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Outlier Solutions Inc. (Outlier) has prepared this marked-up copy of the Proceeds of Crime (Money Laundering) and Terrorist Financing Suspicious Transaction Reporting Regulations, reflecting the changes published in the Canada Gazette on July 10th, 2019¹. This document is not an official version of the Proceeds of Crime (Money Laundering) and Terrorist Financing Suspicious Transaction Reporting Regulations. Official versions can be found on the Government of Canada's Justice Laws Website².

Please feel free to distribute this document free of charge to additional stakeholders. If you have any questions or concerns, or if you would like a copy of this document in Microsoft Word format, please contact us at info@outliercanada.com.

¹ <http://www.gazette.gc.ca/rp-pr/p2/2019/2019-07-10/html/sor-dors240-eng.html>

² <https://laws-lois.justice.gc.ca/eng/regulations/SOR-2001-317/index.html>

Proceeds of Crime (Money Laundering) and Terrorist Financing Suspicious Transaction Reporting Regulations

SOR/2001-317

PROCEEDS OF CRIME (MONEY LAUNDERING) AND TERRORIST FINANCING ACT

Registration 2001-08-28

Proceeds of Crime (Money Laundering) and Terrorist Financing Suspicious Transaction Reporting Regulations

P.C. 2001-1500 2001-08-28

Whereas, pursuant to subsection 73(2) of the *Proceeds of Crime (Money Laundering) Act*³ a copy of the proposed *Proceeds of Crime (Money Laundering) Suspicious Transaction Reporting Regulations* was published, substantially in the form set out in the annexed Regulations, as part of the *Proceeds of Crime (Money Laundering) Regulations, 2000* in the *Canada Gazette*, Part I, on February 17, 2001 and a reasonable opportunity was thereby given to interested persons to make representations to the Minister of Finance with respect to the proposed Regulations;

Therefore, Her Excellency the Governor General in Council, on the recommendation of the Minister of Finance, pursuant to section 73 of the *Proceeds of Crime (Money Laundering) Act*⁴, hereby makes the annexed *Proceeds of Crime (Money Laundering) Suspicious Transaction Reporting Regulations*.

Interpretation

1 (1) [Repealed, SOR/2016-153, s. 1]

(2) The following definitions apply in these Regulations.

accountant means a chartered accountant, a certified general accountant or a certified management accountant. (*comptable*)

accounting firm means an entity that is engaged in the business of providing accounting services to the public and has at least one partner, employee or administrator that is an accountant. (*cabinet d'expertise comptable*)

Act means the [Proceeds of Crime \(Money Laundering\) and Terrorist Financing Act](#). (Loi)

³ S.C. 2000, c. 17

⁴ S.C. 2000, c. 17

British Columbia notary corporation means an entity that carries on the business of providing notary services to the public in the province of British Columbia in accordance with the *Notaries Act*, R.S.B.C. 1996, c. 334. (*société de notaires de la Colombie-Britannique*)

British Columbia notary public means a person who is a member of the Society of Notaries Public of British Columbia. (*notaire public de la Colombie-Britannique*)

cash means coins referred to in section 7 of the *Currency Act*, notes issued by the Bank of Canada pursuant to under the *Bank of Canada Act* that are intended for circulation in Canada and coins or bank notes of countries other than Canada. (espèces)

cash or currency [Repealed, SOR/2002-185, s. 2]

casino means a government, organization, board or operator that is referred to in any of paragraphs 5(k) to (k.3) of the Act. (*casino*)

CICA Handbook means the handbook prepared and published by the Canadian Institute of Chartered Accountants, as amended from time to time. (*Manuel de l'ICCA*)

credit union central means a central cooperative credit society, as defined in section 2 of the *Cooperative Credit Associations Act*, or a credit union central or a federation of credit unions or caisses populaires that is regulated by a provincial Act other than one enacted by the legislature of Quebec. (*centrale de caisses de crédit*)

dealer in precious metals and stones means a person or entity that, in the course of their business activities, buys or sells precious metals, precious stones or jewellery. It includes a department or agent or mandatary of Her Majesty in right of Canada or of a province when the department or agent or mandatary is carrying out the activity, referred to in section 5, of selling precious metals to the public. (*négociant en métaux précieux et pierres précieuses*)

electronic funds transfer means the transmission — through any electronic, magnetic or optical device, telephone instrument or computer — of instructions for the transfer of funds, other than the transfer of funds within Canada. In the case of SWIFT messages, only SWIFT MT 103 messages are included. (*télévirement*)

fiat currency means a currency that is issued by a country and is designated as legal tender in that country. (*monnaie fiduciaire*)

financial entity means a bank that is regulated by the *Bank Act*, an authorized foreign bank, as defined in section 2 of that Act, in respect of its business in Canada, a cooperative credit society, savings and credit union or caisse populaire that is regulated by a provincial Act, an association that is regulated by the *Cooperative Credit Associations Act*, a financial services cooperative, a credit union central, a company that is regulated by the *Trust and Loan Companies Act* and a trust company or loan company that is regulated by a provincial Act. It includes a department or an entity that

is an agent or mandatary of Her Majesty in right of Canada or of a province when it is carrying out an activity referred to in paragraph 8(a). (*entité financière*)

financial services cooperative means a financial services cooperative that is regulated by *An Act respecting financial services cooperatives*, CQLR, c. C-67.3, or *An Act respecting the Mouvement Desjardins*, S.Q. 2000, c. 77, other than a *caisse populaire*. (*coopérative de services financiers*)

funds means either

(a) cash and other fiat currencies, and securities, negotiable instruments or other financial instruments that indicate a title or right to or interest in them; or

(b) (b) a private key of a cryptographic system that enables a person or entity to have access to a fiat currency other than cash, currency, securities, negotiable instruments or other financial instruments, in any form, that indicate a person's or entity's title or right to, or interest in, them.

For greater certainty, it does not include virtual currency. (*fonds*)

jewellery means objects that are made of gold, silver, palladium, platinum, pearls or precious stones and that are intended to be worn as a personal adornment. (*bijou*)

legal firm [Repealed, SOR/2003-102, s. 1]

life insurance broker or agent means a person or entity that is registered or licensed under provincial legislation to carry on the business of arranging contracts of life insurance. (*représentant d'assurance-vie*)

listed person has the same meaning as in section 1 of the Regulations Implementing the United Nations Resolutions on the Suppression of Terrorism. (*personne inscrite*)

money services business [Repealed, SOR/2016-153, s. 1]

precious metal means gold, silver, palladium or platinum in the form of coins, bars, ingots or granules or in any other similar form. (*métal précieux*)

precious stones means diamonds, sapphires, emeralds, tanzanite, rubies or alexandrite. (*pietre précieuse*)

real estate broker or sales representative means a person or entity that is registered or licensed under provincial legislation in respect of the sale or purchase of real estate. (*courtier ou agent immobilier*)

real estate developer means, on any given day in a calendar year, a person or entity who, in that calendar year and before that day or in any previous calendar year after 2007, has sold to the public, other than in the capacity of a real estate broker or sales representative,

(a) five or more new houses or condominium units;

(b) one or more new commercial or industrial buildings; or

(c) one or more new multi-unit residential buildings each of which contains five or more residential units, or two or more new multi-unit residential buildings that together contain five or more residential units. (*promoteur immobilier*)

SWIFT means the Society for Worldwide Interbank Financial Telecommunication. (SWIFT)

trust company means a company to which the [Trust and Loan Companies Act](#) applies or a trust company regulated by a provincial Act. (*société de fiducie*)

virtual currency means

(a) a digital representation of value that can be used for payment or investment purposes that is not a fiat currency and that can be readily exchanged for funds or for another virtual currency that can be readily exchanged for funds; or

(b) a private key of a cryptographic system that enables a person or entity to have access to a digital representation of value referred to in paragraph (a). (*monnaie virtuelle*)

SOR/2002-185, s. 2, SOR/2003-102, s. 1, SOR/2003-358, s. 1, SOR/2007-122, s. 1, SOR/2007-293, s. 1, SOR/2008-21, s. 1, SOR/2009-265, s. 1, SOR/2016-153, s. 1

[Previous Version](#)

1.1 If a *registered charity*, as defined in subsection 248(1) of the [Income Tax Act](#), conducts and manages, in a permanent establishment of a casino, a lottery scheme that includes games of roulette or card games for a period of not more than two consecutive days at a time and, in doing so, acts under the supervision of the government of a province that is referred to in paragraph 5(k) of the Act, or of an organization that is referred to in paragraph 5(k.2) of the Act, that conducts and manages such a lottery scheme in the same establishment, the lottery scheme that is conducted and managed by the registered charity is considered to be conducted and managed by the supervising government or organization.

SOR/2003-358, s. 2, SOR/2016-153, s. 2

[Previous Version](#)

~~**1.2** The prescribed precious metals for the purpose of paragraph 5(l) of the Act are precious metals as defined in subsection 1(2).~~

~~SOR/2007-293, s. 2~~

~~**2** For the purposes of these Regulations, a person acting on behalf of their employer is considered to be acting on behalf of a third party except when the person is depositing cash into the employer's business account.~~

~~SOR/2002-185, s. 3, SOR/2007-122, s. 2~~

Previous Version

Application of Part 1 of the Act

2.1 (1) Part 1 of the Act applies to financial services cooperatives.

(2) Every credit union central is subject to Part 1 of the Act when it offers financial services to a person or entity other than a financial entity that is a member of that credit union central.

SOR/2009-265, s. 2

3 Part 1 of the Act applies to life insurance brokers or agents.

SOR/2002-185, s. 3

4 (1) Subject to subsection (2), every British Columbia notary public and every British Columbia notary corporation is subject to Part 1 of the Act when they engage in any of the following activities on behalf of any person or entity, including the giving of instructions on behalf of any person or entity in respect of those activities:

(a) receiving or paying funds, other than those received or paid in respect of professional fees, disbursements, expenses or bail;

(b) purchasing or selling securities, real estate or business assets or entities; or

(c) transferring funds or securities by any means.

(2) Subsection (1) does not apply in respect of a British Columbia notary public when they engage in any of the activities referred to in that subsection on behalf of their employer.

SOR/2007-293, s. 3

Previous Version

5 Every dealer in precious metals and stones that engages in the purchase or sale of precious metals, precious stones or jewellery in an amount of \$10,000 or more in a single transaction, other than such a purchase or sale that is carried out in the course of, in connection with or for the purpose of manufacturing jewellery, extracting precious metals or precious stones from a mine or polishing or cutting precious stones, is subject to Part 1 of the Act.

SOR/2007-293, s. 3

Previous Version

6 (1) Subject to subsections (2) and (3), every accountant and every accounting firm is subject to Part 1 of the Act when they

(a) engage in any of the following activities on behalf of any person or entity, namely,

(i) receiving or paying funds;

- ~~(ii) purchasing or selling securities, real property or business assets or entities, or~~
- ~~(iii) transferring funds or securities by any means; or~~

~~(b) give instructions on behalf of any person or entity in respect of any activity referred to in paragraph (a).~~

~~(c) [Repealed, SOR/2007-122, s. 4]~~

~~(2) Subsection (1) does not apply in respect of an accountant when they engage in any of the activities referred to in paragraph (1)(a) or (b) on behalf of their employer.~~

~~(3) For greater certainty, subsection (1) does not apply in respect of audit, review or compilation engagements carried out in accordance with the recommendations set out in the CICA Handbook.~~

~~SOR/2002-185, s. 3, SOR/2007-122, s. 4~~

~~Previous Version~~

~~7 Every real estate broker or sales representative is subject to Part 1 of the Act when they act as an agent in respect of the purchase or sale of real estate.~~

~~SOR/2007-122, s. 5~~

~~Previous Version~~

~~7.1 (1) Every real estate developer is subject to Part 1 of the Act when~~

~~(a) in the case of a person or of an entity other than a corporation, they sell to the public a new house, a new condominium unit, a new commercial or industrial building or a new multi-unit residential building; and~~

~~(b) in the case of an entity that is a corporation, they sell to the public a new house, a new condominium unit, a new commercial or industrial building or a new multi-unit residential building on their own behalf or on behalf of a subsidiary or affiliate.~~

~~(2) For the purposes of subsection (1), an entity is affiliated with another entity if one of them is wholly owned by the other, if both are wholly owned by the same entity or if their financial statements are consolidated.~~

~~SOR/2008-21, s. 2, SOR/2016-153, s. 3~~

~~Previous Version~~

~~8 Every department and agent or mandatary of Her Majesty in right of Canada or of a province is subject to Part 1 of the Act when, in the course of providing financial services to the public, the department or agent or mandatary~~

~~(a) accepts deposit liabilities; or~~

~~(b) sells or redeems money orders.~~

SOR/2002-185, s. 4, SOR/2016-153, s. 4(E)

[Previous Version](#)

Report Under Section 7 of the Act

9 (1) Subject to section 11, a report made under section 7 of the Act concerning a financial transaction or ~~an~~ attempted financial transaction in respect of which there are reasonable grounds to suspect that the transaction or attempted transaction is related to the commission of a money laundering offence or ~~a~~ terrorist activity financing offence shall contain the information set out in Schedule 1.

(2) The report person or entity shall ~~be sent~~ send the report to the Centre as soon as practicable after they have taken measures that enable them to establish that there are within 30 days after the day on which the person or entity or any of their employees or officers detects a fact respecting a financial transaction or an attempted financial transaction that constitutes reasonable grounds to suspect that the transaction or attempted transaction is related to the commission of a money laundering offence or a terrorist activity financing offence.

SOR/2002-185, s. 4, SOR/2007-122, s. 6, SOR/2016-153, s. 5

[Previous Version](#)

Report Under Section 7.1 of the Act **Report Made Under Section 83.1 of the Criminal Code or Under Section 8 of the Regulations Implementing the United Nations Resolutions on the Suppression of Terrorism**

[SOR/2007-122, s. 7]

10 (1) Subject to section 11, a report made under section 7.1 of the Act shall ~~be sent without delay to the Centre and shall~~ contain the information set out in Schedule 2.

(2) The person or entity shall send the report to the Centre immediately.

SOR/2002-185, s. 4

Exemption Reports

11 (1) ~~Where a transaction is required to be reported under section 7 or 7.1 of the Act,~~ The requirement to report information set out in Schedule 1 or 2 does not apply ~~to a~~ person or entity in respect of information set out in an item of that Schedule that is not marked with an asterisk if, after taking reasonable measures to do so, the person or entity is unable to obtain the information.

~~(2) Despite subsection (1),~~ in the case of an attempted transaction, the requirement to report information set out in Schedule 1 does not apply ~~to a person or entity~~ in respect of information set out in an item of that Schedule that is marked with an asterisk if, after taking reasonable measures to do so, the person or entity is unable to obtain the information.

~~(3) The requirement to report information set out in Schedule 1 or 2 does not apply if the person or entity believes that taking the reasonable measures to obtain the information would inform a person or entity that conducts or attempts or proposes to conduct a transaction with them that the transaction and related information will be reported under section 7 or 7.1 of the Act.~~

~~(4) For greater certainty, although items in Schedules 1 and 2 are described in the singular, a person or entity shall report all known information that falls within an item.~~

~~(5) For greater certainty, a person or entity is not required to report information set out in any item of Schedule 1 or 2 that is not applicable in the circumstances.~~

SOR/2002-185, s. 4, SOR/2007-122, s. 8

[Previous Version](#)

12 A ~~report shall be sent electronically in accordance with guidelines that are prepared by the Centre, if the sender has the technical capabilities to do so. If the sender does not have the technical capabilities to send the report electronically, the report shall be sent in paper format in accordance with guidelines that are prepared by the Centre.~~

~~12 (1) The report referred to in section 9 shall be sent electronically in accordance with guidelines for report submissions that are prepared by the Centre if the sender has the technical capabilities to do so.~~

~~(2) The report referred to in section 9 shall be sent in paper format in accordance with guidelines for report submissions that are prepared by the Centre if the sender does not have the technical capabilities to send the report electronically.~~

~~(3) The report referred to in section 10 shall be sent in paper format in accordance with guidelines for report submissions that are prepared by the Centre.~~

SOR/2002-185, s. 4

Suspicious Transaction or Attempted Transaction Report

~~12.1 (1) Every A~~ person or entity ~~who submits~~ that sends a report to the Centre a Suspicious Transaction or Attempted Transaction Report set out in Schedule 1 shall keep a copy of the report for a period of at least five years after the day on which the report is sent.

SOR/2007-122, s. 9

~~12.(2)~~ The copy ~~referred to in section 12.1 of the report~~ may be kept in a machine-readable form or ~~in an~~ electronic form; if a paper copy can be readily produced from it.

SOR/2007-293, s. 4

~~12.3 (1)~~ Subject to subsection (2), every person or entity that is required by section 12.1 to keep a copy of the report referred to in that section shall retain that copy for a period of at least five years following the day on which the report was made.

~~(32)~~ For greater certainty, if ~~Where~~ the copy that is required by section 12.1 to be kept by a person is the property of ~~their a person's~~ employer or of a person or entity with which ~~they are the person is~~ in a contractual relationship, ~~they are the person is~~ not required to ~~retain the copy keep it~~ after ~~the end of~~ their employment or ~~the at~~ contractual relationship ~~ends~~.

SOR/2007-293, s. 4

Prescribed Designated Information

13 The ~~prescribed~~ information ~~that is prescribed as designated information~~ for the purposes of paragraphs 55(7)(f), 55.1(3)(f) and 56.1(5)(f) of the Act is

(a) the following information concerning the ~~person or entity that is involved in the transaction, attempted transaction, importation or exportation, or any person or entity acting on their behalf;~~ ~~namely,~~

(i) their ~~address, telephone number and email address, alias, if any,~~

(ii) ~~in the case of a person, their alias, their date of birth, and citizenship,~~

(iii) ~~in the case of a person, the number of an identification document issued to them by the federal government or a provincial government or by a foreign government that is not a municipal government, other than a document that contains their social insurance number, the issuing authority and, if available, the jurisdiction and country of issue and expiry date of the identification document, their address and electronic mail address,~~

~~(iii.1) their telephone number,~~

(iv) ~~in the case of an entity that is involved in the transaction, attempted transaction, importation or exportation, the date of its registration or incorporation, its registration or incorporation number and the jurisdiction and country of issue of that number, their citizenship,~~

~~(v) the number of an identification document issued to them by the federal government or a provincial government or by a foreign government that is not a municipal government, other than a document that contains their social insurance~~

number, the issuing authority and, if available, the place of issue and expiry date of the identification document;

~~(vi) if the client, importer or exporter is a corporation, the date and jurisdiction of its incorporation and its incorporation number;~~

~~(vii) the name and address of any person or entity on whose behalf the financial transaction or attempted financial transaction is conducted or on whose behalf the importation or exportation is carried out, and~~

~~(viii) the telephone number of the place of business where the financial transaction or attempted financial transaction occurred; and~~

~~(ix) if the client, importer or exporter is an entity, the entity's type of business;~~

(b) in the case of a financial transaction or an attempted financial transaction, the following information: ~~namely;~~

~~(i) the transit and every account numbers and transit number that is involved,~~

~~(ii) the full name of every each account holder,~~

~~(iii) the number of the transaction number or attempted transaction and every other reference number that is connected to the transaction or attempted transaction, if any,~~

~~(iv) the time of the transaction or attempted transaction,~~

~~(v) the type of transaction or attempted transaction,~~

~~(vi) the names of the parties to the transaction or attempted transaction,~~

~~(vii) the type of account,~~

~~(viii) the name and address of all each persons who is authorized to act in respect of the account, if any, and~~

~~(ix) the type of report, as listed in paragraph 54(1)(a) of the Act, from which the information disclosed is compiled; and~~

(c) in the case of an importation or exportation of fiat currency or monetary instruments, the country from which they are being imported or the country to which they are being exported.

SOR/2002-185, s. 4, SOR/2003-358, s. 3, SOR/2007-122, s. 10, SOR/2008-195, s. 1, SOR/2016-153, s. 6

[Previous Version](#)

SCHEDULE 1

(Subsection 9(1) and sections 11 and 12.1)

Suspicious Transaction or Attempted Transaction Report

PART A

Information with Respect to ~~en~~ Place of Business Where Transaction Is Conducted or Attempted ~~or Attempted Transaction Occurred~~

- 1* Person's or entity's name
- 2* Type of reporting person or entity, as described in any of paragraphs 5(a) to (h), (k) and (m) of the Act, and, if reporting person or entity is referred to in paragraph (5)(i) or (j) or (1) of the Act, type of prescribed business, profession or activity of reporting person or entity, as described in sections 3 to 8 of these Regulations referred to in that paragraph
- 32* Identification number of place of business where transaction or attempted transaction occurred (e.g., institution's identification number, licence number or registration number), if applicable assigned to person or entity by Centre
- 43* Number that identifies place of business Full name of reporting person or entity
- 54* Full address of place of business where transaction or attempted transaction occurred
- 65* Contact person's Name
- 7 Contact person's email address
- 8* Contact person's and telephone number of contact person

PART B

Information on with Respect to Transaction or Attempted Transaction

- 1* Date of transaction or attempted transaction or night deposit indicator

- 2 Time of transaction or attempted transaction
- 3 Posting date, (if different from date of transaction or attempted transaction above)
- 4* ~~Purpose and details of the transaction or attempted transaction, including~~
~~†Type and amount of funds or other assets involved, other than virtual~~
~~currency, amount of transaction or attempted transaction,~~
- 5* ~~Type and amount of fiat currency or virtual currency involved of~~
~~transaction or attempted transaction, and, if applicable, name and number~~
~~of each other institution and name and account number of each other~~
~~person or entity~~
- 5* ~~Disposition of funds, amount of disposition, currency of disposition, and, if~~
~~applicable, name and number of each other institution and name, account~~
~~number and policy number of each other person or entity~~
- 6* ~~Method by which the transaction was conducted or attempted (in branch~~
~~or office, ABM, armoured car, mail deposit, courier, telephone or~~
~~other) transaction conducted~~
- 7* ~~[Repealed, SOR/2016-153, s. 7] Exchange rates used~~
- 8* ~~In the case of transaction or attempted transaction involving virtual~~
~~currency, transaction identifiers, including sending and receiving~~
~~addresses~~
- 9* ~~Indication of Whether the transaction has been completed or not~~
- 109* If transaction not completed, ~~the~~ reason why it was not completed
- 11 Purpose of transaction or attempted transaction
- 12 Source of funds or virtual currency involved
- 13 Name of every person or entity that is source of funds or virtual currency
involved and their account number or policy number or, if no account
number or policy number, identifying number
- 14* Following details of remittance of, or in exchange for, funds or virtual
currency received:
(a) method of remittance
(b) if remittance is in funds, type and amount of each type of funds
involved

- (c) if remittance is in virtual currency, type and amount of each virtual currency involved
- (d) if remittance is not in funds or virtual currency, type of remittance and its value, if different from amount of funds or virtual currency received
- (e) name of every person or entity involved and their account number or policy number or, if no account number or policy number, identifying number

PART C

Account and Reference Number Information ~~(if applicable)~~

- 1* Every Account number and other equivalent reference number connected to transaction or attempted transaction
- 2* Branch number or transit number
- 32* Type of account (personal, business, trust or other)
- 3* Branch number, institution number and similar numbers connected to account or reference number
- 4* Full-nName of each account holder
- 5* Type of fiat currency or virtual currency of the account
- 6 Date account opened
- 7 Date account closed, if applicable
- 8* Status of account (active, inactive or dormant)

PART D

Information with Respect to ~~an~~ Person or Entity That Conductsing or Attemptsing To Conduct Transaction

- 1 Person's full-or entity's name
- 2* Client number provided by reporting person or entity, if applicable

- ~~2~~ ~~3~~ Person's ~~full or entity's~~ address
- ~~3~~ Person's or entity's email address
- Person's country of residence
- ~~54~~ Person's ~~personal or entity's~~ telephone number
- ~~5~~ Person's or entity's URL
- ~~6~~ Nature of person's or entity's principal business or their occupation Person's citizenship
- ~~7*~~ Identification number assigned to person or entity by reporting person or entity
- ~~87~~ Type of document or other information used to identify person ~~or entity, or to verify their identity under the Proceeds of Crime (Money Laundering) and Terrorist Financing Regulations~~, and number of document or number associated with information
- ~~98~~ Jurisdiction and country of issue of document or other information ~~used to identify person~~
- ~~10~~ Type of device used by person or entity that conducts or attempts to conduct transaction online
- ~~11~~ Number that identifies device
- ~~12~~ Internet Protocol address used by device
- ~~13~~ Person's or entity's user name
- ~~14~~ Date and time of person's or entity's online session in which transaction conducted or attempted
- ~~159~~ In the case of a person,
(a) their alias
(b) Person's their date of birth
(c) their country of residence
(d) their citizenship
(a)
(b)
- ~~10~~ Person's occupation

- ~~(c) 11 Person's business telephone number~~
- ~~(d)~~
- ~~(e) 12 Person's their employer's name~~
- ~~(e)~~
- ~~(f)~~
- ~~(g) 13 their eEmployer's full business address~~
- ~~(f)~~
- ~~(h)~~
- ~~(g) 14 their eEmployer's business telephone number~~

16 In the case of an entity,

- (a) name of each person - up to three - who is authorized to bind entity or to act with respect to account
- (b) its registration or incorporation number and jurisdiction and country of issue of that number
- (c) information respecting ownership, control and structure of entity
- (d) name of each person who directly or indirectly owns or controls 25% or more of entity
- (e) if entity is a corporation,
 - (i) name of each director
 - (ii) address of each director
 - (iii) telephone number of each director
 - (iv) name of each person who directly or indirectly owns or controls 25% of more of shares of corporation
- (f) if entity is a trust
 - (i) name of each trustee
 - (ii) address of each trustee
 - (iii) telephone number of each trustee
 - (iv) name of each settlor of trust
 - (v) address of each settlor of trust
 - (vi) telephone number of each settlor of trust

(vii) name of each beneficiary of trust, other than widely held or publicly traded trust

(viii) address of each beneficiary of trust, other than widely held or publicly traded trust

(ix) telephone number of each beneficiary of trust, other than widely held or publicly traded trust

(x) name of each person who directly or indirectly owns or controls 25% of more of units of widely held or publicly traded trust

(xi) address of each person who directly or indirectly owns or controls 25% of more of units of widely held or publicly traded trust

(xii) telephone number of each person who directly or indirectly owns or controls 25% of more of units of widely held or publicly traded trust

PART E

Information with Respect to Person or Entity on Whose Behalf Transaction Is Conducted or Attempted (if applicable)

- 1 Person's or Entity's full name
- 2 Full name of each person — up to three — who is authorized to bind the entity or act with respect to the account
- 3 Entity's type of business
- 2 Person's or Entity's full address
- 43 Person's or entity's email address
- 4 Person's or Entity's telephone number
- 5 Person's or entity's URL
- 56 Nature of person's or entity's principal business or their occupation
- 7 Entity's incorporation/identification number assigned to person or entity by reporting person or entity and place of issue, if applicable

8 Type of document or other information used to identify person or entity, or to verify their identity under the Proceeds of Crime (Money Laundering) and Terrorist Financing Regulations, and number of document or number associated with information

9 Jurisdiction and country of issue of document or other information

10 Relationship of person or entity to person or entity conducting or attempting to conduct transaction

11 In the case of a person,

- a. their alias
- b. their date of birth
- c. their country of residence
- d. their citizenship
- e. their employer's name
- f. their employer's business address
- g. their employer's business telephone number

12 In the case of an entity,

- a. name of each person - up to three - who is authorized to bind entity or to act with respect to account
- b. its registration or incorporation number and jurisdiction and country of issue of that number
- c. information respecting ownership, control and structure of entity
- d. name of each person who directly or indirectly owns or controls 25% or more of entity
- e. if entity is a corporation,
 - i. name of each director
 - ii. address of each director

iii. telephone number of each director

iv. name of each person who directly or indirectly owns or controls 25% of more of shares of corporation

f. if entity is a trust

i. name of each trustee

ii. address of each trustee

iii. telephone number of each trustee

iv. name of each settlor of trust

v. address of each settlor of trust

vi. telephone number of each settlor of trust

vii. name of each beneficiary of trust, other than widely held or publicly traded trust

viii. address of each beneficiary of trust, other than widely held or publicly traded trust

ix. telephone number of each beneficiary of trust, other than widely held or publicly traded trust

x. name of each person who directly or indirectly owns or controls 25% of more of units of widely held or publicly traded trust

xi. address of each person who directly or indirectly owns or controls 25% of more of units of widely held or publicly traded trust

~~i~~-xii. telephone number of each person who directly or indirectly owns or controls 25% of more of units of widely held or publicly traded trust

PART F

Information with Respect to Beneficiary on Person on Whose Behalf Transaction Is Conducted or Attempted (if applicable)

- 1 Beneficiary Person's full name
- 2 Beneficiary Person's full address
- 3
- 2 Person's personal telephone number
- 43 Beneficiary's email address
- 54 Beneficiary Person's business telephone number
- 5 Nature of beneficiary's principal business or their occupation Person's citizenship
- 6 Identification number assigned to beneficiary by reporting person or entity
- 7 Type of document or other information used to identify beneficiary, or to verify their identity, person and number of document or number associated with information
- 8 Jurisdiction and country of issue of document or other information used to identify person
- 89 User name of beneficiary that receives payment online
- 10 If beneficiary is a person,
 - a. their alias
 - b. their Person's date of birth
 - c. their country of residence
 - a.d. their employer's name
- 11 Person's country of residence if beneficiary is an entity.
 - a. name of each person - up to three - who is authorized to bind entity or to act with respect to account

- b. its registration or incorporation number and jurisdiction and country of issue of that number

9 — Person's occupation

10 — Person's employer

11 — Employer's full business address

12 — Employer's business telephone number

14 — Relationship of person conducting the transaction or attempted transaction to the person on whose behalf the transaction or attempted transaction is conducted

PART G

Description of Suspicious Activity

- 1* Detailed description of ~~the~~ grounds to suspect that ~~the~~ transaction or attempted transaction is related to ~~the~~ commission of ~~a~~ money laundering offence or terrorist activity financing offence

PART H

Action Taken ~~(if applicable)~~

- 1* Any other action taken as a result of suspicion

SOR/2002-185, s. 5, SOR/2007-122, ss. 11, 12, 13(F), 14 to 16, 18(F), SOR/2016-153, ss. 7 to 9

[Previous Version](#)

SCHEDULE 2

~~(Subsections 10(1) and 11(1) and (3) to (5))~~

Terrorist Group or Listed Person Property Report

PART A

Information With Respect to Reporting on the Person or Entity and Place of Business Where

Transaction Is Conducted or Proposed To Be Conducted~~Filing this Report~~

- 1* ~~Type of reporting p~~Person's or entity's name
- 2* ~~Type of person or entity, as described in any of paragraphs 5(a) to (h.1) and (k) of the Act, or, if person or entity is referred to in paragraph 5(i), (j) or (l) of the Act, type of prescribed business, profession or activity referred to in that paragraph~~
- 3 ~~Reporting Identification number assigned to person or entity's by Centre identifier number (if applicable)~~
- 43* ~~Number that identifies place of business~~Full name of reporting person or entity
- 54* ~~Full a~~Address of reporting person or entityplace of business
- 65* ~~Name and telephone number of c~~Contact person's name
- 7 ~~Contact person's email address~~
- 8* ~~Contact person's telephone number~~

PART B

Reason for Filing ~~this~~ Report

- 1* Reason for filing ~~the~~ report
- 2* ~~Indication of H~~how the reporting person or entity came to know that ~~the~~ property in question ~~is~~ owned or controlled by or on behalf of a terrorist group or listed person
- 3* ~~Indication of how reporting person or entity identified terrorist group or listed person~~
- 4* ~~Full n~~Name of ~~that~~ terrorist group or listed person
- 54 ~~Full a~~Address of ~~that~~ terrorist group or listed person
- 65 ~~P~~Telephone number of ~~that~~ terrorist group or listed person

~~7*6~~ ~~Full name~~ Name of person or entity that owns or controls the property on behalf of ~~the~~ terrorist group or listed person ~~(if applicable)~~

~~8*7~~ ~~Full address of that person's~~ Person's or entity's address

~~98~~ Person's or entity's email address

~~10~~ ~~Phone number of that person's~~ Person's or entity's telephone number

~~11~~ Person's or entity's URL

PART C

Information ~~with Respect to on the~~ Property

1* Type of property

~~2*~~ ~~Type of Means used to identify~~ property identifier

~~3~~ ~~Property identifier and every~~ number of, or associated with, that property

4* Approximate or actual value of property

5 Description of property

PART D

Information with Respect to ~~on the~~ Transaction or Proposed Transaction (if applicable)

~~1*~~ ~~Date of transaction or proposed transaction~~ or night deposit indicator

~~2*~~ ~~Time of transaction or proposed transaction~~

~~3~~ ~~Posting date, (if different from date of transaction or proposed transaction above)~~

~~4*~~ ~~Purpose and details of the transaction, including type of funds or assets involved, Type and amount or value of transaction funds or other assets involved, other than virtual currency of transaction, and, if applicable, name and number of each other institution and name and account number of each other person or entity~~

~~5*~~ ~~Type and amount of each fiat currency or virtual Disposition of funds, amount of disposition, currency involved of disposition, and, if applicable,~~

name and number of each other institution and name, account number and policy number of each other person or entity

6* Method by which the transaction is conducted or proposed to be conducted (in branch or office, ABM, armoured car, mail deposit, courier, telephone or other)

7 Exchange rates used ~~[Repealed, SOB/2016-153, s. 12]~~

8* In the case of a transaction or proposed transaction involving virtual currency, transaction identifiers, including sending and receiving addresses

9 Purpose of transaction or proposed transaction

10 Source of funds or virtual currency involved

11* Name of every person or entity that is source of funds or virtual currency involved and their account number or policy number or, if no account number or policy number, identifying number

12* Following details of remittance of, or in exchange for, funds, virtual currency or other assets received:

(a) method of remittance

(b) if remittance is in funds, type and amount of each type of funds involved

(c) if remittance is in virtual currency, type and amount of each virtual currency involved

(d) if remittance is not in funds or virtual currency, type of remittance and its value, if different from amount of funds, virtual currency or other assets received

(e) name of every person or entity involved and their account number or policy number or, if no account number or policy number, identifying number

Account Information (if applicable)

1* Account number

2* Branch or transit number

~~3*~~ ~~Type of account (personal, business, trust or other)~~

~~4*~~ ~~Type of currency of the account~~

~~5*~~ ~~Full name of each account holder~~

~~6~~ ~~Date account opened~~

~~7~~ ~~Date account closed, if applicable~~

~~8*~~ ~~Status of account (active, inactive or dormant)~~

Commented [RM1]: This has been moved to Past E of Terrorist Group or Listed Person Property Report.

PART E

Account and Reference Number Information (if applicable)

~~1*~~ ~~Every Account number or other equivalent reference number connected to transaction or proposed transaction~~

~~2*~~ ~~Type of account~~

~~32*~~ ~~Branch number, or transit institution number and similar numbers connected to account or reference number~~

~~3*~~ ~~Type of account (personal, business, trust or other)~~

~~4*~~ ~~Name of each account holder~~

~~5*~~ ~~Type of fiat currency or virtual currency of the account~~

~~5*~~ ~~Full name of each account holder~~

~~6~~ ~~Date account opened~~

~~7~~ ~~Date account closed, if applicable~~

~~8*~~ ~~Status of account (active, inactive or dormant)~~

~~Information on the Transaction or Proposed Transaction (if applicable)~~

- ~~1* Date of transaction or night deposit indicator~~
- ~~2 Time of transaction~~
- ~~3 Posting date (if different from above)~~
- ~~4* Purpose and details of the transaction, including type of funds or assets involved, amount of transaction, currency of transaction, and, if applicable, name and number of each other institution and name and account number of each other person or entity~~
- ~~5* Disposition of funds, amount of disposition, currency of disposition, and, if applicable, name and number of each other institution and name, account number and policy number of each other person or entity~~
- ~~6* Method by which the transaction is conducted or proposed to be conducted (in branch or office, ABM, armoured car, mail deposit, courier, telephone or other)~~
- ~~7 [Repealed, SOP/2016-153, s. 12]~~

Commented [RM2]: This has been moved to Part D of Terrorist Group or Listed Person Property Report.

PART F

Information with Respect to ~~an~~ Person or Entity That Conducts or Proposes To Conduct the Transaction (if applicable)

- 1 Person's or entity's full name
- 2 Person's alias, if any
- 3 Client number provided by reporting person or entity, if applicable
- 4 Person's or entity's full address
- 3 Person's or entity's email address
- 5 Person's country of residence
- 6 Person's citizenship

- ~~74~~ Person's ~~or entity's personal~~ telephone number
- 5 Person's or entity 's URL
- 6 Nature of person's or entity's principal business or their occupation
- 7 Identification number assigned to person or entity by reporting person or entity
- 8 Type of document or other information used to identify person ~~or entity, or to verify their identity under the *Proceeds of Crime (Money Laundering) and Terrorist Financing Regulations*~~, and number of document or number associated with information
- 9 Jurisdiction and country of issue of document or other information ~~used to identify person~~
- 10 Type of device used by person or entity that conducts transaction online
- 11 Number that identifies device
- 12 Internet Protocol address used by device
- 13 Person's or entity's user name
- 14 Date and time of person's or entity's session in which transaction is conducted online
- 15 In the case of a person,
- a. their alias
 - b. Person's ~~their~~ date of birth
 - a.c. their country of residence
 - b.d. Person's ~~occupation~~ ~~their~~ citizenship
 - c. Person's business telephone number
 - d. Person's ~~their~~ employer's name
 - e.

e. ~~—~~

f. their Employer's full business address

g. their Employer's business phone number

16 In the case of an entity,

a. (a) name of each person - up to three - who is authorized to bind entity or to act with respect to account

b. its registration or incorporation number and jurisdiction and country of issue of that number

c. information respecting ownership, control and structure of entity

d. name of each person who directly or indirectly owns or controls 25% or more of entity

e. if entity is a corporation,

i. name of each director

ii. address of each director

iii. telephone number of each director

iv. name of each person who directly or indirectly owns or controls 25% of more of shares of corporation

f. if entity is a trust

i. name of each trustee

ii. address of each trustee

iii. telephone number of each trustee

iv. name of each settlor of trust

v. address of each settlor of trust

vi. telephone number of each settlor of trust

- vii. name of each beneficiary of trust, other than widely held or publicly traded trust
- viii. address of each beneficiary of trust, other than widely held or publicly traded trust
- ix. telephone number of each beneficiary of trust, other than widely held or publicly traded trust
- x. name of each person who directly or indirectly owns or controls 25% of more of units of widely held or publicly traded trust
- xi. address of each person who directly or indirectly owns or controls 25% of more of units of widely held or publicly traded trust
- xii. telephone number of each person who directly or indirectly owns or controls 25% of more of units of widely held or publicly traded trust

PART G

Information with Respect to Person or Entity on Whose Behalf ~~the~~ Transaction Is Conducted or Proposed To Be Conducted ~~(if applicable)~~

- 1 Full name of Person's or entity's name
- 2 Full name of each person — up to three — who is authorized to bind the entity or act with respect to the account
- 3 Person's or entity's address of entity
- 4 Person's or entity's telephone number of entity
- 5 Person's or entity's URL
- 5 Incorporation number and place of issue, if applicable
- 6 Nature of person's or eEntity's type of principle business or their occupation

- 7 Identification number assigned to person or entity by reporting person or entity
- 8 Type of document or other information used to identify person or entity, or to verify their identity under the Proceeds of Crime (Money Laundering) and Terrorist Financing Regulations, and number of document or number associated with information
- 9 Jurisdiction and country of issue of document or other information
- 10 Relationship of person or entity to person or entity conducting or proposing to conduct transaction
- 11 In the case of a person,
- (a) their alias
 - (b) their date of birth
 - (c) their country of residence
 - (d) their citizenship
 - (e) their employer's name
 - (f) their employer's business address
 - (g) their employer's business telephone number
- 12 In the case of an entity,
- (a) name of each person - up to three - who is authorized to bind entity or to act with respect to account
 - (b) its registration or incorporation number and jurisdiction and country of issue of that number
 - (c) information respecting ownership, control and structure of entity
 - (d) name of each person who directly or indirectly owns or controls 25% or more of entity
 - (e) if entity is a corporation,

- (i) name of each director
 - (ii) address of each director
 - (iii) telephone number of each director
 - (iv) name of each person who directly or indirectly owns or controls 25% of more of shares of corporation
- (f) if entity is a trust,
- (i) name of each trustee
 - (ii) address of each trustee
 - (iii) telephone number of each trustee
 - (iv) name of each settlor of trust
 - (v) address of each settlor of trust
 - (vi) telephone number of each settlor of trust
 - (vii) name of each beneficiary of trust, other than widely held or publicly traded trust
 - (viii) address of each beneficiary of trust, other than widely held or publicly traded trust
 - (ix) telephone number of each beneficiary of trust, other than widely held or publicly traded trust
 - (x) name of each person who directly or indirectly owns or controls 25% of more of units of widely held or publicly traded trust
 - (xi) address of each person who directly or indirectly owns or controls 25% of more of units of widely held or publicly traded trust
 - (xii) telephone number of each person who directly or indirectly owns or controls 25% of more of units of widely held or publicly traded trust

PART H

**Information on Person on Whose Behalf
Transaction Is Conducted or Proposed To Be
Conducted (if applicable)**

- 1 — Person's full name
- 2 — Person's alias, if any
- 3 — Person's full address
- 4 — Person's personal telephone number
- 5 — Person's business telephone number
- 6 — Type of document or other information used to identify person and number of document or number associated with information
- 7 — Jurisdiction and country of issue of document or other information used to identify person
- 8 — Person's date of birth
- 9 — Person's country of residence
- 10 — Person's citizenship
- 11 — Person's occupation
- 12 — Person's employer
- 13 — Employer's full business address
- 14 — Employer's business telephone number
- 15 — Relationship of person conducting or proposing to conduct the transaction to the person on whose behalf the transaction is conducted

SOR/2002-185, s. 5, SOR/2007-122, s. 17, SOR/2016-153, ss. 10(E), 11(E), 12 to 14

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