Form 7

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) such as a valid and current driver's license, passport, secure Certificate of Indian Status or similar record. I 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. NOTE: where there is a financial transaction Photo ID cannot be verified by video. You must verify or authenticate identity using an alternate method. Yes ❑ No ❑

   Type of photo ID provided: _____

   Date verified: _____

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

   _____

OR

VERIFICATION BY AUTHENTICATION Rule 5-121

Yes ❑ No ❑

I have arranged to have my client's identity authenticated using a provider listed on the DIACC directory. The provider has confirmed that the identity has been authenticated. That confirmation has been saved.
Authentication provider used:_____

Date authentication certificate provided: _____

Attach copy/copies or, if scanned, note where the authentication certificate is 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 (example: CPP statement, vehicle registration, municipal property tax assessment, CRA issued communication including notice of assessment, GST Credit Statement, T4, utility bills, foreign travel visa, etc. record of employment, government benefits statement, birth certificate, permanent resident card, citizenship certificate, marriage certificate, 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 Yes ❑ No ❑

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, bank statement, registered investment account statements (e.g. RRSP, TFSA or RRIF, insurance documents (e.g. home, auto or life)

The two trusted pieces of information must be original – not a photocopy or electronic image like a digital photograph, screen capture or scanned copy.

Date verified: _____

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

_____

I confirm the documents in i) to iii) are from different sources (This means that you cannot rely on, for example, two bills issued by the same utility or two months of bank statements from the same financial institution. 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 Yes ❑ No ❑

parent or guardian and verified that the address is that of the minor child.

Date verified: _____

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

VERIFICATION WHERE THE CLIENT IS NOT PHYSICALLY PRESENT (BY AGENT) Rule 5-123(1) and Rule 5-125

See Form 11