



Registration No.

Applicant's Name

## CONTROLLED GOODS PROGRAM SECURITY ASSESSMENT APPLICATION

Owner, Authorized Individual, Designated Official, Officer, Director, Employee

### A. BUSINESS INFORMATION (To be completed by the Designated Official)

1	Legal Name		
2	Business Name (If different from legal name)		
3	Civic Address		
4	Mailing Address (If different from civic address)		
5	Telephone Number (Include extension no. if applicable)	6	Facsimile Number
7	E-mail		
8	Description of the controlled goods the applicant may be required to examine, possess or transfer (Refer to the Export Control List (ECL))		
	Description of Controlled Goods	ECL Group No.	ECL Item No.
a			
b			
c			
d			
e			

### B. APPLICANT INFORMATION (To be completed by the applicant)

9	Type of Application	▶	New	Re-Assessment
10	Business Title (Select all that apply)			
	Owner	Authorized Individual	Designated Official	Officer
	Director	Employee		
11	Preferred Language of Correspondence	▶	English	French

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**C. PRIVACY NOTICE****C-1 Personal Information Under the Control of a Government Institution**

Your personal information requested is pursuant to section 38 of the *Defence Production Act* (DPA), and section 15 of the *Controlled Goods Regulations* (CGR) for the purpose of assessing security risks associated with controlled goods. The personal information is described in PIB PWGSC PPU 045 Controlled Goods Program. This information may also be used or disclosed for enforcement, safety, security, registration and evaluation. As part of the security assessment, personal information may be used or disclosed to:

- The Canadian Industrial Security Program, PWGSC - name, birth date, and other identifier if required to confirm a valid security clearance (as reported in Section M);
- The Credit Bureau(s) - name, birth date and contact information to establish financial risk;
- The Royal Canadian Mounted Police (RCMP) - all information on this form to conduct a criminal check/history; and
- The Canadian Security Intelligence Service (CSIS) - all information on this form to conduct a national security threat check.

Refusal to provide personal information will result in your being prohibited from examining, possessing or transferring controlled goods as defined in subsection 37(1) of the DPA.

Your personal information is protected under the *Privacy Act* and will only be used and disclosed in accordance with the *Act*. You have the right to access and correct your personal information if erroneous or incomplete.

**FOR INDUSTRY USE ONLY****C-2 Personal Information Under the Control of an Organization** (for optional use by the Designated Official)**D. CONSENT**

I, the undersigned, have read the privacy notice above and consent to the collection, use and disclosure of my personal information for the purposes as described in C-1 and C-2.

\_\_\_\_\_  
Applicant's Signature\_\_\_\_\_  
Date (YYYY - MM - DD)\_\_\_\_\_  
Print Name

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### INSTRUCTIONS

**WARNING:**

Any false or misleading statement on this form or relating to any document in support of this application, including concealment of any material fact, may lead to the refusal of access to controlled goods or the denial or revocation of registration with the Controlled Goods Program and be grounds for criminal prosecution under section 44 of the *Defence Production Act*.

Failure to complete all required sections of this form may result in your application being rejected.

The information requested is in respect of the five (5) year period immediately preceding the date of this security assessment application.

**E. BIOGRAPHICAL INFORMATION**

Attach two pieces of government-issued identification that provides proof of Citizenship or permanent residency (i.e. Birth certificate, Passport, Permanent Resident Card, etc.) and proof of residence (i.e. Driver's Licence, Government-issued Document with Address, etc.). One of which must be photo identification.

<b>12</b> Surname		<b>13</b> Full Given Name(s) (No initials, underline usual name used)	
<b>14</b> Surname at Birth		<b>15</b> Gender ▶ Male Female	<b>16</b> Date of Birth (YYYY - MM - DD)
<b>17</b> Home Address Number and Street			Apt. Number
City	Province/Territory	Country	Postal Code
<b>18</b> Telephone Number(s)			
Home	Work (Include extension no. if applicable)	Mobile	
<b>19</b> Email			
<b>20</b> Other names used (Nicknames, aliases, etc.)			
a			
b			
<b>21</b> Indicate any change of name (Include former names, maiden name, etc.)			
From Surname - Given Name		To Surname - Given Name	Date of change (YYYY - MM - DD)
a			
b			

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## F. COUNTRY OF ORIGIN

<b>22</b>	Current Status    Canadian Citizen    Permanent Resident		
<b>Born in Canada (if born outside Canada, go to no. 25)</b>			
<b>23</b>	Birth Certificate Number	<b>24</b>	City and Province/Territory of Birth (If you hold citizenship with another country, go to no. 28. If not applicable, go to section G).
<b>Born Outside Canada (For Canadians born outside Canada, if applicable, include Birth Abroad Certificate)</b>			
<b>25</b>	City and Country of Birth	<b>26</b>	Country of Provenance
		<b>27</b>	Date of Entry into Canada (YYYY - MM - DD)
<b>28</b>	List all Citizenships (Country name)		
a		b	
c		d	
<b>29</b>	Permanent Resident Certificate Number (If applicable)		<b>30</b> Date of Issue (YYYY - MM - DD)
<b>31</b>	Naturalized Canadian Certificate Number (If applicable)		<b>32</b> Date of Issue (YYYY - MM - DD)

## G. RESIDENTIAL HISTORY

<b>33</b>	List all places of residence during the last (5) years and include duration of stay, beginning with your current address. (Leave no gaps)						
Street No.	Street Name	Apt. No.	City, Province/Territory, Country	Postal Code	Date		
					From (YYYY - MM)	To (YYYY - MM)	
a							
b							
c							
d							
e							

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#### H. EDUCATIONAL HISTORY (If applicable)

**34** List all domestic and foreign educational institutions attended during the last five (5) years and all fields of study, beginning with the most recent, and include the duration of study.

School/Institution	Field of Study	Full Civic Address	Date	
			From (YYYY - MM)	To (YYYY - MM)
a				
b				
c				

#### I. EMPLOYMENT HISTORY

**35** List all domestic and foreign employment activities during the last five (5) years including full-time, part-time, temporary and self-employment, and periods of unemployment, beginning with the most recent. (Leave no gaps)

Employer	Position Title	Full Civic Address	Date	
			From (YYYY - MM)	To (YYYY - MM)
a				
b				
c				
d				
e				

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## J. CRIMINAL HISTORY

<b>36</b>	Have you been convicted of a criminal offence for which you have not been granted a pardon/record suspension?
	Yes                      No (If you answer "No", go to 38)

<b>37</b>	If in the past five (5) years, you have been convicted of a criminal offence in any country, including Canada, for which you have not been granted a pardon/record suspension, provide the following information.
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	Charges	Police	City, Province/Territory, Country	Date	Full Name at Time of Conviction
				(YYYY - MM)	
a					
b					
c					

<b>38</b>	If in the past five (5) years you have been detained, arrested or the subject of a criminal action in any country, including Canada, specify the occurrence and provide the following information.
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	Occurrence	Details/Reasons	City, Province/Territory, Country	Date	Status
				(YYYY - MM)	
a					
b					
c					

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### K. TRAVEL HISTORY

**39** List all valid passports currently in your possession and provide the following information.

Country of Issuance	Passport No.	Date of Issuance (YYYY - MM)	Name on Passport	Expiry Date (YYYY - MM)
a				
b				

**40** If during the last five (5) years you have travelled to countries other than the United States of America, provide the following information. (If you travel frequently you may group the travel per country per timeframe).

Country	No. of Visits	Date		Total Weeks Spent (If less than 1 week, enter 1)	Purpose (Business or Pleasure)	
		From (YYYY - MM)	To (YYYY - MM)		Business	Pleasure
Ex. 1 Mexico	12	2009 - 01	2012 - 01	20		
Ex. 2 France	10	2010 - 01	2012 - 01	7		
a						
b						
c						
d						
e						
f						
g						
h						
i						
j						

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#### L. PERSONAL REFERENCES

<b>41</b>	Provide the following information for three people who have known you personally for at least five (5) years that can confirm the information in your application. Family members, in-laws and co-habitants cannot be used as personal references.		
a	Surname, Given Name		Relationship
	Has known me since (State year)	Home Telephone Number	Daytime Telephone Number
	Home Address (Including House and/or Apt. No., Street, City, Province/Territory and Postal Code)		
b	Surname, Given Name		Relationship
	Has known me since (State year)	Home Telephone Number	Daytime Telephone Number
	Home Address (Including House and/or Apt. No., Street, City, Province/Territory and Postal Code)		
c	Surname, Given Name		Relationship
	Has known me since (State year)	Home Telephone Number	Daytime Telephone Number
	Home Address (Including House and/or Apt. No., Street, City, Province/Territory and Postal Code)		

#### M. SECURITY CLEARANCE

<b>42</b>	If you possess a valid security clearance, indicate the level, the country of issuance, the issuing government department and the expiry date. (Select all that apply)		
	Confidential	Secret	Top Secret
	Secret NATO	Other (Specify) _____	
<b>43</b>	Country of Issuance	<b>44</b>	Issuing Government Department
			<b>45</b> Expiry Date (YYYY - MM - DD)



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## N. SECURITY ASSESSMENT STATEMENTS

In Part N of this application, your answers need not mention a country that the Controlled Goods Directorate (CGD) considers to have a program that is equivalent to the Controlled Goods Program (CGP) in terms of preventing the risk of diversion of controlled goods. Currently, the CGD considers only the program administered by the United States of America's Directorate of Defence Trade Controls to be equivalent to the CGP. This means that your answers need not reference the U.S.A. (i.e. travel to the U.S.A.; residences owned in the U.S.A., etc.).

The information requested is in respect of the five (5) year period immediately preceding the date of this security assessment application.		Yes	No
1	I hold a valid passport of a country other than Canada (excluding the United States).		
2	I have travelled outside Canada for pleasure, more than 10 times in the last five years (excluding the United States).		
3	I have travelled outside Canada for business (excluding the United States).		
4	I have resided outside Canada (excluding the United States). <i>If yes, provide details (city/town of residence, country and dates):</i>		
5	I have immediate family members <sup>1</sup> that reside in a country outside Canada (excluding the United States). <i>If yes, list the country and relationship:</i>		
6	I received financial support from an organization or government agency outside of Canada for my education (excluding the United States). <i>If yes, provide name or organization and/or government and country:</i>		
7	I own or have partial ownership (20% or more voting shares) in a business or company outside Canada (excluding the United States). <i>If yes, provide details:</i>		
8	I have had contact, meetings, business or social activities, with foreign officials, excluding individuals from the United States (i.e.: non-Canadian government/department/embassy). <i>If yes, provide details:</i>		
9	I have sponsored a foreign individual for entry into Canada. <i>If yes, provide date and country of origin:</i>		
10	I have travelled outside Canada for a period greater than 90 consecutive days (excluding the United States). <i>If yes, provide details, country, dates, etc.:</i>		
11	I received my education outside of Canada (excluding the United States). <i>If yes, provide details on program of study, country and dates, etc.:</i>		

<sup>1</sup> Immediate Family Members: spouse or common-law partner, father (including step), mother (including step), parents-in-law (including step and common-law), children (including step and adopted and children of common-law partner), and siblings (including step and adopted).

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#### N. SECURITY ASSESSMENT STATEMENTS (Cont'd)

The information requested is in respect of the five (5) year period immediately preceding the date of this security assessment application.		Yes	No
12	I have previously been denied entry into a country. <i>If yes, provide reason, country, dates, etc.:</i>		
13	I have previously been ordered to surrender my passport to a government official (i.e.: customs, police, passport agency or similar). <i>If yes, provide date, to whom you surrendered your passport, location, reason(s) your passport was surrendered and the outcome:</i>		
14	I have worked for a company located in a foreign country (excluding the United States). <i>If yes, provide company name, country and dates of employment:</i>		
15	I consider myself to have allegiance to a country other than Canada or the United States. <i>If yes, provide name of country:</i>		
16	I have worked for a foreign government, including military service (excluding the United States). <i>If yes, provide dates, nationality of government, government department and position(s) held:</i>		
17	I have served in a security/intelligence organization in a country other than Canada (excluding the United States). <i>If yes, list organization and country:</i>		
18	I have previously had a security clearance denied, suspended or revoked. <i>If yes, provide details:</i>		
19	I have meaningful associations with an individual(s), who is a member of, or is a supporter of, a group involved in espionage, terrorism, organized crime, subversive or militant activities.		
20	I have been terminated or asked to resign from a position due to a theft or fraud related incident(s).		
21	I have previously filed bankruptcy.		
22	I currently have a financial judgement against me (this includes a fine or restitution regardless of whether you are in arrears; or any other type of financial judgement e.g. child support, taxes in which you are in arrears more than three months).		
23	I have previously been denied credit and/or had my credit card revoked. <i>If yes, provide details:</i>		

# Instructions for Completing the Security Assessment Application

## General

Please read the instructions carefully as they contain important information. Incomplete Security Assessment Applications will not be processed and will be returned to the addressee.

This form is to be completed by the Owner, Authorized Individual, Designated Official (DO), Officer, Director and Employee.

The Controlled Goods Program (CGP) will perform the security assessment of the Owner, Authorized Individual and DO who will be notified if the application has been approved or denied once the security assessment is completed.

The approved DO performs the security assessment of the Officer, Director and Employee accessing controlled goods.

**Complete all sections.** If a section is not applicable, indicate "N/A" in the space provided. If additional space is required, use an extra sheet of paper and attach it to the application. The first four pages also contain the information required for a Record Name Check and can be shared with law enforcement agencies and RCMP accredited agencies.

If you require assistance, please contact the CGP at 1-866-368-4646. Please ensure that you complete as much of the form as possible before calling and have a list of your questions ready for the CGP agent.

## Section A – Business Information

This section is to be completed by the DO where possible, or the proposed DO if no one has been previously security assessed and approved by CGP.

Please provide information concerning the business/operating/marketing name of the organization that is registered with the CG. If the legal name and the business name are the same, indicate "N/A" under Business Name.

In part 8, please provide a description of the controlled goods that you will examine, possess or transfer and indicate the [Export Control List](#) (ECL) group and item number(s). The description of the controlled goods should provide sufficient details so as to disclose the true identity of the goods. Avoid the use of trade names, generic names or general terms that do not adequately describe the goods.

## Section B – Applicant Information

Complete as requested.

## Section C –Privacy Notice

C-1 This part refers to personal information under the control of a government institution and outlines the purpose for which the information was obtained, the authority for collection and its disclosure.

C-2 This part refers to personal information under the control of an organization. This part is optional and reserved for industry use only. It may be completed by the DO when conducting a security assessment of an Officer, Director and Employee of the registered person and include the details concerning the use and disclosure of personal information by the organization.

## Section D – Consent

To be signed and dated by the Applicant.

## Section E – Biographical Information

Complete as requested. For any part of this section not applicable to you, please leave it blank.

## Section F – Country of Origin

Complete as requested. For any part of this section not applicable to you, please leave it blank.

In part 22, **Permanent Resident** has the same meaning as in subsection 2(1) of the *Immigration and Refugee Act*.

In part 26, **Country of Provenance** refers to the last country of residence before immigrating to Canada.

## Section G – Residential History

Complete as requested. Please note, if you have resided in a country other than Canada for a period of greater than 6 months within the past 5 years, you must obtain a Certificate of Good Conduct (or equivalent as the name varies by country) criminal records check (an FBI Criminal History Summary Check if resided in the United States of America) from that country. Please contact the country's Canadian embassy, consulate or high commission for details on how to obtain this documentation.

## Section H – Educational History

Complete if applicable.

## Section I – Employment History

Complete as requested.

## Section J – Criminal History

Complete as requested. For any part of this section not applicable to you, please leave it blank.

As part of the criminal record name check process, the applicant may be required to provide a full set of fingerprints, including both rolled and flat impressions of all 10 fingers. If you are required to provide fingerprints, you must have your fingerprints taken at your local police station or at a private accredited fingerprinting agency.

## Section K – Travel History

In part 39, if you do not hold a passport or have not travelled outside Canada, please indicate "N/A" in the 'Country of Issuance' box of row 'a'.

In part 40, if you have not travelled outside of Canada or the United States within the past 5 years, please leave this section blank.

## Section L – Personal References

References must be non-family members (please note that in-laws and/or cohabitant(s) cannot be used as personal references). Examples are friends, business acquaintances, co-workers.

## Section M – Security Clearance

Complete if applicable.

## Section N – Security Assessment Statements

Complete as requested.

## Document Checklist

Include the following documentation:

### 1. Evidence to validate your eligibility

For **Canadian citizens** ordinarily resident in Canada, attach a copy of **one (1)** of the following as evidence of citizenship:

- Current Canadian passport
- Canadian Citizenship Certificate and/or Card
- Canadian Birth Certificate
- Nexus Card

For **permanent residents** ordinarily resident in Canada, attach a copy of the following as evidence of your permanent resident status:

- Permanent Resident Card

### 2. For evidence to validate your identity and residential address, attach a copy of the following:

- Valid Canadian driver's license

3. **For evidence to validate your employment history (if applicable)**, attach a copy of the following:
  - Curriculum vitae
4. **If applicable, for evidence to validate your educational history you must also provide the following documentation:**
  - Evidence of your educational history if you attended an educational institution during the last 5 years, such as a copy of your diploma or degree.
5. **All applicants must also provide the following documentation:**
  - **For a Designated Official being security assessed:** Results from an RCMP fingerprint form (C216-C).
  - **For an Owner, Authorized Individual, Officer, Director and/or Employee being security assessed:** A CPIC Criminal Record Name Check or (optional) results from an RCMP fingerprint form (C216-C).

## **<ck 'hc 'Si Va ]hthe Application**

The completed Security Assessment Application for Owner, Authorized Individual, Designated Official, Officer, Director, Employee must be submitted by mail or courier.

All supporting documents accompanying the application (including the Canadian Police Information Centre Criminal Record Name Check and RCMP fingerprint report and excluding the C-216C RCMP fingerprint form) can be sent by fax or email to the CGP.

The C-216C RCMP fingerprint form must be an original document and sent by mail or courier. For the CGP detailed contact information, please consult the Contact the Controlled Goods Program page.

Note: All security assessments conducted by the Designated Official are to be retained and securely stored by the Designated Official at a site belonging to the Registered Person.