

Receipt of Funds Record - Required Information
Making a Deposit into CSS's Trust Account

To be completed when you receive funds (in cash or in another form) in the amount of \$3,000 or more in the course of a single transaction. You are not required to complete if the funds are received from a public body, a financial entity or a very large corporation (defined as a corporation that has a minimum net assets of \$75 million CAD on its last audited balance sheet, is traded on a Canadian stock exchange or on a stock exchange outside Canada that is designated by the Minister of Finance) and operates in a country that is a member of the Financial Action Task Force.

Clear Form

PART A - Transaction Information				
Transaction Amount:		Currency:		
Date of Transaction (MM/DD/YY):				
PART B - Client Information - Individual				
Last name		First Name		Date of Birth (MM/DD/YY)
Address (do not use PO Box)		City	Prov/State	Postal Code Country
Individual's principal business or occupation ⁽¹⁾				Phone
Risk assessment with explanation ⁽²⁾				
<p><i>If you have previously verified the identity of an individual and can identify them again (either by voice or visually) and their identification has not expired, then it is not necessary to identify them again. Please document below the identity information previously obtained (if using the Photo Identification Method).</i></p> <p>Photo Identification Method (CSS's preferred method) : Please complete the following. You must observe the authentic document - no copies permitted. Document must be issued by provincial or federal government. Examples include driver's license, passport, provincial or territorial identity card or permanent resident card. Health cards are NOT permitted from ON, MB, PE, NS.</p>				
Type of photo document	Document number		Issuing jurisdiction and country	
Expiry date (MM/DD/YY)	Date of verification (MM/DD/YY)			
Are official records on file to confirm name and photograph? ⁽³⁾ Yes ☐ No ☐				
Dual Process Method: <i>If one of these methods are used, please include copies of the valid documents and provide proper documentation in accordance with CSS's ML&TF Policies and Procedures.</i>				
Risk assessment with explanation ⁽³⁾				
Please complete the following if the funds were received from the client:				
Bank Account Number (copy of cheque attached, if applicable)			Method of Payment ☐ Cash ☐ Cheque ☐ Bank Draft ☐ Other _____	
PART C - Client Information - Corporation/Entity				
Entity's Name				Phone
Address (do not use PO Box)		City	Prov/State	Postal Code Country
Are official records on file to confirm name and address? ⁽³⁾ Yes ☐ No ☐			Document used	
List corporate directors of client _____ _____ _____			Confirm record on file? ⁽³⁾ Yes ☐ No ☐	

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PART C - Client Information - Corporation/Entity (continued)				
List shareholders of client	<div style="border-bottom: 1px solid black; height: 15px; margin-bottom: 5px;"></div> <div style="border-bottom: 1px solid black; height: 15px; margin-bottom: 5px;"></div> <div style="border-bottom: 1px solid black; height: 15px;"></div>	Current T2 Schedule 50 on file? Yes ☐ No ☐		
		If a shareholder is a corporation or entity, is an organization chart on file? Yes ☐ No ☐		
List beneficial owners of client and document their addresses (Beneficial owners own more than 25% of the entity) Where beneficial ownership can not be identified, identify the CEO.	Name	% Owned	Address	
Entity's nature of principal business and source of information (example of a website: "www.abc.com", not "website")				
Risk assessment with explanation ⁽³⁾				
<i>Please complete the following if the funds were received from the client:</i>				
Bank Account Number (copy of cheque attached, if applicable)		Method of Payment ☐ Cash ☐ Cheque ☐ Bank Draft ☐ Other _____		
PART D - CSS Information				
Purpose and type of transaction ⁽⁴⁾				
If cash was received, how was the cash received and how much? ⁽⁵⁾				
Bank account number ⁽⁶⁾	Bank account type			
Company who holds the account				
Currency in which transaction is conducted (include exchange rate and source used if not Cdn funds) ⁽⁸⁾				
PART E - A Non-Client Depositing into CSS Trust Account				
Individual/Company who holds the account			Individual's Date of Birth (MM/DD/YY)	
Address (do not use PO Box)	City	Prov/State	Postal Code	Country
Individual/Entity's nature of principal business and source of information (example of a website: "www.abc.com")				
Bank Account Number (copy of cheque attached, if applicable)		Method of Payment ☐ Cash ☐ Cheque ☐ Bank Draft ☐ Other _____		
PART F - Business Relationship Record				
Name of Client				
Purpose and Intended Nature of the Business Relationship ⁽⁷⁾				
Is this Client/Signing Officer a PEP/FPEP/HIO/Family Member/Close Associate? (Y/N).				
If Y, are they a FPEP or High Risk PEP/HIO/Family Member/Close Associate? (Y/N). If Y, what is source of wealth? ⁽⁹⁾				

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- (1) Be as descriptive as possible. For example, use "family physician" rather than "doctor" and use "IT Consultant" rather than "Consultant".
- (2) For existing clients, you can document the risk level based on the most recent "Client Risk Assessment" form. For new clients, we may wish to complete the Client Risk Assessment Questionnaire to support the assessment.
- (3) In accordance with CSS's Money Laundering & Terrorist Financing Policies and Procedures, **to confirm name and address**, you can use: (a) Corporation's certificate of corporate status; (b) a record that has to be filed annually under provincial securities legislation; (c) Corporation's published annual report signed by an independent audit firm; (d) Letter or notice of assessment from a municipal, provincial, territorial or federal government; (e) Partnership agreement; (f) Articles of incorporation, amendment or association; (g) Any other similar record that confirms the corporation's existence. For an individual, this would be a photo identification document. **To confirm the directors**, you can use: (a) Electronic document from public source such as federal database (Corporations Canada database) or by subscribing to a corporation searching and registration service; (b) List of corporation's directors submitted with application for incorporation if they remain unchanged; (c) updated list of directors from the client minute book. It is not necessary to obtain the minute book annually if we have legal reporting letters on file indicating that it is unchanged.
- (4) Example: funds were for you to transfer on client's behalf
- (5) Examples: in person, by mail, by armoured car
- (6) Include bank number, branch or transit number as well as the account number
- (7) Examples: transferring funds or securities; paying or receiving funds on behalf of client, purchasing or selling business assets or entities
- (8) Example of source would be "Bank of Canada noon rate on date of transaction" or "Exchange rate used by bank" (in a scenario where a US cheque is deposited into a Canadian bank account)
- (9) FPEP = Foreign Politically Exposed Person; PEP = Politically Exposed Person; HIO = Head of International Organizations. These and family member/close associates are defined in the Policies and Procedures.