

This document is to serve as a reminder for brokers about the documents that must be included in each record. **It is not an exhaustive list.** Other documents may need to be included in brokerage contract or transaction record, depending on the particulars of the transaction itself.

**Regulation respecting records, books and registers, trust accounting and inspection of brokers and agencies**

Art. 1: A broker or agency must keep and maintain the registers and records prescribed by this Chapter. Where a broker acts for an agency, the obligations related to the keeping of registers and records are delegated to the agency. The broker must send all the information required for that purpose to the agency without delay.

Art. 11: The record for a brokerage contract contains:

- 1° the brokerage contract;
- 2° any document currently or previously used in the performance of the contract, including any document used to demonstrate the accuracy of the information provided; and;
- 3° the content of the record provided for in section 13, where applicable.

Art. 13: The record for a transaction contains the transaction proposal accepted and any other document used to complete the transaction.

**Regulation respecting brokerage requirements, professional conduct of brokers and advertising**

Art. 5: A licence holder must verify, in accordance with generally accepted practice, all information provided to the public or to another holder, and be able at all times to prove the accuracy of the information.

NAME OF BROKER: \_\_\_\_\_

FILE NO. OR ADDRESS: \_\_\_\_\_

NOTICE GIVEN TO THE BROKER ON \_\_\_\_\_ REMINDER(S), ON \_\_\_\_\_

**TO THE BROKER: Please send without delay or before \_\_\_\_\_, the following documents:**

**INDUSTRIAL BUILDING – SHOPPING CENTRE – INCOME PROPERTY**

- Service contract or compensation agreement
- Proof of identity verification
- Company resolution if the seller is a company
- Registration in the *Registraire des entreprises*
- Document used to describe the immovable (description sheet)
- Property comparables/analysis report
- Copy of titles
- Certificate of location
- Municipal tax bill
- School tax bill
- Leases or detailed list of leases produced by the signing authority or the seller
- Plan of premises
- Invoice(s) for repairs
- Environmental study
- Refused transaction proposal(s)
- Deposit in Trust (advance or expenses):
  - Copy of deposit-in-trust cheque
  - Copy of receipt issued to the depositor for any sum received in trust
  - Copy of cheque, bill of exchange or transfer slip used to make a withdrawal from the trust account
  - Copy of invoicing evidencing disbursement accepted by depositor
- Other: \_\_\_\_\_

**SALE OF AN ENTERPRISE**

- Brokerage contract
- Proof of identity verification
- Registration in the *Registraire des entreprises*
- Company resolution (if the seller is a company)
- Document used to describe the immovable (description sheet)
- Merchandise inventory
- Equipment
- Permits
- Lease
- Statement of income and expenses
- Balance sheet
- Franchise agreement (if applicable)
- Refused transaction proposal(s)
- Deposit in Trust (advance or expenses) :
  - Copy of deposit-in-trust cheque
  - Copy of receipt issued to the depositor for any sum received in trust
  - Copy of cheque, bill of exchange or transfer slip used to make a withdrawal from the trust account
  - Copy of invoicing evidencing disbursement accepted by depositor
- Other: \_\_\_\_\_

**LEASING – OFFICE, INDUSTRIAL OR COMMERCIAL BUILDING**

- Service contract, compensation agreement or letter of intention
- Proof of identity verification
- Registration in the *Registraire des entreprises*
- Company resolution
- Plan of premises (may be attached to lease, offer or letter of intention)
- Refused transaction proposal(s)
- Deposit in Trust (advance or expenses):
  - Copy of deposit-in-trust cheque
  - Copy of receipt issued to the depositor for any sum received in trust
  - Copy of cheque, bill of exchange or transfer slip used to make a withdrawal from the trust account
  - Copy of invoicing evidencing disbursement accepted by depositor
- Other: \_\_\_\_\_

Requested by: \_\_\_\_\_ Date: \_\_\_\_\_

**NOTE:** All the documents that the broker has in his possession, to which he had to refer or that support the accuracy of the verbal or written information he shared, must be included in the broker's records.