

Individual Client Information Record



NOTE: A client information record is required by the Proceeds of Crime (Money Laundering) and Terrorist Financing Act. A client information record must be completed by the REALTOR® whenever s/he acts as an agent in respect of the purchase or sale of real estate. FINTRAC recommends that the Client Identification Record be completed when an offer is submitted. It is the responsibility of the broker to ensure that a record is kept for five years from the date that it was created.

Transaction Property Address:

Sales Representative/Broker Name:

Date:

A. Verification of Individual

This section must be completed for clients that are individuals or for unrepresented individuals that are not clients but are parties to the transaction (e.g., unrepresented buyer or seller). Where an unrepresented individual refuses to provide identification, a REALTOR® must keep a record of that fact and consider sending a Suspicious Transaction Report to FINTRAC if there are reasonable grounds to suspect that the transaction involves property from the proceeds of crime, or terrorist activity.

1. Full legal name of individual:

2. Address:

3. Date of Birth:

4. Nature of Principal Business or Occupation:

5. Type of Identification Document:
(must view the original, see below for list of acceptable documents)

6. Document Identifier Number:

7. Issuing Jurisdiction:
(Provincial, Territorial, or Federal Government)

8. Document Expiry Date:
(must be valid and not expired)

Acceptable identification documents: birth certificate, driver's licence, provincial health insurance card (not acceptable if from Ontario, Manitoba or Prince Edward Island), passport, record of landing, permanent resident card, old age security card, a certificate of Indian status, or SIN card (although SIN numbers are not to be included on any report sent to FINTRAC). Other acceptable identification documents: provincial or territorial identification card issued by the Insurance Corporation of British Columbia, Alberta Registries, Saskatchewan Government Insurance, the Department of Service Nova Scotia and Municipal Relations, the Department of Transportation and Public Works of the Province of Prince Edward Island, Service New Brunswick, the Department of Government Services and Lands of the Province of Newfoundland and Labrador, the Department of Transportation of the Northwest Territories or the Department of Community Government and Transportation of the Territory of Nunavut. If identification document is from a foreign jurisdiction, it must be equivalent to one of the above identification documents.

B. Verification of Third Parties (if applicable)

Complete this portion of the form if there is a third entity that is not the buyer or seller but is involved in the transaction (i.e., client acting on behalf of a third party). Note: where you cannot determine if there is a third party but there are reasonable grounds to suspect that the client is acting on behalf of a third party, you must keep a record that (a) indicates whether, according to the client, the transaction is being conducted on behalf of third party; (b) the reasonable grounds to suspect that the client is acting on behalf of a third party.

1. Name of third party:

2. Address:

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3. Date of Birth:

4. Nature of Principal Business or Occupation:

5. Incorporation number and place of issue (if applicable):

6. Relationship between third party and client:

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NOTES: (1) If client identification is verified by an agent/mandatary, a written agreement must be entered into between the brokerage and the agent/mandatary and the brokerage must receive the following information in respect of the client identification document:

- (i) type of identification;
- (ii) identifier number of the identification document; and
- (iii) issuing jurisdiction.

(2) Where an individual is not physically present, the identification procedures outlined in FINTRAC Guideline B: Record Keeping and Client Identification for Real Estate Brokers or Sales Representatives must be followed. It may be found at www.fintrac.gc.ca.