



Office of the Superintendent of
Financial Institutions Canada
255 Albert Street
Ottawa, Canada
K1A 0H2

Bureau du surintendant des
institutions financières Canada
255, rue Albert
Ottawa, Canada
K1A 0H2



OSFI SECURITY INFORMATION FORM

PROTECTED B
once completed

OFFICE USE ONLY

File Number

Privacy Notice:

The personal information collected through OSFI's Security Information Form is collected pursuant to the authorities of the Superintendent and the Minister of Finance related to federally regulated financial institutions as outlined in the [Bank Act](#); [Cooperative Credit Associations Act](#); the [Insurance Companies Act](#) and the [Trust and Loan Companies Act](#). For certain transactions and some business activities, financial institutions need regulatory approval from the Superintendent of Financial Institutions and/or the Minister of Finance based on the advice of OSFI.

Each applicant, as well as individuals associated with an approval application, must fill out the OSFI Security Information Form in order for the application to be processed. Personal information collected through the form will be used by OSFI to assess the character and integrity of individuals associated with a financial institution.

In the course of conducting the assessment, the information will be shared with applicable law enforcement and intelligence agencies, including, but not limited to, the Royal Canadian Mounted Police, the Canadian Security Intelligence Service and the Financial Transactions and Reports Analysis Centre of Canada. In response, these agencies may release personal information to OSFI related to the approval and the assessment of the character and integrity of affiliated individuals. Given the ongoing nature of the Superintendent's and the Minister's approvals authorities in the financial institution statutes, OSFI may use the information in the form at a later time to conduct another security check with these agencies.

Failure to provide the requested personal information will prevent OSFI from completing the security background check required for the approval process. This may affect OSFI's ability to process the application. Depending on the results of OSFI's assessment, it may have implications for the individual's role, position, relationship with or investment in the financial institution(s) associated with the application(s), or for the financial institution(s) itself.

OSFI will use the information received from this form and from these agencies to conduct analysis (including validation of information using publicly available information and commercially available databases) and generate advice as part of the administrative decision-making process for the approval. As part of the decision-making process your information may also be shared with the Department of Finance, the Minister of Finance, and the applicant entity on whose behalf you are submitting your personal information (if you are not the applicant).

The information may also be disclosed internally within OSFI for the purpose of fulfilling any of its regulatory functions, such as the supervision of financial institutions.

In addition to sharing with the above-noted departments and agencies, where relevant and necessary, the information may also be shared with any agency or body listed under subsections 18(5) and 22(2) of the [OSFI Act](#). Personal information will be protected under the provisions of the [Privacy Act](#) and will be used and stored as described in [OSFI's Approvals – Financial Institutions Personal Information Bank #OSFI PPU 015](#).

Under the *Privacy Act*, you have the right to access your personal information and request correction of your information. You have the right to file a complaint with the Office of the Privacy Commissioner of Canada regarding the handling of your personal information ([File a formal privacy complaint - Office of the Privacy Commissioner of Canada](#)). Should you wish to exercise your rights under the *Privacy Act*, or have any questions, please contact OSFI's ATIP Office (ATIP-AIPRP@osfi-bsif.gc.ca).

Please typewrite. With the original signed and dated form, you must also provide an electronic version (Excel format on a CD or by e-mail) to OSFI.

PART A - GENERAL INFORMATION		
1. Name of Financial Institution / Organization		2. Relationship with Financial Institution (Select all that apply) Director Officer Other (specify) <input type="text"/>
PART B - BIOGRAPHICAL INFORMATION		
1. Surname (Last name)		2. Full given names (no initials) If applicable, list all commonly used names or nicknames
3. Family name at birth / Maiden name		4. All other names used (include name changes and nicknames as well as names in other languages where applicable)
5. Sex Male Female Other / Non-Binary		6. Date of birth (YYYY-MM-DD)
7. Place of birth (City)	Province / State	Country
8. Residency (Select what applies) Canadian Permanent Resident Canadian Temporary Resident Non-Resident		9. Citizenship (list all that apply)
10. Proof of Citizenship (Select what applies) Passport National Identity Card Other (specify) <input type="text"/>		
11. Date of Issue (YYYY-MM-DD)		
12. Do you maintain dual or multiple citizenship? Yes No If so, please indicate countries of citizenship, certificate type, and number.		

PART C - MARITAL STATUS / COMMON-LAW PARTNERSHIP**1. Current Status**

- ☐ Married
 ☐ Common-Law Partnership
 ☐ Separated
☐ Widowed
 ☐ Divorced
 ☐ Single

2. Current spouse / common-law partner

Surname Given Names

Maiden name (if applicable) Date of birth

3. Former spouse / common-law partner

Surname Given Names

Maiden name (if applicable) Date of birth

PART D - IMMEDIATE RELATIVES (including those living outside Canada)

1	Full name (surname and all given names, including maiden name)			Relationship	Date of birth
	Apt #	Street #	Street Name	Civic number	
	City		Province or State	Country	Telephone number
2	Full name (surname and all given names, including maiden name)			Relationship	Date of birth
	Apt #	Street #	Street Name	Civic number	
	City		Province or State	Country	Telephone number
3	Full name (surname and all given names, including maiden name)			Relationship	Date of birth
	Apt #	Street #	Street Name	Civic number	
	City		Province or State	Country	Telephone number
4	Full name (surname and all given names, including maiden name)			Relationship	Date of birth
	Apt #	Street #	Street Name	Civic number	
	City		Province or State	Country	Telephone number

5	Full name (surname and all given names, including maiden name)			Relationship	Date of birth
	Apt #	Street #	Street Name	Civic number	
	City		Province or State	Country	Telephone number
PART E - CRIMINAL CONVICTIONS IN AND OUTSIDE OF CANADA					
1. Have you ever been charged and / or convicted of a criminal offence under the law of any Province, State, or Country?			If yes, give details (charge(s), name of police force, city, province / state, country, and date of conviction) by completing the following sections		
Yes No					
2. Charge(s)					
3. Name of Police Force / Law Enforcement Agency			4. City	5. Province / State	
6. Country			7. Date of Conviction (YYYY-MM-DD)		
8. Have you ever been non-criminally disciplined or sanctioned in connection with financial or business misconduct, fraud or mismanagement of an entity?					
Yes No					
If yes, give details (nature of charges, reason for sanctions or disciplinary actions, city, province / state, country, and date)					

PART F - RESIDENCE (List addresses where you have lived during the last 10 years, starting with the most current. All spaces must be completed; there should be no gaps)

1	Apt. #	Street #	Street Name		From (YYYY-MM)	To present
	City		Province or State	Country	Telephone number	
2	Apt. #	Street #	Street Name		From (YYYY-MM)	To (YYYY-MM)
	City		Province or State	Country	Telephone number	
3	Apt. #	Street #	Street Name		From (YYYY-MM)	To (YYYY-MM)
	City		Province or State	Country	Telephone number	
4	Apt. #	Street #	Street Name		From (YYYY-MM)	To (YYYY-MM)
	City		Province or State	Country	Telephone number	
5	Apt. #	Street #	Street Name		From (YYYY-MM)	To (YYYY-MM)
	City		Province or State	Country	Telephone number	

PART G - EMPLOYMENT- List all employment for the last 10 years, specify if there are any gaps in employment.

Name of employer - do not use initials (department / organization / agency, if applicable)						
1	Suite / Office #	Street #	Street Name		From (YYYY-MM)	To (YYYY-MM)
	City		Province or State	Country	Telephone number	
	Job Description					

2	Name of employer - do not use initials (department / organization / agency, if applicable)				
	Suite / Office #	Street #	Street Name		From (YYYY-MM) To (YYYY-MM)
	City	Province or State	Country	Telephone number	
	Job Description				
3	Name of employer - do not use initials (department / organization / agency, if applicable)				
	Suite / Office #	Street #	Street Name		From (YYYY-MM) To (YYYY-MM)
	City	Province or State	Country	Telephone number	
	Job Description				
4	Name of employer - do not use initials (department / organization / agency, if applicable)				
	Suite / Office #	Street #	Street Name		From (YYYY-MM) To (YYYY-MM)
	City	Province or State	Country	Telephone number	
	Job Description				
5	Name of employer - do not use initials (department / organization / agency, if applicable)				
	Suite / Office #	Street #	Street Name		From (YYYY-MM) To (YYYY-MM)
	City	Province or State	Country	Telephone number	
	Job Description				

PART H - FOREIGN EMPLOYMENT AND / OR AFFILIATION

1. Are you now or have you ever been employed by, served as a director, or acted as a consultant or agent for a foreign (non-Canadian) government, political party, firm, or agency, including any independent agency of a foreign government, crown corporation, or state-owned enterprise?

☐ Yes ☐ No

If yes, give details (country, organization, nature of work and dates), include military (including cadets), law enforcement, security, and intelligence employment.

2. Are you affiliated with any foreign (non-Canadian) government or political party, or have you had communications with any foreign government or political party, its officials or known proxies?

☐ Yes ☐ No

If yes, give details (country, nature of affiliation, how that affiliation or those communications could influence your decision-making with respect to the financial institution which is the subject of the application.)

3. Are you a member of any professional association in Canada or any other country?

☐ Yes ☐ No

If yes, give details (country, position within the association, mandate of the association, and duration of membership.)

PART I - FOREIGN ASSETS

1. Do you have any business, financial or personal assets outside Canada?

Yes No

If yes, give details, including a list of countries (exclude stocks and mutual funds purchased in Canada)

PART J – EDUCATION

Name all post-secondary institutions you have attended; if you have not attended any post-secondary institutions, name the last school you attended full-time

1	Name of Institution			
	Address		From (YYYY-MM)	To (YYYY-MM)
	City	Province or State	Country	Field of Study (Diploma or degree obtained)
2	Name of Institution			
	Address		From (YYYY-MM)	To (YYYY-MM)
	City	Province or State	Country	Field of Study (Diploma or degree obtained)
3	Name of Institution			
	Address		From (YYYY-MM)	To (YYYY-MM)
	City	Province or State	Country	Field of Study (Diploma or degree obtained)
4	Name of Institution			
	Address		From (YYYY-MM)	To (YYYY-MM)
	City	Province or State	Country	Field of Study (Diploma or degree obtained)

PART K - CERTIFICATION

I hereby certify that the information set out by me in this document is true and correct to the best of my knowledge. I also hereby consent to the release of my personal information as described in the privacy notice.

Signature

Date

PART L - REVIEW (To be completed by the OSFI Official responsible for ensuring the completion of sections A, B, C, D, E, F, G, H, I, J, AND K)

Name and Title	Telephone Number
Signature	Date

INSTRUCTIONS FOR COMPLETION OF THE OSFI SECURITY INFORMATION FORM

- Once completed this form shall be safeguarded and handled at the level of PROTECTED B.
- This form is to be completed digitally or if not available printing in block letter format in black or blue ink.
- Please read and follow these instructions carefully.
- All names are to be in full (no initials).
- If information is not known or is unavailable, please indicate this on the form and on a separate sheet of paper explain the cause or circumstance.
- All dates are to be entered in order of YEAR, MONTH, and DAY as applicable.
- If space allotted in any portion is insufficient, please use a separate sheet and continue using the same format.
- All fields are mandatory and any field that is not applicable must be identified using N/A.

Detailed Instructions:

PART A - GENERAL INFORMATION - Complete as requested.

- To include the name of proposed Financial Institutions not yet incorporated.

PART B - BIOGRAPHICAL INFORMATION - Complete as requested.

PART C - MARITAL STATUS / COMMON-LAW PARTNERSHIP

- “common-law partner” – in relation to an individual, means a person who is cohabitating with the individual in a conjugal relationship, having so cohabitated for a period of at least one year. This includes persons of the same sex.

PART D - IMMEDIATE RELATIVES (including those living outside Canada)

- To include parents, siblings, spouse, and children. Additionally, this would include others connected by adoption, marriage and civil partnership, such as stepsiblings, children and parents and adopted siblings, children and parents.

PART E - CRIMINAL CONVICTIONS IN AND OUTSIDE OF CANADA

- List only criminal convictions for which a pardon has NOT been granted. Include on a separate attached sheet of paper if more than one conviction. Individual must include those charges outside Canada.

PART F – RESIDENCE

- As set forth, ensuring current address is recorded first.
- For rural area, include civic number or lot, concession and township number.

PART G – EMPLOYMENT

- Record your present employment first.
- Job site address is the address where your work is performed and may be different from your employer’s address.

PART H - FOREIGN EMPLOYMENT AND / OR AFFILIATION- Complete as requested.

- “Influence” includes situations where a person or entity engages in actions, behaviours, or the use of power to impact others’ actions, decisions, or behaviours in their own or another’s interests.
- “Professional association” includes any professional body, organization, society or institute which seeks to promote the profession, advance the careers of members and represent the profession’s interests to government or the public.

PART I - FOREIGN ASSETS - Complete as requested.

PART J - EDUCATION - Complete as requested.

PART K - CERTIFICATION - Complete as requested.