

STEP-BY-STEP

VERIFICATION CHECKLIST

Client is an Organization Not Registered in Government

Client No./Matter No.: _____

Matter Description: _____

Client Name: _____

Responsible Lawyer: _____

Verification Conducted By: _____

This Form Completed By: _____

Date Completed: _____

To be completed to verify when an organization is not registered in government's registry.

1. Verify Organization

My client is an organization not registered in government registry (e.g. partnership, association). I have verified my client by obtaining a copy of constating documents: partnership agreement, articles of association, or similar record confirming existence of **organization** not registered in a government registry. Rule 5-121(4)(b) 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: _____

4. Confirm Significant Holdings

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 Yes No
establishing the ownership, control and structure of the organization.

Rule 5-121(5)(b)(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, Yes No
shareholders and owners and the measures I took to confirm the accuracy
of the information. Rule 5-121(7)

7. Alternative Measures

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

a) I have taken reasonable measures to ascertain the most senior Yes No
managing officer of the organization, and

b) I have determined whether the client information in respect of its Yes No
activities, the source of the funds and the client's instructions are
consistent with the purpose of the retainer, and

c) I have assessed whether there is a risk that I may assisting in or Yes No
encouraging fraud or other illegal, and

d) I have recorded the results of my determination and assessment: Yes No
