LSUC BY-LAWS - TABLE OF CONTENTS

|  |  |
| --- | --- |
|  |  |
| **BY-LAW 6.1 (977)** | **CONTINUING PROFESSIONAL DEVELOPMENT** |
| **BY-LAW 7.1 (981)** | **OPERATIONAL OBLIGATIONS and RESPONSIBILITIES** |
| Part I (981) | Supervision of assigned tasks and functions |
| Part II (987) | Obligations resulting from Suspension |
| Part III (990) | Client Identification and Verification |
| Part IV (1000) | Withdrawal of Services |
| **BY-LAW 8 (1001)** | **REPORTING and FILING REQUIREMENTS** |
| Part I (1001) | Reporting requirements |
| Part II (1006) | Filing requirements |
| Part III (1011) | Register |
| **BY-LAW 9 (1013)** | **FINANCIAL TRANSACTIONS and RECORDS** |
| Part I (1013) | Interpretation |
| Part II (1015) | Handling of Money by Bankrupt Licensee |
| Part II.1 (1017) | Handling of Money by Licensee whose license Suspended |
| Part III (1018) | Cash transactions |
| Part IV (1020) | Trust account |
| Part V (1031) | Record keeping requirements |

LSUC BY-LAWS - NUMERICAL INDEX

|  | BY-LAW | PAGE | SECTION |
| --- | --- | --- | --- |
| Continuing professional development | 6.1 | 977 | 1 |
| Continuing professional development - eligible activity | 6.1 | 977 | 1 |
| Eligible activity - interpretation - continuing professional development | 6.1 | 977 | 1 |
| Interpretation - eligible activity - continuing professional development | 6.1 | 977 | 1 |
| Continuing professional development - eligible activity - interpretation | 6.1 | 977 | 2(1) |
| Continuing professional development - requirement | 6.1 | 977 | 2(1) |
| Eligible activity - interpretation - continuing professional development | 6.1 | 977 | 2(1) |
| Continuing professional development - hours  SEE: hours; carry-over | 6.1  6.1 | 977  978 | 2(2)  2(5) |
| Hours - number required per year - continuing professional development | 6.1 | 977 | 2(2) |
| Number of required hours per year - continuing professional development | 6.1 | 977 | 2(2) |
| Hours - application - licensee - continuing professional development | 6.1 | 978 | 2(3) |
| Hours - number required per year - year of licensing | 6.1 | 978 | 2(3) |
| New licensees - topics - at least 25% of hours - ethics, professionalism or practice management - continuing professional development | 6.1 | 978 | 2(3) |
| New Licensees - topics - ethics, professionalism or practice management - continuing professional development | 6.1 | 978 | 2(3) |
| Hours - exemption from or reduction in required number - continuing professional development | 6.1 | 978 | 2(4) |
| Licensee - Exemption from or reduction in required number hours - continuing professional development | 6.1 | 978 | 2(4) |
| Carry-over - no carry over - hours - continuing professional development | 6.1 | 978 | 2(5) |
| Hours - no carry-over - continuing professional development | 6.1 | 978 | 2(5) |
| No carry-over - continuing professional development - continuing professional development | 6.1 | 978 | 2(5) |
| Carry-over - permitted carry-over - activities completed in 2013 after licensed - continuing professional development | 6.1 | 978 | 2(6) |
| Hours - permitted carry-over - new licensee - continuing professional development | 6.1 | 978 | 2(6) |
| New licensee - permitted carry over - activities completed in 2013 after licensed - continuing professional development | 6.1 | 978 | 2(6) |
| Continuing professional development - reporting - Licensee to whom s. 2 applies | 6.1 | 978 | 3(1) |
| Reporting - licensee to whom s. 2 applies - continuing professional development | 6.1 | 978 | 3(1) |
| Continuing professional development - reporting - form, format and manner of filing | 6.1 | 978 | 3(2) |
| Filing - form, format and manner of - reporting - continuing professional development | 6.1 | 978 | 3(2) |
| Form, format and manner of filing - continuing professional development | 6.1 | 978 | 3(2) |
| Reporting - form, format and manner of filing - continuing professional development | 6.1 | 978 | 3(2) |
| Continuing professional development - documents -  SEE: documents | 6.1  6.1 | 978  978 | 4(1)  4(1) |
| Documents required to be kept - continuing professional development | 6.1 | 978 | 4(1) |
| Requirement - documents to be kept - continuing professional development | 6.1 | 978 | 4(1) |
| Document - providing documents to Society - continuing professional development | 6.1 | 979 | 4(2) |
| Providing documents to Society - continuing professional development | 6.1 | 979 | 4(2) |
| Society - providing documents to Society - continuing professional development | 6.1 | 979 | 4(2) |
| Information - requirement to provide - continuing professional development | 6.1 | 979 | 5(1) |
| Provide information - requirement to - continuing professional development | 6.1 | 979 | 5(1) |
| Requirement to provide information - continuing professional development | 6.1 | 979 | 5(1) |
| Information - notice of requirement - continuing professional development | 6.1 | 979 | 5(2) |
| Notice of requirement - to provide information - continuing professional development | 6.1 | 979 | 5(2) |
| Information - time for providing - continuing professional development | 6.1 | 979 | 5(3) |
| Time for providing information - continuing professional development | 6.1 | 979 | 5(3) |
| Extension of time - providing information - continuing professional development | 6.1 | 979 | 5(4) |
| Information - extension for providing - continuing professional development | 6.1 | 979 | 5(4) |
| Time for providing information - extension of time - continuing professional development | 6.1 | 979 | 5(4) |
| Extension of time - request for - continuing professional development | 6.1 | 979 | 5(5) |
| Request for extension of time - continuing professional development | 6.1 | 979 | 5(5) |
| Time - extension - request for - continuing professional development | 6.1 | 979 | 5(5) |
| Additional authority to require information | 6.1 | 979 | 5(6) |
| Information - additional authority to request - continuing professional development | 6.1 | 979 | 5(6) |
| Society - additional authority to require information | 6.1 | 979 | 5(6) |
| Continuing professional development - requirement - late compliance - fee | 6.1 | 979-980 | 6(1) |
| Fee for late compliance - obligation in s. 2 | 6.1 | 979-980 | 6(1) |
| Compliance - late - hours - eligible activities - fee | 6.1 | 980 | 6(1)(a) |
| Fee for late compliance - hours - eligible activities | 6.1 | 980 | 6(1)(a) |
| Hours - eligible activities - late compliance - fee | 6.1 | 980 | 6(1)(a) |
| Late compliance - fee - hours - eligible activities | 6.1 | 980 | 6(1)(a) |
| Late compliance - hours - eligible activities - fee | 6.1 | 980 | 6(1)(a) |
| Compliance - late - reporting - fee | 6.1 | 980 | 6(1)(b) |
| Fee for late compliance - reporting | 6.1 | 980 | 6(1)(b) |
| Late compliance - fee - reporting | 6.1 | 980 | 6(1)(b) |
| Reporting - failure to comply - fee | 6.1 | 980 | 6(1)(b) |
| Reporting - late compliance - fee | 6.1 | 980 | 6(1)(b) |
| Compliance - late - reporting and hours - fee | 6.1 | 980 | 6(1)(c) |
| Fee for late compliance - reporting and hours | 6.1 | 980 | 6(1)(c) |
| Late compliance - fee - reporting and hours | 6.1 | 980 | 6(1)(c) |
| Reporting and hours - late compliance - fee | 6.1 | 980 | 6(1)(c) |
| Due date - fee for late compliance | 6.1 | 980 | 6(2) |
| Due date - late compliance - fee | 6.1 | 980 | 6(2) |
| Fee for late compliance - due date | 6.1 | 980 | 6(2) |
| Late compliance - fee - due date | 6.1 | 980 | 6(2) |
| Default - period of - late compliance | 6.1 | 980 | 6(3) |
| Fee for late compliance - period of default | 6.1 | 980 | 6(3) |
| Late compliance - fee - period of default | 6.1 | 980 | 6(3) |
| Period of default - fee for late compliance | 6.1 | 980 | 6(3) |
| Failure to pay late fee - suspension under s. 46(1) - reinstatement of license | 6.1 | 980 | 6(4) |
| Reinstatement of license - if suspension under s. 46(1) - failure to pay late fee | 6.1 | 980 | 6(4) |
| Suspension under s. 46(1) - failure to pay late fee - reinstatement of license | 6.1 | 980 | 6(4) |
| Commencement - Bylaw 6.1 | 6.1 | 980 | 7 |
| Date comes into force - Commencement - Bylaw 6.1 | 6.1 | 980 | 7 |
| Catastrophic Impairment - Interpretation | 7.1 | 981 | 1(1) |
| Catastrophic impairment - interpretation | 7.1 | 981 | 1(1) |
| Claim - Interpretation | 7.1 | 981 | 1(1) |
| Interpretation - Claim | 7.1 | 981 | 1(1) |
| Interpretation - Non-Licensee | 7.1 | 981 | 1(1) |
| Non-Licensee - Interpretation | 7.1 | 981 | 1(1) |
| Interpretation - Catastrophic Impairment | 7.1 | 981-982 | 1(1) |
| Impairment - catastrophic - interpretation | 7.1 | 982 | 1(1) |
| Impairment - Interpretation | 7.1 | 982 | 1(1) |
| Interpretation - impairment | 7.1 | 982 | 1(1) |
| Interpretation - Law Firm | 7.1 | 982 | 1(1) |
| Interpretation - *Statutory Accident Benefits Schedule* | 7.1 | 982 | 1(1) |
| Law Firm - Interpretation | 7.1 | 982 | 1(1) |
| *Statutory Accident Benefits Schedule* - Interpretation | 7.1 | 982 | 1(1) |
| Effective Control - Interpretation | 7.1 | 982 | 1(2) |
| Interpretation - Effective Control | 7.1 | 982 | 1(2) |
| Application - Provision of Legal Services by Student | 7.1 | 983 | 2(1) |
| Legal Services - Provision by Student - supervision by licensee | 7.1 | 983 | 2(1) |
| Licensee - Supervision of Student - supervision by licensee | 7.1 | 983 | 2(1) |
| Providing Legal Services - Student - supervision by licensee | 7.1 | 983 | 2(1) |
| Student - Provision of Legal Services - supervision by licensee | 7.1 | 983 | 2(1) |
| Student - provision of legal services application - supervision by licensee | 7.1 | 983 | 2(1) |
| Application - Provision of Legal Services by Law Student - direct supervision by licensee | 7.1 | 983-984 | 2(2) |
| Law Student - Provision of Legal Services - direct supervision by licensee | 7.1 | 983-984 | 2(2) |
| Legal Services - Provision by Law Student - direct supervision by licensee | 7.1 | 983-984 | 2(2) |
| Licensee - Direct supervision of Law Student | 7.1 | 983-984 | 2(2) |
| Providing Legal Services - Law Student - direct supervision by licensee | 7.1 | 983-984 | 2(2) |
| Supervision (direct) of articling student - direct supervision of student by licensee | 7.1 | 983-984 | 2(2) |
| Application - Provision of Legal Services by Non-licensee - direct supervision by licensee of non-licensee | 7.1 | 984 | 2(3) |
| Legal Services - Provision by Non-licensee - direct supervision by licensee of non-licensee | 7.1 | 984-985 | 2(3) |
| Non-licensee - Provision of Legal Services - direct supervision by licensee of non-licensee | 7.1 | 984-985 | 2(3) |
| Non-Licensee supervision - Direct supervision by licensee of Non-licensee | 7.1 | 984-985 | 2(3) |
| Providing Legal Services - Non-licensee - direct supervision by licensee of non-licensee | 7.1 | 984-985 | 2(3) |
| Supervision (direct) of non-licensee - direct supervision by licensee of non-licensee | 7.1 | 984-985 | 2(3) |
| Assignment of Tasks - Functions (general) - to non-licensee | 7.1 | 985 | 3(1) |
| Assignment of Tasks - General - to non-licensee | 7.1 | 985 | 3(1) |
| Assignment of Tasks - to non-licensee - Functions (general) | 7.1 | 985 | 3(1) |
| Functions and tasks - assignment to non-licensee | 7.1 | 985 | 3(1) |
| Non-Licensee - Assignment of Tasks to  SEE: Assignment of Tasks | 7.1  7.1 | 985  985 | 3(1)  3(1) |
| Affiliation - Assignment of Tasks | 7.1 | 985 | 3(2) |
| Assignment of Tasks - Affiliation | 7.1 | 985 | 3(2) |
| Assignment of Tasks - Direct Supervision Required (of non-licensees) | 7.1 | 985-986 | 4(1)-(2) |
| Assignment of tasks - to non-licensee - direct supervision required | 7.1 | 985-986 | 4(1)-(2) |
| Direct Supervision - Assignment of Tasks | 7.1 | 985-986 | 4(1)-(2) |
| Licensee - Assignment of Tasks - Direct Supervision of non-licensee | 7.1 | 985-986 | 4(1)-(2) |
| Supervision - Assigned Tasks | 7.1 | 985-986 | 4(1)-(2) |
| Supervision - of non-licensee - assignment of tasks | 7.1 | 985-986 | 4(1)-(2) |
| Activities of non-licensee - prior express instruction required | 7.1 | 985-986 | 5(1) |
| Assignment of Tasks - Prior Express Instruction and Authorization Required | 7.1 | 985-986 | 5(1) |
| Assignment of Tasks - to non-licensee - prior express instruction required | 7.1 | 985-986 | 5(1) |
| Non-licensee - Assignment of Tasks - prior express instruction required | 7.1 | 985-986 | 5(1) |
| Prior Express Instruction - Assignment of Tasks | 7.1 | 985-986 | 5(1) |
| Assignment of Tasks - Prior Consent and Approval - supervision of non-licensees | 7.1 | 986 | 5(2) |
| Client consent - negotiation by non-licensee | 7.1 | 986 | 5(2) |
| Negotiation by Non-Licensee - prior consent and approval | 7.1 | 986 | 5(2) |
| Non-licensee - Assignment of Tasks - Prior Consent and Approval | 7.1 | 986 | 5(2) |
| Prior Consent - Assignment of Tasks - to non-licensees | 7.1 | 986 | 5(2) |
| Ancillary Issues relating to catastrophic impairment claims, Mediation of - Assignment of Tasks | 7.1 | 986 | 5.1(1)-(2) |
| Assignment of Tasks - catastrophic impairment issues - mediation of ancillary issues | 7.1 | 986 | 5.1(1)-(2) |
| Assignment of Tasks - Mediation of Ancillary Issues relating to Catastrophic Impairment Issues | 7.1 | 986 | 5.1(1)-(2) |
| Catastrophic Impairment Issues: Assignment of Mediation of Ancillary Issues | 7.1 | 986 | 5.1(1)-(2) |
| Class L1 License - Participation in Mediation relating to Catastrophic Impairment Claims | 7.1 | 986 | 5.1(1)-(2) |
| Class P1 License - Participation in Mediation relating to Catastrophic Impairment Claims | 7.1 | 986 | 5.1(1)-(2) |
| Mediation of Ancillary Issues - Catastrophic Impairment Claims - Assignment of Tasks | 7.1 | 986 | 5.1(1)-(2) |
| Non-licensees - Assignment of Tasks - catastrophic impairment issues - mediation of ancillary issues | 7.1 | 986 | 5.1(1)-(2) |
| Non-licensees - Assignment of Tasks - Mediation of Ancillary Issues relating to Catastrophic Impairment Issues | 7.1 | 986 | 5.1(1)-(2) |
| Supervision of Non-licensees - Assignment of Tasks - catastrophic impairment issues - mediation of ancillary issues | 7.1 | 986 | 5.1(1)-(2) |
| Supervision of Non-licensees - Assignment of Tasks - Mediation of Ancillary Issues relating to Catastrophic Impairment Issues | 7.1 | 986 | 5.1(1)-(2) |
| Assignment of Tasks - Tasks that may not be assigned - to non-licensees | 7.1 | 986 | 6(1) |
| Non-licensee - assignment of tasks - tasks that may not be assigned | 7.1 | 986 | 6(1) |
| Legal Advice - Non-Licensee (not permitted) | 7.1 | 986 | 6(1)(a) |
| Non-Licensee - Legal Advice | 7.1 | 986 | 6(1)(a) |
| Assignment of Tasks - Tasks that may not be assigned - by a Class L1 Licensee | 7.1 | 986-987 | 6(2) |
| Class L1 licensee - assignment of tasks - tasks that may not be assigned by | 7.1 | 986-987 | 6(2) |
| Collection Letter Requirements | 7.1 | 987 | 7 |
| Former Client - Interpretation | 7.1 | 987 | 8 |
| Interpretation - Former Client | 7.1 | 987 | 8 |
| Interpretation - Prospective Client | 7.1 | 987 | 8 |
| Interpretation - Suspended Licensee - obligations resulting from suspension | 7.1 | 987-988 | 8 |
| Interpretation - Suspension Order - obligations resulting from suspension | 7.1 | 988 | 8 |
| Obligations resulting from suspension - former client - interpretation | 7.1 | 988 | 8 |
| Obligations resulting from suspension - prospective client - interpretation | 7.1 | 989 | 8 |
| Obligations resulting from suspension - suspended licensee - interpretation | 7.1 | 987-988 | 8 |
| Obligations resulting from suspension - suspension order - interpretation | 7.1 | 988 | 8 |
| Prospective Client - Interpretation | 7.1 | 989 | 8 |
| Suspension - obligations resulting from - former client - interpretation | 7.1 | 988 | 8 |
| Suspension - obligations resulting from - prospective client - interpretation | 7.1 | 989 | 8 |
| Suspension - obligations resulting from - suspended licensee - interpretation | 7.1 | 987-988 | 8 |
| Suspension - obligations resulting from - suspension order - interpretation | 7.1 | 988 | 8 |
| Suspension Order - Interpretation (obligations resulting from suspension) | 7.1 | 988 | 8 |
| Existing Client - Interpretation | 7.1 | 987 | 8(a)-(b) |
| Interpretation - Existing Client | 7.1 | 987 | 8(a)-(b) |
| Obligations resulting from suspension - existing client - interpretation | 7.1 | 987-988 | 8(a)-(b) |
| Suspension - obligations resulting from - existing client - interpretation | 7.1 | 987-988 | 8(a)-(b) |
| Notice Requirements before suspension begins | 7.1 | 988 | 9(1)-(2) |
| Suspension - Obligations - Notice Requirement before suspension begins | 7.1 | 988 | 9(1)-(2) |
| Suspension - compliance with subclauses 1(a)(i) to (iii) not required - continuing professional development | 7.1 | 988 | 9(2) |
| Notice Requirements during suspension | 7.1 | 988 | 10(a)-(b) |
| Suspension - Obligations - Notice Requirement - Requirements During Suspension | 7.1 | 988 | 10(a)-(b) |
| Notice requirements - Suspension - Prospective clients - obligations | 7.1 | 989 | 11 |
| Notice Requirements: prospective clients | 7.1 | 989 | 11 |
| Prospective clients - obligations - suspension - notice requirement | 7.1 | 989 | 11 |
| Suspension - Obligations - Notice Requirement - Prospective Clients | 7.1 | 989 | 11 |
| Suspension - obligations - notice requirement - prospective clients | 7.1 | 989 | 11 |
| Client - final report to - suspension - obligations | 7.1 | 989 | 12 |
| Final Report to Client - suspension - obligations | 7.1 | 989 | 12 |
| Report - final report to client - work remaining on file | 7.1 | 989 | 12 |
| Suspension - obligations - work remaining on file - final report to client | 7.1 | 989 | 12 |
| Work remaining on file - final report to client | 7.1 | 989 | 12 |
| Suspension - Obligations - Work Remaining on File | 7.1 | 989 | 12-13 |
| Work Remaining on File - Suspension | 7.1 | 989 | 12-13 |
| Client - fulfillment of undertakings - suspension - obligations | 7.1 | 989 | 13 |
| Suspension - obligations - work remaining on file - fulfillment of undertakings | 7.1 | 989 | 13 |
| Undertakings - fulfillment of - suspension - obligations | 7.1 | 989 | 13 |
| Undertakings - fulfillment of - work remaining on file | 7.1 | 989 | 13 |
| Work remaining on file - Suspension - obligations - fulfillment of undertakings | 7.1 | 989 | 13 |
| Licensee - suspended  SEE: suspension or    SEE ALSO: suspended Licensee- handling of money | 7.1  7.1  9 | 987-989  987-989  1016-1018 | 8-19  8-19  2.1 |
| Notice Requirements - Suspensions | 7.1 | 988-990 | 9(1)-17 |
| Corporate records - suspension - obligations | 7.1 | 989 | 14 |
| Power of attorney - suspension - obligations | 7.1 | 989 | 14 |
| Suspension - obligations - preparation of will | 7.1 | 989 | 14 |
| Will - preparation of - suspension - obligations | 7.1 | 982 | 14 |
| Additional requirement: preparation of will, power of attorney, corporate records | 7.1 | 989 | 14(1) |
| Requirement - preparation of will, power of attorney, corporate records | 7.1 | 989 | 14(1) |
| Will - power of attorney, corporate records - preparation of (suspension of licence) | 7.1 | 989 | 14(1) |
| Suspension - Obligations - Wills | 7.1 | 989 | 14(1)p1 |
| Wills - Suspension of Licence | 7.1 | 989 | 14(1)p1 |
| Power of Attorney (preparation of) - Suspension | 7.1 | 989 | 14(1)p2 |
| Suspension - Obligations - Power of Attorney | 7.1 | 989 | 14(1)p2 |
| Corporate Records (preparation of by suspended licensee) | 7.1 | 989 | 14(1)p3 |
| Suspension - Obligations - Corporate Records | 7.1 | 989 | 14(1)p3 |
| Original Documents - Suspension | 7.1 | 989 | 14(2) |
| Requirement - for original documents - suspension | 7.1 | 989 | 14(2) |
| Suspended Licensee - original documents - Licensee should | 7.1 | 989 | 14(2) |
| Suspension - Obligations - Original Documents | 7.1 | 989 | 14(2) |
| Real Estate Law: direction re Teranet access disk | 7.1 | 989 | 15 |
| Suspension - obligations - real estate law - Teranet access disk | 7.1 | 989 | 15 |
| Suspension - Obligations - Teranet Access | 7.1 | 989 | 15 |
| Suspension - Teranet - access | 7.1 | 989 | 15 |
| Teranet - Access - Suspension (real estate law) | 7.1 | 989 | 15 |
| Teranet access disk - real estate law - suspension - obligations | 7.1 | 989 | 15 |
| Photo Identification (return of) - Suspension | 7.1 | 990 | 16 |
| Photo identification card - return of - suspension - obligations | 7.1 | 990 | 16 |
| Suspension - Obligations - Photo Identification (return of card) | 7.1 | 990 | 16 |
| Suspension - obligations - return of photo identification card | 7.1 | 990 | 16 |
| Suspension - return of photo identification card | 7.1 | 990 | 16 |
| Articling Student - Suspension of licensee supervisor - obligations | 7.1 | 990 | 17 |
| Suspension - obligations - to articling student | 7.1 | 990 | 17 |
| Articling Student - Where Licensee Suspended | 7.1 | 990 | 17(a)-(c) |
| Student - Where Licensee Suspended | 7.1 | 990 | 17(a)-(c) |
| Suspension - Obligations - Students, Articling | 7.1 | 990 | 17(a)-(c) |
| Compliance - suspended Licensee - report to law society | 7.1 | 990 | 18 |
| Report to Society - Suspended Licensee | 7.1 | 990 | 18 |
| Society - Report upon Suspension | 7.1 | 990 | 18 |
| Suspended Licensee - report to Society - compliance | 7.1 | 990 | 18 |
| Suspension - Obligations - Report to Society | 7.1 | 990 | 18 |
| Suspension - obligations - report to Society on compliance | 7.1 | 990 | 18 |
| Exemption - Permission to be exempt from requirement - suspension | 7.1 | 990 | 19 |
| Request to Society - Exemption from Requirement upon Suspension | 7.1 | 990 | 19 |
| Society - Request for Exemption of Requirement upon Suspension | 7.1 | 990 | 19 |
| Suspension - Obligations - Exemption from Requirement - Request to Society | 7.1 | 990 | 19 |
| Suspension - obligations - exemption: application for exemption from requirements | 7.1 | 990 | 19 |
| Suspension - Permission to be exempt from requirement | 7.1 | 990 | 19 |
| Client identification and verification - financial entity - definition | 7.1 | 990 | 20 |
| Definition - Electronic Funds Transfer | 7.1 | 991 | 20 |
| Definition - financial entity | 7.1 | 991 | 20 |
| Electronic Funds Transfer - Definition | 7.1 | 991 | 20 |
| Electronic funds transfer - definition - client identification and verification | 7.1 | 991 | 20 |
| Financial entity | 7.1 | 991 | 20 |
| Financial Entity - Definition | 7.1 | 991 | 20 |
| Financial entity - definition - client identification and verification | 7.1 | 991 | 20 |
| Definition - Financial institution | 7.1 | 991 | 20 |
| Financial Institution - Definition | 7.1 | 991 | 20 |
| Client identification and verification - financial institution - definition | 7.1 | 991 | 20 |
| Financial institution - definition - client identification and verification | 7.1 | 991 | 20 |
| Client identification and verification - electronic funds transfer - definition | 7.1 | 991 | 20 |
| Client Identification and Verification | 7.1 | 990 | 20-25 |
| Identification -  SEE: client identification and verification | 7.1 | 990-999 | 20-25 |
| Verification - client -  SEE: client verification requirements | 7.1  7.1 | 990-999  996 | 20-25  23(4) |
| Client identification and verification - funds - definition | 7.1 | 991 | 20 |
| Client identification and verification - lawyer - definition | 7.1 | 991 | 20 |
| Client identification and verification - organization - definition | 7.1 | 991 | 20 |
| Client identification and verification - proceeding - definition | 7.1 | 992 | 20 |
| Definition - Funds - Client identification and verification | 7.1 | 991 | 20 |
| Definition - Lawyer | 7.1 | 991 | 20 |
| Definition - Organization | 7.1 | 991 | 20 |
| Definition - Proceeding | 7.1 | 992 | 20 |
| Funds - definition - client identification and verification | 7.1 | 991 | 20 |
| Lawyer - Definition | 7.1 | 991 | 20 |
| Lawyer - definition - client identification and verification | 7.1 | 991 | 20 |
| Organization - Definition | 7.1 | 991 | 20 |
| Organization - definition - client identification and verification | 7.1 | 991 | 20 |
| Proceeding - Definition | 7.1 | 992 | 20 |
| Proceeding - definition - client identification and verification | 7.1 | 992 | 20 |
| Definition - Public body - Client identification and verification | 7.1 | 992 | 20 |
| Public Body - Definition | 7.1 9 | 992 | 20 3 |
| Client identification and verification - reporting issuer - definition | 7.1 | 992 | 20 |
| Definition - Reporting issuer | 7.1 | 992 | 20 |
| Reporting issuer - definition - client identification and verification | 7.1 | 992 | 20 |
| Client identification and verification - securities dealer - definition | 7.1 | 992 | 20 |
| Definition - Securities dealer | 7.1 | 992 | 20 |
| Securities Dealer - Definition | 7.1 | 992 | 20 |
| Securities dealer - definition - client identification and verification | 7.1 | 992 | 20 |
| Reporting Issuer - Definition | 7.1 | 992 | 20 |
| Application - client identification and verification | 7.1 | 993 | 21 |
| Client identification and verification - application of section | 7.1 | 993 | 21 |
| Application - client identification and verification requirements | 7.1 | 993 | 22(1) |
| Client identification and verification - application of section - requirements | 7.1 | 993 | 22(1) |
| Client identification and verification - Requirements - application | 7.1 | 993 | 22(1) |
| Requirement - application - client identification and verification | 7.1 | 993 | 22(1) |
| Verification Requirements - Client (SEE “Client Identification and Verification - Requirements - Verification”) | 7.1 | 993 | 22(1) |
| Client Identification and Verification - application | 7.1 | 993 | 21-22 |
| Client Identification and Verification - Application - Exemptions - Certain Licensees | 7.1 | 993 | 22(2) |
| Exemption - re certain Licensees - client identification and verification application | 7.1 | 993 | 22(2) |
| Licensee - Exemption - client identification and verification | 7.1 | 993 | 22(2) |
| Client Identification and Verification - Application - Exemptions - Certain Funds | 7.1 | 993-994 | 22(3) |
| Client identification and verification - certain trust funds - exemption | 7.1 | 993-994 | 22(3) |
| Court Order funds - exemption - client identification and verification application | 7.1 | 994 | 22(3) |
| Electronic Funds Transfer - exemption - client identification and verification application | 7.1 | 994 | 22(3) |
| Exemption - certain trust funds - client identification and verification application | 7.1 | 994 | 22(3) |
| Fine or Penalty - exemption - client identification and verification application | 7.1 | 994 | 22(3) |
| Funds Received from Financial Institution - exemption - client identification and verification application | 7.1 | 994 | 22(3) |
| Funds Received from Public Body - exemption - client identification and verification application | 7.1 | 994 | 22(3) |
| Professional Fees - exemption - client identification and verification application | 7.1 | 994 | 22(3) |
| Settlement Funds - exemption - client identification and verification application | 7.1 | 994 | 22(3) |
| Trust Funds - exemption - client identification and verification application | 7.1 | 994 | 22(3) |
| Client Identification and Verification - Application - Exemptions - re certain licensees | 7.1 | 993-994 | 22(2-4) |
| Client identification and verification - application of section - exemptions from requirements | 7.1 | 993-994 | 22(2)-22(4) |
| Client identification and verification - application of section - exemptions re certain funds | 7.1 | 993-994 | 22(3)-22(4) |
| Client identification and verification - application - exemption certain clients | 7.1 | 994 | 22(4) |
| Client Identification and Verification - Application - Exemptions - Certain Clients | 7.1 | 994 | 22(4) |
| Clients - exemption - client identification and verification application | 7.1 | 994 | 22(4) |
| Exemption - certain clients - client identification and verification application | 7.1 | 994 | 22(4) |
| Exemption - Client Identification and Verification (certain clients) | 7.1 | 994 | 22(4) |
| Financial Institution - client identification and verification application - Exemption | 7.1 | 994 | 22(4) |
| Public Body - client identification and verification application - Exemption | 7.1 | 994 | 22(4) |
| Reporting Issuer - client identification and verification application - Exemption | 7.1 | 994 | 22(4) |
| Client Identification - Licensee | 7.1 | 994-995 | 23(1) |
| Licensee - client identification | 7.1 | 994-995 | 23(1) |
| Client Identification - Requirements | 7.1 | 994-995 | 23(1)-(2) |
| Identification and Verification, Client  SEE: Client Identification and Verification - Requirements | 7.1  7.1 | 994-995  994-995 | 23(1)-(4)  23(1)-(4) |
| Client identification - information required - client identification and verification | 7.1 | 994-999 | 23 |
| Client identification and verification - client identification - information required | 7.1 | 994-999 | 23 |
| Client identification - identification by others in Licensees firm | 7.1 | 995 | 23(2.1) |
| Client Identification - Requirements - Identification by Others | 7.1 | 995 | 23(2.1) |
| Firm - client identification by others in Licensees firm | 7.1 | 995 | 23(2.1) |
| Client Identification - client as organization | 7.1 | 995 | 23(2) |
| Organization - client identification | 7.1 | 995 | 23(2) |
| Client identification - previous identification | 7.1 | 996 | 23(3) |
| Client Identification - Requirements - Previous Identification | 7.1 | 996 | 23(3) |
| Previous identification (client identification) | 7.1 | 996 | 23(3) |
| Client Verification - Requirements | 7.1 | 996 | 23(4) |
| Requirement - client verification | 7.1 | 996 | 23(4) |
| Individuals - timing of verification | 7.1 | 996 | 23(5) |
| Timing of verification, individuals | 7.1 | 996 | 23(5) |
| Verification - timing - individuals | 7.1 | 996 | 23(5) |
| Client Verification - Requirements - Timing (individuals & organizations) | 7.1 | 996 | 23(5)-(6) |
| Organization - timing of verification | 7.1 | 996 | 23(6) |
| Timing of verification, organization | 7.1 | 996 | 23(6) |
| Verification - timing - organization | 7.1 | 996 | 23(6) |
| Independent Sources Documents - Client Verification | 7.1 | 996-997 | 23(4)-(7) |
| Records - Client Verification | 7.1 | 996-997 | 23(4)-(8) |
| Client identification - examples - independent source documents | 7.1 | 996-997 | 23(7) |
| Client Verification - Requirements - Independent Source Documents | 7.1 | 996-997 | 23(7) |
| Examples - independent source documents - client identification | 7.1 | 996-997 | 23(7) |
| Source documents - examples of independent source documents - client identification | 7.1 | 996-997 | 23(7) |
| Client verification - non face-to-face | 7.1 | 997 | 23(8) |
| Face-to-face, client verification | 7.1 | 997 | 23(8) |
| Non face-to-face - client verification | 7.1 | 997 | 23(8) |
| Attestation - non face-to-face - persons from whom may be accepted - client identification | 7.1 | 997-998 | 23(9) |
| Client identification - Persons from whom attestations may be accepted - non face-to-face | 7.1 | 997-998 | 23(9) |
| Non face-to-face - client verification - persons from whom attestation may be accepted | 7.1 | 997-998 | 23(9) |
| Attestation - Client Verification When Non-Face-to-Face | 7.1 | 997-998 | 23(8)-(10) |
| Client Verification - Requirements -Non Face-to-Face Requires Attestations | 7.1 | 997-998 | 23(8)-(10) |
| Attestation Form - Non face-to-face - client verification | 7.1 | 997-998 | 23(10) |
| Client verification - attestation form - non face-to-face | 7.1 | 997-998 | 23(10) |
| Non face-to-face - attestation form - client verification | 7.1 | 997-998 | 23(10) |
| Agent, Use of - Client Verification | 7.1 | 998 | 23(11) |
| Client Verification - Requirements - Agent, Use of | 7.1 | 998 | 23(11) |
| Client verification - use of agent | 7.1 | 998 | 23(11) |
| Client verification - previous verification | 7.1 | 999 | 23(12) |
| Client Verification - Requirements - Previous Verification | 7.1 | 999 | 23(12) |
| Client identification - copies to be retained - documents | 7.1 | 999 | 23(13) |
| Client Verification - Requirements - Copies Must be Obtained | 7.1 | 999 | 23(13) |
| Retention - copies - documents - client identification | 7.1 | 999 | 23(13) |
| Client Identification and Verification - Requirements - Verification - Records Must be Retained | 7.1 | 999 | 23(14) |
| Record retention - client identification | 7.1 | 999 | 23(14) |
| Retention - record - client identification | 7.1 | 999 | 23(14) |
| Client identification and verification - criminal activity - lawyer knows at time of compliance | 7.1 | 999 | 24 |
| Client Identification and Verification - Criminal Activity, Duty to Withdraw | 7.1 | 999 | 24 |
| Criminal Activity - Client Identification and Verification - Duty to withdraw - At time of taking information | 7.1 | 999 | 24 |
| Criminal activity - Duty to withdraw - At time of taking information | 7.1 | 999 | 24 |
| Criminal activity - lawyer knows at time of identification compliance - client identification and verification | 7.1 | 999 | 24 |
| Duty to withdraw - Criminal activity - Time of taking information | 7.1 | 999 | 24 |
| Illegal Conduct - Client Identification and Verification | 7.1 | 999 | 24 |
| Withdrawal - duty - criminal activity - time of taking information | 7.1 | 999 | 24 |
| Client identification and verification - commencement | 7.1 | 999 | 25 |
| Part III - Client identification and verification - commencement | 7.1 | 999 | 25 |
| Part III - Date section comes into force - Client identification and verification - commencement | 7.1 | 999 | 25 |
| Licensee - withdrawal of services | 7.1 | 1000 | 26-27 |
| Withdrawal of services - licensee | 7.1 | 1000 | 26-27 |
| Withdrawal of Services - Application - Part IV | 7.1 | 1000 | 26-27 |
| Criminal activity - duty to withdraw services - licensee | 7.1 | 1000 | 27 |
| Criminal Activity - Withdrawal of Services - Duty to withdraw | 7.1 | 1000 | 27 |
| Criminal activity, Duty to withdraw after being retained | 7.1 | 1000 | 27 |
| Duty to withdraw - Criminal activity - after being retained | 7.1 | 1000 | 27 |
| Illegal Conduct - Duty to Withdraw Services | 7.1 | 1000 | 27 |
| Licensee - withdrawal of services - duty to withdraw | 7.1 | 1000 | 27 |
| Withdrawal of Services - Criminal Activity - Duty to Withdraw after being retained | 7.1 | 1000 | 27 |
| Bankruptcy of Licensee - Notice | 8 | 1001 | 1 |
| Insolvency of Licensee - Notice | 8 | 1001 | 1 |
| Licensee - Notice of Bankruptcy or Insolvency | 8 | 1001 | 1 |
| Notice - Bankruptcy or Insolvency of Licensee | 8 | 1001 | 1 |
| Notice - Bankruptcy or Insolvency of Licensee - Receiving Order | 8 | 1001 | 1 |
| Notice - Bankruptcy or Insolvency of Licensee - Assignment | 8 | 1001 | 1 |
| Receiving Order - Bankruptcy or Insolvency of Licensee - Notice | 8 | 1001 | 1 |
| Assignment - Bankruptcy or Insolvency of Licensee - Notice | 8 | 1001 | 1 |
| Reporting Requirements - Bankruptcy or Insolvency - Licensees (Notice to Law Society) | 8 | 1001 | 1 |
| Licensee - Offenses - Requirement to Report | 8 | 1001-1002 | 2(1) |
| Offences - Requirement of Licensees to Report | 8 | 1001-1002 | 2(1) |
| Requirement to Report offences - Licensees | 8 | 1001-1002 | 2(1) |
| Licensee - Offences - Requirement to Report | 8 | 1001-1002 | 2(1) |
| Notice - Offences | 8 | 1001-1003 | 2(1)-(5) |
| Reporting Requirements - Offences - Licensees  See: Offences | 8  8 | 1001-1003  1001-1002 | 2(1)&(5)  2(1) |
| Licensee - Offences, Reporting of - Exception - Private Prosecution | 8 | 1002 | 2(2) |
| Offences - Requirement of Licensees to Report - Exception - Private Prosecution | 8 | 1002 | 2(2) |
| Private Prosecution - Requirement to Report | 8 | 1002 | 2(2) |
| Reporting Requirements - Offences - Licensees - Exception - Private Prosecution | 8 | 1002 | 2(2) |
| Requirement to Report offences - Licensees - Exception - Private Prosecution | 8 | 1002 | 2(2) |
| Licensee - Offences, Reporting of - Time of Report | 8 | 1002 | 2(3)&(4) |
| Licensee - Requirement to Report - Offenses - Time to report | 8 | 1002 | 2(3)&(4) |
| Offences - Requirement of Licensees to Report - Time of Report | 8 | 1002 | 2(3)&(4) |
| Requirement to Report offences - Licensees - Time of Report | 8 | 1002 | 2(3)&(4) |
| Time of Report - Requirement of Licensees to Report Offences | 8 | 1002 | 2(3)&(4) |
| Indictable Offence - Interpretation | 8 | 1003 | 2(5) |
| Interpretation - Indictable Offence | 8 | 1003 | 2(5) |
| Information - Licensees Requirement to Provide | 8 | 1003 | 3(1) |
| Licensee - Providing Information | 8 | 1003-1004 | 3(1)&(2) |
| Providing Information - Licensees Requirement | 8 | 1003-1004 | 3(1)&(2) |
| Reporting Requirements - Providing Information | 8 | 1003-1004 | 3(1)&(2) |
| Interpretation - Personal Contact Information | 8 | 1004 | 3(2)(a) |
| Personal Contact Information - Interpretation | 8 | 1004 | 3(2)(a) |
| Reporting Requirements - Offences - Licensees - Time of Report | 8 | 1004 | 2(3)&(4) |
| Business Contact Information - Interpretation | 8 | 1004 | 3(2)(b) |
| Interpretation - Business Contact Information | 8 | 1004 | 3(2)(b) |
| Information - Licensee - Requirement to Provide - Notice of Requirement | 8 | 1004 | 3(3) |
| Licensee - Providing Information - Notice of Requirement | 8 | 1004 | 3(3) |
| Providing Information - Notice of Requirement | 8 | 1004 | 3(3) |
| Reporting Requirements - Providing Information - Licensee - Notice of Requirement | 8 | 1004 | 3(3) |
| Information - General - Time for Providing | 8 | 1004 | 3(4) |
| Information - License - Requirement to Provide - Time to Report | 8 | 1004 | 3(4) |
| Providing Information - Licensee - Time to Report | 8 | 1004 | 3(4) |
| Reporting Requirements - Providing Information - Licensees - Time to Report | 8 | 1004 | 3(4) |
| Time to Report - Providing Information - Licensee - Requirement to Provide | 8 | 1004 | 3(4) |
| Time for Providing Information - Extension - General | 8 | 1004 | 3(5) |
| Providing Information - Extension of Time | 8 | 1004 | 3(5) |
| Extension of Time - Requirement to Provide Information and Request for Extension | 8 | 1004-1005 | 3(5)&(6) |
| Information - Licensee - Requirement to Provide - Time to Report - Extension of Time | 8 | 1004-1005 | 3(5)&(6) |
| Licensee - Providing Information - Time to Report - Extension of Time | 8 | 1004-1005 | 3(5)&(6) |
| Providing Information - Time to Report - Exception | 8 | 1004-1005 | 3(5)&(6) |
| Reporting Requirements - Providing Information - Licensees - Time to Report - Extension of Time | 8 | 1004-1005 | 3(5)&(6) |
| Extension of Time - Providing Information | 8 | 1005 | 3(6) |
| Providing Information - Request for Extension of Time | 8 | 1005 | 3(6) |
| Authority - Additional Authority - Providing Information - General | 8 | 1005 | 3(7) |
| Authority of Society - Requirement of Licensee to Provide Information | 8 | 1005 | 3(7) |
| Information - Licensees Requirement to Provide - Society’s Authority | 8 | 1005 | 3(7) |
| Licensee - Providing Information - Society’s Authority | 8 | 1005 | 3(7) |
| Providing Information - Additional Authority | 8 | 1005 | 3(7) |
| Providing Information - Society’s Authority | 8 | 1005 | 3(7) |
| Reporting Requirements - Providing Information - Licensees - Society’s Authority | 8 | 1005 | 3(7) |
| Society’s Authority - Requirement of Licensee to Provide Information | 8 | 1005 | 3(7) |
| Information - Changes - Requirement to Report | 8 | 1005 | 4(1) |
| Reporting Changes - Requirement to Report Change | 8 | 1005 | 4(1) |
| Change of Information - Requirement of Licensee to Report | 8 | 1005-1006 | 4(1) - (4) |
| Licensee - Reporting Changes of Information | 8 | 1005-1006 | 4(1) - (4) |
| Reporting Requirements - Changes of Information | 8 | 1005-1006 | 4(1) - (4) |
| Requirement to Report Changes of Information - Licensee | 8 | 1005-1006 | 4(1) - (4) |
| Reporting Changes - Personal and Business Contact Information - Interpretation | 8 | 1005-1006 | 4(2) |
| Personal and Business Contact Information - Change of Information - Interpretation | 8 | 1005-1006 | 4(2) |
| Reporting Changes - Information Required | 8 | 1006 | 4(3) |
| Reporting Changes - Information Required - Details and Effective Date of Change | 8 | 1006 | 4(3) |
| Reporting Changes - Documents and Explanations | 8 | 1006 | 4(4) |
| Documents and Explanations - Reporting Changes - Information Required | 8 | 1006 | 4(4) |
| Requirement to File Annual Report - Licensee - Filing Requirement | 8 | 1006 | 5(1) |
| Filing Requirements - Form Format and Manner of Filing | 8 | 1006 | 5(2) |
| Form, Format and Manner of Filing - Filing Requirements | 8 | 1006 | 5(2) |
| Annual Report - Licensee Requirement to File - Annual Report | 8 | 1006-1008 | 5(1) - (8) |
| Licensee - Requirement to File - Annual Report | 8 | 1006-1008 | 5(1) - (8) |
| Exception - Form Format and Manner Exception - Filing Requirements | 8 | 1007 | 5(2.1) |
| Filing Requirements - Form Format and Manner - Exception | 8 | 1007 | 5(2.1) |
| Form Format and Manner - Exception - Filing Requirements | 8 | 1007 | 5(2.1) |
| Exemption - Requirement to File Annual Report | 8 | 1007 | 5(3) |
| Requirement to File Annual Report - Licensee - Exemption | 8 | 1007 | 5(3) |
| Filing Requirements - Exemption from Requirement to File Annual Report | 8 | 1007 | 5(3) |
| Filing Requirements - Application by Licensee Representatives - Exemption  See: Exemption from Requirement to File Annual Report | 8 | 1007  1007 | 5(4)  5(3) |
| Filing Requirements - Application Form - Exemption to File Annual Report | 8 | 1007 | 5(5) |
| Filing Requirements - Documents and Explanations - Exemption to File Annual Report | 8 | 1008 | 5(6) |
| Filing Requirements - Consideration of Application | 8 | 1008 | 5(7) |
| Filing Requirements - Consideration of Application - Exemption to File Annual Report | 8 | 1008 | 5(7) |
| Requirement to File Annual Report - Exemption | 8 | 1007-1008 | 5(3)-(8) |
| Annual Report - Licensee Requirement to File - Exemption | 8 | 1007-1008 | 5(3)-(8) |
| Licensee - Submission of Annual Report - Exemption | 8 | 1007-1008 | 5(3)-(8) |
| Filing Requirements - Duration of Exemption | 8 | 1008 | 5(8) |
| Duration of Exemption - Filing Requirements - Exemption to File Annual Report | 9 | 1008 | 5(8) |
| Annual Report - Licensee Requirement to File - Period of Default | 8 | 1008 | 6(1) |
| Period of Default - Annual Report - Licensee Failure to Complete or File (2013 and Later) | 8 | 1008 | 6(2) |
| Period of Default - Annual Report - Licensee Failure to Complete or File (2014 and Later) | 8 | 1008 | 6(3) |
| Filing Requirements - Failure to File Annual Report - Default Date (2014 and Later) | 8 | 1008 | 6(3) |
| Late Filing Fee - 2013 | 8 | 1008 | 6(4) |
| Filing Fee - Late Filing (2014 and Later) | 8 | 1009 | 6(5) |
| Late Filing Fee - 2014 and Later - Failure to File Annual Report | 8 | 1009 | 6(5) |
| Payment Due - Annual Report - Failure to Complete or File | 8 | 1009 | 6(6) |
| Filing Requirements - Failure to Complete or File (Annual Report) - Payment Due | 8 | 1009 | 6(6) |
| Default for Late Fee - 2013 - Failure to Complete or File (Annual Report) | 8 | 1009 | 6(7) |
| Filing Requirements - Failure to File Annual Report - Default for Late Fee (2013) | 8 | 1009 | 6(7) |
| Annual Report - Licensee Requirement to File - Failure to Complete or File (Period of Default) | 8 | 1008-1009 | 6(1)-6(8) |
| Failure to File - Annual Report | 8 | 1008-1009 | 6(1)-6(8) |
| Suspension for Failure to Complete or File Annual Report - Period of Default | 8 | 1008-1009 | 6(1)-6(8) |
| Filing Requirements - Period of Default | 8 | 1008-1009 | 6(1)-6(8) |
| License - Suspension for Failure to Submit Annual Report | 8 | 1008-1009 | 6(1)-6(8) |
| Licensee - Requirement to File Annual Report - Failure to File | 8 | 1008-1009 | 6(1)-6(8) |
| Requirement to File Annual Report - Failure to File (Suspension) | 8 | 1008-1009 | 6(1)-6(8) |
| Requirement to File Annual Report - Period of Default | 8 | 1008-1009 | 6(1)-6(8) |
| Fail to Pay Late Filing Fee - Period of Default - 2014 and Later | 8 | 1009 | 6(8) |
| Filing Requirements - Failure to Pay Late Fee - Period of Default (2014 and later) | 8 | 1009 | 6(8) |
| Late Filing Fee - Reinstatement of License | 8 | 1009 | 6(9) |
| Reinstatement of License - Due to Late Filing Fee | 8 | 1009 | 6(9) |
| Filing Requirements - Reinstatement of License - Pay Late Fee | 8 | 1009 | 6(9) |
| Filing Requirements - Requirement to File Public Accountant's Report | 8 | 1009 | 7(1) |
| Licensee - Submission of Accountant’s Report | 8 | 1009 | 7(1) |
| Public Accountant Report - Licensee’s Requirement to File | 8 | 1009 | 7(1) |
| Annual Report - Public Accountant’s Report | 8 | 1009 | 7(1) |
| Filing Requirements - Contents of Report and Time for Filing | 8 | 1009 | 7(2) |
| Licensee - Submission of Accountant’s Report - Contents and Time | 8 | 1009 | 7(2) |
| Public Accountant Report - Contents and Time | 8 | 1009 | 7(2) |
| Contents and Time - Public Accountant Report - Annual Report | 8 | 1009 | 7(2) |
| Filing Requirements - Public Accountant Report - Access to Files | 8 | 1009-1010 | 7(3) |
| Licensee - Submission of Accountant Report - Licensee’s Obligation to Provide Access | 8 | 1009-1010 | 7(3) |
| Public Accountant Report - Licensee’s Obligation - Provide Access to Files | 8 | 1009-1010 | 7(3) |
| Independent Confirmation - Accountant’s Authority for Accountant’s Report | 8 | 1010 | 7(4) |
| Filing Requirements - Public Accountant Report - Confirm Particulars of Transactions | 8 | 1010 | 7(4) |
| Licensee - Submission of Accountant’s Report - Accountant’s Authority to Confirm Details | 8 | 1010 | 7(4) |
| Public Accountant Report - Accountant’s Authority - Confirm Particulars of Transactions | 8 | 1010 | 7(4) |
| Public Accountant Report - Filing Requirements  See: Period of Default and Failure to Fail Accountant Report | 8  8 | 1009-1010  1010 | 7(1)-(6)  8-9 |
| Filing Requirements - Public Accountant’s Report  See Also: Requirement to File Annual Report | 8  8 | 1009-1010  1006 | 7(1)-7(6)  5(1) |
| Cost - Public Accountant’s Report | 8 | 1010 | 7(5) |
| Filing Requirements - Cost - Public Accountant’s Report | 8 | 1010 | 7(5) |
| Licensee - Submission of Accountant’s Report - Costs | 8 | 1010 | 7(5) |
| Public Accountant Report - Costs Paid by Licensee | 8 | 1010 | 7(5) |
| Confidentiality - Public Accountant’s Report | 8 | 1010 | 7(6) |
| Duty of Confidentiality - Public Accountant’s Report - Filing Requirements | 8 | 1010 | 7(6) |
| Filing Requirements - Duty of Confidentiality - Public Accountant Report | 8 | 1010 | 7(6) |
| Licensee - Submission of Accountant’s Report - Duty of Confidentiality | 8 | 1010 | 7(6) |
| Public Accountant Duty of Confidentiality - Filing Requirements | 8 | 1010 | 7(6) |
| Public Accountant Report - Accountant’s Duty of Confidentiality | 8 | 1010 | 7(6) |
| Period of Default - Submission of Accountant’s Report | 8 | 1010 | 8(1) |
| Public Accountant Report - Period of Default | 8 | 1010 | 8(1) |
| Public Accountant Report - Failure to File - Period of Default | 8 | 1010 | 8(1) |
| License - Suspension - Failure to Submit Accountant’s Report | 8 | 1010 | 8(1) |
| Annual Report - Requirement to File - Reinstatement of Licensee (Public Accountant Report) | 8 | 1010 | 8(2) |
| Filing Requirements - Reinstatement of Licensee - Failure to File Accountant Report | 8 | 1010 | 8(2) |
| Public Accountant Report - Failure to File - Reinstatement of License | 8 | 1010 | 8(2) |
| Reinstatement of License - Failure to File Accountant’s Report | 8 | 1010 | 8(2) |
| Filing Requirements - Failure to File Public Accountant's Report - Investigation | 8 | 1010 | 9(1) |
| Public Accountant Report - Failure to File - Investigation | 8 | 1010 | 9(1) |
| Investigation - Filing Requirements - Failure to File Public Accountant's Report | 8 | 1010 | 9(1) |
| Failure to File - Public Accountant’s Report - Investigation | 8 | 1010-  1011 | 9(1)-(4) |
| Licensee - Submission of Accountant’s Report - Failure to File | 8 | 1010-  1011 | 9(1)-(4) |
| Public Accountant’s Report - Failure to File - Investigation | 8 | 1010-  1011 | 9(1)-(4) |
| Filing Requirements Failure to File Public Accountant Report - Investigation | 8 | 1010-  1011 | 9(1)-(4) |
| Filing Requirements - Investigations - Failure to File Public Accountant Report  See: Requirement to File Public Accountant Report | 8  8 | 1011  1009-1010 | 9(2)  7(1)-(4) |
| Duty of Confidentiality - Investigator - Failure to Submit Accountant’s Report | 8 | 1011 | 9(3) |
| Filing Requirements - Investigations - Confidentiality | 8 | 1011 | 9(3) |
| Investigations - Confidentiality - Filing Requirements | 8 | 1011 | 9(3) |
| Costs - Investigation - Failure to Submit Accountant’s Report | 8 | 1011 | 9(4) |
| Filing Requirements - Investigations - Costs | 8 | 1011 | 9(4) |
| Investigations - Filing Requirements - Costs | 8 | 1011 | 9(4) |
| Law Society Register - Contents | 8 | 1011 | 10 |
| Register - Contents of Law Society Register | 8 | 1011 | 10 |
| Register - Contents | 8 | 1011-1012 | 10(1) |
| Register - Society’s Requirement to Establish | 8 | 1011-1012 | 10(1) |
| Society - Requirement to Establish Register | 8 | 1011-1012 | 10(1) |
| Time Period of Practice - Contents of Register | 8 | 1011-1012 | 10(1) |
| Register - Publication | 8 | 1012 | 10(2) |
| Society - Publication of Register (Availability to Public) | 8 | 1012 | 10(2) |
| Register - Availability to Public | 8 | 1012 | 10(2) |
| Arm Length - Interpretation | 9 | 1013 | 1(1) |
| Cash - Interpretation | 9 | 1013 | 1(1) |
| Charge - Interpretation | 9 | 1013 | 1(1) |
| Client - Interpretation | 9 | 1013 | 1(1) |
| Interpretation - Arm’s Length | 9 | 1013 | 1(1) |
| Interpretation - Cash | 9 | 1013 | 1(1) |
| Interpretation - Charge | 9 | 1013 | 1(1) |
| Interpretation - Client | 9 | 1013 | 1(1) |
| Firm of Licensees - Interpretation | 9 | 1013-1014 | 1(1) |
| Interpretation - Firm of Licensees | 9 | 1013-1014 | 1(1) |
| Holiday - Interpretation | 9 | 1014 | 1(1) |
| Interpretation - Holiday | 9 | 1014 | 1(1) |
| Interpretation - Lender | 9 | 1014 | 1(1) |
| Interpretation - Licensee | 9 | 1014 | 1(1) |
| Licensee - Interpretation | 9 | 1014 | 1(1) |
| Interpretation - Money | 9 | 1015 | 1(1) |
| Lender - Interpretation | 9 | 1015 | 1(1) |
| Money - Interpretation | 9 | 1015 | 1(1) |
| Interpretation - Related | 9 | 1015 | 1(1) |
| Interpretation - Teranet | 9 | 1015 | 1(1) |
| Related - Interpretation | 9 | 1015 | 1(1) |
| Teranet - Interpretation | 9 | 1015 | 1(1) |
| Holiday - Time for Doing an Act | 9 | 1015 | 1(2) |
| Holiday - Time for Doing an Act Expires on a Holiday | 9 | 1015 | 1(2) |
| Deemed in Trust - Interpretation | 9 | 1015 | 1(3) |
| Interpretation - Deemed in Trust | 9 | 1015 | 1(3) |
| Interpretation - Money Received in Trust | 9 | 1015 | 1(3) |
| Money held in Trust - Deeming Rule | 9 | 1015 | 1(3) |
| Trust - Instruments Deemed to be held in Trust | 9 | 1015 | 1(3) |
| Trust - When Deemed in Trust - Interpretation | 9 | 1015 | 1(3) |
| Bankrupt Licensee - Handling Money by Bankrupt Licensee | 9 | 1015 | 2(1) |
| Handling Money by Bankrupt Licensee | 9 | 1015 | 2(1) |
| Licensee - Bankrupt - Handling Money | 9 | 1015 | 2(1) |
| Money - Handling by Bankrupt Licensee | 9 | 1015 | 2(1) |
| Suspension Order - Prohibition on Handling of Money by Bankrupt Licensee | 9 | 1015 | 2(1) |
| Handling Money - Bankrupt Licensee | 9 | 1015-1016 | 2(1)-(3) |
| Handling Money by Bankrupt Licensee - Exception | 9 | 1015-1016 | 2(2)-(3) |
| Licensee - Bankrupt - Handling of Money by Licensee (Exception) | 9 | 1015-1016 | 2(2)-(3) |
| Money - Handling by Bankrupt Licensee - Exception | 9 | 1015-1016 | 2(2)-(3) |
| Bankrupt Licensee - Handling Money - Exceptions | 9 | 1015-1016 | 2(2)-(3) |
| Exception - Services Reimbursements and Application - Handling of Money by Bankrupt Licensee | 9 | 1015-1016 | 2(2)-2(3) |
| Exception - Handling of Money by Bankrupt Licensee | 9 | 1015-1016 | 2(2)-2(3) |
| Definition - Suspended Licensee | 9 | 1016 | 2.1 |
| Definition - Suspended Order | 9 | 1016 | 2.1 |
| Interpretation - Suspended License (Handling of Money) | 9 | 1016 | 2.1 |
| Interpretation - Suspension Order - Handling of Money by Licensee (Suspended License) | 9 | 1016 | 2.1 |
| Suspended Licensee - Definition | 9 | 1016 | 2.1 |
| Suspended Licensee - Interpretation | 9 | 1016 | 2.1 |
| Suspended Licensee - Interpretation - Handling of Money  See Also: Suspended Licensee - Obligations Resulting from Suspension | 9  7.1 | 1016-  987-988 | 2.1  8 |
| Suspended Order - Definition | 9 | 1016 | 2.1 |
| Suspended Order - Interpretation | 9 | 1016 | 2.1 |
| Handling Money - Licensee with Suspended License | 9 | 1016 | 2.2(1) |
| Money - Handling by Suspended Licensee | 9 | 1016 | 2.2(1) |
| Exemption - Handling Money - Suspended Licensee | 9 | 1016 | 2.2(2) |
| Money - Handling by Suspended Licensee - Exception | 9 | 1016 | 2.2(2) |
| Suspended Licensee - Handling Money - Exception | 9 | 1016 | 2.2(2) |
| Suspended Licensee - Handling Money -Trust Account - Withdraw and Close | 9 | 1017 | 2.3(1) |
| Suspension - Trust Accounts | 9 | 1017 | 2.3(1) |
| Trust Account - Suspended License - Obligations | 9 | 1017 | 2.3(1) |
| Trust Account - Suspended Licensee - Handling of Money | 9 | 1016-1018 | 2.2(1)- 2.4 |
| Suspension - Trust Accounts - Obligations | 9 | 1017-  1018 | 2.3(1)-(4) |
| Suspended Licensee - Handling Money -Trust Account - Exemption by Transfer | 9 | 1018 | 2.3(2) |
| Trust account - Handling Money by Suspended Licensee - Exemption | 9 | 1018 | 2.3(2) |
| Exemption - Suspended License Obligations - Trust Account | 9 | 1018 | 2.3(2) |
| Part IV - Application - Trust Account | 9 | 1018 | 2.3(3) |
| Trust Account - Part IV Application - Withdrawal from Trust Account (Suspended Licensee) | 9 | 1018 | 2.3(3) |
| Handling Money by Suspended Licensee - Report Compliance to Law Society | 9 | 1018 | 2.3(4) |
| Society - Report upon Suspension - Trust Accounts | 9 | 1018 | 2.3(4) |
| Suspended Licensee - Handling Money -Trust Account - Report of Compliance to Society | 9 | 1018 | 2.3(4) |
| Suspension - Trust Accounts - Report to Society | 9 | 1018 | 2.3(4) |
| Trust account - Suspended Licensee - Handling of Money - Report of Compliance to Law Society | 9 | 1018 | 2.3(4) |
| Exemption - Handling Money by Suspended Licensee (Permission to be Exempt) | 9 | 1018 | 2.4 |
| Handling Money by Suspended Licensee - Permission for Exemption | 9 | 1018 | 2.4 |
| Suspended Licensee - Handling Money -Trust Account - Request for Exemption | 9 | 1018 | 2.4 |
| Suspension - Trust Accounts - Obligations - Exemptions | 9 | 1018 | 2.4 |
| Trust Account - Suspended Licensee - Handling of Money - Request for Exemption | 9 | 1018 | 2.4 |
| Definition - Funds - Cash transactions | 9 | 1018 | 3 |
| Definition - Public Body - Cash transactions | 9 | 1018-1019 | 3 |
| Funds - Definition (Cash Transactions) | 9 | 1018 | 3 |
| Public Body - Definition (Cash Transactions) | 9 | 1018-1019 | 3 |
| Cash Received - Limitation | 9 | 1019 | 4(1) |
| Cash Transactions - Cash Received - Limitation | 9 | 1019 | 4(1) |
| Licensee - Cash Received - Limitation | 9 | 1019 | 4(1) |
| Receiving Cash - Limit | 9 | 1019 | 4(1) |
| Transactions - Cash Received - Limit | 9 | 1019 | 4(1) |
| Cash Received - Foreign Currency | 9 | 1019 | 4(2) |
| Cash Transactions - Foreign currency | 9 | 1019 | 4(2) |
| Foreign Currency - Cash Received | 9 | 1019 | 4(2) |
| Licensee - Cash Received - Foreign Currency | 9 | 1019 | 4(2) |
| Transactions - Cash Received - Foreign Currency | 9 | 1019 | 4(2) |
| Cash Received - Application of Cash Received Requirements | 9 | 1019 | 5 |
| Cash Transactions - Application of Cash Received Requirements | 9 | 1019 | 5 |
| Receiving Cash - Application | 9 | 1019 | 5 |
| Transactions - Cash Received - Application | 9 | 1019 | 5 |
| Cash Received - Exceptions | 9 | 1019-1020 | 6 |
| Cash Transactions - Exemptions to Application | 9 | 1019-1020 | 6 |
| Exemption - Application - Cash Transactions | 9 | 1019-1020 | 6 |
| Receiving Cash - Exceptions | 9 | 1019-1020 | 6 |
| Transactions - Cash Received - Exceptions | 9 | 1019-1020 | 6 |
| Transactions - Trust Account - Money Received in Trust for Client | 9 | 1020 | 7(1) |
| Money - Trust Account - Money Received in Trust for Client | 9 | 1020 | 7(1) |
| Trust Account Transactions - Money Received in Trust for Client | 9 | 1020 | 7(1) |
| Interpretation - Receiving Money in Trust for Client | 9 | 1020-1021 | 7(2) |
| Receiving Money in Trust for Client - Interpretation | 9 | 1020-1021 | 7(2) |
| Trust Account Transactions - Interpretation - Receiving Money in Trust for Client | 9 | 1020-1021 | 7(2) |
| Trust Account - Trust Account Transactions  See Also: Trust Account - Handling of Money by Suspended Licensee | 9  9 | 1020-1021  1017 | 7(1)-5)  2.3(1) |
| Trust Account Transactions - Money Received in Trust Account - Additional Requirements to s. 7 (1) | 9 | 1021 | 7(3) |
| Trust - Money Received before License Issued | 9 | 1021 | 7(3.1) |
| Trust Account Transactions - Money Received before License Issued | 9 | 1021 | 7(3.1) |
| Trust Account Transactions - Withdrawal of Money from Trust Account  See also: Permitted Money Withdrawn from Trust Account | 9 | 1021  1022 | 7(4)  9(1) |
| Withdrawal - Trust Account | 9 | 1021  1022 | 7(4)  9 |
| Trust Account - Withdrawals  See also: Limits on Withdrawal - Closing Funds - Teranet | 9 | 1021  1022-1031 | 7(4)  9-17 |
| Trust Account - Licensee - Multiple Accounts are Permitted | 9 | 1021 | 7(5) |
| Trust Account Transactions - Trust Accounts - Multiple Accounts are Permitted | 9 | 1021 | 7(5) |
| Trust Account - Money - Not Required to be Paid in Trust Account | 9 | 1021-  1022 | 8(1)-(2) |
| Trust Account Transactions - Money - Not Required to be Paid into Trust Account | 9 | 1021-  1022 | 8(1)-8(2) |
| Trust Account - Record Keeping Requirements | 9 | 1022 | 8(3) |
| Trust Account Transactions - Record Keeping Requirements | 9 | 1022 | 8(3) |
| Record Keeping Requirements - Trust Account | 9 | 1022 | 8(3) |
| Trust Account - Withdrawal - Monies that can be Withdrawn | 9 | 1022 | 9(1) |
| Trust Account Transactions - Monies that can be Withdrawn | 9 | 1022 | 9(1) |
| Withdrawal - Trust Account - Monies that can be Withdrawn | 9 | 1022 | 9(1) |
| Trust Account - Permission to Withdraw other Money | 9 | 1023 | 9(2) |
| Trust Account Transactions - Permission to Withdraw other Money | 9 | 1023 | 9(2) |
| Withdrawal - Trust Account - Permission to Withdraw other Money | 9 | 1023 | 9(2) |
| Trust Account - Withdrawal - Limit on Withdrawal | 9 | 1023 | 9(3) |
| Trust Account Transactions - Limit on Amount Withdrawn | 9 | 1023 | 9(3) |
| Withdrawal - Trust Account - Limit on Withdrawal | 9 | 1023 | 9(3) |
| Trust Account Transactions - Manner of Withdrawal | 9 | 1023 | 10 |
| Withdrawal - Trust Account - Manner of Withdrawal | 9 | 1023 | 10 |
| Trust Account - Withdrawal - Manner of Withdrawal | 9 | 1023 | 10 |
| Cheque - Withdrawal from Trust Account | 9 | 1023 | 11 |
| Trust Account Transactions - Withdrawal by Cheque | 9 | 1023 | 11 |
| Withdrawal - Trust Account - Manner of Withdrawal - Cheque | 9 | 1023 | 11 |
| Trust Account - Withdrawal - Cheque | 9 | 1023 | 11 |
| Trust Account Transactions - Withdrawal - Electronic Transfer | 9 | 1023 | 12(1) |
| Trust Account - Withdrawal - Electronic Transfer | 9 | 1023 | 12(1) |
| Trust Account Transactions - Permitted Withdrawals - Electronic Transfer | 9 | 1023-1025 | 12(2) |
| Withdrawal - Trust Account - Permitted Withdrawals - Electronic Transfer | 9 | 1023-1025 | 12(2) |
| Trust Account - Permitted Withdrawals - Electronic Transfer | 9 | 1023-1025 | 12(2) |
| Confirmation - Withdrawal from Trust Account - Electronic Transfer | 9 | 1023-1025 | 12(1) - (4) |
| Withdrawal - Trust Account - Manner of Withdrawal - Electronic Transfer | 9 | 1023-1025 | 12(1) - (4) |
| Trust Account Transactions - Electronic Transfer - Manner of Withdrawal from Trust Account | 9 | 1023-1026 | 12(1) - (7) |
| Withdrawal - Trust Account - Manner of Withdrawal - Electronic Transfer - Closing Funds | 9 | 1023-1026 | 12(2) - (6) |
| Trust Account Transactions - Electronic Transfer - Application to Sole Practitioner | 9 | 1025 | 12(3) |
| Sole Practitioner - Trust Account - Withdrawal of Funds by Electronic Transfer | 9 | 1025 | 12(3)-(4) |
| Withdrawal - Trust Account - Manner of Withdrawal - Electronic Transfer - Sole Practitioner | 9 | 1025 | 12(3)-(4) |
| Trust Account Transactions - Electronic Transfer - Sole Practitioner - Exceptional Circumstances | 9 | 1025 | 12(4) |
| Trust Account transactions - Additional Requirements Relating to Confirmation | 9 | 1025-1026 | 12(5)-(6) |
| Withdrawal - Trust Account - Manner of Withdrawal - Electronic Transfer - Confirmation | 9 | 1025-1026 | 12(5)-(6) |
| Trust Account Transactions - Electronic Trust Transfer Requisition | 9 | 1026 | 12(7) |
| Withdrawal - Trust Account - Manner of Withdrawal by Electronic Transfer - Form 9A | 9 | 1026 | 12(7) |
| Closing Funds - Definition | 9 | 1026 | 13(1) |
| Closing Funds - Interpretation | 9 | 1026 | 13(1) |
| Definition - Closing Funds | 9 | 1026 | 13(1) |
| Definition - Transaction in Real Estate | 9 | 1026 | 13(1) |
| Transaction in Real Estate - Definition | 9 | 1026 | 13(1) |
| Trust Account Transactions - Closing Funds - Definition | 9 | 1026 | 13(1) |
| Trust Account Transactions - Transaction in Real Estate - Definition | 9 | 1026 | 13(1) |
| Trust Account - Withdrawal by Electronic Transfer - Closing Funds | 9 | 1026 | 13(2) |
| Closing Funds - Withdrawal by Electronic Transaction - Trust Account Transactions | 9 | 1026 | 13(2) |
| Withdrawal - Closing Funds | 9 | 1026-1028 | 13(2)-(6) |
| Trust Account Transactions - Withdrawal - Closing Funds | 9 | 1026-1027 | 13(3) |
| Trust Account Transactions - Confirmation - Additional Requirements | 9 | 1027-1028 | 13(4)-(5) |
| Trust Account Transactions - Electronic Transfer Requisition Form - Closing funds | 9 | 1028 | 13(6) |
| Balance - Trust Account - Requirement to Maintain Sufficient Balance | 9 | 1028 | 14 |
| Trust Account Transaction - Requirement to Maintain Sufficient Balance | 9 | 1028 | 14 |
| Trust Account - Requirement to Maintain Sufficient Balance in Account | 9 | 1028 | 14 |
| Withdrawal - Trust Account - Requirement to Maintain Sufficient Balance | 9 | 1028 | 14 |
| Authorization - Withdrawal - Trust Account - Teranet | 9 | 1028 | 15(1) |
| Automatic Withdrawals from Trust Accounts - Authorizing Teranet - Trust account | 9 | 1028 | 15(1) |
| Trust Account Transactions - Trust Account - Withdrawal by Teranet | 9 | 1028 | 15(1) |
| Teranet - Trust Account - Withdrawal - Authorization | 9 | 1028 | 15(1) |
| Trust Account - Automatic Withdrawals - Authorizing Teranet | 9 | 1028 | 15(1) |
| Automatic Withdrawals - Trust Accounts - Conditions | 9 | 1028 | 15(2) |
| Teranet - Trust Account - Withdrawal - Conditions | 9 | 1028 | 15(2) |
| Trust Account - Conditions for Automatic Withdrawal by Teranet | 9 | 1028 | 15(2) |
| Trust Account Transactions - Conditions for Automatic Withdrawals - Teranet | 9 | 1028 | 15(2) |
| Automatic Withdrawals from Trust Accounts - Time of Receipt of Confirmation | 9 | 1028 | 15(3) |
| Teranet - Trust Account - Withdrawal - Confirmation and Timing | 9 | 1028 | 15(3) |
| Trust Account Transactions - Withdrawal by Teranet - Confirmation and Timing | 9 | 1028 | 15(3) |
| Trust Account - Automatic Withdrawals by Ternaet - Confirmation and Time of Receipt | 9 | 1028 | 15(3) |
| Automatic Withdrawals from Trust accounts - Contents of Confirmation | 9 | 1029 | 15(4) |
| Teranet - Trust Account - Withdrawal - Confirmation and Contents | 9 | 1029 | 15(4) |
| Trust Account - Automatic Withdrawals by Teranet - Confirmation and Contents of Confirmation | 9 | 1029 | 15(4) |
| Withdrawal - Trust Account - Teranet | 9 | 1028-1029 | 15(1)-(7) |
| Automatic Withdrawals from Trust Accounts - Written Record of Authorization | 9 | 1029 | 15(5) - (6) |
| Teranet - Trust Account - Withdrawal - Written and Other Requirements | 9 | 1029 | 15(5) - (7) |
| Automatic Withdrawals from Trust accounts - Additional Requirements - Confirmation | 9 | 1029 | 15(7) |
| Trust Account - Automatic Withdrawals by Teranet - Confirmation and Additional Requirements | 9 | 1029 | 15(7) |
| Automatic Withdrawals from Trust Accounts - Special Trust Account | 9 | 1030 | 16(1) |
| Special Trust Account - Automatic Withdrawals from Trust Accounts - Special Trust Account | 9 | 1030 | 16(1) |
| Teranet - Trust Account - Withdrawal - Special Accounts | 9 | 1030 | 16(1) |
| Trust Account - Automatic Withdrawal by Ternat - Special Trust Account | 9 | 1030 | 16(1) |
| Automatic Withdrawals from Trust Accounts - Permitted Multiple Special Trust Accounts | 9 | 1030 | 16(2) |
| Teranet - Trust Account - Withdrawal - Special Accounts - One or More Accounts | 9 | 1030 | 16(2) |
| Trust Account - Automatic Withdrawal from Special Trust Account - One or More | 9 | 1030 | 16(2) |
| Automatic Withdrawals from Trust Accounts - Payment of Money - Special Trust Account | 9 | 1022 | 16(3) |
| Teranet - Trust Account - Withdrawal - Special Accounts - Payment into Account | 9 | 1030 | 16(3) |
| Trust Account - Automatic Withdrawal from Special Trust Account - Payment into Account | 9 | 1030 | 16(3) |
| Special Trust Account - Withdrawal - Payment into Account | 9 | 1030 | 16(3) |
| Automatic Withdrawals from Trust Accounts - Time Limit on Money - Special Trust Account | 9 | 1030 | 16(4) |
| Special Trust Account - Time Limit - Money in Special Trust Account | 9 | 1030 | 16(4) |
| Teranet - Trust Account - Withdrawal from Special Accounts - Time Limit | 9 | 1030 | 16(4) |
| Trust Account - Special Trust Account - Time Limit on Holding Money | 9 | 1030 | 16(4) |
| Automatic Withdrawals from Trust Accounts - Time Limit on Money in Special Trust Account - Counting Days | 9 | 1030 | 16(5) |
| Special Trust Account - Time Limit - Counting Days | 9 | 1030 | 16(5) |
| Trust Account - Time Limit on Holding Money - Counting Days | 9 | 1030 | 16(5) |
| Automatic Withdrawals from Trust Accounts - Application of Other Sections | 9 | 1031 | 17 |
| Special Trust Account - Withdrawal Rules Apply | 9 | 1031 | 17 |
| Teranet - Trust Account - Withdrawal - Withdrawal Rules Apply | 9 | 1031 | 17 |
| Trust Account - Special Trust Account - Withdrawal Rules Apply | 9 | 1031 | 17 |
| Financial Records - Requirement to Maintain | 9 | 1031-1032 | 18 |
| Record Keeping Requirements - Requirements for Financial Records | 9 | 1031-1032 | 18 |
| Records - Financial | 9 | 1031-1035 | 18-24 |
| Record Keeping Requirements - Cash | 9 | 1032-1033 | 19(1) |
| Cash Received - Record Keeping | 9 | 1032-1033 | 19(1)-(2) |
| Financial Records - Cash Received | 9 | 1032-1033 | 19(1)-(2) |
| Financial Records - Cash Received - Defence for no Signature | 9 | 1033 | 19(2) |
| Record Keeping Requirements - Dash Received - Defence for no Signature | 9 | 1033 | 19(2) |
| Charges and Mortgages - Financial Records | 9 | 1033-1034 | 20 |
| Charges and Mortgages - Held in Trust for Clients - Financial Records | 9 | 1033-1034 | 20 |
| Financial Records - Mortgages and Charges | 9 | 1033-1034 | 20 |
| Mortgages and Charges - Financial Records | 9 | 1033-1034 | 20 |
| Mortgages and Charges - Held in Trust for Clients - Financial Records | 9 | 1033-1034 | 20 |
| Record Keeping Requirements - Mortgages and Other Charges Held in Trust | 9 | 1033-1034 | 20 |
| Financial Records - Permanence Requirements | 9 | 1034 | 21(1) |
| Record Keeping Requirements - Financial Records must be Permanent | 9 | 1034 | 21(1) |
| Financial Records - Paper Copies | 9 | 1034 | 21(2) |
| Record Keeping Requirements - Paper Copies of Financial Records | 9 | 1034 | 21(2) |
| Financial Records - Records Must be Current | 9 | 1034 | 22(1) |
| Record Keeping Requirements - Financial Records to be Current | 9 | 1034 | 22(1) |
| Financial Records - Acting for Lender - Exceptions | 9 | 1035-1036 | 24(2) |
| Record Keeping Requirements - Exceptions - Acting for Lender | 9 | 1035-1036 | 24(2) |
| Financial Records - Requirement to be Current - Exception | 9 | 1034 | 22(2) |
| Record Keeping Requirements - Exception - Financial Records to be Current | 9 | 1034 | 22(2) |
| Financial Records - Preservation of Records - Time Limit | 9 | 1034-1035 | 23(1)-(2) |
| Record Keeping Requirements - Preservation of Financial Records - Time Limit | 9 | 1034-1035 | 23(1)-(2) |
| Financial Records - Preservation Requirements | 9 | 1034-1035 | 23(1)-(3) |
| Financial Records - Preservation of Financial Records - Time Limit (Mortgages and Charges) | 9 | 1035 | 23(3) |
| Record Keeping Requirements - Preservation of Financial Records - Time Limit (Mortgages and Charges) | 9 | 1035 | 23(3) |
| Financial Records - Acting for Lender | 9 | 1035 | 24(1) |
| Record Keeping Requirements - Acting for Lender | 9 | 1035 | 24(1) |
| Records - Acting for Lender | 9 | 1035 | 24(1) |
| Financial Records - Acting for Lender - Required Documents | 9 | 1036  1037 | 24(3) 24(6) |
| Record Keeping Requirements - Acting for Lender - Provide Document to Lender | 9 | 1036 | 24(3) |
| Financial Records - Acting for Lender - Requirement to Add File | 9 | 1036 | 24(4) |
| Record Keeping Requirements - Acting for Lender - Requirement to Add File | 9 | 1036 | 24(4) |
| Record Keeping Requirements - Report on investment Form 9E |  | 1037 | 24(10) |
| Record Keeping Requirements - Application of Requirement to Add File - Acting for Lender | 9 | 1036 | 24(5) |
| Financial Records - Acting for Lender - Application of Requirement to Add File | 9 | 1036 | 24(5) |
| Financial Records - Acting for Lender - Adding to File - Application  See: Record Keeping Requirements when Acting for Lender | 9  9 | 1036  1035 | 24(5)  24(1) |
| Record Keeping Requirements - Deliver Documents to Lender - Report on Investment | 9 | 1037 | 24(6) |
| Financial Records - Report on Investment - Deliver Documents to Lender | 9 | 1037 | 24(6) |
| Record Keeping Requirements - Requirement to Add to File - Substitutions | 9 | 1037 | 24(7) |
| Financial Records - Acting for Lender - Adding to File - Exceptions | 9 | 1037 | 24(8) |
| Record Keeping Requirements - Requirement to Add to File - Exceptions | 9 | 1037 | 24(8) |
| Form 9D - Investment Authority | 9 | 1037 | 24(9) |
| Investment Authority - Form 9D | 9 | 1037 | 24(9) |
| Form 9E - Investment Report | 9 | 1037 | 24(10)-(11) |
| Investment - Report - Form 9E | 9 | 1037 | 24(10)-(11) |
| Record Keeping Requirements - Report on Investment - Alternatives to Form 9E | 9 | 1037 | 24(11) |
| Forms - Report on Investment Form Requirements 9D and 9E  See: Record Keeping Requirements | 9  9 | 1037  1031-1032 | 24(9)-(11)  18 |
| Record Keeping Requirements - Investment Authority Form 9D | 9 | 1037 | 24(9) |