

Compliance Questionnaire - Real Estate Sector

Part A - General Information		Language of preference/Langue préférée English/Anglais French/Français	
	Date questionnaire completed	DD MM YYYY	
	Company/Organization's legal name and address		
	Please indicate the type of premises the above address	for Commercial / Retail Residential / Dwelling House Other (If other, specify)	
	Name of owner/broker/nominee	=	
	Name and title of the individual comp questionnaire	leting	
	Contact information:		
	Business telephone		
	Business fax		
	E-mail		
with th	Please indicate which of the following real estate activities your organization is involved in: (Check all that apply) Residential Sales Commercial Sales Property Management Other (If other, specify Does your company/organization engage in any of the following activities on behalf of any person or entity in the course of a real estate transaction? - receiving or paying funds; - depositing or withdrawing funds; or - transferring funds by any means Property Management Other (If other, specify Property Management Nother Managemen		
А3	How many brokers and sales representatives are there in your company/organization?		
A4	Does your company/organization operate more than one office?		
A5	If you answered yes to A4, please provide the number of branch offices and their addresses? If there is not enough room below, please attach a separate sheet to provide all the relevant information. Make sure to indicate that this information belongs in Answer A5.		
A6	What best describes your office:		
, 10	Corporate Franchise	Independent Office Other (please specify)	
A7		nber of real estate transactions for your last fiscal year e of the transactions conducted in your last fiscal year \$	
A8	When conducting real estate transactions, does your office accept cash? (All references to cash mean money in circulation in any country (bank notes or coins). In this context, cash does not include cheques, money orders or other similar negotiable instruments).		

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Part A - continued					
A9	Does your company/organization have the capability to file electronically with FINTRAC?				
Part E	B - Compliance Regime				
B1 B2	Have you fully implemented a compliance regime in your company/organization? Yes No If you answered no to question B1, please explain what aspects of the compliance regime you have not implemented. If there is not enough room below, attach a separate sheet to provide all the relevant information. Make sure to indicate that this information belongs in answer B2.				
Part C - Compliance Officer					
C1	Have you appointed a compliance officer responsible for implementing your compliance regime to meet your reporting, record-keeping and client identification obligations?				
C2	If you answered yes to question C1, provide the compliance officer's name.				
C3	Does your compliance officer report directly to the broker/nominee/owner?				
C4	How does your company/organization keep up with any changes in reporting, record-keeping or client identification obligations? FINTRAC's Web site Web sites other than FINTRAC's Via industry association Media (newspaper, television, etc.) Seminars, training or conferences Other ways of keeping current (If other, specify)				
Part D - Compliance Policies and Procedures					
D1	Do you have policies and procedures to ensure your reporting, record keeping and client identification requirements are being met?				
D2	Are these policies and procedures in writing?				
D3	Has your company/organization conducted financial transactions within the last 12 months with individuals or entities based in any of the countries on the Financial Action Task Force (FATF) List of Non-Cooperative Countries or Territories? For information about this list, please refer to FINTRAC's advisories at http://www.fintrac.gc.ca/publications/avs/advisory_e.asp or go to www.realtorlink.ca and select the "Money Laundering Compliance Centre" link which also links to FINTRAC's advisories.				
D4	If you answered yes to question D3, which countries were involved and approximately how many transactions were conducted with each country? If there is not enough room below, attach a separate sheet to provide all the relevant information. Make sure to indicate that this information belongs in answer D4.				
D5	Does your company/organization cross-reference the names of clients with any anti-terrorism lists of names published by the Canadian government? For more information about these, please refer to the List of Names Subject to the Regulations Establishing a List of Entities made under subsection 83.05(1) of the Criminal Code or the United Nations Suppression of Terrorism Regulations provided by the Office of the Superintendent of Financial Institutions (OSFI) at http://www.osfi-bsif.gc.ca or go to www.realtorlink.ca and select the "Money Laundering Compliance Centre" link which also links to the				

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Part E - Review of Compliance Policies and Procedures

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E1	Have you implemented a process for reviewing your opposedures to determine their effectiveness?	compliance policies and		
E2	Has such a review already been conducted for your co	ompany/organization?		
E3	If you answered yest to question E2, how often do you plan on conducting a review?			
	More than once a year On	ce a year Less than once a year		
E4	If you answered yes to question E2, the review was co	onducted by: (Check all that apply)		
	Your Compliance Officer Other Inte	ernal Auditor		
	External Auditor Other			
E5	If you answered yes to E2, when was the review completed?			
E6	Are the results of the review documented?	☐ Yes ☐ No		
Part F - Ongoing Compliance Training				
F1	Does your company/organization provide training above keeping and client identification obligations?	out your reporting, record Yes No		
	If you answered yes to question F1, answer question	F2.		
F2	Describe how your training is delivered. Include information about the mode and frequency of delivery as well as a general description of who is required to take the training. If there is not enough room below, attach a separate sheet to provide all the relevant information. Make sure to indicate that this information belongs in answer F2.			
	Mode of training	Frequency of training		
	In a classroom with trainer/Seminar Self-directed	Yearly More often than yearly (a.g. consensity, guarterly, etc.)		
	Computer-based	More often than yearly (e.g., seasonally, quarterly, etc.) When new staff is hired		
	Other	In special circumstances		
	(If other, specify)	(Specify circumstances		
		Other (If other, specify)		
	Who receives the training	Type of material		
	All Staff	Handouts		
	Brokers / Nominees / Managers Sales Representatives	Test Presentation or group discussion		
	Other	Other		
	(If other, specify)	(If other, specify)		

Real Estate Compliance Questionnaire (06/05)