

VERIFICATION CHECKLIST

Client is an Individual

Client No./Matter No.: _____

Matter Description: _____

Client Name: _____

Responsible Lawyer: _____

Verification Conducted By: _____

This Form Completed By: _____

Date Completed: _____

If there is more than one individual client, complete for each individual upon engaging in or giving instructions in respect of the financial transaction. Rule 5-122(a)

VERIFICATION OF CLIENT'S IDENTITY Rule 5-122(a)Does this file involve a financial transaction not otherwise exempt? Yes No Have I asked my client the source of the funds? Yes No

My client says the source of the funds is: _____

VERIFICATION BY PHOTO ID Rule 5-121(1)(a)

In order to verify the identity of my client who is an individual or to verify the identity of the individual instructing me on behalf of my organization:

1. I have made a copy of my client's valid, current, original, photo ID issued by the federal government, a provincial or territorial government or a foreign government (but not a municipal government) and can confirm that it is: Yes No

- valid Yes No
- current Yes No
- original Yes No

2. I have compared that photo ID to my client or instructing individual who stands in front of me and I attach a copy/copies. (This would include a valid and current driver's license, passport, secure Certificate of Indian Status or similar record) Yes No

Type of photo ID provided: _____

Date verified: _____

Attach copy/copies or, if scanned note where those copies are saved: _____

OR

VERIFICATION BY CREDIT FILE Rule 5-121(1)(b)

3. I have directly obtained information that is in my individual client's credit file or my instructing individual's credit file which file is located in Canada and has been in existence for at least three years to verify the name address and date of birth Yes No

Date verified: _____

Attach copy/copies or, if scanned note where those copies are saved: _____

OR

VERIFICATION BY 2 PIECES OF INFORMATION FROM A RELIABLE SOURCE

Rule 5-121(1)(c)

I have obtained any two of the following:

- i) Information from a reliable source (CPP statement, vehicle registration, municipal property tax assessment, CRA issued communication, utility bills T4, foreign travel visa, etc.) that contains the name and address of my individual client or individual instructing me on behalf of my organization client Yes No
- ii) Information from a reliable source that contains my individual client's or instructing individual's name and date of birth (birth certificate, marriage certificate, etc.) Yes No
- iii) Information that contains my individual client's name or instructing individual's name and confirms they have a deposit account of credit card or other loan with a financial institution (eg credit card statement, mortgage statement) Yes No

Date verified: _____

Attach copy/copies or, if scanned note where those copies are saved: _____

I confirm the documents in 3 i) to iii) are from different sources and I (the lawyer), the client or the agent are not the source. Rule 5-121(2) Yes No

VERIFICATION OF IDENTITY OF THIRD PARTY Rule 5-120(b)

My client is acting for or representing a third party (eg under a power of attorney or proxy as an insured under a policy issued by my client, as a union member, as the client of an accountant or other professional which your advice has been sought), I must record all the same information as for the individual or organization above.

If the third party is an individual, I have completed a separate Verification Checklist – Client is an Individual. Yes No

If the third party is an organization, I have completed a separate Verification Checklist for the appropriate category of organization. Yes No

VERIFICATION WHERE CLIENT IS A MINOR Rule 5-121(3)

If my client is a child under 12 years of age, I have verified the identity of my minor client's parent or guardian, using a separate Verification Checklist for individuals. Yes No

If my client is at least 12 years of age but not more than 15 years of age, I have verified the identity of the minor child by referring to information from a reliable source that contains the name and address of the minor's parent or guardian and verified that the address is that of the minor child. Yes No

Date verified: _____

Attach copy/copies or, if scanned note where those copies are saved: _____
