



File #:	_____
Member in charge of file:	_____
Date:	_____
Information recorded by:	_____

Identification of Individual (Rule 1541)

Identification is required when a member is retained by a client to provide legal services.

Full Name: _____

Residential Address: _____

Residential Phone #: _____

Cell Phone #: _____

E-mail Address: _____

Occupation: _____

Business Address: _____

Business Phone #: _____

Verification of Individual (Rule 1543)

Verification is required when a member has been retained by a client to provide legal services and engages in or gives instructions in respect of receiving, paying or transferring funds.

Verify the individual using one of the three methods outlined below:

- Federal/Provincial/Territorial Government Issued Photo ID – Attach copy**
Verify the individual’s identity by comparing the individual to their photo ID. Name and photograph must match. The individual must be physically present.

Type of Identification Document: _____

Document Identifier Number: _____

Issuing Jurisdiction: _____

Document Expiry Date: _____

Date of verification: _____

2. Credit File Method

Verify 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 3 years. The information must be received directly from a Canadian credit bureau or a third-party authorized by a Canadian credit bureau. You cannot rely on a copy of the credit file if provided by the individual. If any of the information does not match, you will need to use another method to verify client identity. The individual does not need to be physically present at the time you verify their identity through a credit file.

Name of Canadian Credit Bureau Holding the Credit File: _____

Reference Number of Credit File: _____

Date of Verification: _____

3. Dual ID Process Method

Complete any **2** of the following 3 categories by referring to information from 2 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. 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. Please review the guide for further information if using this method.

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

Name of Source: _____

Type of Information: _____

Account or Reference Number: _____

2. 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: _____

Type of Information: _____

Account or Reference Number: _____

3. Verify the individual's **name and confirm a financial account**:

Name of Source: _____

Type of Information: _____

Account or Reference Number: _____

Source of Funds

The member must obtain information about the source of funds (Rule 1545(1)(a)). This refers to the origin of the particular funds and any other monetary instrument which are the subject of the transaction.

Amount of funds received: _____

Currency: _____

Purpose of funds: _____

Details concerning source of funds: _____