

PRIVATE INVESTOR INTAKE FORM



This form must be completed and submitted prior to transacting with any new private investor. All applicable checkboxes must be ticked and supporting documents attached.

The Investor Section is to be completed by the investor and then emailed to compliance@abwmortgage.ca.

The Brokerage Section is to be completed internally by compliance staff.

SECTION A INVESTOR PROFILE & QUESTIONNAIRE

1. LEGAL ENTITY INFORMATION

LEGAL NAME OF INVESTOR

OPERATING/TRADE NAME(S)

ENTITY TYPE

☐ INDIVIDUAL ☐ CORP

JURISDICTION OF INCORPORATION

BUSINESS REGISTRATION NUMBER

PRIMARY PHONE NUMBER

OFFICIAL EMAIL ADDRESS

PRINCIPAL MAILING ADDRESS

2. IDENTIFICATION DOCUMENTS

- ☐ Government-issued photo ID for all individual investors and company directors (when applicable)
- ☐ Certified Corporate Ownership / Shareholder Registries (when a company is lending)
- ☐ Full List of Company Directors and Beneficial Owners (when a company is lending)

3. AML / ATF COMPLIANCE DECLARATION

- ☐ All individual owners and private investors will be screened for designation as Politically Exposed Persons (PEPs) and for inclusion on Canadian and international sanctions lists.

4. DUE DILIGENCE QUESTIONNAIRE

01. What is the verified source of your investment capital?

Please advise what % of your total cash/investment portfolio you are using for this loan .

02. Tenure in mortgage or private lending markets?

03. Please advise if there is any Third Party Involvement associated with this transaction.

04. Detail prior experience in residential or commercial mortgage lending:

Are you currently involved in any active legal proceedings or litigation?

☐ YES ☐ NO

Do your investment products require specific conflict of interest declarations?

☐ YES ☐ NO

INVESTOR AUTHORIZATION

The undersigned is fully aware of the risks involved in private lending and understands this could result in a loss of their investment.



AUTHORIZED NAME

TITLE / POSITION

DATE

SIGNATURE

SECTION B INTERNAL REVIEW & COMPLIANCE APPROVAL

1. DOCUMENT CHECKLIST

- ☐ Completed Investor Section
- ☐ Valid ID / Corp Documentation
- ☐ Checklist Completed
- ☐ AML/ATF Declaration done

2. INTERNAL REVIEW

- ☐ ID verified (FINTRAC method)
- ☐ PEP and Sanctions searches done
- ☐ Questionnaire accepted

REVIEWED BY

TITLE

SIGNATURE

DATE

☐ APPROVED ☐ DECLINED ☐ MORE INFO