**APPENDIX C - AGENT EXAMINATION OF IDENTIFICATION FORM**

(Individual Customer/Guarantor/Beneficial Owner)

**FACILITY NO.:** \_

**CUSTOMER(S) NAME**:

**CUSTOMER(S) EMAIL**:

**CUSTOMER(S) PHONE**:

**GUARANTOR(S) NAME:**

**PROPERTY ADDRESS:**

**EMERGENCY CONTACT NAME :**

**EMERGENCY CONTACT RELASHIP AND PHONE**:

**I**, , attest that (i) I understand and accept that I am acting as an agent on behalf of the mortgagee for the purpose of ascertaining the identity of the **Customer, Guarantor, Consenting Spouse and/or Signing Officer** listed below; (ii) I am currently in good standing and entitled to practice law without any restrictions; (iii) I have personally met with each individual; (iv) I have examined **one valid and current (unexpired)** original identification documents from the list in the acceptable forms of identification detailed in the Agents Instructions For Examination of Identification Form as recorded below, which includes a photograph of the individual, and has been verified by me in accordance with the *Proceeds of Crime (Money Laundering) and Terrorist Financing Regulations* of Canada and (v) **I attach a clear and legible photocopy or scanned copy of both sides of each ID hereto**.

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| **FULL NAME** of Customer/Guarantor/Beneficial Owner/Consenting Spouse/Signing Officer |
| **JOB TITLE AND OCCUPATION**1 | **EMPLOYER NAME, PHONE, ADRESS,** | **DATE OF BIRTH** |
| **IDENTIFICATION TAKEN** (specify ID type and number) | **EXPIRY DATE** | **PLACE OF ISSUANCE** |
| **CUSTOMER THIRD PARTY CERTIFICATION** (not required for guarantor): |
| I hereby certify that the mortgage is for:o my/our benefit and is not for the benefit of any third party | o the benefit of a third party\*\* |  |
| **POLITICALLY EXPOSED PERSON CERTIFICATION:**To the best of the customer’s knowledge, has the customer, their family members2, or close associates3 held any of the following positions? Record all that apply in the table below. You may attach an additional sheet as an appendix if you require additional space. **Politically Exposed Foreign Person (PEPF) – (living or deceased, current or ever held)** ☐ **NO** ☐ **YES** |
| * Member of the executive council of government
* President (head) of a state-owned company
* President (head) of a state-owned bank
* Deputy minister (or equivalent rank) in government
* Ambassador
* Counsellor of an Ambassador
* Attaché
* Leader (or president) of a political party represented in a legislature
 | * Head of state
* Head of government
* Head of government agency
* Judge of a supreme court, constitutional court or other court of last resort
* Military officer with rank of general or higher
* Member of a legislature
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| --- | --- | --- | --- |
| First name (of PEPF) | Middle initial | Last name | Relationship to customer |
| Country where position held | Organization or institution | Position held |

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| \**Politically Exposed Domestic Person (PEPD) – (living or deceased, current or held in last 5 years)** ☐ **NO** ☐ **YES** |
| * Governor general
* Lieutenant governor
* Member of the senate
* Member of the house of commons
* Member of the legislature
* Deputy minister (or equivalent rank) in government
* Ambassador
* Counsellor of an ambassador
* Attaché
 | * Military officer with rank of general or higher
* Head of government agency
* President of a corporation that is wholly owned directly by the Crown
* Judge of an appellate court in a province
* Judge of the federal court of appeal
* Judge of a supreme court of Canada
* Leader (or president) of a political party represented in a legislature
* Mayor
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| --- | --- | --- | --- |
| First name (of PEPD) | Middle initial | Last name | Relationship to customer |
| Country where position held | Organization or institution | Position held |

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**CUSTOMER SIGNATURE:**

An individual is an HIO if the individual is the head of an international organization or the head of an institution established by an international organization. An international organization is an organization set up by the governments or more than one country and established by means of a formal signed agreement between those governments. Examples of international organizations include, but not limited to:

* North Atlantic Treaty Organization (NATO)
* Organization for Economic Co-Operation and Development (OECD)
* International Monetary Fund (IMF)
* World Bank Group
* World Health Organization (WHO)
* La Francophonie
* **NO** ☐ **YES**

**Head of an International Organization (HIO) – (currently held)**

|  |  |  |  |
| --- | --- | --- | --- |
| First name (HIO) if not customer | Middle initial | Last name | Relationship to customer |
| Country where position held | Organization or institution | Position held |

1. Vague description such as “Business-for-Self”, “self-employed”, “consultant”, “investor”, “business owner”, “businessman”, “entrepreneur” or “Signing Officer” is **not acceptable**. The job title and occupation must clearly reflect the nature of the work and the industry in which it is performed.
2. Family member means spouse or common-law partner, children/step-children, sibling/half-sibling/step-sibling of the customer, or biological/adoptive/step-parent of the customer.
3. Close associate refers to someone who is closely associated with the customer for personal or business reasons. Examples of circumstances that may lead to the determination that someone is closely associated with the customer include, but are not limited to:
	1. Transactions that occur between a PEP or HIO and the customer;
	2. Business activities between a PEP or HIO and the customer;
	3. Media coverage linking a PEP or an HIO and the customer; or
	4. A personal relationship such as a romantic relationship or close friendship between a PEP and an HIO and the customer.

\*\*If this section is selected, please complete the “Third Party Verification Form”

**I, the undersigned hereby certify that I have been advised by each of the above-noted individuals that he/she is not a “politically exposed foreign person” as that term is defined in the *Proceeds of Crime (Money Laundering) and Terrorist Financing Act*.**

**I hereby certify that the identification provided by each of the above individuals and attached hereto is valid and has not expired and I have verified that the person shown in the photo ID is, in each case, the person who appeared before me.**

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| **Signature of Notary or Solicitor or Agent** |  |
| **Name (please print)** |  | **Date** |  |

**AGENT’S INSTRUCTIONS FOR EXAMINATION OF IDENTIFICATON FORM**

EQRAZ requires the solicitor/notary/agent to confirm having met with and verified the identity of all customer(s), and if applicable, consenting spouse(s), guarantor(s), and/or third parties. One Agent Examination of Identification Form must be completed for each individual involved in the transaction.

The verification of identity must occur in person, with one piece of identification that has been issued by a Canadian federal, territorial or provincial government, and contains a clear photograph. The identification must also include the name of the individual being identified, and a unique identifier number.

**NOTE: No other form of identification other than what is listed below is acceptable. All identification must be original, valid, completely legible and in good condition. Dark or illegible copies will not be accepted. The identification must be reviewed by the agent to ensure there are no signs that it has been forged or falsified in any way.**

**Acceptable Forms of Identification**.

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| --- | --- |
| **Type of card or document** | **Issuing jurisdiction/country** |
| Canadian passport | Canada |
| Permanent resident card | Canada |
| Citizenship card | Canada |
| Secure Certificate of Indian Status | Canada |
| Nexus | Canada |
| **Driver’s licenses** |  |
| British Columbia Driver’s License | British Columbia, Canada |
| Alberta Operators License | Alberta, Canada |
| Saskatchewan Driver’s License | Saskatchewan, Canada |
| Manitoba Driver’s License | Manitoba, Canada |
| Ontario Driver’s License | Ontario, Canada |
| Quebec Driver’s License | Quebec, Canada |
| New Brunswick Driver’s License | New Brunswick, Canada |
| Nova Scotia Driver’s License | Nova Scotia, Canada |
| Prince Edward Island Driver’s License | Prince Edward Island, Canada |
| Newfoundland and Labrador Driver’s License | Newfoundland and Labrador, Canada |
| Yukon Driver’s License | Yukon, Canada |
| Northwest Territories Driver’s License | Northwest Territories, Canada |
| Nunavut Driver’s License | Nunavut, Canada |
| The DND 404 Driver’s License | The Department of National Defense, Canada |
| **Provincial or territorial identity cards** |  |
| British Columbia Enhanced ID | British Columbia, Canada |
| Alberta Photo Identification Card | Alberta, Canada |
| Saskatchewan Non-driver photo ID | Saskatchewan, Canada |
| Manitoba Enhanced Identification Card | Manitoba, Canada |
| Ontario Photo Card | Ontario, Canada |
| New Brunswick Photo ID Card | New Brunswick, Canada |
| Nova Scotia Identification Card | Nova Scotia, Canada |
| Prince Edward Island Voluntary ID | Prince Edward Island, Canada |
| Newfoundland and Labrador Photo Identification Card | Newfoundland and Labrador, Canada |
| Yukon General Identification Card | Yukon, Canada |
| Northwest Territories General Identification | Northwest Territories, Canada |
| Nunavut General Identification Card | Nunavut, Canada |
| **Provincial Services Cards** |  |
| British Columbia Services Card | British Columbia, Canada |

**NOTES:**

1. In Quebec, driver’s license may not be requested but can be used if offered.
2. In Manitoba, Ontario and Prince Edward Island, provincial health card may not be used for identification purposes; in Quebec, provincial health card may not be requested but can be used if offered.
3. Government of Canada or Provincial or Municipal Government ID cards are not acceptable as forms of identification for this purpose. These pieces of identification are considered employer ID’s, and not government issued ID’s.

**THIRD PARTY VERIFICATION FORM**

**PLEASE COMPLETE ONLY IF YOU HAVE INDICATED THAT THE MORTGAGE IS FOR THE BENEFIT OF A THIRD PARTY, AS INDICATED ON THE AGENT EXAMINATION OF IDENTIFICATION FORM**

**Complete for an Individual**:

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| --- | --- | --- | --- |
| **Full Name:** | **Email:** | **Phone:** | **Emergency Contact:** |
| **Address:** | **Emergency Contact Phone and Address:** |
| **City:** | **Province:** |
| **Country:** | **Postal Code:** |
| **Occupation**1**:** | **Date of Birth:** |

1. Vague description such as “Business-for-Self”, “self-employed”, “consultant”, “investor”, “business owner”, “businessman”, “entrepreneur” or “Signing Officer” is **not acceptable**. The occupation must clearly reflect the nature of the work and the industry in which it is performed

**OR**

**Complete for a Corporation**:

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| **Name of Business:** |
| **Nature of Business:** |
| **Incorporation Number and Place of Issue:** |
| **Address:** | **City:** |
| **Country:** | **Postal Code:** |

**What is the relationship between the registered owner of the property on closing and the Third Party?**

□ Agent □ Customer □ Employee □ Friend □ Relative

□ Trustee □ Power of Attorney □ Other (specify)

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| **Additional Comments:** |
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| **Name of Person and Firm completing this Form:** |
| **Signature:** | **Date:** |