

Beneficial Ownership Record

1. Complete sub-section 1 (as applicable, according to the type of entity).
2. Complete sub-section 2 for all entities.
3. Complete sub-section 3 if entity is a not-for-profit corporation.
4. Confirm accuracy of information in sub-sections 1, 2 and 3 (as a best practice) and document you did this in sub-section 4.
5. If you cannot obtain information in sub-sections 1, 2 or confirm its accuracy, complete sub-section 5.

1. Record Keeping - General

Only complete the subsection that applies. Add additional pages if necessary.

A. For corporate entities:

Names of all directors of corporation:

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Name and addresses of all persons who own directly or indirectly 25% or more of shares of corporation:

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B. For trust entities:

Name and addresses of all trustees, known beneficiaries and settlors of trust:

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C. For widely held or publicly held trust entities:

Name of all trustees:

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Name and addresses of all persons who directly or indirectly own 25% or more of the units of the trust:

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D. For entities other than corporations or trusts:

Name and addresses of all persons who own directly or indirectly 25% or more of entity:

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.....



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2. Record Keeping – Ownership, Structure and control

For all entities, provide information explaining entity’s ownership, control and structure. If the information is complex, you may wish to attach a diagram that shows the ownership, control and structure:

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3. Record Keeping – Not-for-profit

If the entity is a not-for-profit organization:

Is entity a charity registered with the Canada Revenue Agency under the Income Tax Act?

Yes No

If entity is not a charity, does entity solicit charitable donations from the public?

Yes No

4. Confirm Accuracy of Information in Sections 1, 2 and (as a best practice) Section 3

Tick applicable boxes to document the measures you took to confirm the accuracy of information in sub-sections 1-3:

Asked entity for information and they provided (check all that apply):

- | | |
|---|--|
| <input type="checkbox"/> Minute book | <input type="checkbox"/> Securities register |
| <input type="checkbox"/> Shareholders register | <input type="checkbox"/> Articles of incorporation |
| <input type="checkbox"/> Annual returns | <input type="checkbox"/> Certificate of corporate status |
| <input type="checkbox"/> Shareholder agreement | <input type="checkbox"/> Partnership agreement |
| <input type="checkbox"/> Board of director’s meeting records of decisions | <input type="checkbox"/> Other, explain |
| <input type="checkbox"/> Trust deed | |

Checked CRA list of charities (if sub-section 3 applies)

Internet search

Entity provided signed letter confirming the veracity of the information in Sections 1 and 2

Other, explain:

(optional) Date(s) above measures taken:

5. Complete this sub-section if you cannot obtain information in sub-sections 1, 2 or confirm its accuracy in sub-section 4.

Tick applicable boxes for each task taken.

Took reasonable measures to verify the identity of the entity’s chief executive officer or the person who performs that function.

Applied special measures for high-risk-clients.

Agents should speak to the Compliance Officer for direction if step 5 is necessary.