LAW SOCIETY
OF THE NORTHWEST TERRITORIES

Representative Capacity Undertaking

Instructions:
This form must be completed when a lawyer acts in a representative capacity during a reporting period, pursuant to Rule 134.

Please submit this form to info@lawsociety.nt.ca.

SECTION A - EXECUTOR / PERSONAL REPRESENTATIVE / POWER OF ATTORNEY

1. The representative capacity I acted under was a:

☐ Personal Matter

☐ Professional Matter (as a Barrister & Solicitor)

If "Personal Matter", please proceed to section B.
If "Professional Matter", please answer 2 to 6.

2. During the reporting period, the total number of matters in which you acted in a representative capacity was:

3. Please list the individual matters, client names and total dollar value of all assets, as of the end of the reporting period, in which you acted in representative capacity:

#	Matter Number	Client Name	Total dollar value of all assets

Attach separate schedule to list additional matters.

4. Was the total dollar value indicated in (3) recorded in the firm's accounting records? Yes ☐ No ☐

If "No", provide an explanation below.

_____
_____
_____
_____

5. Were books and records maintained in accordance with Rules 106 and 107, in a permanent, easily traceable form together with all supporting documents? Yes No

If "No", provide an explanation below.

_____
_____
_____
_____

6. Were the funds held in/disbursed through your law firmôs trust account? Yes ☐ No ☐

If Yes, please indicate the type of account (Select all that apply):

☐ Pooled Trust Account

☐ Separate Interest Bearing Account

☐ Estate and Power of Attorney Trust Account

Other (Provide description)

_____
_____
_____
_____

If ñNoò, provide an explanation below.

_____
_____
_____
_____

END OF SECTION A

Please use this space to add any additional comments related to the above questions

_____
_____
_____
_____

SECTION B – DECLARATION

I, _____, undertake to provide, on demand:

a) particulars relating to my acting in a representative capacity;
b) a list of the beneficiaries of the estate or trust, together with their last known address;
c) to the extent of my lawful ability, the books, records, accounts and documents of the estate or trust, in a form sufficient to accommodate an examination, review, audit or investigation ordered by the Executive Director, and
d) to cooperate with the Societyôs auditor or investigator in the conduct of any examination, review, audit or investigation so ordered.all pursuant to subrule 134(3).

Date _____ Signature of Member_____