

***CLIENT IDENTIFICATION/VERIFICATION REQUIREMENTS  
FOR ONTARIO LAWYERS***

Effective January 1, 2009, the Law Society of Upper Canada which regulates Barristers and Solicitors in Ontario, Canada, has implemented new client identification and verification requirements. The new client identification and verification rules apply to lawyers throughout Canada and have been implemented to better comply with Federal laws implemented to combat terrorist financing and money laundering.

Under the new Law Society Rules, lawyers must now confirm individual and corporate client identity by corroborating documents. Clients retaining our firm are now mandated to provide copies of government-issued identification documents such as a birth certificate, driver's licence, health insurance card, passport or the like. In addition, lawyers are now required under the new Rules to confirm:

- (i) client full name and occupation (if an individual);
- (ii) client business address and telephone number;
- (iii) client home address and home telephone number; and
- (iv) in the case of corporations,
  - (a) the incorporation/business identification number and place of incorporation; and
  - (b) the general nature of the business.

Where funds are transferred to or from our firm, other than the payment of professional fees, statutory requirements furthermore require lawyers to undertake inquiries respecting the name and occupation of Directors and shareholders.

In the case of corporate organizations, lawyers must now rely on identifying documents such as a Certificate of Corporate Status, Trust or Partnership Agreement, or Articles of Incorporation. Additional identification procedures may exist where clients are not physically present in Toronto.

In compliance with these new requirements, we ask that clients provide copies of a suitable identifying document when our firm is initially retained.

***PRIVACY POLICY***

In compliance with our privacy policies, all information received from our clients, including client particulars, is maintained in strict confidence. Any information provided will not be revealed to third parties unless expressly and implicitly authorized by the person/organization concerned. Our firm does not disclose or reveal any client particulars, including client names or addresses to any third parties without prior authorization.

If you have any questions or concerns regarding client verification requirements please feel free to discuss any concerns with any of the Riches, McKenzie & Herbert LLP professionals, or directly with individuals at the Law Society of Upper Canada.