Date obtained: _____

- Name: _____
- Address: _____
- Date obtained: _____

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- Name: _____
 - Address: _____
 - Date obtained: _____
- Attach additional pages if necessary.*

3. OWNERSHIP, CONTROL AND STRUCTURE

I have made reasonable efforts to obtain and record information establishing the ownership, control and structure of the trust. Yes No

Rule 5-121(5)(iii)

- Date obtained: _____
- Information obtained: _____
- Efforts made if not successful in obtaining: _____
- Reasonable efforts made to confirm accuracy: _____

4. MAINTAIN RECORD

I will keep a record, dated, of my efforts to identify the trustees, settlors, and beneficiaries and the measures I took to confirm the accuracy of the information. Rule 5-121(7) Yes No

5. ALTERNATIVE MEASURES

If I have been unable to obtain the information required or to confirm the accuracy of the information. Rule 5-121(8)

- a) I have determined whether the client information in respect of its activities, the source of the funds and the client's instructions are consistent with the purpose of the retainer, and Yes No
- b) I have assessed whether there is a risk that I may be assisting in or encouraging fraud or other illegal, and Yes No
- c) I have recorded the results of my determination and assessment: Yes No

