



# Financial Services Commission of Ontario

CONFIDENTIAL  
WHEN COMPLETED AND  
FILED WITH FSCO

## Monthly Suppression of Terrorism Report (2007 Long Form Version)

(Report under section 83.11 of the *Criminal Code*, under section 7 of the *United Nations Suppression of Terrorism Regulations* and under section 5.1 of the *United Nations Al-Qaida and Taliban Regulations*

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*)

The Long Form version can be used by Ontario Regulated Financial Institutions to file a **POSITIVE Report only (Page 1 to 3 of 6)**. Instructions and information are on pages 5 and 6. To file a **NIL Report**, please use the Short Form Version of the Monthly Report (Page 4 of 6).

Reporting Month:

Name of Financial Institution(s):	Type of Financial Institution (check one): <input type="checkbox"/> Ontario Credit Union <input type="checkbox"/> Ontario Caisse Populaire <input type="checkbox"/> Ontario Trust or Loan Company <input type="checkbox"/> Ontario Insurance Company	Filing Options (check one): <input type="checkbox"/> Fax only (416) 226-7870 <input type="checkbox"/> Mail only
<p><b>Yes</b> The above financial institution(s) 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.</p> <p>* Please refer to "Instructions and Information" at the end of this report for the definition of "Designated Person"</p>		
<p>Please complete the table below and the certificate at the end of this form.</p>		
<p><i>Definitions:</i></p> <ul style="list-style-type: none"> <li>• "No." means "number" and refers to the number of accounts, policies or contracts associated with a Designated Person.</li> <li>• "Property" includes assets under administration (both discretionary and non-discretionary).</li> <li>• "SRO" means Self Regulatory Organization.</li> <li>• "Ontario Regulated Financial Institution", or "ORFI", means a Financial Institution that is regulated by the Financial Services Commission of Ontario (FSCO).</li> </ul>		

Type of Dealing with Designated Person	Total value of Dealing and type of entity involved										Total		
	Ontario Regulated Financial Institution		Regulated Canadian Financial Institution supervised by another Canadian regulator or SRO		Non-regulated Canadian entity		Regulated Foreign Financial Institution supervised by a foreign regulator or SRO		Non-regulated Foreign entity				
	No.	\$	No.	\$	No.	\$	No.	\$	No.	\$	\$	No.	\$
<b>Property</b>													
Cash, cash equivalents, demand and term deposits													
Letters of credit, letters of guaranty or similar obligations													
Securities (bonds, debentures, commercial paper, treasury bills, mutual fund units, common and preferred shares, and derivatives)													
Life Insurance and Annuity products with cash surrender value (cash surrender value)													
Other property, including real estate													
<b>Totals</b>													
<b>Loans</b>													
Mortgages, overdrafts, credit card balances, term loans, lines of credit balances, other indebtedness													
<b>Insurance</b>													

Life insurance policies with no cash surrender value (face value)												
Annuity products with no cash surrender value (monthly income)												
Property & casualty insurance policies (policy limit)												
Group Benefit plans such as medical or dental plans (policy limit for Listed Person or Listed Entity)												

## Certificate

**The undersigned certifies that, to the best of his/her knowledge, and after having made reasonable inquiries, the information contained in this Report is correct, any Property summarized in this Report has been frozen, and the relevant account details have been reported to the Royal Canadian Mounted Police, the Canadian Security Intelligence Service and, if applicable, the Financial Transactions and Reports Analysis Centre of Canada and, in respect of any foreign operations, to foreign law enforcement officials, as appropriate.**

Name	Signature	Title	Telephone	Date
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***Reminder: Section 83.1 of the Criminal Code, Section 8 of the United Nations 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 Republic of Korea or of the Regulations Implementing the United Nations Resolution on Iran require 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 Designated 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 Designated Person.***



**FSCO MONTHLY REPORT (2007)**  
**Instructions and Information**

1. This Report can be used by Ontario Regulated Financial Institutions (ORFIs) to meet their obligations to file information under section 83.11 of the *Criminal Code*, section 7 of the *United Nations Resolutions on the Suppression of Terrorism Regulations*, section 5.1 of the *United Nations Al-Qaida and Taliban Regulations* and section 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*.
2. This Report must be filed no later than the fifteenth (15<sup>th</sup>) day of each calendar month. If such day falls on a Saturday, Sunday or statutory holiday, the Report is due on the next business day. Reports must be filed with the Financial Services Commission of Ontario, Licensing and Market Conduct Division, 4<sup>th</sup> Floor, 5160 Yonge Street, Box 85, Toronto, Ontario M2N 6L9, or by fax at (416) 226-7870.
3. ORFIs must include information from branches located outside Canada. This should be included in the "Ontario Regulated Financial Institution" column in the table.
4. The term "Designated Person" includes listed entities under the *Criminal Code*, listed persons under the *United Nations Suppression of Terrorism Regulations* and those persons or entities covered by the *United Nations Al-Qaida and Taliban Regulations*. The term "Designated Person" has the meaning ascribed to it under Section 1 of the *Regulations Implementing the United Nations Resolution on the Democratic People's Republic of Korea* or Section 1 of the *Regulations Implementing the United Nations Resolution on Iran*.
5. This is an aggregate Report of dealings ORFIs have with a Designated Person or Persons. Do not append personal information or account or policy information. Such information must be directed to the Royal Canadian Mounted Police, the Canadian Security Intelligence Service and, **if applicable**, in respect of any foreign operations, foreign law enforcement officials.
6. All amounts must be stated in Canadian dollars. **NOTE: If the original amount of the property frozen is denominated in a currency other than Canadian dollars, then the Canadian dollar equivalent should be reported using the same rate of exchange that was in effect on the date that the property was originally frozen and reported to law enforcement.**
7. **It is an offence under the *Criminal Code*, the *United Nations Suppression of Terrorism Regulations* and the *United Nations Al-Qaida and Taliban Regulations*, to deal in terrorist property. It is also an offence under the *United Nations Act* to deal in property of a Designated Person or to otherwise contravene the *Regulations Implementing the United Nations Resolution on the Democratic People's Republic of Korea* or the *Regulations Implementing the United Nations Resolution on Iran*. This includes the debiting of service charges and the crediting of interest, and/or, if the frozen property is a securities portfolio, the crediting of interest, dividends or other entitlements and the charging of custody fees, transaction fees or any other debits or credits to the account.**

8. The Report is a consolidated Report. You must include information reported by your subsidiaries and categorize the information as shown in the table.
9. 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*, section 7 of the *United Nations Suppression of Terrorism Regulations*, section 5.1 of the *United Nations Al-Qaida and Taliban Regulations* and section 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*. **The Long Form report is only to be used where the assets have been frozen AND reported to the RCMP. As noted, in # 10 below, in all other situations, the simplified one page report (Short Form) should be used. A cover sheet is not required when submitting the Short Form to FSCO by fax.**
10. **If there are no assets frozen, you may use the simplified reporting form to confirm this. This includes situations where you may be seeking clarification from the authorities about whether an account holder is in fact a Designated Person; in other words, you may make the simplified filing where you have not made a determination that you are dealing with a Designated Person. There is no need to report numbers of accounts where you are still seeking clarification from the authorities.**
11. This form is for use by ORFIs only. Canadian Financial Institutions that are NOT subsidiaries of ORFIs and that are regulated by other regulators (such as a Securities Commission or the Office of the Superintendent of Financial Institutions), or the Investment Dealers Association (IDA), or the Mutual Funds Dealers Association (MFDA) are requested to use the appropriate reporting form issued by the appropriate authority.
12. ORFIs that have ORFI subsidiaries may file a joint Report for any or all such entities, PROVIDED that the names of all the filing entities are listed in the space provided or in an appendix to the Report. If the ORFI subsidiaries have other subsidiaries, information on their holdings of frozen assets must be included.
13. All amounts and numbers provided must be entered in the table. Appendices that refer to additional information are not acceptable unless they provide clarifying information relating to data in the table.

**NOTE: The “Reporting Month” is the month on which the report was based (e.g. for the report due on December 15<sup>th</sup>, the reporting month would be November).**