

STEP-BY-STEP

VERIFICATION CHECKLIST

Client is an Organization Registered in Government

Client No./Matter No.:	_____
Matter Description:	_____
Client Name:	_____
Responsible Lawyer:	_____
Verification Conducted By:	_____
This Form Completed By:	_____
Date Completed:	_____

Complete where the client is an organization registered in a government registry.

1. Verify Organization

My **client** or third party is an **organization** created or registered pursuant to legislative authority (e.g. company, society, limited partnership, LLP) Rule 5-121(4) Yes No

I have verified the organization's status by written confirmation from government registry as to the existence, a name and address of the organization, including the names of directors (where applicable) such as:

- a) a certificate of corporate status issued by a public body (e.g. certificate of status, file summary) Yes No
- b) a copy of an annual return the organization is required to file under legislation (eg Companies Office annual return) Yes No
- c) a copy of a similar record from a public body confirming the organization's existence. Yes No

Date verified: _____

(must be within 30 days of engaging in a **financial transaction**: Rule 5-123)

Attach copy/copies or if scanned, saved as: _____

2. Verify Authorized 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(b) Yes No

3. Confirm Directors

I have obtained and recorded the names and occupations of all directors (except if my client is a securities dealer). Rule 5-121-5(a) Yes No

Director Name: _____

Director Occupation: _____

Director Name: _____

Director Occupation: _____

Director Name: _____

Director Occupation: _____

Director Name: _____

Director Occupation: _____

4. Confirm Significant Holders

I have obtained and recorded the following:

Names and addresses of all persons who own more than 25% of the organization or shares in the organization, either directly or indirectly. Rule 5-121(5)(b)(i)

Person owning more than 25%:

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

Person owning more than 25%:

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

Person owning more than 25%:

- Name: _____
- Address: _____

- Date obtained: _____

5. Ownership, Control & Structure

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

Rule 5-121(5)(c)(iii)

- Date obtained: _____
- Information obtained: _____

- Efforts made if not successful in obtaining: _____

- Reasonable efforts made to confirm accuracy: _____

6. Maintain Records

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

7. Alternative Measures

I have been unable to obtain the information required or to confirm the accuracy of the information. Rule 5-121(8) If so, Yes No

- a) I have taken reasonable measures to ascertain the most senior managing officer of the organization, and Yes No
- b) 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
- c) I have assessed whether there is a risk that I may assisting in or encouraging fraud or other illegal, and Yes No
- d) I have recorded the results of my determination and assessment: Yes No

