

**ASCERTAINING IDENTITY - Commercial**

The Account →  MORTGAGE       LOAN       DEPOSIT

DATE ACCOUNT OPENED \_\_\_\_\_ NEW ACCOUNT NUMBER \_\_\_\_\_

Sole Proprietorship     Partnership     Corporation     Society/Non-Profit  
 Organization     Co-Operative     Formal Trust     Other \_\_\_\_\_

Company Legal or Trade Name \_\_\_\_\_

Registration/Tax Number \_\_\_\_\_

Civic \_\_\_\_\_ Primary Business Function \_\_\_\_\_

Address \_\_\_\_\_

**Attached are:**  Documents confirming Existence, Structure, Ownership and Control

Is the business a registered charity for tax purposes?     Yes     No

If not a registered charity, does the business solicit donations from the public?     Yes     No

Names of Directors:

|       |       |
|-------|-------|
| _____ | _____ |
| _____ | _____ |
| _____ | _____ |

**For more than (6) Directors, please list the necessary information on a separate sheet and attach to this form.**

this section must be completed

**Beneficial Ownership:**

Individuals who own or control 25% or more of the corporation or entity, directly or indirectly

| Name of Individual: | Address: | Occupation: |
|---------------------|----------|-------------|
| _____               | _____    | _____       |
| _____               | _____    | _____       |
| _____               | _____    | _____       |

For more than (4) Individuals, please list necessary information on a separate sheet and attach to this form,  
**OR**  No Individual owns or controls 25% or more of the corporation or entity, directly or indirectly.

**Most Senior Managing Officer:**

Identification of the Most Senior Managing Officer is required when Beneficial Ownership cannot be obtained and confirmed.

Name \_\_\_\_\_

|               |           |                      |
|---------------|-----------|----------------------|
| ID Type _____ | No. _____ | Place of Issue _____ |
| ID Type _____ | No. _____ | Place of Issue _____ |

**Personal Information:**

**\* We cannot accept Provincial Health as identification in Nova Scotia, Prince Edward Island, New Brunswick, Manitoba or Ontario**

The following are signing officers for the account:

|                          |                      |
|--------------------------|----------------------|
| 1. Name / Title _____    | Date of Birth _____  |
| Address _____            | Occupation _____     |
| ID Type: _____ No. _____ | Place of Issue _____ |
| ID Type: _____ No. _____ | Place of Issue _____ |
| 2. Name / Title _____    | Date of Birth _____  |
| Address _____            | Occupation _____     |
| ID Type: _____ No. _____ | Place of Issue _____ |
| ID Type: _____ No. _____ | Place of Issue _____ |
| 3. Name / Title _____    | Date of Birth _____  |
| Address _____            | Occupation _____     |
| ID Type: _____ No. _____ | Place of Issue _____ |
| ID Type: _____ No. _____ | Place of Issue _____ |

For more than (3) Individuals, please list necessary information on a separate sheet and attach to this form.

**To be completed by the person examining documentation**

I \_\_\_\_\_ certify that I have verified the original identification records listed above, and have verified the individual(s) signature.

Date Form Completed: \_\_\_\_\_

Signature of Person examining ID Documents: \_\_\_\_\_

**To be completed by League Savings and Mortgage**

Checked By: \_\_\_\_\_

Date Checked: \_\_\_\_\_

## ASCERTAINING IDENTITY

### MONEY LAUNDERING REGULATIONS

#### When Dealing with Financial Entities

All identities shall be ascertained before any transaction other than an initial deposit is carried out on an account, or in the case of electronic transfers, no later than the time of the transaction.

#### Individuals

The identity of an individual shall be ascertained:

- By referring to the individual's birth certificate, driver's license, passport or any similar record, other than the individual's social insurance card, or
- Where the individual is not physically present when the account is opened, by confirming that a cheque drawn by the individual on an account of a financial entity had been cleared.

We must also record on the account information record; large cash transaction record; extension of credit record; account operating agreement or account application form, as the case may be:

- The type and reference number of the record that is relied on to ascertain the identity of the individual, where the record is a birth certificate, driver's license, provincial health insurance card,
- The financial entity and account number of the account on which the cheque was drawn, where the clearing of a cheque from a financial entity is relied on to ascertain the identity of the individual.

#### Corporations

**The existence, name and address of a corporation shall be ascertained:**

As well as the names of all directors,

by referring to its certificate of corporate status, a record that it is required to file annually under the applicable provincial securities legislation or any other record that ascertains its existence as a corporation. The records may be in paper form or in an electronic version that is obtained from a source that is accessible to the public.

Where the information had been ascertained by referring to an electronic version of a record, the person or entity required to ascertain the information shall keep a record that sets out:

- The corporation's registration number
- The type of record consulted and
- The source of the electronic version of the record

Where the information has been ascertained by referring to a paper copy of a record, retain the record or a copy of it.

#### Entities Neither Individuals or Corporations

The existence of a person who is neither an individual nor a corporation shall be ascertained by referring to a partnership agreement, articles of association or other similar record that ascertains its existence. The records may be in paper form or in an electronic version that is obtained from a source that is accessible to the public.

- Where applicable, record the names of its directors or partners.
- Where the existence of the person has been ascertained by referring to an electronic version of a record, the person or entity required to ascertain the information shall keep a record that sets out the registration number of the person, the type of record consulted and the source of the record.
- Where the existence of the person has been ascertained by referring to a paper copy of a record, the person or entity required to ascertain that information shall retain the record or a copy of it.

#### \*Public Body Defined

"Public body" means (a) any department or agent of Her Majesty in right of Canada or of a province; (b) an incorporated city, town, village, metropolitan authority, township, district, county, rural municipality, or other incorporated municipal body and an agent of any of them; and (c) an organization that operates a public hospital and that is designated by the Minister of National Revenue as a hospital authority under the Excise Tax Act, and any agent of it.