
Client Identification and Verification

(For use where client, beneficiary or principal is an individual)

Law Firm Name _____

1. IDENTIFICATION OF INDIVIDUAL CLIENT

Full legal Name: _____
Residential Address: _____
Residential Phone No: _____
Business Address: _____
Business Phone No: _____
Cell Phone No: _____
Email Address: _____
Nature of Principal
Business or
Occupation(s): _____

2. IDENTIFICATION OF THIRD PARTIES (IF APPLICABLE)

If the client is acting for or representing a third party, complete this section

Full legal Name: _____
Residential Address: _____
Residential Phone No: _____
Business Address: _____
Business Phone No: _____
Cell Phone No: _____
Email Address: _____
Nature of Principal
Business or
Occupation: _____
Incorporation number
and place of issue: _____
Relationship between
third party and client: _____

3. VERIFICATION OF INDIVIDUAL CLIENT

Where a lawyer, who has been retained by a client to provide legal services, engages in or gives instructions in respect of the receiving, paying or transferring of funds (subject to exemptions under Rule 119.49), the lawyer must verify the identity of the client.

Full legal Name: _____

Residential Address: _____

Date of Birth: _____

Verify the identity of the individual client, third party (if applicable) **OR** individual authorized to instruct Counsel using one of the methods outlined below.

3.1 Federal/Provincial/Territorial Government-Issued Photo ID – Attach Copy

Ascertain the individual’s identity by comparing the individual to their photo ID. The name and photograph must match. The individual must be physically present.

Type of Identification Document: _____

Must view the original and have photo (see Guidance materials for examples)

Document Identifier Number: _____

Issuing Jurisdiction: _____

Country: (insert applicable Province, Territory, Foreign Jurisdiction or "Canada")

Document Expiry Date: _____

must be valid and not expired

Date of verification: _____

3.2 Credit File Method

Ascertain the individual’s identity by comparing the individual’s name, date of birth and address information above to information in a Canadian credit file that has been in existence for at least three years. If any of the information does not match, you will need to use another method to ascertain client identity. Consult the credit file at the time you ascertain the individual’s identity. The individual does not need to be physically present.

Name of Canadian Credit Bureau Holding the Credit File: _____

Reference Number of Credit File: _____

Date of verification: _____

3.3 Dual ID Process Method

Complete any **two** of the following three categories by referring to information from **two** independent, reliable, sources. The name, address and date of birth must match. Each source must be well known and reputable (e.g., federal, provincial, territorial and municipal levels of government, crown corporations, financial entities or utility providers). Any document must be an original paper or original electronic document (e.g., the individual can email you electronic documents downloaded from a website). Documents cannot be photocopied, faxed or digitally scanned. The information referred to must be valid and current. The individual does not need to be physically present.

- I. Verify the individual's **name and date of birth** by referring to a document or source containing the individual's name and date of birth:

Name of Source: _____
(must be valid and not expired; must be recent if no expiry date)

Type of Information: _____

Account or Reference Number: _____

- II. Verify the individual's **name and address** by referring to a document or source containing the individual's name and address:

Name of Source: _____
(must be valid and not expired; must be recent if no expiry date)

Type of Information: _____

Account or Reference Number: _____

- III. Verify the individuals' **name and confirm a financial account**:

Name of Source: _____
(must be valid and not expired; must be recent if no expiry date)

Type of Information: _____

Account or Reference Number: _____

4. SOURCE OF FUNDS

This refers to the origin of the particular funds or any other monetary instrument which are the subject of the transaction. Where a lawyer, who has been retained by a client to provide legal services, engages in or gives instructions in respect of the receiving, paying or transferring of funds (subject to exemptions under Rule 118.5), the lawyer must obtain information about the source of funds.

Amount of funds received: _____ Currency: _____

Purpose of funds: _____
(e.g., Retainer, Disbursement, Expenses, Purchase etc)

Details concerning source of funds: _____

5. LAWYER

Lawyer: _____

File No: _____

Date: _____

Signature: _____