

CERTIFICATE OF ACCOUNTANT AND MEMBER

*(Paragraphs 40(1)(d), 49(d), 57(2)(c), 82(1)(a), 83(1)(c),
104(1)(b), 104(2)(b) and rule 117)*

INSTRUCTIONS:

1. In this form, all references are to the Rules of the Law Society of the Northwest Territories.
2. This form must be completed for the 12-month fiscal period ending no earlier than June 1 of the year immediately preceding the year in which it is submitted to the Law Society, except where subsection 48(2) of the Legal Profession Act applies.
3. This form must be used - copies will not be accepted. If space is insufficient, attach schedules giving the information requested. Any schedule in Part B is to be submitted on the accountant's letterhead, and signed and dated on each page by that accountant.
4. Part A, any schedule to Part A and Part C are to be signed and dated,
 - (a) in the case of a sole practitioner, by the member;
 - (b) In the case of a law firm with two or more lawyers and only one partner, and where that partner is a resident member, by the partner; and
 - (c) in any other case, by two lawyers authorized to sign on clients' trust accounts, including at least one lawyer who is a resident member.

PART A

This Part is to be completed by the member as specified in item 4 of the Instructions, before it is forwarded to the chartered accountant or certified general accountant and before the fieldwork is started.

Reporting Period: _____ month(s), ending _____

1. Name under which law practice is conducted: _____

2. Indicate law practice arrangement:

- | | |
|---|--------------------------------------|
| <input type="checkbox"/> Sole practitioner | <input type="checkbox"/> Partnership |
| <input type="checkbox"/> Apparent partnership | <input type="checkbox"/> Other _____ |

3. Mailing Address:

City/Town: _____ Territory/Province: _____ Postal Code: _____
Telephone: _____ Fax: _____
Email: _____

4. Indicate if, in addition to its main office in the Northwest Territories, this law practice is carried on at more than one location:

Yes No

If yes, are these other locations within the Northwest Territories?

Yes No

If yes, are these other locations outside of Canada?

Yes No

5. The practice maintains a system for logging and opening a file for each separate client matter whether or not trust funds are held:

Yes No

If not, in what circumstances is a file not opened?

For sections 6 through 8, if space is insufficient attach a schedule, signed and dated on each page.

6. Details of the individual members of the firm at any time during the reporting period:

(if less than the full reporting period, give dates)

Name of Member	Position	Dates
<hr/>	<hr/>	<hr/>
<hr/>	<hr/>	<hr/>
<hr/>	<hr/>	<hr/>

7. Details of all individual members of the firm who, in addition to acting in the capacity of barrister and solicitor, acted alone as a personal representative of a person, or as a trustee (including as executor), where the appointment derived from a solicitor-client relationship:

Name of Member
<hr/>
<hr/>

8. List all clients' trust accounts, including term investments, operated during the reporting period. Include accounts and investments in respect of the appointments described in 7 above. *(If less than the full reporting period, give dates)*

Savings Institution Name and Branch	Account No.
<hr/>	<hr/>
<hr/>	<hr/>

I/We _____
undertake to disclose all books, ledgers, journals, records and accounts of this law practice to my/our accountant.

Signature: _____

Date: _____

Signature: _____

Date: _____

Signature: _____

Date: _____

PART B

This Part is to be completed by a chartered accountant or certified general accountant, on the accountant's letterhead, after Part A has been fully completed.

To: The Law Society of the Northwest Territories
Box 1298
YELLOWKNIFE NT X1A 2N9

Under section 48 of the *Legal Profession Act*, and in accordance with the Instructions to Accountants provided by the Law Society of the Northwest Territories, I/we have performed the following procedures in connection with the financial records and accounts of **[name of member]** maintained during the year ended **[year-end date]**:

(list procedures)

As a result of applying the above procedures, I/we can confirm that **(name of member)** appears to be in compliance, in all material respects, with the requirements of the *Legal Profession Act* and of the *Rules of the Law Society of the Northwest Territories*.

OR, in the event of non-compliance:

As a result of applying the above procedures, I/we can confirm that it appears that **(name of member)** is not fully in compliance with the requirements established by sections **(list relevant sections)** of the *Legal Profession Act* and rules **(list relevant rules)** of the *Rules of the Law Society of the Northwest Territories* as disclosed in the attached supplemental report **(attach a report listing all exceptions and qualifications on your letterhead signed and dated on each page.)**

These procedures do not constitute an audit of the member's financial records and accounts and therefore I/we express no opinion on the financial records and accounts of **[name of member]** maintained during the year ended **[year-end date]**.

This letter is for use solely in connection with the requirements of section 48 of the *Legal Profession Act*.

City or Town: _____

Signed: _____

Chartered Accountant(s)/Certified General Accountant(s)

Date: _____

PART C

This Part is to be completed by the member or members who signed Part A, after the accountant has completed Part B.

I/We, the member(s), certify that I/we have disclosed, to the above-named accountant, all books, ledgers, journals, records and accounts of this law practice, including all funds, securities and other investments

Signature: _____

Date: _____

Signature: _____

Date: _____

Signature: _____

Date: _____