



THOMPSON DORFMAN SWEATMAN LLP

NOTICE TO THE CLIENTS OF THOMPSON DORFMAN SWEATMAN LLP

CLIENT IDENTIFICATION AND VERIFICATION RULES

INTRODUCTION

The *Proceeds of Crime (Money Laundering) and Terrorist Financing Act* was passed by the Parliament of Canada to implement specific measures to detect and deter money laundering and financing of terrorist activities. The Act established client identification and verification requirements for financial institutions and related professionals whose services are susceptible to being abused for those purposes.

To protect the confidentiality and legal privilege between lawyers and our clients, the Federation of Law Societies of Canada negotiated an agreement with the Government of Canada under which lawyers are excluded from the requirement to report information regarding client financial transactions to the Financial Transactions and Reports Analysis Centre of Canada ("FINTRAC"). That agreement required the Law Societies across Canada to adopt rules for client identification and verification in order to ensure that the fundamental policy provisions of the Act will be respected. Accordingly, The Law Society of Manitoba amended its Rules to include provisions with which Thompson Dorfman Sweatman LLP and all other lawyers in private practice in Manitoba must comply.

IMPLEMENTATION

The Rules require us to obtain and record certain information respecting the identities of our clients. If we will be receiving, paying or transferring money on your behalf or giving instructions for others to do so in such matters, we are also required to verify the accuracy of the information by examining and keeping copies of certain identification documents. In order to better enable us to provide service to you as new matters arise, we have prepared the attached form, **which must be completed either by you or by us on your behalf before we may undertake any new matter**. This form addresses the identification requirements of the new Rules. It does not deal with the verification requirements, which we will address with you on a case by case basis. Should you have any questions, we would be pleased to respond and we request that you contact the lawyer with whom you regularly deal. If you do not know his or her e-mail address or telephone number, please call our switchboard at (204) 957-1930 and the attendant will be pleased to redirect your call.

If Individual please complete this section:

Name: _____
 Residential Address: _____

 Residential Phone No.: _____
 Cell Phone No.: _____
 E-Mail Address: _____
 Occupation(s) _____

If Organization please complete this section: (If more than one person is authorized to provide instructions, please also provide their names, positions and contact information.)

Organization Name: _____
 Contact Name: _____
 Position: _____
 Business Address: _____

 Business Phone No.: _____
 Contact Cell Phone No.: _____
 E-Mail Address: _____
 Incorporation No.: _____
 Place of Issue of Incorporation No.: _____

OR

Business Identification No.: _____
 Place of Issue of Business Identification No.: _____

General Nature of Client Business

(check appropriate box)

- | | |
|--|---|
| <input type="checkbox"/> Accommodation and Food Services | <input type="checkbox"/> Administrative and Support and Waste Management and Remediation Services |
| <input type="checkbox"/> Agriculture, Forestry, Fishing and Hunting | <input type="checkbox"/> Arts, Entertainment and Recreation |
| <input type="checkbox"/> Construction | <input type="checkbox"/> Education Services |
| <input type="checkbox"/> Finance and Insurance | <input type="checkbox"/> Health Care and Social Assistance |
| <input type="checkbox"/> Information | <input type="checkbox"/> Management of Companies and Enterprises |
| <input type="checkbox"/> Manufacturing | <input type="checkbox"/> Mining |
| <input type="checkbox"/> Professional, Scientific and Technical Services | <input type="checkbox"/> Public Administration |
| <input type="checkbox"/> Real Estate and Rental and Leasing | <input type="checkbox"/> Retail Trade |
| <input type="checkbox"/> Transportation and Warehousing | <input type="checkbox"/> Utilities |
| <input type="checkbox"/> Wholesale Trade | <input type="checkbox"/> Other Services (except Public Administration)
<i>(Please Specify)</i> _____ |

How did you hear about us?

(check appropriate box)

- Advertisement
 Press Release
 Professional Referral (e.g. other Lawyer, Accountant, etc.)
 Request for Proposal (RFP)
 Seminar/Event
 Sponsorship
 Web Site
 Word of Mouth (e.g. other clients, past clients)
 Other *(Please Specify)* _____
 Existing Client (not applicable)