



CONFIDENTIAL

Office of the Superintendent of Securities: Legal Registries Division (Justice)

P.O. Box 1000, Station 570, Iqaluit, NU, X0A 0H0 Tel: (867) 975-6596

**Report under section 83.11 of the *Criminal Code* and under section 7 of the
*Regulations Implementing the United Nations Resolutions on the Suppression of
Terrorism***

and

**Report under subsection 11(2) of the *Regulations Implementing the United
Nations Resolution on the Democratic
People's Republic of Korea* or of the *Regulations Implementing the United
Nations Resolution on Iran***

**(All Credit Unions, Trust Companies and Insurance Companies incorporated in Nunavut must file
this report electronically by sending it to: legal.registries@gov.nu.ca)**

Instructions: Refer to the Legal Registries website before completing each report to see who is identified as a Listed Person. Monthly reports must be filed **NO LATER** than the **FIFTEENTH (15TH) DAY** of each calendar month. Reports must be filed electronically with the Superintendent of Securities.

Name of Financial Institution:

Type of Registration: *(circle all applicable categories):*

Credit Union / Trust Company / Insurance Company / Other (specify: _____)

Are you in possession of, or in control of, any property as defined in the Regulations that is owned or controlled by a Listed Person? *(circle the appropriate response)*

Yes / No

Do you have an account in the name of a Designated Person*, or have a contract with a Designated Person, or possess or control property that is owned or controlled by or on behalf of a Designated Person? *(Circle the appropriate response)*

Yes / No

If the response to the above question is No, complete the certificate at the end of this form. If the response to the above question is yes, complete the table below and the certificate at the end of this form.

Definitions:

- "Number of accounts" means the number of persons, accounts, policies or contracts in whose name(s) the property is held.
 - "Listed Person" has the meaning assigned to it in the Regulations, and refers to the persons listed as of the end of the month prior to the date of the report.
For purposes of the initial report and subsequent reports this refers to the compilation of Listed Persons as posted at www.osfibsif.gs.ca/eng/issues/index.asp
 - "Property" includes assets held in trust, both discretionary and non-discretionary.
 - "Entity" means a body corporate, trust, partnership or fund, or an incorporated association or organization.
- * R the "Instructions, for the definition of "Designated Person"

SUMMARY OF PROPERTY

Type of Property	Number of Accounts	Property Value (\$'s)
Cash and term deposits		
Securities (bonds, debentures, commercial paper, common and preferred shares and derivatives)		
Loans (including overdrafts, credit card balances, term loans and lines of credit)		
Annuities (cash surrender value)		
Life insurance policies (face value)		
Property & casualty insurance policies (policy limit)		
Other property, including real estate		
Totals		

Have you reported the details of these holdings to the RCMP and CSIS as required under Section 8 of the Regulations? *(circle the appropriate response)*

Yes / No (Date reported: _____)

Have you frozen the property as required under Section 4 of the Regulations? *(circle the appropriate response)*

Yes / No (Date frozen: _____)

Certificate

The undersigned certifies that, to the best of his/her knowledge, and after having made reasonable enquiries, the information contained in this Report is correct.

Name, Signature, Title, Telephone Number, e-Mail address, and Date of this Report:

Instructions and Information

1. This Report is used by Provincially Regulated Financial Institutions ("PRFI"), to meet their obligations to file information under section 83.11 of the *Criminal Code* and under section 7 of the *United Nations Suppression of Terrorism Regulations*.
2. This is an aggregate Report of dealings PRFI have with Listed Persons or Listed Entities. Do not append personal information or account or policy information. Such information must be directed to the Royal Canadian Mounted Police ("RCMP"), the Canadian Security Intelligence Service ("CSIS"), and if applicable, the Financial Transactions and Reports Analysis Centre of Canada and, in respect of any foreign operations, foreign law enforcement officials.
3. All amounts must be stated in Canadian dollars.
4. The Report is cumulative. Information reported in the previous month must continue to be reported on the Report for the current month unless the person in whose name the property is identified is no longer subject to the reporting requirements under section 83.11 of the *Criminal Code* or under section 7 of the *United Nations Suppression of Terrorism Regulations*.

Reminder: Section 83.1 of the Criminal Code, Section 8 of the UN Suppression of Terrorism Regulations, Section 5.2 of the United Nations Al-Qaida and Taliban Regulations and Section 12 of the Regulations Implementing the United Nations Resolution on the Democratic People's of Korea or of the Regulations Implementing the United Nations Resolution on Iran requires every person in Canada and every Canadian outside Canada to disclose forthwith to the Royal Canadian Mounted Police and the Canadian Security Intelligence Service (a) the existence of property in their possession or control that is owned or controlled by or on behalf of a Listed Entity or Listed Person and (b) information about a transaction or proposed transaction in respect of property in their possession or control that is owned or controlled by or on behalf of a Listed Entity or Listed Person. In addition, under to the Proceeds of Crime (Money Laundering) and Terrorist Financing Act, persons subject to Part 1 of that Act are also required to report to the Financial Transactions and Reports Analysis Centre of Canada.