

IDENTIFICATION CHECKLIST
Client is a Financial Institution, Public Authority or Reporting Issuer

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

HOW TO IDENTIFY A CLIENT THAT IS A FINANCIAL INSTITUTION, PUBLIC AUTHORITY, OR REPORTING ISSUER

- My client is a ***financial institution, public authority, or reporting issuer*** and I have obtained and recorded the following information (see definition, Rule 5-116), Rule 5-118(1)(b)(iii) and Rule 5-119

Client's full name: _____
Business address: _____
Business telephone: _____
Name of individual who gives me instructions on this file: _____
Position of individual who gives me instructions on this file: _____
Contact information of individual who gives my client instructions on this file: _____

I understand the client's financial dealings in relation to the retainer. Yes No

HOW TO IDENTIFY A THIRD PARTY REPRESENTED BY MY FINANCIAL INSTITUTION, PUBLIC AUTHORITY, OR REPORTING ISSUER CLIENT

- My client is acting for or representing a third party (eg the client of a bank or trust company).

Form 5

Complete this if the third party is an individual:

Third party's full name: _____

Third party's home address: _____

Third party's home telephone: _____

Third party's place of employment: _____

Third party's business address: _____

Third party's business telephone: _____

Third party's occupation(s): _____

Complete this if the third party is an organization:

Full name: _____

Business address: _____

Business telephone: _____

Incorporation number of BIN, and place of issue: _____

General nature of the third party's business or activity: _____

Name of individual who gives my client instructions on behalf of the third party organization on this file: _____

Position of individual who gives my client instructions on behalf of the third party organization on this file: _____

Contact information of individual who gives my client instructions on behalf of the third party organization on this file: _____