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**NATIONAL INSTRUMENT 33-109  
REGISTRATION INFORMATION**

**PART 1 - DEFINITIONS AND INTERPRETATION**

**1.1 Definitions**

In this Instrument

"cessation date" means the first day on which an individual ceased to have authority to act as a registered individual on behalf of their sponsoring firm or ceased to be a permitted individual of their sponsoring firm, because of the end of, or a change in, the individual's employment, partnership, or agency relationship with the firm;

"firm" means a person or company that is registered, or is seeking registration, as a dealer, adviser or investment fund manager;

"Form 33-109F1" means Form 33-109F1 *Notice of Termination of Registered Individuals and Permitted Individuals*;

"Form 33-109F2" means Form 33-109F2 *Change or Surrender of Individual Categories*;

"Form 33-109F3" means Form 33-109F3 *Business Locations other than Head Office*;

"Form 33-109F4" means Form 33-109F4 *Registration of Individuals and Review of Permitted Individuals*;

"Form 33-109F5" means Form 33-109F5 *Change of Registration Information*;

"Form 33-109F6" means Form 33-109F6 *Firm Registration*;

"Form 33-109F7" means Form 33-109F7 *Reinstatement of Registered Individuals and Permitted Individuals*;

"former sponsoring firm" means the registered firm for which an individual most recently acted as a registered individual or permitted individual;

"NRD submission number" means the unique number generated by NRD to identify each NRD submission;

"permitted individual" means an individual who is

- (a) a director, chief executive officer, chief financial officer, or chief operating officer of a firm, or who performs the functional equivalent of any of those positions, or
- (b) an individual who has beneficial ownership of, or direct or indirect control or direction over, 10 percent or more of the voting securities of a firm;

"principal jurisdiction" means,

- (a) for a firm, whose head office is in Canada, the jurisdiction of Canada in which the firm's head office is located,
- (b) for an individual whose working office is in Canada, the jurisdiction of Canada in which the individual's working office is located,
- (c) for a firm whose head office is outside Canada, the jurisdiction of the firm's principal regulator, as identified by the firm on its most recently submitted Form 33-109F5 or Form 33-109F6, and
- (d) for an individual whose working office is outside Canada, the principal jurisdiction of the individual's sponsoring firm;

"principal regulator" means, for a person or company, the securities regulatory authority or regulator of the person or company's principal jurisdiction;

"registered firm" means a registered dealer, registered adviser or registered investment fund manager;

"registered individual" means an individual who is registered under securities legislation to do any of the following on behalf of a registered firm:

- (a) act as a dealer, underwriter or adviser;
- (b) act as a chief compliance officer;
- (c) act as an ultimate designated person;

“sponsoring firm” means,

- (a) for a registered individual, the registered firm on whose behalf the individual acts,
- (b) for an individual applying for registration, the firm on whose behalf the individual will act if the individual’s application is approved,
- (c) for a permitted individual of a registered firm, the registered firm, and
- (d) for a permitted individual of a firm that is applying for registration, the applicant firm.

## 1.2 Interpretation

Terms used in this Instrument and that are defined in National Instrument 31-102 *National Registration Database* have the same meanings as in National Instrument 31-102 *National Registration Database*.

## PART 2 - APPLICATION FOR REGISTRATION AND REVIEW OF PERMITTED INDIVIDUALS

### 2.1 Firm Registration

A firm that applies for registration as a dealer, adviser or investment fund manager must submit each of the following to the regulator:

- (a) a completed Form 33-109F6;
- (b) for each business location of the applicant in the local jurisdiction other than the applicant's head office, a completed Form 33-109F3 in accordance with National Instrument 31-102 *National Registration Database*.

### 2.2 Individual Registration

Subject to subsection (2) and sections 2.4 and 2.6, an individual who applies for registration under securities legislation must submit a completed Form 33-109F4 to the regulator in accordance with National Instrument 31-102 *National Registration Database*.

A permitted individual of a registered firm who applies to become a registered individual with the firm must submit a completed Form 33-109F2 to the regulator in accordance with National Instrument 31-102 *National Registration Database*.

### 2.3 Reinstatement

An individual who applies for reinstatement of registration under securities legislation must submit a completed Form 33-109F4 to the regulator in accordance with National Instrument 31-102 *National Registration Database*, unless the individual submits a completed Form 33-109F7 in accordance with subsection (2).

The registration of an individual suspended under section 6.1 [If an individual ceases to have authority to act for firm] of National Instrument 31-103 Registration Requirements, Exemptions and Ongoing Registrant Obligations is reinstated on the date the individual submits a completed Form 33-109F7 to the regulator in accordance with National Instrument 31-102 National Registration Database if all of the following apply:

- (a) the Form 33-109F7 is submitted on or before the 90<sup>th</sup> day after the cessation date;
- (b) the individual's employment, partnership or agency relationship with the former sponsoring firm did not end because the individual was asked by the firm to resign, resigned voluntarily or was dismissed, following an allegation against the individual of any of the following:
  - (i) criminal activity;
  - (ii) a breach of securities legislation;
  - (iii) a breach of a rule of an SRO;
- (c) after the cessation date there have been no changes to the information previously submitted in respect of any of the following items of the individual's Form 33-109F4:
  - (i) item 13 [*Regulatory disclosure*];
  - (ii) item 14 [*Criminal disclosure*];
  - (iii) item 15 [*Civil disclosure*];
  - (iv) item 16 [*Financial disclosure*];
- (d) the individual is seeking reinstatement with a sponsoring firm in the same category of registration in which the individual was registered on the cessation date;
- (e) the new sponsoring firm is registered in the same category of registration in which the individual's former sponsoring firm was registered.

### 2.4 Application to Change or Surrender Individual Registration Categories

A registered individual who applies for registration in an additional category, or to surrender a registration category, must make the application by submitting a completed Form 33-109F2 to the regulator in accordance with National Instrument 31-102 *National Registration Database*.

## 2.5 Permitted Individuals

A permitted individual must submit a completed Form 33-109F4 to the regulator in accordance with National Instrument 31-102 *National Registration Database*, no more than 10 days after becoming a permitted individual, unless the individual submits a Form 33-109F7 in accordance with subsection (2).

An individual who has ceased to be a permitted individual of a former sponsoring firm and becomes a permitted individual of a new sponsoring firm may submit a completed Form 33-109F7 to the regulator if all of the following apply:

- (a) the Form 33-109F7 is submitted in accordance with National Instrument 31-102 *National Registration Database*
  - (i) no more than 10 days after becoming a permitted individual of the new sponsoring firm, and
  - (ii) no more than 90 days after the cessation date;
- (b) the individual holds the same permitted individual status with the new sponsoring firm that they held with the former sponsoring firm;
- (c) the conditions described in paragraphs (b) and (c) of subsection 2.3(2) are met.

## 2.6 Commodity Futures Act Registrants

In Manitoba and Ontario, despite subsection 2.1(b), if a firm applies for registration under section 2.1 and is registered under the *Commodity Futures Act*, the applicant is not required to submit a completed Form 33-109F3 under section 3.2 for any business location of the applicant that is recorded on NRD.

In Manitoba and Ontario, despite subsection 2.2(1), if an individual applies for registration under securities legislation and is recorded on NRD with his or her sponsoring firm as registered under the *Commodity Futures Act*, the individual must make the application by submitting a completed Form 33-109F2 to the regulator in accordance with National Instrument 31-102- *National Registration Database*.

## PART 3 - CHANGES TO REGISTERED FIRM INFORMATION

### 3.1 Notice of Change to a Firm's Information

Subject to subsections (3) or (4), a registered firm must notify the regulator of a change to any information previously submitted in Form 33-109F6 or under this subsection, as follows:

- (a) for a change previously submitted in relation to part 3 of Form 33-109F6, within 30 days of the change;
- (b) for a change previously submitted in relation to any other part of Form 33-109F6, within 10 days of the change.

A notice of change referred to in subsection (1) must be made by submitting a completed Form 33-109F5.

A notice of change is not required under subsection (1) if the change relates to any of the following:

- (a) a business location other than the head office of the firm if the firm submits a completed Form 33-109F3 under section 3.2;
- (b) a termination, or a change, of a registered firm's employment, partnership or agency relationship with an officer, partner or director of the registered firm if the firm submits a completed Form 33-109F1 under subsection 4.2(1);
- (c) the addition of an officer, partner, or director to the registered firm if that individual submits either of the following:
  - (i) a completed Form 33-109F4 under subsection 2.2(1) or 2.5(1);
  - (ii) a completed Form 33-109F7 under subsection 2.3(2) or 2.5(2);
- (d) the information in the supporting documents referred to in any of the following items of Form 33-109F6:
  - (i) item 3.3 [*Business documents*];
  - (ii) item 5.1 [*Calculation of excess working capital*];
  - (iii) item 5.7 [*Directors' resolution for insurance*];
  - (iv) item 5.13 [*Audited financial statements*];
  - (v) item 5.14 [*Letter of direction to auditors*].

A person or company that submitted a completed Schedule B [*Submission to Jurisdiction and Appointment of Agent for Service*] to Form 33-109F6 must notify the regulator of a change to the information previously submitted in item 3 [*Name of*

*agent for service of process*] or item 4 [*Address for service of process on the agent for service*] of that schedule, by submitting a completed Schedule B no more than 10 days after the change;

Subsection (4) does not apply to a person or company after they have ceased to be registered for a period of 6 years or more.

For the purpose of subsections (2) and (4), the person or company may give the notice by submitting it to the principal regulator.

### **3.2 Changes to Business Locations**

A registered firm must notify the regulator of the opening of a business location, other than a new head office, or of a change to any information previously submitted in Form 33-109F3, by submitting a completed Form 33-109F3 to the regulator in accordance with National Instrument 31-102 *National Registration Database*, within 10 days of the opening of the business location or change.

## **PART 4 - CHANGES TO REGISTERED INDIVIDUAL AND PERMITTED INDIVIDUAL INFORMATION**

### **4.1 Notice of Change to an Individual's Information**

Subject to subsection (2), a registered individual or permitted individual must notify the regulator of a change to any information previously submitted in respect of the individual's Form 33-109F4 as follows:

- (a) for a change of information previously submitted in items 4 [*Citizenship*] and 11 [*Previous employment*] of Form 33-109F4, within 30 days of the change;
- (b) for a change of information previously submitted in any other items of Form 33-109F4, within 10 days of the change.

A notice of change is not required under subsection (1) if the change relates to information previously submitted in item 3 [*Personal information*] of Form 33-109F4.

A notice of change under subsection (1) must be made by submitting a completed Form 33-109F5 to the regulator in accordance with National Instrument 31-102 *National Registration Database*.

Despite subsection (3), a notice of change referred to in subsection (1) must be made by submitting a completed Form 33-109F2 to the regulator in accordance with National Instrument 31-102 *National Registration Database*, if the change relates to:

- (a) an individual's status as a permitted individual of the sponsoring firm;

- (b) the removal or the addition of a category of registration;
- (c) the surrender of registration in one or more non-principal jurisdictions.

#### **4.2 Termination of Employment, Partnership or Agency Relationship**

(1) A registered firm must notify the regulator of the end of, or a change in, a sponsored individual's employment, partnership, or agency relationship with the firm if the individual ceases to have authority to act on behalf of the firm as a registered individual or permitted individual by submitting a Form 33-109F1 to the regulator in accordance with National Instrument 31-102 *National Registration Database* with

- (a) items 1 through 4 completed, and
- (b) item 5 completed unless the reason for termination under item 4 was death of the individual.

(2) A registered firm must submit to the regulator the information required under

- (a) subsection (1)(a), within 10 days of the cessation date, and
- (b) subsection (1)(b), within 30 days of the cessation date.

(3) A registered firm must, within 10 days of a request from an individual for whom the registered firm was the former sponsoring firm, provide to the individual a copy of the Form 33-109F1 that the registered firm submitted under subsection (1) in respect of that individual.

(4) If a registered firm completed and submitted the information in item 5 of a Form 33-109F1 in respect of an individual who made a request under subsection (3) and that information was not included in the initial copy provided to the individual, the registered firm must provide to that individual a further copy of the completed Form 33-109F1, including the information in item 5, within the later of

- (a) 10 days after the request by the individual under subsection (3), and
- (b) 10 days after the submission pursuant to subsection (2)(b).

### **PART 5 - DUE DILIGENCE AND RECORD-KEEPING**

#### **5.1 Sponsoring Firm Obligations**

A sponsoring firm must make reasonable efforts to ensure the truth and completeness of information that is submitted in accordance with this Instrument for any individual.



A sponsoring firm must obtain from each individual who is registered to act on behalf of the firm, or who is a permitted individual of the firm, a copy of the Form 33-109F1 most recently submitted by the individual's former sponsoring firm in respect of that individual, if any, within 60 days of the firm becoming the individual's sponsoring firm.

A sponsoring firm must retain all documents used by the firm to satisfy its obligation under subsection (1) as follows:

- (a) in the case of a registered individual, for no less than 7 years after the individual ceases to be registered to act on behalf of the firm;
- (b) in the case of an individual who applied for registration but whose registration was refused by the regulator, for no less than 7 years after the individual applied for registration; or
- (c) in the case of a permitted individual, for no less than 7 years after the individual ceases to be a permitted individual with the firm.

Without limiting subsection (3), if a registered individual, an individual applying for registration, or a permitted individual appoints an agent for service, the sponsoring firm must keep the original Appointment of Agent for Service executed by the individual for the period of time set out in paragraph (3)(b).

A sponsoring firm that retains a document under subsection (3) or (4) in respect of an NRD submission must record the NRD submission number on the first page of the document.

## **PART 6 - TRANSITION**

### **6.1 All Registered Firms to File Form 33-109F6 – September 30, 2010**

A registered firm that was registered before September 28, 2009 must submit a completed Form 33-109F6 to the regulator on or before September 30, 2010.

### **6.2 Notice of Change for Firms Registered before September 28, 2009**

In this section, "Form 3" means the form that a firm submitted before this Instrument came into force to apply for registration as a dealer, adviser or underwriter in the jurisdiction that, at the time the application was made, would have been the firm's principal jurisdiction under this Instrument.

Subject to subsection (5), a registered firm that was first registered in a jurisdiction of Canada before this Instrument came into force and that has not submitted a completed Form 33-109F6 to the regulator, must notify the regulator of a change to any information previously submitted

- (a) in a notice of agent and address for service, by submitting to the regulator a completed Schedule B to Form 33-109F6, no more than 10 days after the change;
- (b) in Form 3 or in any notice of change to information in that form submitted to the regulator, as follows:
  - (i) for a change of information equivalent to the information referred to in part 3 of Form 33-109F6, within 30 days of the change;
  - (ii) for a change of information equivalent to the information referred to in any other part of Form 33-109F6, within 10 days of the change.
- (3) A registered firm referred to in subsection (2) must notify the regulator of a change in its auditor or financial year-end within 10 days of the change.
- (4) For the purpose of subsections (2) and (3) the firm may give the notice by submitting it to the principal regulator.
- (5) A notice of change is not required under subsection (2) if the change relates to any of the following:
  - (a) the addition of an officer, partner, or director to the registered firm if that individual
    - (i) submits a completed Form 33-109F4 under subsection 2.2(1) or 2.5(1), or
    - (ii) submits a completed Form 33-109F7 under subsection 2.3(2) or 2.5(2);
  - (b) a termination, or a change, of a registered firm's employment, partnership or agency relationship with an officer, partner or director of the registered firm if the firm submits a completed Form 33-109F1 under subsection 4.2(1);
  - (c) a business location other than the head office of the firm if the firm submits a completed Form 33-109F3 under section 3.2;
  - (d) information equivalent to the information referred to in section 3.1(3)(d).

### **6.3 National Registration Database Transition Period**

In this section, "NRD access date" means the first day following September 25, 2009 that an NRD filer has access to NRD to make NRD submissions.

A notice submitted by an NRD filer before September 25, 2009, and not accepted or denied by the regulator by that date, must be resubmitted, as if the time required for the submission had fallen within the period commencing on September 25, 2009

and ending on the day before the NRD access date, in accordance with subsections (3), (4) and (6) as applicable.

Except in the case of a notice referred to in subsection (4), if the time required for making either of the following submissions falls within the period commencing on September 25, 2009 and ending on the day before the NRD access date, the time for making the submission is extended to the 45<sup>th</sup> day following the NRD access date:

- (a) a notice that is required to be submitted in NRD format;
- (b) a Form 33-109F4 that is required to be submitted under subsection 2.5(1).

If the time required for making either of the following submissions falls within the period commencing on September 25, 2009 and ending on the day before the NRD access date, the submission must be made other than through the NRD website:

- (a) a notice referred to in subsection 4.1(1) if the change relates to previously submitted information about any of the following items of the individual's Form 33-109F4:
  - (i) item 14 [*Criminal disclosure*];
  - (ii) item 15 [*Civil disclosure*];
  - (iii) item 16 [*Financial disclosure*];
- (b) a notice of termination referred to in subsection 4.2(1) from a former sponsoring firm, within the time required under subsection 4.2(2), if the individual's employment, partnership or agency relationship with the firm ended because the individual resigned or was dismissed for cause.

From September 28, 2009 to the day before the NRD access date, an individual may submit any of the following to the regulator other than through the NRD website:

- (a) Form 33-109F7;
- (b) Form 33-109F2;
- (c) Form 33-109F4 other than under subsection 2.5(1).

If an NRD filer makes a submission other than through the NRD website under subsection (4) or (5), the NRD filer must resubmit the information in NRD format to the regulator as follows:

- (a) for a Form 33-109F7 submitted under paragraph (5)(a),

- (i) if the cessation date was on or after September 28, 2009, by submitting a completed Form 33-109F7 no later than 30 days after the NRD access date;
  - (ii) if the cessation date was before September 28, 2009, by submitting a completed Form 33-109F4 no later than 30 days after the NRD access date;
- (b) for any other submission no later than 30 days after the NRD access date.

#### **6.4 Transition – Reinstatement under Subsections 2.3(2) and 2.5(2)**

Despite subsection 2.3(2), from the NRD access date to December 28, 2009 an individual who seeks reinstatement of registration under subsection 2.3(2) must submit a completed Form 33-109F4 to the regulator in accordance with National Instrument 31-102 *National Registration Database*, if the cessation date occurred before September 28, 2009.

For greater certainty, the registration of an individual who makes a submission under subsection (1) is reinstated in accordance with subsection 2.3(2) only if all of the conditions in paragraphs (a) through (e) of subsection 2.3(2) are met.

Subsection 2.5(2) does not apply to a permitted individual whose cessation date occurred before September 28, 2009.

### **PART 7 - EXEMPTION**

#### **7.1 Exemption**

The regulator or the securities regulatory authority may grant an exemption from this Instrument, in whole or in part, subject to such conditions or restrictions as may be imposed in the exemption.

Despite subsection (1), in Ontario, only the regulator may grant such an exemption.

Except in Ontario, an exemption referred to in subsection (1) is granted under the statute referred to in Appendix B of National Instrument 14-101 *Definitions*, opposite the name of the local jurisdiction.

### **PART 8 - REPEAL AND EFFECTIVE DATE**

#### **8.1 Repeal**

National Instrument 33-109 *Registration Information*, which came into force on 11 May 2005, is repealed.

## 8.2 Effective Date

This Instrument comes into force on the day National Instrument 31-103 *Registration Requirements and Exemptions* comes into force.

**FORM 33-109F1**  
**NOTICE OF TERMINATION OF REGISTERED INDIVIDUALS**  
**AND PERMITTED INDIVIDUALS**  
**(section 4.2)**

**GENERAL INSTRUCTIONS**

Complete and submit this form to notify the relevant regulator(s) or, in Québec, the securities regulatory authority, or self-regulatory organization (SRO) that a registered individual or permitted individual has left their sponsoring firm or has ceased to act in a registerable capacity or as a permitted individual.

**Terms**

In this form, "cessation date" (or "effective date of termination") means the first day on which an individual ceased to have authority to act as a registered individual on behalf of their sponsoring firm or ceased to be a permitted individual of their sponsoring firm, because of the end of, or a change in, the individual's employment, partnership, or agency relationship with the firm.

**How to submit the form**

Submit this form at the National Registration Database (NRD) website in NRD format at [www.nrd.ca](http://www.nrd.ca).

If you are relying on the temporary hardship exemption in section 5.1 of National Instrument 31-102 [*National Registration Database*], you may submit this form in a format other than NRD format.

**When to submit the form**

You must submit the responses to Item 1, Item 2, Item 3 and Item 4 within 10 days of the effective date of termination.

If you are required to complete Item 5, you must submit those responses within 30 days of the termination date. If you are submitting the responses to Item 5, in NRD format, after Items 1 to 4 have been submitted at NRD, use the NRD submission type called "Update/Correct Termination Information" to complete Item 5 of this form.

**Item 1          Terminating firm**

1.    Name \_\_\_\_\_

2.    NRD number \_\_\_\_\_

**Item 2 Terminated individual**

1.    Name \_\_\_\_\_

2.    NRD number \_\_\_\_\_

**Item 3 Business location of the terminated individual**

1. Address \_\_\_\_\_
2. NRD number \_\_\_\_\_

**Item 4 Date and reason for termination**

1. Cessation date / Effective date of termination \_\_\_\_\_  
(YYYY/MM/DD)

This is the first day that the individual ceased to have authority to act in a registerable capacity on behalf of the firm or ceased to be a permitted individual.

2. Reason for termination / cessation (check one):

- |   |                          |
|---|--------------------------|
| Resigned - voluntary                    | <input type="checkbox"/> |
| Resigned - at the firm's request        | <input type="checkbox"/> |
| Dismissed in good standing              | <input type="checkbox"/> |
| Dismissed for cause                     | <input type="checkbox"/> |
| Completed temporary employment contract | <input type="checkbox"/> |
| Retired                                 | <input type="checkbox"/> |
| Deceased                                | <input type="checkbox"/> |
| Other                                   | <input type="checkbox"/> |

**Item 5 Details about the termination**

Complete Item 5 except where the individual is deceased. In the space below:

- state the reason(s) for the cessation / termination and
- provide details if the answer to any of the following questions is "Yes".

*[For NRD Format only:]*

- This information will be disclosed within 30 days of the effective date of termination
- Not applicable: individual is deceased

Answer the following questions to the best of the firm's knowledge.

In the past 12 months:		Yes	No
1.	Was the individual charged with any criminal offence?	<input type="checkbox"/>	<input type="checkbox"/>
2.	Was the individual the subject of any investigation by any securities or financial industry regulator?	<input type="checkbox"/>	<input type="checkbox"/>
3.	Was the individual subject to any significant internal disciplinary measures at the firm or at any affiliate of the firm related to the individual's activity as a registrant?	<input type="checkbox"/>	<input type="checkbox"/>
4.	Were there any written complaints, civil claims and/or arbitration notices filed against the individual or against the firm about the individual's securities-related activities that occurred while the individual was registered or a permitted individual authorized to act on behalf of the firm?	<input type="checkbox"/>	<input type="checkbox"/>
5.	Does the individual have any undischarged financial obligations to clients of the firm?	<input type="checkbox"/>	<input type="checkbox"/>
6.	Has the firm or any affiliate of the firm suffered significant monetary loss or harm to its reputation as a result of the individual's actions?	<input type="checkbox"/>	<input type="checkbox"/>
7.	Did the firm or any affiliate of the firm investigate the individual relating to possible material violations of fiduciary duties, regulatory requirements or the compliance policies and procedures of the firm or any affiliate of the firm? Examples include making unsuitable trades or investment recommendations, stealing or borrowing client money or securities, hiding losses from clients, forging client signatures, money laundering, deliberately making false representations and engaging in undisclosed outside business activity.	<input type="checkbox"/>	<input type="checkbox"/>
8.	Did the individual repeatedly fail to follow compliance policies and procedures of the firm or any affiliate of the firm?	<input type="checkbox"/>	<input type="checkbox"/>
9.	Did the individual engage in discretionary management of client accounts or otherwise engage in registerable activity without appropriate registration or without the firm's authorization?	<input type="checkbox"/>	<input type="checkbox"/>

Reasons/Details: \_\_\_\_\_  
\_\_\_\_\_

**Item 6** [repealed]



**Item 7          Warning**

**It is an offence under securities legislation and/or derivatives legislation, including commodity futures legislation to give false or misleading information on this form.**

**Item 8 Certification**

**Certification-NRD format:**

I am making this submission as agent for the firm. By checking this box, I certify that the firm provided me with all of the information on this form.

**Certification-Format other than NRD format:**

By signing below I certify to the regulator or, in Québec, the securities regulatory authority, in each jurisdiction where I am submitting this form for the firm, either directly or through the principal regulator, that:

- I have read this form and understand the questions, and
- all of the information provided on this form is true and complete.

Name of firm \_\_\_\_\_

Name of authorized signing officer or partner \_\_\_\_\_

Title of authorized signing officer or partner \_\_\_\_\_

Signature of authorized signing officer or partner \_\_\_\_\_

Date signed \_\_\_\_\_  
(YYYY/MM/DD)

**Schedule A**  
[repealed]

**FORM 33-109F2**  
**CHANGE OR SURRENDER OF INDIVIDUAL CATEGORIES**  
**(section 2.2(2), 2.4, 2.6(2) or 4.1(4))**

**GENERAL INSTRUCTIONS**

Complete and submit this form to notify the relevant regulator(s) or, in Québec, the securities regulatory authority, or self-regulatory organization (SRO) that a registered individual or permitted individual seeks to add and/or remove individual registration categories or permitted activities.

**Terms**

In this form, "you", "your" and "individual" mean the registered individual or permitted individual who is seeking to add and/or remove registration categories or permitted activities.

**How to submit this form**

Submit this form at the National Registration Database (NRD) website in NRD format at [www.nrd.ca](http://www.nrd.ca).

If you are relying on the temporary hardship exemption in section 5.1 of National Instrument 31-102, you may submit this form in a format other than NRD format.

**Item 1 Individual**

Name of individual \_\_\_\_\_

NRD number of individual \_\_\_\_\_

**Item 2 Registration jurisdictions**

1. Are you filing this form under the passport system / interface for registration?

Choose "no" if you are registered in:

- (a) only one jurisdiction in Canada
- (b) more than one jurisdiction in Canada and you are requesting a surrender in a non-principal jurisdiction or jurisdictions, but not in your principal jurisdiction
- (c) more than one jurisdiction in Canada and you are requesting a change only in your principal jurisdiction

Yes  No

2. Check each jurisdiction where you are seeking the change or surrender of individual categories of registration.

- Alberta
- British Columbia
- Manitoba
- New Brunswick
- Newfoundland and Labrador
- Northwest Territories
- Nova Scotia
- Nunavut
- Ontario
- Prince Edward Island
- Québec
- Saskatchewan
- Yukon

**Item 3      Removing categories**

What categories are you seeking to remove?

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**Item 4      Adding categories**

Categories

1.      What categories are you seeking to add?

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2.      Professional liability insurance (Québec mutual fund dealers and Québec scholarship plan dealers)

If you are seeking registration as a representative of a mutual fund dealer or of a scholarship plan dealer in Québec, are you covered by your sponsoring firm's professional liability insurance?

Yes  No

If "No", state:

The name of your insurer

---

Your policy number \_\_\_\_\_

**3. Relevant securities industry experience**

If you have not been registered in the last 36 months and you passed the required examination more than 36 months ago, do you consider that you have gained 12 months of relevant securities industry experience during the 36 month period?

Yes  No  N/A

If you are an individual applying for IIROC approval, select "Not Applicable" above.

If "yes", complete Schedule A.

**Item 5 Reason for surrender**

If you are seeking to remove a category or permitted activity, state the reason for the surrender in the local jurisdiction.

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**Item 6 Notice of collection and use of personal information**

The personal information required under this form is collected on behalf of, and used by, the securities regulatory authorities in the jurisdictions set out in Schedule A to administer and enforce certain provisions of their securities legislation or derivatives legislation or both.

The personal information required under this form is also collected by and used by the SROs set out in Schedule A to administer and enforce their respective by-laws, regulations, rules, rulings and policies.

By submitting this form, the individual consents to the collection by the securities regulatory authorities or applicable SRO of this personal information, and any police records, records from other government or non-governmental regulators or SROs, credit records and employment records about the individual that the securities regulatory authorities or applicable SRO may need to complete their review of the information submitted in this form relating to the individual's continued fitness for registration or approval, if applicable, in accordance with the legal authority of the securities

regulatory authorities while the individual is registered with or approved by it. Securities regulatory authorities or SROs may contact government and private bodies or agencies, individuals, corporations and other organizations for information about the individual.

If you have any questions about the collection and use of this information, contact the securities regulatory authorities or applicable SRO in any jurisdiction in which the required information is submitted. See Schedule A for details. In Québec, you can also contact the Commission d'accès à l'information at 1-888-528-7741 or visit its website at [www.cai.gouv.qc.ca](http://www.cai.gouv.qc.ca).

### **Item 7          Warning**

**It is an offence under securities legislation and/or derivatives legislation, including commodity futures legislation to give false or misleading information on this form.**

### **Item 8          Certification**

#### **Certification-NRD format:**

I confirm I have discussed the questions in this form with an officer, branch manager or supervisor of my sponsoring firm. To the best of my knowledge and belief, the officer, branch manager or supervisor was satisfied that I fully understood the questions. I will limit my activities to those permitted by my category of registration.

I am making this submission as agent for the individual identified in this form. By checking this box, I certify that the individual provided me with all of the information on this form.

#### **Certification-Format other than NRD format:**

By signing below:

1. I certify to the regulator or, in Québec, the securities regulatory authority, in each jurisdiction where I am submitting this form, either directly or through the principal regulator, that:
  - I have read this form and understand the questions, and
  - all of the information provided on this form is true, and complete.
  
2. I confirm I have discussed the questions in this form with an officer, branch manager or supervisor of my sponsoring firm. To the best of my knowledge and belief, the officer, branch manager or supervisor was satisfied that I fully understood the questions. I will limit my activities to those permitted by my category of registration.

Signature of individual \_\_\_\_\_

Date signed \_\_\_\_\_  
(YYYY/MM/DD)

By signing below, I certify to the regulator or, in Québec, the securities regulatory authority, in each jurisdiction where I am submitting this form for the individual, either directly or through the principal regulator, that:

1. the individual identified in this form will be engaged by the firm as a registered individual, or a non registered individual, and
2. I have, or a branch manager or supervisor or another officer or partner has, discussed the questions set out in this form with the individual. To the best of my knowledge and belief, the individual fully understands the questions.

Name of firm \_\_\_\_\_

Name of authorized signing officer or partner \_\_\_\_\_

Title of authorized signing officer or partner \_\_\_\_\_

Signature of authorized signing officer or partner

Date signed \_\_\_\_\_  
(YYYY/MM/DD)

**SCHEDULE A**  
**Relevant securities industry experience (Item 4)**

Describe your responsibilities in areas relating to the category you are applying for, including the title(s) you have held, as well as start and end dates:

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What is the percentage of your time devoted to these activities?

\_\_\_\_\_ %

Indicate the continuing education activities which you have participated in during the last 36 months and which are relevant to the category of registration you are applying for:

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**Schedule B**  
**Contact information for**  
**Notice of collection and use of personal information**

**Alberta**

Alberta Securities Commission,  
 Suite 600, 250-5th St. SW  
 Calgary, AB T2P 0R4  
 Attention: Information Officer  
 Telephone: (403) 355-4151

**British Columbia**

British Columbia Securities Commission  
 P.O. Box 10142, Pacific Centre  
 701 West Georgia Street  
 Vancouver, BC V7Y 1L2  
 Attention: Freedom of Information Officer  
 Telephone: (604) 899-6500 or (800) 373-6393 (in BC)

**Manitoba**

The Manitoba Securities Commission  
 500 - 400 St. Mary Avenue  
 Winnipeg, MB R3C 4K5  
 Attention: Director of Registrations  
 Telephone (204) 945-2548  
 Fax (204) 945-0330

**New Brunswick**

New Brunswick Securities Commission  
 Suite 300, 85 Charlotte Street

**Nunavut**

Legal Registries Division  
 Department of Justice  
 Government of Nunavut  
 P.O. Box 1000 Station 570  
 Iqaluit, NU X0A 0H0  
 Attention: Deputy Registrar of Securities  
 Telephone: (867) 975-6590

**Ontario**

Ontario Securities Commission  
 Suite 1903, Box 55  
 20 Queen Street West  
 Toronto, ON M5H 3S8  
 Attention: Compliance and Registrant Regulation  
 Telephone: (416) 593-8314  
 e-mail: registration@osc.gov.on.ca

**Prince Edward Island**

Securities Registry  
 Office of the Attorney General B Consumer, Corporate and Insurance Services Division  
 P.O. Box 2000  
 Charlottetown, PE C1A 7N8  
 Attention: Deputy Registrar of Securities  
 Telephone: (902) 368-6288

**Québec**

Autorité des marchés financiers  
 800, square Victoria, 22e étage  
 C.P. 246, tour de la Bourse  
 Montréal (Québec) H4Z 1G3  
 Attention: Responsable de l'accès à l'information  
 Telephone: (514) 395-0337 or (877) 525-0337 (in Québec)

**Saskatchewan**

Saskatchewan Financial Services Commission  
 Suite 601, 1919 Saskatchewan Drive  
 Regina, SK S4P 4H2  
 Attention: Director  
 Telephone: (306) 787-5842

Saint John, NB E2L 2J2  
 Attention: Director,  
 Regulatory Affairs  
 Telephone: (506) 658-  
 3060

**Newfoundland and  
 Labrador**

Securities NL  
 Financial Services  
 Regulation Division  
 Department of  
 Government Services  
 P.O. Box 8700, 2nd  
 Floor, West Block  
 Confederation  
 Building  
 St. John's, NL A1B 4J6  
 Attention: Manager of  
 Registrations  
 Tel: (709) 729-5661

**Nova Scotia**

Nova Scotia Securities  
 Commission  
 Suite 400, 5251 Duke  
 Street  
 Halifax, NS B3J 1P3  
 Attention: Deputy  
 Director, Capital  
 Markets  
 Telephone: (902) 424-  
 7768

**Northwest Territories**

Government of the  
 Northwest Territories  
 P.O. Box 1320  
 Yellowknife, NWT X1A  
 2L9  
 Attention: Deputy  
 Superintendent of  
 Securities  
 Telephone: (867) 920-  
 8984

**Yukon**

Office of the Yukon Superintendent of Securities  
 Government of Yukon  
 Department of Community Services  
 307 Black Street, 1<sup>st</sup> Floor  
 PO Box 2703 (C-6)

Whitehorse, YT Y1A 2C6

Attention: Superintendent of Securities

Telephone: (867) 667-5466

Fax: (867) 393-6521

[http://www.community.gov.yk.ca/corp/securities\\_about.html](http://www.community.gov.yk.ca/corp/securities_about.html)

**Self-regulatory organization**

Investment Industry Regulatory Organization of Canada

121 King Street West, Suite 1600

Toronto, Ontario M5H 3T9

Attention: Privacy Officer

Telephone: (416) 364-6133

E-mail: PrivacyOfficer@iircc.ca

**FORM 33-109F3**  
**BUSINESS LOCATIONS OTHER THAN HEAD OFFICE**  
 (section 3.2)

**GENERAL INSTRUCTIONS**

Complete and submit this form to notify the relevant regulator(s) or, in Québec, the securities regulatory authority, or self-regulatory organization (SRO) that a business location has opened or closed, or information about a business location has changed.

Check one of the following and complete the entire form:

- Opening this business location
- Closing this business location
- Change to the information previously submitted about this business location. Clearly specify the information that has changed.

**How to submit this form**

Submit this form at the National Registration Database (NRD) website in NRD format at [www.nrd.ca](http://www.nrd.ca).

If you are relying on the temporary hardship exemption in section 5.1 of National Instrument 31-102, you may complete and submit this form in a format other than NRD format.

**Item 1          Type of business location**

Branch or Business Location

Sub-branch

**Item 2          Supervisor or branch manager**

Name of designated supervisor or branch manager \_\_\_\_\_

NRD number of the designated supervisor or branch manager \_\_\_\_\_

**Item 3          \_\_\_\_\_ Business location information**

Business address \_\_\_\_\_

Mailing address (if different from business address) \_\_\_\_\_

Telephone number (\_\_\_\_) \_\_\_\_\_

Fax number (\_\_\_\_) \_\_\_\_\_

#### **Item 4 Notice of collection and use of personal information**

The personal information required under this form is collected on behalf of, and used by, the securities regulatory authorities in the jurisdictions set out in Schedule A to administer and enforce certain provisions of their securities legislation or derivatives legislation or both.

The personal information required under this form is also collected by and used by the SROs set out in Schedule A to administer and enforce their respective by-laws, regulations, rules, rulings and policies.

By submitting this form, the individual consents to the collection by the securities regulatory authorities or applicable SRO of this personal information, and any police records, records from other government or non-governmental regulators or SROs, credit records and employment records about the individual that the securities regulatory authorities or applicable SRO may need to complete their review of the information submitted in this form relating to the individual's continued fitness for registration or approval, if applicable, in accordance with the legal authority of the securities regulatory authorities while the individual is registered with or approved by it. Securities regulatory authorities or SROs may contact government and private bodies or agencies, individuals, corporations and other organizations for information about the individual.

If you have any questions about the collection and use of this information, contact the securities regulatory authorities or applicable SRO in any jurisdiction in which the required information is submitted. See Schedule A for details. In Québec, you can also contact the Commission d'accès à l'information at 1-888-528-7741 or visit its website at [www.cai.gouv.qc.ca](http://www.cai.gouv.qc.ca).

#### **Item 5 Warning**

**It is an offence under securities legislation and/or derivatives legislation, including commodity futures legislation to give false or misleading information on this form.**

#### **Item 6 Certification**

##### **Certification-NRD format:**

- I am making this submission as agent for the firm. By checking this box, I certify that the firm provided me with all of the information on this form.

##### **Certification-Format other than NRD format:**

By signing below, I certify to the securities regulator or, in Québec, the securities regulatory authority, in each jurisdiction where I am submitting this form for the firm, either directly or through the principal regulator, that:

- I have read this form and understand the questions, and
- all of the information provided on this form is true, and complete.

Name of firm \_\_\_\_\_

Name of authorized signing officer or partner \_\_\_\_\_

Title of authorized signing officer or partner \_\_\_\_\_

Signature of authorized signing officer or partner \_\_\_\_\_

Date signed \_\_\_\_\_  
(YYYY/MM/DD)

**Schedule A**  
**Contact information for**  
**Notice of collection and use of personal information**

**Alberta**

Alberta Securities Commission,  
 Suite 600, 250-5<sup>th</sup> St. SW  
 Calgary, AB T2P 0R4  
 Attention: Information Officer  
 Telephone: (403) 355-4151

**British Columbia**

British Columbia Securities Commission  
 P.O. Box 10142, Pacific Centre  
 701 West Georgia Street  
 Vancouver, BC V7Y 1L2  
 Attention: Freedom of Information Officer  
 Telephone: (604) 899-6500 or (800) 373-6393 (in BC)

**Manitoba**

The Manitoba Securities Commission  
 500 - 400 St. Mary Avenue  
 Winnipeg, MB R3C 4K5  
 Attention: Director of Registrations  
 Telephone (204) 945-2548  
 Fax (204) 945-0330

**New Brunswick**

New Brunswick Securities Commission  
 Suite 300, 85 Charlotte Street  
 Saint John, NB E2L 2J2  
 Attention: Director, Regulatory Affairs  
 Telephone: (506) 658-3060

**Newfoundland and Labrador**

Securities NL  
 Financial Services Regulation Division  
 Department of Government Services  
 P.O. Box 8700, 2nd Floor, West Block  
 Confederation Building  
 St. John's, NL A1B 4J6  
 Attention: Manager of Registrations  
 Tel: (709) 729-5661

**Nova Scotia**

Nova Scotia Securities Commission

**Nunavut**

Legal Registries Division  
 Department of Justice  
 Government of Nunavut  
 P.O. Box 1000 Station 570  
 Iqaluit, NU X0A 0H0  
 Attention: Deputy Registrar of Securities  
 Telephone: (867) 975-6590

**Ontario**

Ontario Securities Commission  
 Suite 1903, Box 55  
 20 Queen Street West  
 Toronto, ON M5H 3S8  
 Attention: Compliance and Registrant  
 Regulation  
 Telephone: (416) 593-8314  
 e-mail: registration@osc.gov.on.ca

**Prince Edward Island**

Securities Registry  
 Office of the Attorney General B Consumer,  
 Corporate and  
 Insurance Services Division  
 P.O. Box 2000  
 Charlottetown, PE C1A 7N8  
 Attention: Deputy Registrar of Securities  
 Telephone: (902) 368-6288

**Québec**

Autorité des marchés financiers  
 800, square Victoria, 22<sup>e</sup> étage  
 C.P. 246, tour de la Bourse  
 Montréal (Québec) H4Z 1G3  
 Attention: Responsable de l'accès à  
 l'information  
 Telephone: (514) 395-0337 or (877) 525-0337 (in  
 Québec)

**Saskatchewan**

Saskatchewan Financial Services Commission  
 Suite 601, 1919 Saskatchewan Drive  
 Regina, SK S4P 4H2

Suite 400, 5251 Duke Street  
 Halifax, NS B3J 1P3  
 Attention: Deputy Director, Capital  
 Markets  
 Telephone: (902) 424-7768

**Northwest Territories**

Government of the Northwest Territories  
 P.O. Box 1320  
 Yellowknife, NWT X1A 2L9  
 Attention: Deputy Superintendent of  
 Securities  
 Telephone: (867) 920-8984

Attention: Director  
 Telephone: (306) 787-5842

**Yukon**

Office of the Yukon Superintendent of Securities  
 Government of Yukon  
 Department of Community Services  
 307 Black Street, 1st Floor  
 PO Box 2703 (C-6)  
 Whitehorse, YT Y1A 2C6  
 Attention: Superintendent of Securities  
 Telephone: (867) 667-5466  
 Fax: (867) 393-6521  
[http://www.community.gov.yk.ca/corp/securities\\_about.html](http://www.community.gov.yk.ca/corp/securities_about.html)

**Self-regulatory organization**

Investment Industry Regulatory Organization of  
 Canada  
 121 King Street West, Suite 1600  
 Toronto, Ontario M5H 3T9  
 Attention: Privacy Officer  
 Telephone: (416) 364-6133  
 E-mail: PrivacyOfficer@iirc.ca

**FORM 33-109F4**  
**REGISTRATION OF INDIVIDUALS AND**  
**REVIEW OF PERMITTED INDIVIDUALS**  
**(section 2.2)**

## **GENERAL INSTRUCTIONS**

Complete and submit this form to the relevant regulator(s) or in Québec, the securities regulatory authority, or self-regulatory organization (SRO) if an individual is seeking registration in individual categories or is seeking to be reviewed as a permitted individual. You only need to complete and submit one of this form regardless of the number of categories you are seeking to be registered in.

### **Terms**

In this form, “you”, “your” and “individual” mean the individual who is seeking registration or the individual who is filing this form as a permitted individual under securities legislation or derivatives legislation or both.

“Sponsoring firm” means the registered firm where you will carry out your duties as a registered or permitted individual.

“Derivatives” means financial instruments, such as futures contracts (including exchange traded contracts), futures options and swaps whose market price, value or payment obligations are derived from, or based on, one or more underlying interests. Derivatives can be in the form of instruments, agreements or securities.

“Major shareholder” and “shareholder” mean a shareholder who, in total, directly or indirectly owns voting securities carrying 10 per cent or more of the votes carried by all outstanding voting securities.

“Approved person” means, in respect of a member (Member) of the Investment Industry Regulatory Organization of Canada (IIROC), an individual who is a partner, director, officer, employee or agent of a Member who is approved by the IIROC or another Canadian SRO to perform any function required under any IIROC or another Canadian SRO By-law, Regulation, or Policy.

Several terms used in this form are defined in the securities legislation of your province or territory. Please refer to those definitions.

### **How to submit this form**

#### ***NRD format***

Submit this form at the National Registration Database (NRD) website in NRD format at [www.nrd.ca](http://www.nrd.ca). You are only required to submit one form regardless of the number of registration categories you are seeking. If you have any questions, contact the compliance, registration or legal department of the sponsoring firm or a legal adviser with securities regulation experience, or visit the NRD information website at [www.nrd-info.ca](http://www.nrd-info.ca).



**Format, other than NRD format**

If you are relying on the temporary hardship exemption in section 5.1 of National Instrument 31-102 *National Registration Database*, you may submit this form in a format other than NRD format.

If you need more space, use a separate sheet of paper. Clearly identify the Item and question number. Complete and sign the form, and send it to the relevant regulator(s) or, in Québec, the securities regulatory authority, SRO (s) or similar authority. The number of originally signed copies of the form you are required to submit depends on the province or territory, and on the regulator, the securities regulatory authority or SRO.

To avoid delays in processing this form, be sure to answer all of the questions that apply to you. If you have questions, contact the compliance, registration or legal department of the sponsoring firm or a legal adviser with securities regulation experience, or visit the National Registration Database information website at [www.nrd-info.ca](http://www.nrd-info.ca).

**Item 1 Name****1. Legal name**

\_\_\_\_\_

Last name                      First name      Second name (N/A )                      Third name (N/A )

NRD number (if applicable) \_\_\_\_\_

**2. Other personal names**

Are you currently, or have you ever been, known by any names other than your full legal name above, for example, nicknames or names due to marriage?

Yes       No

If "yes", complete Schedule A.

**3. Use of other names**

Are you currently, or have you ever used, operated under, or carried on business under any name other than the name(s) mentioned above, for example, trade names for sole proprietorships or team names?

Yes       No

If "yes", complete Schedule A.

**Item 2 Residential address**

Provide all of your residential addresses, including any foreign residential addresses, for the past 10 years.

**1. Current and previous residential addresses**

\_\_\_\_\_  
 (number, street, city, province, territory or state, country, postal code)

\_\_\_\_\_

Telephone number \_\_\_\_\_

Lived at this address since (YYYY/MM) \_\_\_\_\_

If you have lived at this address for less than 10 years, complete Schedule B.

**2. Mailing address**

Check here if your mailing address is the same as your current residential address provided above. Otherwise, complete the following:

\_\_\_\_\_  
 (number, street, city, province, territory or state, country, postal code)

**Item 3 Personal information**

1. Date of birth \_\_\_\_\_  
 (YYYY/MM/DD)

2. Place of birth \_\_\_\_\_  
 (city, province, territory or state, country)

3. Gender Female  Male

4. Eye colour \_\_\_\_\_

5. Hair colour \_\_\_\_\_

6. Height \_\_\_\_\_  in. or \_\_\_\_\_  cm

7. Weight \_\_\_\_\_  lbs. or \_\_\_\_\_  kg

**Item 4      Citizenship****1.      Citizenship information**

What is your country of citizenship?

- Canada
- Other, specify: \_\_\_\_\_

**2.      If you are a citizen of a country other than Canada, complete the following for that citizenship.**

Check here if you do not have a valid passport. Otherwise, provide:

Passport number: \_\_\_\_\_

Date of issue: \_\_\_\_\_  
(YYYY/MM/DD)

Place of issue: \_\_\_\_\_  
(city, province, territory or state, country)

**Item 5      Registration jurisdictions****1.      Are you filing this form under the passport system / interface for registration?**

Only choose "no" if:

- (a) you are seeking registration only in your principal jurisdiction,  
(b) you are seeking review as a permitted individual only in your principal jurisdiction

and you are not currently registered under securities legislation in any jurisdiction of Canada,

Yes  No

**2.      Check each jurisdiction where you are seeking registration or review as a permitted individual:**

- All jurisdictions
- Alberta
- British Columbia
- Manitoba

- New Brunswick
- Newfoundland and Labrador
- Northwest Territories
- Nova Scotia
- Nunavut
- Ontario
- Prince Edward Island
- Québec
- Saskatchewan
- Yukon

**Item 6 Individual categories**

1. On Schedule C, check each category for which you are seeking registration as an individual or review as a permitted individual. If you are seeking review as a permitted individual, check each category that describes your position with your sponsoring firm.
2. If you are seeking registration as a representative of a mutual fund dealer or of a scholarship plan dealer in Québec, are you covered by your sponsoring firm's professional liability insurance?

Yes  No

If "No", state:

The name of your insurer \_\_\_\_\_

Your policy number \_\_\_\_\_

**Item 7 Address and agent for service**

**1. Address for service**

You must have one address for service in each province or territory where you are submitting this form. A residential address or a business address is acceptable. A post office box is not acceptable. Complete Schedule D for each additional address for service you are providing.

Address for service:

\_\_\_\_\_  
(number, street, city, province or territory, postal code)

Telephone number \_\_\_\_\_

Fax number, if applicable \_\_\_\_\_

E-mail address, if available \_\_\_\_\_

## 2. Agent for service

If you have appointed an agent for service, provide the following information for the agent in each province or territory where you have an agent for service. The address of your agent for service must be the same as the address for service above. If your agent for service is not an individual, provide the name of your contact person.

Name of agent for service: \_\_\_\_\_

Contact person: \_\_\_\_\_

Last name, First name

## Item 8 Proficiency

### 1. Course, examination or designation information and other education

Complete Schedule E to indicate each course, examination and designation that is required for registration or approval and that you have successfully completed or have been exempted from.

Check here if you are not required under securities legislation or derivatives legislation or both, or the rules of an SRO to satisfy any course, examination or designation requirements.

### 2. Student numbers

If you have a student number for a course that you successfully completed with one of the following organizations, provide it below:

CSI Global Education (formerly Canadian Securities Institute):

IFSE Institute (formerly IFIC): \_\_\_\_\_

Institute of Canadian Bankers (ICB): \_\_\_\_\_

CFA Institute (formerly AIMR): \_\_\_\_\_

Advocis (formerly CAIFA): \_\_\_\_\_

RESP Dealers Association of Canada: \_\_\_\_\_

Other: \_\_\_\_\_

### 3. Exemption refusal

Has any securities regulator, derivatives regulator or SRO refused to grant you an exemption from a course, examination, designation or experience requirement?

Yes  No

If "Yes", complete Schedule F.

### 4. Relevant securities industry experience

If you are an individual applying for IIROC approval, select "Not Applicable below".

If you have not been registered in the last 36 months and you passed the required examination more than 36 months ago, do you consider that you have gained 12 months of relevant securities industry experience during the 36 month period?

Yes  No  N/A

If "yes", complete Schedule F.

## Item 9 Location of employment

- Provide the following information for your new sponsoring firm. If you will be working out of more than one location, provide the following information for the location out of which you will be doing most of your business.

NRD location number: \_\_\_\_\_

Unique Identification Number (optional) : \_\_\_\_\_

Business address: \_\_\_\_\_  
(number, street, city, province, territory or state, country, postal code)

Telephone number: (\_\_\_\_\_) \_\_\_\_\_ Fax number: (\_\_\_\_\_) \_\_\_\_\_  
\_\_\_\_\_

- If the firm has a foreign head office, and/or you are not a resident of Canada, provide the address for the location in which you will be conducting business.

Business address: \_\_\_\_\_  
(number, street, city, province, territory or state, country, postal code)

Telephone number: (\_\_\_\_\_) \_\_\_\_\_ Fax number: (\_\_\_\_\_) \_\_\_\_\_

[The following under #3 "Type of location", #4 and #5 is for a Format other than NRD format only]

3. Type of location - for Format other than NRD format only:

Head office       Branch or Business Location       Sub-branch

4. Name of supervisor or branch manager: \_\_\_\_\_

5.  Check here if the mailing address of the location is the same as the business address provided above. Otherwise, complete the following:

Mailing address: \_\_\_\_\_

(number, street, city, province, territory or state, country, postal code)

**Item 10      Current employment, other business activities, officer positions held and directorships**

Complete a separate Schedule G for each of your current business and employment activities, including employment and business activities with your sponsoring firm and any employment and business activities outside your sponsoring firm. Also include all business related officer or director positions and any other equivalent positions held, whether you receive compensation or not.

**Item 11      Previous employment and other activities**

On Schedule H, complete your employment and other activities history for the past 10-years.

**Item 12      Resignations and terminations**

Have you ever resigned, been terminated or been dismissed for cause by an employer from a position following allegations that you:

1. Violated any statutes, regulations, rules or standards of conduct?

Yes       No

If "Yes", complete Schedule I Item 12.1.

2. Failed to appropriately supervise compliance with any statutes, regulations, rules or standards of conduct?

Yes       No

If "Yes", complete Schedule I Item 12.2.

3. Committed fraud or the wrongful taking of property, including theft?

Yes  No

If "Yes", complete Schedule I Item 12.3.

**Item 13 Regulatory disclosure**

**1. Securities and derivatives regulation**

- a) Other than a registration or permitted individual status that has been recorded under this NRD number, are you now, or have you ever been, registered or licensed with any securities regulator or derivatives regulator or both in any province, territory, state or country to trade in or advise on securities or derivatives or both?

Yes  No

If "Yes", complete Schedule J, Item 13.1(a).

- b) Have you ever been refused registration or a licence to trade in or advise on securities or derivatives or both in any province, territory state or country?

Yes  No

If "Yes", complete Schedule J, Item 13.1(b).

- c) Have you ever been denied the benefit of any exemption from registration provided in any securities or derivatives or both legislation or rules in any province, territory, state or country, other than what was disclosed in Item 8(3) of this form?

Yes  No

If "Yes", complete Schedule J, Item 13.1(c).

- d) Are you now, or have you ever been subject to any disciplinary proceedings or any order resulting from disciplinary proceedings under any securities legislation or derivatives legislation or both in any province, territory, state or country?

Yes  No

If "Yes", complete Schedule J, Item 13.1(d).



## 2. SRO regulation

- a) Other than an approval that has been recorded under this NRD number, are you now, or have you ever been, an approved person of an SRO or similar organization in any province, territory, state or country?

Yes  No

If "Yes", complete Schedule J, Item 13.2(a).

- b) Have you ever been refused approved person status by an SRO or similar organization in any province, territory, state or country?

Yes  No

If "Yes", complete Schedule J, Item 13.2(b).

- c) Are you now, or have you ever been, subject to any disciplinary proceedings conducted by any SRO or similar organization in any province, territory, state or country?

Yes  No

If "Yes", complete Schedule J, Item 13.2(c).

## 3. Non-securities regulation

- a) Are you now, or have you ever been, registered or licensed under any legislation which requires registration or licensing to deal with the public in any capacity other than to trade in or advise on securities or derivatives or both in any province, territory, state or country (e.g. insurance, real estate, accountant, lawyer, teacher)?

Yes  No

If "Yes", complete Schedule J, Item 13.3(a)

- b) Have you ever been refused registration or a licence under any legislation relating to your professional activities unrelated to securities or derivatives in any province, territory, state or country?

Yes  No

If "Yes", complete Schedule J, Item 13.3(b).

- c) Are you now, or have you ever been, a subject of any disciplinary actions conducted under any legislation relating to your professional activities unrelated to securities or derivatives in any province, territory, state or country?

Yes  No

If "Yes", complete Schedule J, Item 13.3(c).

## Item 14 Criminal disclosure

### Offences you must disclose

You must disclose all criminal offences committed in any province, territory, state or country. This includes, but is not limited to, criminal offences under federal statutes such as the *Criminal Code* (Canada), *Income Tax Act* (Canada), *the Competition Act* (Canada), *Immigration and Refugee Protection Act* (Canada) and the *Controlled Drugs and Substances Act* (Canada) (or its predecessor, the *Narcotic Control Act* (Canada)). This includes pleas or findings of guilt for impaired driving, which are *Criminal Code* (Canada) matters. If you have been found guilty of a criminal offence, you must disclose the offence even if you have been granted an absolute or conditional discharge.

With respect to questions 14.2 and 14.4, if you or your firm has been found guilty of a criminal offence, or participated in the Alternative Measures Program within the past three years, you must disclose that offence even if an absolute or conditional discharge has been granted, or the charge has been dismissed, withdrawn or stayed. Some exceptions apply to stayed charges, and the Alternative Measures Program which are outlined below.

If you do not disclose a criminal offence under any statute other than the former *Young Offenders Act* (Canada) or the *Youth Criminal Justice Act* (Canada), regulators or, in Québec, the securities regulatory authority or self regulatory organization may treat it as a non-disclosure of material information.

### Offences you do not have to disclose

The appropriate response is "No" if any of the following circumstances apply.

You are not required to disclose:

- crimes for which you received an absolute or conditional discharge if the crime has been purged from the criminal records in accordance with the *Criminal Records Act* (Canada)
- speeding, parking violations or any offence for which a pardon has been granted under the *Criminal Records Act* (Canada) and the pardon has not been revoked
- stayed charges for summary conviction offences that have been stayed for six months or more
- stayed charges for indictable offences that have been stayed for a year or more, and
- offences under the former *Young Offenders Act* (Canada) or the *Youth Criminal Justice Act* (Canada)

With respect to questions 14.2 and 14.4, you are not required to disclose an offence for which you or your firm was found guilty if you or the firm participated in the Alternative Measures Program more than three years ago for that offence.

1. Are there any outstanding or stayed charges against you alleging a criminal offence that was committed in any province, territory, state or country?

Yes  No

If "Yes", complete Schedule K, Item 14.1.

2. Have you ever been found guilty, pleaded no contest to, or granted an absolute or conditional discharge from any criminal offence that was committed in any province, territory, state or country?

Yes  No

If "Yes", complete Schedule K, Item 14.2.

3. To the best of your knowledge, are there any outstanding charges against any firm of which you were, at the time the criminal offence was alleged to have taken place in any province, territory, state or country, a partner, director, officer or major shareholder?

Yes  No

If "Yes", complete Schedule K, Item 14.3.

4. To the best of your knowledge, has any firm, when you were a partner, officer, director or major shareholder, ever been found guilty, pleaded no contest to or granted an absolute or conditional discharge from a criminal offence that was committed in any province, territory, state or country?

Yes  No

If "Yes", complete Schedule K, Item 14.4.

**Item 15 Civil disclosure**

1. Are there currently any outstanding civil actions alleging fraud, theft, deceit, misrepresentation or similar misconduct against you or a firm where you are or were a partner, director, officer or major shareholder in any province, territory, state or country?

Yes  No

If "Yes", complete Schedule L, Item 15.1.

2. Have you or a firm where you are or were a partner, director, officer or major shareholder ever been a defendant or respondent in any civil proceeding in which fraud, theft, deceit, misrepresentation or similar misconduct is, or was, successfully established in a judgment in any province, territory, state or country?

Yes  No

If "Yes", complete Schedule L, Item 15.2.

## Item 16 Financial disclosure

### 1. Bankruptcy

Under the laws of any applicable jurisdiction, have you or has any firm when you were a partner, director, officer or major shareholder of that firm:

- a) Had a petition in bankruptcy issued or made a voluntary assignment in bankruptcy or any similar proceeding?

Yes  No

If "Yes", complete Schedule M, Item 16.1(a).

- b) Made a proposal under any legislation relating to bankruptcy or insolvency or any similar proceeding?

Yes  No

If "Yes", complete Schedule M, Item 16.1(b).

- c) Been subject to proceedings under any legislation relating to the winding up or dissolution of the firm, or under the *Companies' Creditors Arrangement Act* (Canada)?

Yes  No

If "Yes", complete Schedule M, Item 16.1(c).

- d) Been subject to or initiated any proceedings, arrangement or compromise with creditors? This includes having a receiver, receiver-manager, administrator or trustee appointed by or at the request of creditors, privately, through court process or by order of a regulatory authority, to hold your assets.

Yes  No

If "Yes", complete Schedule M, Item 16.1(d).

## 2. Debt obligations

Over the past 10 years, have you failed to meet a financial obligation of \$5,000 or more as it came due or, to the best of your knowledge, has any firm, while you were a partner, director, officer or major shareholder of that firm, failed to meet any financial obligation of \$5,000 or more as it came due?

Yes  No

If "Yes", complete Schedule M, Item 16.2.

## 3. Surety bond or fidelity bond

Have you ever been refused for a surety or fidelity bond?

Yes  No

If "Yes", complete Schedule M, Item 16.3.

## 4. Garnishments, unsatisfied judgments or directions to pay

Has any federal, provincial, territorial, state authority or court ever issued any of the following against you regarding your indebtedness or, to the best of your knowledge, the indebtedness of a firm where you are or were a partner, director, officer or major shareholder:

	Yes	No
Garnishment	<input type="checkbox"/>	<input type="checkbox"/>
Unsatisfied judgment	<input type="checkbox"/>	<input type="checkbox"/>
Direction to pay	<input type="checkbox"/>	<input type="checkbox"/>

If "Yes", complete Schedule M, Item 16.4.

## Item 17 Ownership of securities and derivatives firms

Are you now, or have you ever been, a partner or major shareholder of any firm (including your sponsoring firm) whose business is trading in or advising on securities or derivatives or both?

Yes  No

If "Yes", complete Schedule N.

**Item 18 Agent for service**

By submitting this form, you certify that in each jurisdiction of Canada where you have appointed an agent for service, you have completed the appointment of agent for service required in that jurisdiction.

**Item 19 Submission to jurisdiction**

By submitting this form, you agree to be subject to the securities legislation or derivatives legislation or both of each jurisdiction of Canada, and to the by-laws, regulations, rules, rulings and policies (collectively referred to as “rules” in this form) of the SROs to which you have submitted this form. This includes the jurisdiction of any tribunals or any proceedings that relate to your activities as a registrant or a partner, director or officer of a registrant under that securities legislation or derivatives legislation or both or as an Approved Person under SRO rules.

**Item 20 Notice of collection and use of personal information**

The personal information required under this form is collected on behalf of, and used by, the securities regulatory authorities in the jurisdictions set out in Schedule O to administer and enforce certain provisions of their securities legislation or derivatives legislation or both.

By submitting this form, the individual consents to the collection by the securities regulatory authorities of this personal information, and any police records, records from other government or non-governmental regulators or SROs, credit records and employment records about the individual that the securities regulatory authorities may need to complete their review of the information submitted in this form relating to the individual's continued fitness for registration or approval, if applicable, in accordance with the legal authority of the securities regulatory authorities while the individual is registered with or approved by it. Securities regulatory authorities may contact government and private bodies or agencies, individuals, corporations and other organizations for information about the individual.

If you have any questions about the collection and use of this information, contact the securities regulatory authority in any jurisdiction in which the required information is submitted. See Schedule O for details. In Québec, you can also contact the Commission d'accès à l'information at 1-888-528-7741 or visit its website at [www.cai.gouv.qc.ca](http://www.cai.gouv.qc.ca).

**SROs**

The principal purpose for the collection of personal information is to assess your suitability for registration or approval and to assess your continued fitness for registration or approval in accordance with the applicable securities legislation and the rules of the SROs.

By submitting this form, you authorize the SROs to which this form is submitted to collect any information from any source whatsoever. This includes, but is not limited to, personal confidential information about you that is otherwise protected by law such as, police, credit, employment, education and proficiency course completion records, and records from other government or non-governmental regulatory authorities, securities commissions, stock exchanges, or other SROs, private bodies, agencies, individuals or corporations, as may be necessary for the SROs to complete their review of your form or continued fitness for registration or approval in accordance with their rules for the duration of the period you remain so registered or approved. You further consent to and authorize the transfer of confidential information between SROs, securities commissions or stock exchanges from whom you now, or may in the future, seek registration or approval, or with which you are currently registered or approved for the purpose of determining fitness or continued fitness for registration or approval or in connection with the performance of an investigation or other exercise of regulatory authority, whether or not you are registered with or approved by them.

By submitting this form, you certify that you understand the rules of the applicable SROs of which you are seeking registration or approval or of which your sponsoring firm is a member or participating organization. You also undertake to become conversant with the rules of any SROs of which you or your sponsoring firm becomes a member or participating organization. You agree to be bound by, observe and comply with these rules as they are from time to time amended or supplemented, and you agree to keep yourself fully informed about them as they are amended and supplemented. You submit to the jurisdiction of the SROs from whom you are seeking registration or approval, or of which your sponsoring firm is now or in the future becomes a member or participating organization and, wherever applicable, their Governors, Directors and Committees. You agree that any registration or approval granted pursuant to this form may be revoked, terminated or suspended at any time in accordance with the then applicable rules of the respective SROs. In the event of any such revocation or termination, you must terminate all activities which require registration or approval and, thereafter, not perform services that require registration or approval for any member of the SROs or any approved affiliated company or other affiliate of such member without obtaining the approval of or registration with the SROs, in accordance with their rules.

By submitting this form, you undertake to notify the SROs from whom you are seeking registration or approval or with which you are currently or may in the future be registered or approved of any material change to the information herein provided in accordance with their respective rules. You agree to the transfer of this form, without amendment, to other SROs in the event that at some time in the future you seek registration or approval from such other SROs.

You certify that you have discussed the questions in this form, together with this Agreement, with an Officer or Branch Manager of your sponsoring member firm and, to your knowledge and belief, the authorized Officer or Branch Manager was satisfied that you fully understood the questions and the terms of this Agreement. You further certify that your business activities that are subject to securities rules and derivatives rules or

both will be limited strictly to those permitted by the category of your registration or approval.

**Item 21      Warning**

**It is an offence under securities legislation and/or derivatives legislation, including commodity futures legislation to give false or misleading information on this form.**

**Item 22      Certification**

**1.      Certification - NRD format**

I confirm I have discussed the questions in this form with an officer, branch manager or supervisor of my sponsoring firm. To the best of my knowledge, the officer, branch manager or supervisor was satisfied that I fully understood the questions. I will limit my activities to those permitted by my category of registration.

I am making this submission as agent for the individual identified in this form. By checking this box, I certify that the individual provided me with all of the information on this form.

**2.      Certification - Format other than NRD format**

**Individual**

By signing below, I certify to the regulator, or in Québec the securities regulatory authority, in each jurisdiction where I am filing or submitting this form, either directly or through the principal regulator, that:

- I have read this form and understand the questions, and
- all of the information provided on this form is true, and complete.

Signature of individual \_\_\_\_\_ Date \_\_\_\_\_

**Authorized partner or officer of the firm**

By signing below, I certify to the regulator, or in Québec the securities regulatory authority, in each jurisdiction where I am submitting this form, either directly or through the principal regulator, for the individual that:

- the individual identified in this form will be engaged by the sponsoring firm as a registered individual or a permitted individual, and
- I have, or a branch manager, or supervisor, or another officer or partner has, discussed the questions set out in this form with the individual and, to the best of my knowledge, the individual fully understands the questions.

Name of firm \_\_\_\_\_



Name of authorized signing officer or partner\_\_\_\_\_

Title of authorized signing officer or partner\_\_\_\_\_

Signature of authorized signing officer or partner\_\_\_\_\_

Date signed\_\_\_\_\_

(YYYY/MM/DD)

**SCHEDULE A**  
**Names (Item 1)**

**Item 1.2 Other personal names**

**Name 1:**

---

Last name (N/A )      First name      Second name (N/A )      Third name

Provide the reasons for the use of this name (for example, marriage, divorce, court order, commonly used name or nickname)? \_\_\_\_\_

When did you use this name?      From:      To:

\_\_\_\_\_      \_\_\_\_\_

(YYYY/MM)      (YYYY/MM)

**Name 2:**

---

\_\_\_\_\_

Last name (N/A )      First name      Second name (N/A )      Third name

Provide the reasons for the use of this name (for example, marriage, divorce, court order, commonly used name or nickname)? \_\_\_\_\_

When did you use this name?      From:      To:

\_\_\_\_\_      \_\_\_\_\_

(YYYY/MM)      (YYYY/MM)

**Name 3:**

---

\_\_\_\_\_

Last name (N/A )      First name      Second name (N/A )      Third name

Provide the reasons for the use of this name (for example, marriage, divorce, court order, commonly used name or nickname)? \_\_\_\_\_

When did you use this name?      From:      To:

\_\_\_\_\_      \_\_\_\_\_

(YYYY/MM)      (YYYY/MM)

**Item 1.3 Use of other names****Name 1:**

Name: \_\_\_\_\_

Provide the reasons for the use of this other name (for example, trade name or team name)?: \_\_\_\_\_

If this other name is or was used in connection with any sponsoring firm, did the sponsoring firm approve the use of the name?

Yes  No  N/A 

When did you use this name? From:

To:

\_\_\_\_\_  
(YYYY/MM)\_\_\_\_\_  
(YYYY/MM)**Name 2:**

Name: \_\_\_\_\_

Provide the reasons for the use of this other name (for example, trade name or team name):

If this other name is or was used in connection with any sponsoring firm, did the sponsoring firm approve the use of the name?

Yes  No 

When did you use this name? From:

To:

\_\_\_\_\_  
(YYYY/MM)\_\_\_\_\_  
(YYYY/MM)**Name 3:**

Name: \_\_\_\_\_

Provide the reasons for the use of this other name (for example, trade name or team name):

If this other name is or was used in connection with any sponsoring firm, did the sponsoring firm approve the use of the name?

Yes  No

When did you use this name?

From:

To:

\_\_\_\_\_  
(YYYY/MM)

\_\_\_\_\_  
(YYYY/MM)

**SCHEDULE B**  
**Residential address (Item 2)**

**Item 2.1 Current and previous residential addresses**

If you have lived at your current address for less than 10 years, list all previous addresses for the past 10 years.

You do not have to include a postal code or ZIP code, or a telephone number for any previous address.

**Address 1:**

Residential address: \_\_\_\_\_  
(number, street, city, province, territory or state, country)

When did you live at this address? From:

To:

\_\_\_\_\_  
(YYYY/MM)

\_\_\_\_\_  
(YYYY/MM)

**Address 2:**

Residential address: \_\_\_\_\_  
(number, street, city, province, territory or state, country)

When did you live at this address? From:

To:

\_\_\_\_\_  
(YYYY/MM)

\_\_\_\_\_  
(YYYY/MM)

**Address 3:**

Residential address: \_\_\_\_\_  
(number, street, city, province, territory or state, country)

When did you live at this address? From:

To:

\_\_\_\_\_  
(YYYY/MM)

\_\_\_\_\_  
(YYYY/MM)

**SCHEDULE C**  
**Individual Categories (Item 6)**

Check each category for which you are seeking registration, approval or review as a permitted individual.

**Categories common to all jurisdictions under securities legislation**

***Firm categories [Format other than NRD format only]***

- Investment Dealer
- Mutual Fund Dealer
- Scholarship Plan Dealer
- Exempt Market Dealer
- Restricted Dealer
- Portfolio Manager
- Restricted Portfolio Manager
- Investment Fund Manager

***Individual categories and permitted activities***

- Dealing Representative
- Advising Representative
- Associate Advising Representative
- Ultimate Designated Person
- Chief Compliance Officer
- Officer – Specify title:
- Director
- Partner
- Shareholder
- Branch Manager (MFDA members only)
- IIROC approval only

**IIROC**

***Approval categories***

- Executive
- Director (Industry)

- Director (Non-Industry)
- Supervisor
- Investor
- Registered Representative
- Investment Representative
- Trader

***Additional approval categories***

- Chief Compliance Officer
- Chief Financial Officer
- Ultimate Designated Person

***Products***

- Non-Trading
- Securities
- Options
- Futures Contracts and Futures Contract Options
- Mutual Funds only

***Customer type***

- Retail
- Institutional
- Not Applicable

***Portfolio management***

- Portfolio Management

**Categories under local commodity futures and derivatives legislation**

**Ontario**

***Firm categories***

- Commodity Trading Adviser
- Commodity Trading Counsel
- Commodity Trading Manager
- Futures Commission Merchant

***Individual categories and permitted activities***

- Advising Representative
- Salesperson
- Branch Manager
- Officer – Specify title:
- Director
- Partner
- Shareholder
- IIROC approval only

**Manitoba*****Firm categories***

- Dealer (Merchant)
- Dealer (Futures Commission Merchant)
- Dealer (Floor Broker)
- Adviser
- Local

***Individual categories and permitted activities***

- Floor Trader
- Salesperson
- Branch Manager
- Adviser
- Officer – Specify title:
- Director
- Partner
- Futures Contracts Portfolio Manager
- Associate Futures Contracts Portfolio Manager
- IIROC approval only
- Local

**Québec - activities relating to derivatives**

***For information purposes, indicate whether you will carry on activities as a***



***representative of:***

- An Investment Dealer Acting as a Derivatives Dealer
- A Portfolio Manager Acting as a Derivatives Portfolio Manager

**SCHEDULE D**  
**Address and agent for service (Item 7)**

**Item 7.1 Address for service**

You must have one address for service in each province or territory in which you are now, or are seeking to become, a registered individual or permitted individual. A post office box is not an acceptable address for service.

Address for service: \_\_\_\_\_  
 (number, street, city, province or territory, postal code)

Telephone number: (\_\_\_\_) \_\_\_\_\_ Fax number: (\_\_\_\_) \_\_\_\_\_

E-mail address: \_\_\_\_\_

**Item 7.2 Agent for service**

If you have appointed an agent for service, provide the following information about the agent. The address for service provided above must be the address of the agent named below.

Name                      of                      agent                      for                      service:

\_\_\_\_\_

*(if applicable)*

Contact person: \_\_\_\_\_  
 Last name, First name

**SCHEDULE E  
Proficiency (Item 8)**

**Item 8.1 Course, examination or designation information and other education**

Course, examination, designation or other education	Date completed (YYYY/MM/DD)	Date exempted (YYYY/MM/DD)	Regulator / securities regulatory authority granting the exemption

If you have listed the CFA Charter in Item 8.1, please indicate by checking the box below whether you are a current member of the CFA Institute permitted to use the CFA Charter.

Yes  No

If "no", please explain why you no longer hold this designation:

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If you have listed the CIM designation in Item 8.1, please indicate by checking the box below whether you are currently permitted to use the CIM designation.

Yes  No

If "no", please explain why you no longer hold this designation:

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**SCHEDULE F**  
**Proficiency (Item 8.3 and 8.4)**

**Item 8.3 Exemption refusal**

Complete the following for each exemption that was refused.

1. Which securities regulator, derivatives regulator or SRO refused to grant the exemption?

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State the name of the course, examination, designation or experience requirement:

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State the reason given for not being granted the exemption:

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Date exemption refused: \_\_\_\_\_  
(YYYY/MM/DD)

2. Which securities regulator, derivatives regulator or SRO refused to grant the exemption?

---

State the name of the course, examination, designation or experience requirement:

---

State the reason given for not being granted the exemption:

---

Date exemption refused: \_\_\_\_\_  
(YYYY/MM/DD)

3. Which securities regulator, derivatives regulator or SRO refused to grant the exemption?

---

State the name of the course, examination, designation or experience requirement:

---

State the reason given for not being granted the exemption:

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Date exemption refused: \_\_\_\_\_  
(YYYY/MM/DD)

**Item 8.4 Relevant securities industry experience**

Describe your responsibilities in areas relating to the category you are applying for, including the title(s) you have held, as well as the start and end dates:

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What is the percentage of your time devoted to these activities?

\_\_\_\_\_ %

Indicate the continuing education activities which you have participated in during the last 36 months and which are relevant to the category of registration you are applying for:

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**SCHEDULE G****Current employment, other business activities, officer positions held and directorships  
(Item 10)**

Complete a separate Schedule G for each of your current business and employment activities with your sponsoring firm and with all other organizations. This includes any business related officer or director positions held, or any other equivalent positions held, whether you receive compensation or not.

**1. Start date** \_\_\_\_\_  
(YYYY/MM/DD)

**2. Firm information**

Check here if this activity is employment with your sponsoring firm.

If the activity is with your sponsoring firm, you are not required to indicate the firm name and address information below:

Name of business or employer: \_\_\_\_\_

Address of business or employer: \_\_\_\_\_  
(number, street, city, province, territory or state, country)

Name and title of your immediate supervisor: \_\_\_\_\_

**3. Description of duties**

Describe all employment and business activities related to this employer. Include the nature of the business and your duties, title or relationship with the business. If you are seeking registration that requires specific experience, include details with this firm such as level of responsibility, value of accounts under direct supervision, number of years of experience, and percentage of time spent on each activity.

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**4. Number of work hours per week**

How many hours per week do you devote to this business or employment?

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If this activity is employment with your sponsoring firm and you work less than 30 hours per week, explain why.

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**5. Conflicts of interest**

If you have more than one employer or are engaged in business related activities:

A. Disclose any potential for confusion by clients and any potential for conflicts of interest arising from your multiple employment or business related activities or proposed business related activities.

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B. Indicate whether or not any of your employers or organizations where you engage in business related activities are listed on an exchange.

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C. Confirm whether the firm has procedures for minimizing potential conflicts of interest and if so, confirm that you are aware of these procedures.

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D. State the name of the person at your sponsoring firm who has reviewed and approved your multiple employment or business related activities or proposed business related activities

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E. If you do not perceive any conflicts of interest arising from this employment, explain why.

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**SCHEDULE H**  
**Previous employment and other activities (Item 11)**

Provide the following information for each of your employment and other activities in the past 10-years. Account for all of your time, including full-time and part-time employment, self-employment or military service. Include your status for each, such as unemployed, full-time student, or other similar statuses. Do not include short-term employment of four months or less while a student, unless it was in the securities, derivatives or financial industry.

In addition to the information required in the paragraph above, if you were employed or had business activities in the securities or derivatives industry or both during and before the 10-year period, disclose all your securities and derivatives or both employment or business activities (both before and during the 10-year period).

- Unemployed  
 Full-time student  
 Employed or self-employed

From: \_\_\_\_\_  
 (YYYY/MM)

To: \_\_\_\_\_  
 (YYYY/MM)

Complete the following only if you are, or were, employed or self-employed during this period.

Name of business or employer:

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Address of business or employer:

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(number, street, city, province, territory or state, country)

Name and title of immediate supervisor, if applicable:

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Describe the firm's business, your position, duties and your relationship to the firm. If you are seeking registration in a category of registration that requires specific experience, include details of that experience. Examples include level of responsibility, value of accounts under direct supervision, number of years of that experience and research experience, and percentage of time spent on each activity.



Reason why you left the firm:

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**SCHEDULE I**  
**Resignations and terminations (Item 12)**

**Item 12.1**

For each allegation of violation of any statutes, regulations, rules or internal/external standards of conduct, state below (1) the name of the firm from which you resigned, were terminated or dismissed for cause, (2) whether you resigned, were terminated or dismissed for cause, (3) the date you resigned, were terminated or dismissed for cause, and (4) the circumstances relating to your resignation, termination or dismissal for cause.

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**Item 12.2**

For each allegation of failure to supervise compliance with any statutes, regulations, rules or standards of conduct, state below, (1) the name of the firm from which you resigned, were terminated or dismissed for cause, (2) whether you resigned, were terminated or dismissed for cause, (3) the date you resigned, were terminated or dismissed for cause, and (4) the circumstances relating to your resignation, termination or dismissal for cause.

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**Item 12.3**

For each allegation of fraud or the wrongful taking of property, including theft, state below (1) the name of the firm from which you resigned, were terminated or dismissed for cause, (2) whether you resigned, were terminated or dismissed for cause, (3) the date you resigned, were terminated or dismissed for cause, and (4) the circumstances relating to your resignation, termination or dismissal for cause.

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**SCHEDULE J**  
**Regulatory disclosure (Item 13)**

**Item 13.1 Securities and derivatives regulation**

- a) For each registration or licence, state below (1) the name of the firm, (2) the securities or derivatives regulator with which you are, or were, registered or licensed, (3) the type or category of registration or licence, and (4) the period that you held the registration or licence.

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- b) For each registration or licence refused, state below (1) the name of the firm, (2) the securities or derivatives regulator that refused the registration or licence, (3) the type or category of registration or licence refused, (4) the date of the refusal, and (5) the reasons for the refusal.

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- c) For each exemption from registration denied or licence refused, *other than what was disclosed in Item 8(3) of this form*, state below (1) the party that was refused the exemption from registration or licence, (2) the securities or derivatives regulator that refused the exemption from registration or licence, (3) the type or category of registration or licence refused, (4) the date of the refusal, and (5) the reasons for the refusal.

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- d) For each order or disciplinary proceeding, state below (1) the name of the firm, (2) the securities or derivatives regulator that issued the order or is conducting or conducted the proceeding, (3) the date any notice of proceeding was issued, (4) the date any order or settlement was made, (5) a summary of any notice, order or settlement (including any sanctions imposed), (6) whether you are or were a partner, director, officer or major shareholder of the firm and named individually in the order or disciplinary proceeding, and (7) any other relevant details.

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**Item 13.2 SRO regulation**

- a) For each approval, state below (1) the name of the firm, (2) the SRO with which you are or were an approved person, (3) the categories of approval, and (4) the period that you held the approval.

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- b) For each approval refused, state below (1) the name of the firm, (2) the SRO that refused the approval, (3) the category of approval refused, (4) the date of the refusal, and (5) the reasons for the refusal.

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- c) For each order or disciplinary proceeding, state below (1) the name of the firm, (2) the SRO that issued the order or that is, or was, conducting the proceeding, (3) the date any notice of proceeding was issued, (4) the date any order or settlement was made, (5) a summary of any notice, order or settlement (including any sanctions imposed), (6) whether you are or were a partner, director, officer or major shareholder of the firm and named individually in the order or disciplinary proceeding, and (7) any other information that you think is relevant or that the regulator or, in Québec, the securities regulatory authority may request.

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**Item 13.3 Non-securities regulation**

- a) For each registration or licence, state below (1) the party who is, or was, registered or licensed (if insurance licensed, also indicate the name of the insurance agency), (2) with which regulatory authority, or under what legislation, the party is, or was, registered or licensed, (3) the type or category of registration or licence, and (4) the period that the party held the registration or licence.

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- b) For each registration or licence refused, state below (1) the party that was refused registration or licensing (if insurance licensed, also indicate the name of the insurance agency), (2) with which regulatory authority, or under what legislation, the registration or licence was refused, (3) the type or category of registration or licence refused, (4) the date of the refusal, and (5) the reasons for the refusal.

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- c) For each order or disciplinary proceeding, indicate below (1) the party against whom the order was made or the proceeding taken (if insurance licensed, indicate the name of the insurance agency), (2) the regulatory authority that made the order or that is, or was, conducting the proceeding, or under what legislation the order was made or the proceeding is being, or was conducted, (3) the date any notice of proceeding was issued, (4) the date any order or settlement was made, (5) a summary of any notice, order or settlement (including any sanctions imposed), (6) whether you are or were a partner, director, officer or major shareholder of the firm and named individually in the order or disciplinary proceeding and (7) any other information that you think is relevant or that the regulatory authority may request.

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**SCHEDULE K**  
**Criminal disclosure (Item 14)**

**Item 14.1**

For each charge, state below (1) the type of charge, (2) the date of the charge, (3) any trial or appeal dates, and (4) the court location.

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**Item 14.2**

For each finding of guilty, pleading no contest to, or granting of an absolute or conditional discharge from a criminal offence state below (1) the offence, (2) the date found guilty, and (3) the disposition (any penalty or fine and the date any fine was paid).

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**Item 14.3**

For each charge, state below (1) the name of the firm, (2) the type of charge, (3) the date of the charge, (4) any trial or appeal dates, and (5) the court location.

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**Item 14.4**

For each finding of guilty, pleading no contest to, or granting of an absolute or conditional discharge from a criminal offence state below (1) the name of the firm, (2) the offence, (3) the date of the conviction, and (4) the disposition (any penalty or fine and the date any fine was paid).

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**SCHEDULE L**  
**Civil disclosure (Item 15)**

**Item 15.1**

For each outstanding civil proceeding, state below (1) the dates the statement of claim and statement of defence were issued, (2) the name of the plaintiff(s) in the proceeding, (3) whether the proceeding is pending or on appeal, (4) whether the proceeding was against a firm where you are, or were, a partner, director, officer or major shareholder and whether you have been named individually in the allegations, and (5) the jurisdiction where the action is being pursued.

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**Item 15.2**

For each civil proceeding, state below (1) the dates the statement of claim and statement of defence were issued, (2) each plaintiff in the proceeding, (3) the jurisdiction where the action was pursued, (4) whether the proceeding was about a firm where you are, or were, a partner, director, officer or major shareholder and whether you have been named individually in the allegations and (5) a summary of any disposition or any settlement over \$10,000. You must disclose any actions settled without admission of liability.

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**SCHEDULE M**  
**Financial Disclosure (Item 16)**

**Item 16.1 Bankruptcy**

- (a) For each event, state below (1) the date of the petition or voluntary assignment, (2) the person or firm about whom this disclosure is being made, (3) any amounts currently owing, (4) the creditors, (5) the status of the matter, (6) a summary of any disposition or settlement, (7) date of discharge or release, if applicable, and (8) any other information that you think is relevant or that the regulator or, in Québec, the securities regulatory authority may request.

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- (b) For each event, state below (1) the date of the proposal, (2) the person or firm about whom this disclosure is being made, (3) any amounts currently owing, (4) the creditors, (5) the status of the matter, (6) a summary of any disposition or settlement, and (7) any other information that you think is relevant or that the regulator or, in Québec, the securities regulatory authority may request.

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- (c) For each event, state below (1) the date of the proceeding, (2) the person or firm about whom this disclosure is being made, (3) any amounts currently owing, (4) the creditors, (5) the status of the matter, (6) a summary of any disposition or settlement, and (7) any other information that you think is relevant or that the regulator or, in Québec, the securities regulatory authority may request.

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- (d) For each proceeding, arrangement or compromise with creditors, state below (1) the date of proceeding, (2) the person or firm about whom this disclosure is being made, (3) any amounts currently owing, (4) the creditors, (5) the status of the matter, (6) a summary of any disposition or settlement, and (7) any other information that you think is relevant or that the regulator or, in Québec, the securities regulatory authority may request.

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**Item 16.2 Debt obligation**

For each event, state below (1) the person or firm that failed to meet its financial obligation, (2) the amount that was owing at the time the person or firm failed to meet



its financial obligation, (3) the person or firm to whom the amount is, or was, owing, (4) any relevant dates (for example, when payments are due or when final payment was made), (5) any amounts currently owing, and (6) any other information that you think is relevant or that the regulator or, in Québec, the securities regulatory authority may request, including why obligation has not been met/satisfied.

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### **Item 16.3 Surety bond or fidelity bond**

For each bond refused, state below (1) the name of the bonding company, (2) the address of the bonding company, (3) the date of the refusal, and (4) the reasons for the refusal.

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### **Item 16.4 Garnishments, unsatisfied judgments or directions to pay**

For each garnishment, unsatisfied judgment or direction to pay regarding your indebtedness, indicate below (1) the amount that was owing at the time the garnishment, judgment or direction to pay was rendered, (2) the person or firm to whom the amount is, or was, owing, (3) any relevant dates (for example, when payments are due or when final payment was made), (4) the percentage of earnings to be garnished or the amount to be paid, (5) any amounts currently owing, and (6) any other information that you think is relevant or that the regulator or, in Québec, the securities regulatory authority may request.

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**SCHEDULE N**  
**Ownership of securities and derivatives firms (Item 17)**

Firm name:

What is your relationship to the firm?    Partner        Major shareholder

What is the period of this relationship?

From:	To:	<i>(if applicable)</i>
(YYYY/MM)	(YYYY/MM)	

Provide the following information:

- a) State the number, value, class and percentage of securities, or the amount of partnership interest you own or propose to acquire when you are registered or approved as a result of the review of this form. If acquiring shares when you are so approved or registered, state the source (for example, treasury shares, or if upon transfer, state name of transferor).

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- b) State the market value (approximate, if necessary) of any subordinated debentures or bonds of the firm to be held by you or any other subordinated loan to be made by you to the firm:

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- c) If another person or firm has provided you with funds to invest in the firm, provide the name of the person or firm and state the relationship between you and that person or firm:

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- d) Are the funds to be invested (or proposed to be invested) guaranteed directly or indirectly by any person or firm?

Yes        No   

If "Yes", provide the name of the person or firm and state the relationship between you and that person or firm:

- 
- 
- e) Have you directly or indirectly given up any rights relating to these securities or this partnership interest, or do you, when you are registered or approved as a result of the review of this form, intend to give up any of these rights (including by hypothecation, pledging or depositing as collateral the securities or partnership interest with any firm or person)?

Yes  No

If "Yes", provide the name of the person or firm, state the relationship between you and that person or firm and describe the rights that have been or will be given up: \_\_\_\_\_

- f) Is a person other than you the beneficial owner of the shares, bonds, debentures, partnership units or notes held by you?

Yes  No

If "Yes", complete (g), (h) and (i).

- g) Name of beneficial owner:

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Last name	First name	Second name (if applicable)	Third name (if applicable)

- h) Residential address:

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(number, street, city, province, territory or state, country, postal code)

- i) Occupation:

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**Schedule O**  
**Contact information for**  
**Notice of collection and use of personal information**

**Alberta**

Alberta Securities Commission,  
 Suite 600, 250-5<sup>th</sup> St. SW  
 Calgary, AB T2P 0R4  
 Attention: Information Officer  
 Telephone: (403) 355-4151

**British Columbia**

British Columbia Securities Commission  
 P.O. Box 10142, Pacific Centre  
 701 West Georgia Street  
 Vancouver, BC V7Y 1L2  
 Attention: Freedom of Information Officer  
 Telephone: (604) 899-6500 or (800) 373-6393 (in BC)

**Manitoba**

The Manitoba Securities Commission  
 500 - 400 St. Mary Avenue  
 Winnipeg, MB R3C 4K5  
 Attention: Director of Registrations  
 Telephone (204) 945-2548  
 Fax (204) 945-0330

**New Brunswick**

New Brunswick Securities Commission  
 Suite 300, 85 Charlotte Street  
 Saint John, NB E2L 2J2  
 Attention: Director, Regulatory Affairs  
 Telephone: (506) 658-3060

**Newfoundland and Labrador**

Securities NL  
 Financial Services Regulation Division  
 Department of Government Services  
 P.O. Box 8700, 2nd Floor, West Block  
 Confederation Building  
 St. John's, NL A1B 4J6  
 Attention: Manager of Registrations  
 Tel: (709) 729-5661

**Nunavut**

Legal Registries Division  
 Department of Justice  
 Government of Nunavut  
 P.O. Box 1000 Station 570  
 Iqaluit, NU X0A 0H0  
 Attention: Deputy Registrar of  
 Securities  
 Telephone: (867) 975-6590

**Ontario**

Ontario Securities Commission  
 Suite 1903, Box 55  
 20 Queen Street West  
 Toronto, ON M5H 3S8  
 Attention: Compliance and Registrant  
 Regulation  
 Telephone: (416) 593-8314  
 e-mail: registration@osc.gov.on.ca

**Prince Edward Island**

Securities Registry  
 Office of the Attorney General B  
 Consumer, Corporate and  
 Insurance Services Division  
 P.O. Box 2000  
 Charlottetown, PE C1A 7N8  
 Attention: Deputy Registrar of  
 Securities  
 Telephone: (902) 368-6288

**Québec**

Autorité des marchés financiers  
 800, square Victoria, 22<sup>e</sup> étage  
 C.P. 246, tour de la Bourse  
 Montréal (Québec) H4Z 1G3  
 Attention: Responsable de l'accès à  
 l'information  
 Telephone: (514) 395-0337 or (877) 525-0337 (in Québec)

**Nova Scotia**

Nova Scotia Securities Commission  
 Suite 400, 5251 Duke Street  
 Halifax, NS B3J 1P3  
 Attention: Deputy Director, Capital  
 Markets  
 Telephone: (902) 424-7768

**Northwest Territories**

Government of the Northwest Territories  
 P.O. Box 1320  
 Yellowknife, NWT X1A 2L9  
 Attention: Deputy Superintendent of  
 Securities  
 Telephone: (867) 920-8984

**Saskatchewan**

Saskatchewan Financial Services  
 Commission  
 Suite 601, 1919 Saskatchewan Drive  
 Regina, SK S4P 4H2  
 Attention: Director  
 Telephone: (306) 787-5842

**Yukon**

Office of the Yukon Superintendent of  
 Securities  
 Government of Yukon  
 Department of Community Services  
 307 Black Street, 1<sup>st</sup> Floor  
 PO Box 2703 (C-6)  
 Whitehorse, Yukon Y1A 2C6  
 Attention: Superintendent of Securities  
 Telephone: (867) 667-5466  
 Fax: (867) 393-6521  
[http://www.community.gov.yk.ca/corp/securities\\_about.html](http://www.community.gov.yk.ca/corp/securities_about.html)

**Self-regulatory organization**

Investment Industry Regulatory  
 Organization of Canada  
 121 King Street West, Suite 1600  
 Toronto, Ontario M5H 3T9  
 Attention: Privacy Officer  
 Telephone: (416) 364-6133  
 E-mail: PrivacyOfficer@iirc.ca

**FORM 33-109F5**  
**CHANGE OF REGISTRATION INFORMATION**  
 (sections 3.1 and 4.1 )

**GENERAL INSTRUCTIONS**

Complete and submit this form to notify the relevant regulator(s) or, in Québec, the securities regulatory authority, or self-regulatory organization (SRO) of changes to information in the following forms:

1. Form 33-109F6, except for the changes set out in section 3.1 of National Instrument 33-109, or
2. Form 33-109F4.

**How to submit this form**

To report changes to information in a Form 33-109F4, submit this form at the National Registration Database website in NRD format at [www.nrd.ca](http://www.nrd.ca).

Submit this form in a format other than NRD format to report changes to information in a:

- a) Form 33-109F6, or
- b) Form 33-109F4, if the individual is relying on the temporary hardship exemption in section 5.1 of National Instrument 31-102 [*National Registration Database*].

Name of firm \_\_\_\_\_

Registration categories  
 \_\_\_\_\_

NRD number (firm) \_\_\_\_\_

**Item 1          Type of form**

Check the form that is being updated:

Form 33-109F6

If submitting changes to Form 33-109F6, please attach a blackline of the amended sections of the form.

Form 33-109F4

**Item 2 Details of change**

Provide the item number and details for each change to the form selected above:

Item number \_\_\_\_ Details \_\_\_\_\_

Effective date of change \_\_\_\_\_  
(YYYY/MM/DD)

**Item 3 Notice of collection and use of personal information**

The personal information required under this form is collected on behalf of, and used by, the securities regulatory authorities in the jurisdictions set out in Schedule A to administer and enforce certain provisions of their securities legislation or derivatives legislation or both.

The personal information required under this form is also collected by and used by the SROs set out in Schedule A to administer and enforce their respective by-laws, regulations, rules, rulings and policies.

By submitting this form, the individual consents to the collection by the securities regulatory authorities or applicable SRO of this personal information, and any police records, records from other government or non-governmental regulators or SROs, credit records and employment records about the individual that the securities regulatory authorities or applicable SRO may need to complete their review of the information submitted in this form relating to the individual's continued fitness for registration or approval, if applicable, in accordance with the legal authority of the securities regulatory authorities while the individual is registered with or approved by it. Securities regulatory authorities or SROs may contact government and private bodies or agencies, individuals, corporations and other organizations for information about the individual.

If you have any questions about the collection and use of this information, contact the securities regulatory authorities or applicable SRO in any jurisdiction in which the required information is submitted. See Schedule A for details. In Québec, you can also contact the Commission d'accès à l'information at 1-888-528-7741 or visit its website at [www.cai.gouv.qc.ca](http://www.cai.gouv.qc.ca).

**Item 4 Warning**

**It is an offence under securities legislation and/or derivatives legislation, including commodity futures legislation to give false or misleading information on this form.**

**Item 5 Certification**

- 1. Use the following certification when submitting this form in NRD format when making changes to Form 33-109F4**

I confirm I have discussed the questions in this form with an officer, branch manager or supervisor of my sponsoring firm. To the best of my knowledge and belief, the officer, branch manager or supervisor was satisfied that I fully understood the questions. I will limit my activities to those permitted by my category of registration.

I am making this submission as agent for the individual identified in this form. By checking this box, I certify that the individual provided me with all of the information on this form.

**2. Use the following certification when submitting this form in a format other than NRD format when making changes to Form 33-109F6**

By signing below I certify to each regulator or, in Québec, the securities regulatory authority, in each jurisdiction where I am submitting this form, either directly or through the principal regulator, that:

- I have read this form and understand the questions, and
- all of the information provided on this form is true, and complete.

Name of authorized signing officer or partner \_\_\_\_\_

Title of authorized signing officer or partner \_\_\_\_\_

Signature of authorized signing officer or partner \_\_\_\_\_

Date signed \_\_\_\_\_  
(YYYY/MM/DD)

**3. Use the following certification when submitting this form in a format other than NRD format under the temporary hardship exemption in section 5.1 of NI 31-102 when making changes to Form 33-109F4**

By signing below, I certify to the regulator or, in Québec, the securities regulatory authority, in each jurisdiction where I am submitting this form, either directly or through the principal regulator, that:

- I have read this form and understand the questions; and
- all of the information provided on this form is true and complete.

Signature of individual \_\_\_\_\_

Date signed \_\_\_\_\_  
(YYYY/MM/DD)



**Schedule A**  
**Contact information for**  
**Notice of collection and use of personal information**

**Alberta**

Alberta Securities Commission,  
 Suite 600, 250-5<sup>th</sup> St. SW  
 Calgary, AB T2P 0R4  
 Attention: Information Officer  
 Telephone: (403) 355-4151

**British Columbia**

British Columbia Securities  
 Commission  
 P.O. Box 10142, Pacific Centre  
 701 West Georgia Street  
 Vancouver, BC V7Y 1L2  
 Attention: Freedom of Information  
 Officer  
 Telephone: (604) 899-6500 or (800)  
 373-6393 (in BC)

**Manitoba**

The Manitoba Securities Commission  
 500 - 400 St. Mary Avenue  
 Winnipeg, MB R3C 4K5  
 Attention: Director of Registrations  
 Telephone (204) 945-2548  
 Fax (204) 945-0330

**New Brunswick**

New Brunswick Securities Commission  
 Suite 300, 85 Charlotte Street  
 Saint John, NB E2L 2J2  
 Attention: Director, Regulatory Affairs  
 Telephone: (506) 658-3060

**Newfoundland and Labrador**

Securities NL  
 Financial Services Regulation Division  
 Department of Government Services  
 P.O. Box 8700, 2nd Floor, West Block  
 Confederation Building  
 St. John's, NL A1B 4J6  
 Attention: Manager of Registrations  
 Tel: (709) 729-5661

**Nunavut**

Legal Registries Division  
 Department of Justice  
 Government of Nunavut  
 P.O. Box 1000 Station 570  
 Iqaluit, NU X0A 0H0  
 Attention: Deputy Registrar of  
 Securities  
 Telephone: (867) 975-6590

**Ontario**

Ontario Securities Commission  
 Suite 1903, Box 55  
 20 Queen Street West  
 Toronto, ON M5H 3S8  
 Attention: Compliance and Registrant  
 Regulation  
 Telephone: (416) 593-8314  
 e-mail: registration@osc.gov.on.ca

**Prince Edward Island**

Securities Registry  
 Office of the Attorney General B  
 Consumer, Corporate and  
 Insurance Services Division  
 P.O. Box 2000  
 Charlottetown, PE C1A 7N8  
 Attention: Deputy Registrar of  
 Securities  
 Telephone: (902) 368-6288

**Québec**

Autorité des marchés financiers  
 800, square Victoria, 22<sup>e</sup> étage  
 C.P. 246, tour de la Bourse  
 Montréal (Québec) H4Z 1G3  
 Attention: Responsable de l'accès à  
 l'information  
 Telephone: (514) 395-0337 or (877)  
 525-0337 (in Québec)

**Saskatchewan**

Saskatchewan Financial Services

**Nova Scotia**

Nova Scotia Securities Commission  
 Suite 400, 5251 Duke Street  
 Halifax, NS B3J 1P3  
 Attention: Deputy Director, Capital  
 Markets  
 Telephone: (902) 424-7768

**Northwest Territories**

Government of the Northwest  
 Territories  
 P.O. Box 1320  
 Yellowknife, NWT X1A 2L9  
 Attention: Deputy Superintendent of  
 Securities  
 Telephone: (867) 920-8984

**Commission**

Suite 601, 1919 Saskatchewan Drive  
 Regina, SK S4P 4H2  
 Attention: Director  
 Telephone: (306) 787-5842

**Yukon**

Office of the Yukon Superintendent of  
 Securities  
 Government of Yukon  
 Department of Community Services  
 307 Black Street, 1<sup>st</sup> Floor  
 P.O. Box 2703 (C-6)  
 Whitehorse, YT Y1A 2C6  
 Attention: Superintendent of Securities  
 Telephone: (867) 667-5466  
 Fax: (867) 393-6251  
[http://www.community.gov.yk.ca/corp/securities\\_about.html](http://www.community.gov.yk.ca/corp/securities_about.html)

**Self-regulatory organization**

Investment Industry Regulatory  
 Organization of Canada  
 121 King Street West, Suite 1600  
 Toronto, Ontario M5H 3T9  
 Attention: Privacy Officer  
 Telephone: (416) 364-6133  
 E-mail: PrivacyOfficer@iircoc.ca

**Form 33-109F6**  
***Firm registration***

**Who should complete this form?**

This form is for firms seeking registration under securities legislation, derivatives legislation or both.

Complete and submit this form to seek initial registration as a dealer, adviser or investment fund manager, or to add one or more jurisdiction of Canada or categories to a firm's registration.

**Definitions**

Chief compliance officer – see section 2.1 of NI 31-103.

Derivatives – financial instruments, such as futures contracts (including exchange traded contracts), futures options and swaps whose market price, value or payment obligations are derived from or based on one or more underlying interests. Derivatives can be in the form of instruments, agreements or securities.

Firm – the person or company seeking registration.

Foreign jurisdiction – see National Instrument 14-101 *Definitions*

Form – Form 33-109F6 *Firm registration*.

Jurisdiction or jurisdiction of Canada– see National Instrument 14-101 *Definitions*.

NI 31-103 – National Instrument 31-103 *Registration Requirements , Exemptions and Ongoing Registrant Obligations*.

NI 33-109 – National Instrument 33-109 *Registration Information*.

NI 52-107 – National Instrument 52-107 *Acceptable Accounting Principles and Auditing Standards*.

NRD – National Registration Database. For more information, visit [www.nrd-info.ca](http://www.nrd-info.ca).

Parent – a person or company that directly or indirectly has significant control of another person or company.

Permitted individual – see NI 33-109.

Predecessor – any entity listed in question 3.6 of this form.

Principal Regulator – see NI 33-109.

Significant control – a person or company has significant control of another person or company if the person or company:

- directly or indirectly holds voting securities representing more than 20 per cent of the outstanding voting rights attached to all outstanding voting securities of the other person or company, or
- directly or indirectly is able to elect or appoint a majority of the directors (or individuals performing similar functions or occupying similar positions) of the other person or company.

Specified affiliate – a person or company that is a parent of the firm, a specified subsidiary of the firm, or a specified subsidiary of the firm's parent.

Specified subsidiary – a person or company of which another person or company has significant control.

SRO – see National Instrument 14-101 *Definitions*.

Ultimate designated person – see section 2.1 of NI 31-103.

You – the individual who completes, submits, files and/or signs the form on behalf of the firm.

We and the regulator – the securities regulatory authority or regulator in the jurisdiction(s) of Canada where the firm is seeking registration.

### **Contents of the form**

This form consists of the following:

Part 1 – Registration details

Part 2 – Contact information

Part 3 – Business history and structure

Part 4 – Registration history

Part 5 – Financial condition

Part 6 – Client relationships

Part 7 – Regulatory action

Part 8 – Legal action

Part 9 – Certification

Schedule A – Contact information for notice of collection and use of personal information

Schedule B – Submission to jurisdiction and appointment of agent for service

Schedule C – Form 31-103F1 *Calculation of excess working capital*

You are also required to submit the following supporting documents with your completed form:

1. Schedule B – Submission to Jurisdiction and Appointment of Agent for Service for each jurisdiction where the firm is seeking registration (question 2.4)
2. Business plan, policies and procedures manual, and client agreements (British Columbia, Alberta, Manitoba and New Brunswick only) (question 3.3)
3. Constatting documents (question 3.7)

4. Organization chart (question 3.11)
5. Ownership chart (question 3.12)
6. Calculation of excess working capital (question 5.1)
7. Directors' resolution approving insurance (question 5.7)
8. Audited financial statements (question 5.13)
9. Letter of direction to auditors (question 5.14)

#### How to complete and submit the form

The firm is required to pay a registration fee in each jurisdiction of Canada where it is submitting and filing this form. Refer to the prescribed fees of the applicable jurisdiction for details.

All dollar values are in Canadian dollars. If a question does not apply to the firm, write "n/a" in the space for the answer.

If the firm is seeking registration in more than one jurisdiction of Canada or category, other than in the category of restricted dealer, you only need to complete and submit one form. If the firm is seeking registration as a restricted dealer, submit and file the form with each jurisdiction of Canada where the firm is seeking that registration.

You can complete this form:

- on paper and deliver it to the principal regulator or relevant SRO
- on paper, scan it and e-mail it to the principal regulator or SRO

If the firm is seeking registration in Ontario, and Ontario is not the firm's principal regulator, you must also file a copy of this form, without supporting documents, with the Ontario Securities Commission.

You can find contact information for submitting and filing the form in Appendix B of Companion Policy 33-109CP *Registration Information*.

We may accept the form in other formats. Please check with the regulator before you complete, submit and file the form. If you are completing the form on paper and need more space to answer a question, use a separate sheet of paper and attach it to this form. Clearly identify the question number.

You must include all supporting documents with your submission. We may ask you to provide other information and documents to help determine whether the firm is suitable for registration.

In most of this form, answers are required to questions which apply only to Canadian provinces and territories; you will find that the questions are referenced to "jurisdictions" or "jurisdiction of Canada". These refer to all provinces and territories of Canada. However, the questions in Part 4 – *Registration History* and Part 7 – *Regulatory Action* are to be answered in respect of any jurisdiction in the world.

**It is an offence under securities legislation or derivatives legislation to give false or misleading information on this form.**

See Part 3 of  
NI 33-109.

### **Updating the information on the form**

The firm is required to notify the regulator, within specified times, of any changes to the information on this form by submitting and filing Form 33-109F5 *Change of Registration Information*.

### **Collection and use of personal information**

We and the SROs (if applicable) require personal information about the people referred to in this form as part of our review to determine whether the firm is suitable for registration. If the firm is approved, we also require this information to assess whether the firm continues to meet the registration requirements.

We may only:

- collect the personal information under the requirements in securities legislation or derivatives legislation or both
- use this information to administer and enforce provisions of the securities legislation or derivatives legislation or both

We may collect personal information from police records, records of other regulators or SROs, credit records, employment records, government and private bodies or agencies, individuals, corporations, and other organizations. We may also collect personal information indirectly.

We may provide personal information about the individuals referred to in this form to other regulators, securities or derivatives exchanges, SROs or similar organizations, if required for an investigation or other regulatory issue.

If anyone referred to in this form has any questions about the collection and use of their personal information, they can contact the regulator or SRO, if applicable, in the relevant jurisdiction of Canada. See Schedule A for details. In Québec, they can also contact the Commission d'accès à l'information du Québec at 1-888-528-7741 or visit its website at [www.cai.gouv.qc.ca](http://www.cai.gouv.qc.ca).

## **Part 1 – Registration details**

### **1.1 Firm's full legal name**

Provide the full legal name of the firm as it appears on the firm's constating documents required under question 3.7. If the firm is a sole proprietorship, provide your first, last and any middle names.

If the firm's legal name is in English and French, provide both versions.



Saskatchewan (SK) Yukon (YT)	Portfolio manager	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Restricted portfolio manager	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

(b) Categories under derivatives legislation (Manitoba and Ontario only)

<b>Category</b>	<b>Manito</b>
	<b>ba</b>
Dealer (merchant)	<input type="checkbox"/>
Dealer (futures commission merchant)	<input type="checkbox"/>
Dealer (floor broker)	<input type="checkbox"/>
Local Adviser	<input type="checkbox"/>
	<b>Ontario</b>
Commodity trading adviser	<input type="checkbox"/>
Commodity trading counsel	<input type="checkbox"/>
Commodity trading manager	<input type="checkbox"/>
Futures commission merchant	<input type="checkbox"/>

(c) Investment dealers and portfolio managers (Québec only)

If the firm is seeking registration in Québec as an investment dealer or a portfolio manager, will the firm also act as a:

Derivatives dealer	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
Derivatives portfolio manager	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>



## 1.5 Exemptions

Is the firm applying for any exemptions under securities or derivatives legislation?

Yes  No

If yes, provide the following information for each exemption:

Type of exemption												
Legislation												
Jurisdiction(s) where the firm has applied for the exemption												
AB	BC	MB	NB	NL	NS	NT	NU	O	PE	Q	SK	YT
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	N <input type="checkbox"/>	<input type="checkbox"/>	C <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

## Part 2 – Contact information

### Addresses

#### 2.1 Head office address

A post office box on its own is not acceptable for a head office address.

Address line 1	
Address line 2	
City	Province/territory/state
Country	Postal/zip code
Telephone number	Fax number
Website	

If the firm's head office is in Canada, go to question 2.3.

If the firm's head office is not in Canada, go to question 2.2.

**2.2 Firms whose head office is not in Canada**

(a) Does the firm have any business addresses in Canada?

Yes  No

If yes, provide the firm's primary Canadian business address:

Address line 1	
Address line 2	
City	Province/territory
Postal code	

The securities regulatory authority in this jurisdiction of Canada is the firm's principal regulator in Canada.

(b) If a firm is not registered in a jurisdiction of Canada or has not completed its first financial year since being registered, indicate the jurisdiction of Canada in which the firm expects most of its clients to be resident at the end of its current financial year. In all other circumstances, indicate the jurisdiction of Canada in which most of the firm's clients were resident at the end of its most recently completed financial year.

AB  
  BC  
  MB  
  NB  
  NL  
  NT  
  NS  
  NU  
  ON  
  PE  
  QC  
  SK  
  YT

**2.3 Mailing address**

Same as the head office address

A post office box is acceptable for a mailing address.

Address line 1	
Address line 2	
City	Province/territory/state
Country	Postal/zip code

If the firm does not have an office in a jurisdiction of Canada where it is seeking registration, it must appoint an agent for service in that jurisdiction of Canada.

## 2.4 Address for service and agent for service

Attach a completed Schedule B *Submission to Jurisdiction and Appointment of Agent for Service* for each jurisdiction of Canada where the firm is seeking registration and does not have an office.

### Contact names

## 2.5 Ultimate designated person

A registered firm must have an individual registered in the category of ultimate designated person.

Legal name	
Officer title	
NRD number, if available	
Address <input type="checkbox"/> Same as firm head office address	
Address line 1	
Address line 2	
City	Province/territory/state
Country	Postal/zip code
Telephone number	E-mail address

**2.6 Chief compliance officer**

Same as ultimate designated person

A registered firm must have an individual registered in the category of chief compliance officer.

Legal name	
Officer title	
NRD number, if available	
Address <input type="checkbox"/> Same as firm head office address	
Address line 1	
Address line 2	
City	Province/territory/state
Country	Postal/zip code
Telephone number	E-mail address

**Part 3 – Business history and structure**

**Business activities**

**3.1 The firm’s business**

Provide a description of the firm’s proposed business, including its primary business activities, target market, and the products and services it will provide to clients.

**3.2 Other names**

In addition to the firm’s legal name in question 1.1, does the firm use any other names, such as a trade name?

Yes  No

If yes, list all other names and indicate if each name has been registered:

--

**3.3 Business documents**

Does the firm have the following documents to support its business activities?

	Yes	No
(a) Business plan for at least the next three years		
(b) Policies and procedures manual, including account opening procedures and the firm's policy on fairness in allocation of investment opportunities, if applicable		

If no, explain why the firm does not have the document:

--

If the regulator in British Columbia, Alberta, Manitoba or New Brunswick is the principal regulator of the firm seeking registration, attach the firm's business plan, policies and procedures manual and client agreements, including any investment policy statements and investment management agreements.

**History of the firm**

**3.4 When was the firm created?**

yyyy/mm/dd
------------

**3.5 How was the firm created?**

- New start-up  Go to question 3.7.
- Merger or amalgamation  Go to question 3.6.
- Reorganization  Go to question 3.6.
- Other statutory arrangement  Please specify below and go to question 3.6.


**3.6 Predecessors**

List the entities that were merged, amalgamated, reorganized or otherwise arranged to create the firm.

--

**3.7 Constatting documents**

Attach the legal documents that established the firm as an entity, for example, the firm’s articles and certificate of incorporation, any articles of amendments, partnership agreement or declaration of trust. If the firm is a sole proprietorship, provide a copy of the registration of trade name.

As part of their constating documents, firms whose head office is outside Canada may be required to provide proof of extra-provincial registration.

**Business structure and ownership**

**3.8 Type of legal structure**

- Sole proprietorship
- Partnership
- Limited partnership  Name \_\_\_\_\_ of \_\_\_\_\_ general partner
- Corporation
- Other  Please specify \_\_\_\_\_

**3.9 Business registration number, if applicable**

This is the firm’s corporate registration number or Québec enterprise number (NEQ).

List the firm’s business registration number for each jurisdiction of Canada where the firm is seeking registration.

Business registration number	Jurisdiction of Canada

**3.10 Permitted individuals**

List all permitted individuals of the firm.

Name	Title	NRD number, if applicable

**3.11 Organization chart**

Attach an organization chart showing the firm's reporting structure. Include all permitted individuals, the ultimate designated person and the chief compliance officer.

**3.12 Ownership chart**

Attach a chart showing the firm's structure and ownership. At a minimum, include all parents, specified affiliates and specified subsidiaries.

Include the name of the person or company, and class, type, amount and voting percentage of ownership of the firm's securities.

**Part 4 – Registration history**

The questions in Part 4 apply to any jurisdiction and any foreign jurisdiction.

**4.1 Securities registration**

In the last seven years, has the firm, or any predecessors or specified affiliates of the firm been registered or licensed to trade or advise in securities or derivatives?

Yes  No

If yes, provide the following information for each registration:

Name of entity	
Registration category	
Regulator/organization	
Date registered or licensed (yyyy/mm/dd)	Expiry date, if applicable (yyyy/mm/dd)
Jurisdiction	

#### 4.2 Exemption from securities registration

Is the firm currently relying on any exemptions from registration or licensing to trade or advise in securities or derivatives?

Yes  No

If yes, provide the following information for each exemption:

Type of exemption
Regulator/organization
Date of exemption (yyyy/mm/dd)
Jurisdiction

#### 4.3 Membership in an exchange or SRO

In the last seven years, has the firm, or any predecessors or specified affiliates of the firm been a member of a securities or derivatives exchange, SRO or similar organization?

Yes  No



If yes, provide the following information for each membership:

Name of entity	
Organization	
Date of membership (yyyy/mm/dd)	Expiry date, if applicable (yyyy/mm/dd)
Jurisdiction	

#### 4.4 Exemption from membership in an exchange or SRO

Is the firm currently relying on any exemptions from membership with a securities or derivatives exchange, SRO or similar organization?

Yes  No

If yes, provide the following information for each exemption:

Type of exemption
Organization
Date of exemption (yyyy/mm/dd)
Jurisdiction

#### 4.5 Refusal of registration, licensing or membership

Has the firm, or any predecessors or specified affiliates of the firm been refused registration, licensing or membership with a financial services regulator, securities or derivatives exchange, SRO or similar organization?

Yes  No

If yes, provide the following information for each refusal:

Name of entity
Reason for refusal
Regulator/organization
Date of refusal (yyyy/mm/dd)
Jurisdiction

#### 4.6 Registration for other financial products

Examples of other financial products include financial planning, life insurance and mortgages.

In the last seven years, has the firm, or any predecessors or specified affiliates of the firm been registered or licensed under legislation that requires registration or licensing to sell or advise in a financial product other than securities or derivatives?

Yes  No

If yes, provide the following information for each registration or licence:

Name of entity	
Type of licence or registration	
Regulator/organization	
Date of registration (yyyy/mm/dd)	Expiry date, if applicable (yyyy/mm/dd)
Jurisdiction	

### Part 5 – Financial condition

#### Capital requirements

##### 5.1 Calculation of excess working capital

Attach the firm's calculation of excess working capital.

- Investment dealers must use the capital calculation form required by the Investment Industry Regulatory Organization of Canada

(IIROC).

- Mutual fund dealers must use the capital calculation form required by the Mutual Fund Dealers Association of Canada (MFDA), except for mutual fund dealers registered in Québec only
- Firms that are not members of either IIROC or the MFDA must use Form 31-103F1 *Calculation of Excess Working Capital*. See Schedule C.

**5.2 Sources of capital**

List all cash, cash equivalents, debt and equity sources of the firm's capital.

Name of person or entity providing the capital	Type of capital	Amount (\$)

**5.3 Guarantors**

See Schedule C Form 31-103F1 *Calculation of Excess Working Capital*.

In relation to its business, does the firm:

	Yes	No
(a) Have any guarantors?		
(b) Act as a guarantor for any party?		

If yes, provide the following information for each guarantee:

Name of party to the guarantee	
NRD number, if applicable	
Relationship to the firm	Amount of guarantee (\$)
Details of the guarantee	

**Bonding and insurance**

Questions 5.4 to 5.8 apply to the firm’s bonding or insurance coverage or proposed bonding or insurance coverage for securities and derivatives activities only. This in accordance with Part 12, Division 2 of NI 31-103.

**5.4 Jurisdictions covered**

This information is on the financial institution bond.

Where does the firm have bonding or insurance coverage?

- AB
- BC
- MB
- NB
- NL
- NS
- NT
- NU
- ON
- PE
- QC
- SK
- YT

If the firm’s bonding or insurance does not cover all jurisdiction of Canada where it is seeking registration, explain why.

**5.5 Bonding or insurance details**

This information is on the binder of insurance or on the financial institution bond.

Name of insurer	
Bond or policy number	
Specific insuring agreements and clauses	
Coverage for each claim (\$)	Annual aggregate coverage (\$)
Total coverage (\$)	
Amount of the deductible (\$)	Expiry date (yyyy/mm/dd)

If the firm’s insurance or proposed insurance is not in the form of a financial institution bond, explain how it provides equivalent coverage to

the bond.

--

**5.6 Professional liability insurance (Québec only)**

If the firm is seeking registration in Québec as a mutual fund dealer or a scholarship plan dealer, provide the following information about the firm's professional liability insurance:

Name of insurer																																								
Policy number																																								
Specific insuring agreements and clauses																																								
Coverage for each claim (\$)	Annual aggregate coverage (\$)																																							
Total coverage (\$)																																								
Amount of the deductible (\$)	Renewal date (yyyy/mm/dd)																																							
Jurisdictions covered:																																								
<table style="width: 100%; text-align: center;"> <tr> <td>AB</td><td>BC</td><td>MB</td><td>NB</td><td>NL</td><td>NS</td><td>NT</td><td>NU</td><td>O</td><td>PE</td><td>Q</td><td>SK</td><td>YT</td> </tr> <tr> <td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td>N</td><td></td><td>C</td><td></td><td></td> </tr> <tr> <td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td> </tr> </table>		AB	BC	MB	NB	NL	NS	NT	NU	O	PE	Q	SK	YT									N		C			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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Which insurance policy applies to your representatives?																																								
Firm's policy <input type="checkbox"/>	Individual's policy <input type="checkbox"/> Both																																							

**5.7 Directors' resolution approving insurance**

Attach a directors' resolution confirming that the firm has sufficient insurance coverage for its securities or derivatives-related activities.

**5.8 Bonding or insurance claims**

In the last seven years, has the firm made any claims against a bond or on its insurance?

Yes  No

If yes, provide the following information for each claim:

Type of bond or insurance	
Date of claim (yyyy/mm/dd)	Amount (\$)
Reason for claim	
Date resolved (yyyy/mm/dd)	Result
Jurisdiction	

### Solvency

#### 5.9 Bankruptcy

In the last seven years, has the firm or any of its specified affiliates declared bankruptcy, made an assignment or proposal in bankruptcy, or been the subject of a petition in bankruptcy, or the equivalent in any jurisdiction?

Yes  No

If yes, provide the following information for each bankruptcy or assignment in bankruptcy:

Name of entity	
Reason for bankruptcy or assignment	
Date of bankruptcy, assignment or petition (yyyy/mm/dd)	Date discharge granted, if applicable (yyyy/mm/dd)
Name of trustee	
Jurisdiction	

If applicable, attach a copy of any discharge, release or equivalent document.

**5.10 Appointment of receiver**

In the last seven years, has the firm or any of its specified affiliates appointed a receiver or receiver manager, or had one appointed, or the equivalent in any jurisdiction?

Yes  No

If yes, provide the following information for each appointment of receiver:

Name of entity	
Date of appointment (yyyy/mm/dd)	Reason for appointment
Date appointment ended (yyyy/mm/dd)	Reason appointment ended
Name of receiver or receiver manager	
Jurisdiction	

**Financial reporting****5.11 Financial year-end**

(mm/dd)

If the firm has not established its financial year-end, explain why.

--

Provide the name of the individual auditing the financial statements and the name of the firm, if applicable.

**5.12 Auditor**

Name of auditor and accounting firm

### 5.13 Audited financial statements

- (a) Attach, for your most recently completed year, either
- (i) non-consolidated audited financial statements; or
  - (ii) audited financial statements prepared in accordance with section 3.2(3) of NI 52-107.
- (b) If the audited financial statements attached for item (a) were prepared for a period ending more than 90 days before the date of this application, also attach an interim financial report for a period of not more than 90 days before the date of this application.

If the firm is a start-up company, you can attach an audited opening statement of financial position instead.

### 5.14 Letter of direction to auditors

We may request an audit of the firm at any time while the firm is registered.

Attach a letter of direction from the firm authorizing the auditor to conduct any audit or review of the firm that the regulator may request.

## Part 6 – Client relationships

### 6.1 Client assets

See Part 14, Division 3 of NI 31-103 and Companion Policy 31-103CP.

For guidance regarding whether a firm will hold

Will the firm hold or have access to client assets?

Yes  No

If yes, provide the following information for each financial institution where the trust accounts for client assets are held.

Name of financial institution
Address line 1
Address line 2



or have access to client assets see section 12.4 of Companion Policy 31-103CP.

City	Province/territory
Postal code	Telephone number

## 6.2 Conflicts of interest

Does the firm have or expect to have any relationships that could reasonably result in any significant conflicts of interest in carrying out its registerable activities in accordance with securities or derivatives legislation?

Yes  No

If yes, complete the following questions:

(a) Provide details about each conflict:

(b) Does the firm have policies and procedures to identify and respond to its conflicts of interest?

Yes  No  If no, explain why:

## Part 7 – Regulatory action

The questions in Part 7 apply to any jurisdiction and any foreign jurisdiction. The information must be provided in respect of the last 7 years.

### 7.1 Settlement agreements

Has the firm, or any predecessors or specified affiliates of the firm entered into a settlement agreement with any financial services regulator, securities or derivatives exchange, SRO or similar organization?

Yes  No

If yes, provide the following information for each settlement agreement:

Name of entity
Regulator/organization
Date of settlement (yyyy/mm/dd)
Details of settlement
Jurisdiction

## 7.2 Disciplinary history

Has any financial services regulator, securities or derivatives exchange, SRO or similar organization:

	Yes	No
(a) Determined that the firm, or any predecessors or specified affiliates of the firm violated any securities regulations or any rules of a securities or derivatives exchange, SRO or similar organization?		
(b) Determined that the firm, or any predecessors or specified affiliates of the firm made a false statement or omission?		
(c) Issued a warning or requested an undertaking by the firm, or any predecessors or specified affiliates of the firm?		
(d) Suspended or terminated any registration, licensing or membership of the firm, or any predecessors or specified affiliates of the firm?		
(e) Imposed terms or conditions on any registration or membership of the firm, or predecessors or specified affiliates of the firm?		
(f) Conducted a proceeding or investigation involving the firm, or any predecessors or specified affiliates of the firm?		
(g) Issued an order (other than an exemption order) or a sanction to the firm, or any predecessors or specified affiliates of the firm for securities or derivatives-related activity (e.g. cease trade order)?		

If yes, provide the following information for each action:

Name of entity	
Type of action	
Regulator/organization	
Date of action (yyyy/mm/dd)	Reason for action
Jurisdiction	

### 7.3 Ongoing investigations

Is the firm aware of any ongoing investigations of which the firm or any of its specified affiliates is the subject?

Yes  No

If yes, provide the following information for each investigation:

Name of entity
Reason or purpose of investigation
Regulator/organization
Date investigation commenced (yyyy/mm/dd)
Jurisdiction

## Part 8 – Legal action

The firm must disclose offences or legal actions under any statute governing the firm and its business activities in any jurisdiction. The information must be provided in respect of the last 7 years.

### 8.1 Criminal convictions

Has the firm, or any predecessors or specified affiliates of the firm been convicted of any criminal or quasi-criminal offence?

Yes  No

If yes, provide the following information for each conviction:

Name of entity	
Type of offence	
Case name	Case number, if applicable
Date of conviction (yyyy/mm/dd)	
Jurisdiction	

### 8.2 Outstanding criminal charges

Is the firm or any of its specified affiliates currently the subject of any outstanding criminal or quasi-criminal charges?

Yes  No

If yes, provide the following information for each charge:

Name of entity
Type of offence
Date of charge (yyyy/mm/dd)
Jurisdiction

### 8.3 Outstanding legal actions

	Yes	No
(a) Is the firm currently a defendant or respondent (or the equivalent in any jurisdiction) in any outstanding legal action?		
(b) Are any of the firm's specified affiliates currently a defendant or respondent (or the equivalent in any jurisdiction) in any outstanding legal action that involves fraud, theft or securities-related activities, or that could significantly affect the firm's business?		

If yes, provide the following information for each legal action:

Name of entity
Type of legal action

Date of legal action (yyyy/mm/dd)
Current stage of litigation
Remedies requested by plaintiff or appellant
Jurisdiction

#### 8.4 Judgments

	Yes	No
(a) Has any judgment been rendered against the firm or is any judgment outstanding in any civil court for damages or other relief relating to fraud, theft or securities-related activities?		
(b) Are any of the firm's specified affiliates currently the subject of any judgments that involve fraud, theft or securities-related activities, or that could significantly affect the firm's business?		

If yes, provide the following information for each judgment:

Name of entity
Type of judgment
Date of judgment (yyyy/mm/dd)
Current stage of litigation, if applicable
Remedies requested by plaintiffs

#### Part 9 – Certification

It is an offence under securities legislation or derivatives legislation to give false or misleading information on this form.

By signing below, you:

1. Certify to the regulator in each jurisdiction of Canada where the firm is submitting and filing this form, either directly or through the principal regulator, that:

- you have read this form, and
  - to the best of your knowledge and after reasonable inquiry, all of the information provided on this form is true and complete.
2. Certify to each regulator in a non-principal jurisdiction of Canada where the firm is submitting and filing this form, either directly or through the principal regulator, that at the date of this submission:
    - the firm has submitted and filed all information required to be submitted and filed under the securities legislation or derivatives legislation or both of the principal jurisdiction of Canada in relation to the firm's registration in that jurisdiction, and
    - this information is true and complete.
  3. Authorize the principal regulator to give each non-principal regulator access to any information the firm has submitted or filed with the principal regulator under securities legislation or derivatives legislation or both of the principal jurisdiction of Canada in relation to the firm's registration in that jurisdiction.
  4. Acknowledge that the regulator may collect and provide personal information about the individuals referred to in this form under *Collection and use of personal information*.
  5. Confirm that the individuals referred to in this form have been notified that their personal information is disclosed on this form, the legal reason for doing so, how it will be used and who to contact for more information.

Name of firm	
Name of firm's authorized signing officer or partner	
Title of firm's authorized signing officer or partner	
Signature	
Date (yyyy/mm/dd)	

**Witness**

The witness must be a lawyer, notary public or commissioner of oaths.

Name of witness	
Title of witness	
Signature	
Date (yyyy/mm/dd)	

**Schedule A**  
**Contact information for**  
**Notice of collection and use of personal information**

**Alberta**

Alberta Securities Commission,  
 Suite 600, 250-5<sup>th</sup> St. SW  
 Calgary, AB T2P 0R4  
 Attention: Information Officer  
 Telephone: (403) 355-4151

**Nunavut**

Legal Registries Division  
 Department of Justice  
 Government of Nunavut  
 P.O. Box 1000 Station 570  
 Iqaluit, NU X0A 0H0  
 Attention: Deputy Registrar of Securities  
 Telephone: (867) 975-6590

**British Columbia**

British Columbia Securities Commission  
 P.O. Box 10142, Pacific Centre  
 701 West Georgia Street  
 Vancouver, BC V7Y 1L2  
 Attention: Freedom of Information Officer  
 Telephone: (604) 899-6500  
 or (800) 373-6393 (in BC)

**Ontario**

Ontario Securities Commission  
 Suite 1903, Box 55  
 20 Queen Street West  
 Toronto, ON M5H 3S8  
 Attention: Compliance and Registrant Regulation  
 Telephone: (416) 593-8314  
 e-mail: registration@osc.gov.on.ca

**Manitoba**

The Manitoba Securities Commission  
 500 - 400 St. Mary Avenue  
 Winnipeg, MB R3C 4K5  
 Attention: Director of Registrations  
 Telephone (204) 945-2548  
 Fax (204) 945-0330

**Prince Edward Island**

Securities Registry  
 Office of the Attorney General B Consumer, Corporate and Insurance Services Division  
 P.O. Box 2000  
 Charlottetown, PE C1A 7N8  
 Attention: Deputy Registrar of Securities  
 Telephone: (902) 368-6288

**New Brunswick**

New Brunswick Securities Commission  
 Suite 300, 85 Charlotte Street  
 Saint John, NB E2L 2J2  
 Attention: Director, Regulatory Affairs  
 Telephone: (506) 658-3060

**Québec**

Autorité des marchés financiers  
 800, square Victoria, 22<sup>e</sup> étage  
 C.P. 246, tour de la Bourse  
 Montréal (Québec) H4Z 1G3  
 Attention: Responsable de l'accès à l'information  
 Telephone: (514) 395-0337 or (877) 525-0337 (in Québec)

**Newfoundland and Labrador****Saskatchewan**

Saskatchewan Financial Services Commission  
 Suite 601, 1919 Saskatchewan Drive  
 Regina, SK S4P 4H2  
 Attention: Director  
 Telephone: (306) 787-5842



Securities NL  
 Financial Services  
 Regulation Division  
 Department of  
 Government Services  
 P.O. Box 8700, 2nd Floor,  
 West Block  
 Confederation Building  
 St. John's, NL A1B 4J6  
 Attention: Manager of  
 Registrations  
 Tel: (709) 729-5661

#### **Nova Scotia**

Nova Scotia Securities  
 Commission  
 Suite 400, 5251 Duke Street  
 Halifax, NS B3J 1P3  
 Attention: Deputy Director,  
 Capital Markets  
 Telephone: (902) 424-7768

#### **Northwest Territories**

Government of the  
 Northwest Territories  
 P.O. Box 1320  
 Yellowknife, NWT X1A 2L9  
 Attention: Deputy  
 Superintendent of  
 Securities  
 Telephone: (867) 920-8984

#### **Yukon**

Office of the Yukon Superintendent of Securities  
 Government of Yukon  
 Department of Community Services  
 307 Black Street, 1<sup>st</sup> Floor  
 P.O. Box 2703 (C-6)  
 Whitehorse, YT Y1A 2C6  
 Attention: Superintendent of Securities  
 Telephone: (867) 667-5466  
 Fax: (867) 393-6251  
[http://www.community.gov.yk/corp/securities\\_about.html](http://www.community.gov.yk/corp/securities_about.html)

#### **Self-regulatory organization**

Investment Industry Regulatory Organization of Canada  
 121 King Street West, Suite 1600  
 Toronto, Ontario M5H 3T9  
 Attention: Privacy Officer  
 Telephone: (416) 364-6133  
 E-mail: PrivacyOfficer@iiroc.ca

**Schedule B**  
**Submission to jurisdiction and appointment of agent for service**

1. Name of person or company (the "Firm"):
2. Jurisdiction of incorporation of the person or company:
3. Name of agent for service of process (the "Agent for Service"):
4. Address for service of process on the Agent for Service:  
  
 Phone number of the Agent for Service:  
 \_\_\_\_\_
5. The Firm designates and appoints the Agent for Service at the address stated above as its agent upon whom may be served a notice, pleading, subpoena, summons or other process in any action, investigation or administrative, criminal, quasi-criminal or other proceeding (a "Proceeding") arising out of or relating to or concerning the Firm's activities in the local jurisdiction and irrevocably waives any right to raise as a defense in any such proceeding any alleged lack of jurisdiction to bring such Proceeding.
6. The Firm irrevocably and unconditionally submits to the non-exclusive jurisdiction of the judicial, quasi-judicial and administrative tribunals of the local jurisdiction and any administrative proceeding in the local jurisdiction, in any proceeding arising out of or related to or concerning the Firm's activities in the local jurisdiction.
7. Until six years after the Firm ceases to be registered, the Firm must file
  - a. a new Submission to Jurisdiction and Appointment of Agent for Service in this form no later than the 10th day after the date this Submission to Jurisdiction and Appointment of Agent for Service is terminated; and
  - b. an amended Submission to Jurisdiction and Appointment of Agent for Service no later than the 10th day after any change in the name or above address of the Agent for Service.
8. This Submission to Jurisdiction and Appointment of Agent for Service is governed by and construed in accordance with the laws of the local jurisdiction.

Dated: \_\_\_\_\_

\_\_\_\_\_  
 (Signature of the Firm or authorized signatory)

\_\_\_\_\_  
 (Name and Title of authorized signatory)

**Acceptance**

The undersigned accepts the appointment as Agent for Service of (Insert name of the Firm) under the terms and conditions of the foregoing Submission to Jurisdiction and Appointment of Agent for Service.

Dated: \_\_\_\_\_

\_\_\_\_\_  
(Signature of Agent for Service or authorized signatory)

\_\_\_\_\_  
(Name and Title of authorized signatory)

**Schedule C**  
**FORM 31-103F1 Calculation of excess working capital**

\_\_\_\_\_  
Firm Name

Capital Calculation  
(as at \_\_\_\_\_ with comparative figures as at \_\_\_\_\_)

	Component	Current period	Prior period
1.	Current assets		
2.	Less current assets not readily convertible into cash (e.g., prepaid expenses)		
3.	Adjusted current assets Line 1 minus line 2 =		
4.	Current liabilities		
5.	Add 100% of long-term related party debt unless the firm and the lender have executed a subordination agreement in the form set out in Appendix B and the firm has delivered a copy of the agreement to the regulator or, in Québec, the securities regulatory authority		
6.	Adjusted current liabilities Line 4 plus line 5 =		
7.	Adjusted working capital Line 3 minus line 6 =		
8.	Less minimum capital		
9.	Less market risk		
10.	Less any deductible under the bonding or insurance policy required under Part 12 of National Instrument 31-103, <i>Registration Requirements, Exemptions and Ongoing Registrant Obligations</i>		
11.	Less Guarantees		

12	Less unresolved differences		
13	<b>Excess working capital</b>		

**Notes:**

This form must be prepared using the accounting principles that you use to prepare your financial statements in accordance with National Instrument 52-107 *Acceptable Accounting Principles and Auditing Standards*. Section 12.1 of Companion Policy 31-103CP *Registration Requirements, Exemptions and Ongoing Registrant Obligations* provides further guidance in respect of these accounting principles.

**Line 5. Related-party debt** – Refer to the CICA Handbook for the definition of “related party” for publicly accountable enterprises.

**Line 8. Minimum Capital** – The amount on this line must be not less than (a) \$25,000 for an adviser and (b) \$50,000 for a dealer. For an investment fund manager, the amount must be not less than \$100,000 unless subsection 12.1(4) applies.

**Line 9. Market Risk** – The amount on this line must be calculated according to the instructions set out in Schedule 1 to this Form.

**Line 11. Guarantees** – If the registered firm is guaranteeing the liability of another party, the total amount of the guarantee must be included in the capital calculation. If the amount of a guarantee is included in the firm’s statement of financial position as a current liability and is reflected in line 4, do not include the amount of the guarantee on line 11.

**Line 12. Unresolved differences** – Any unresolved differences that could result in a loss from either firm or client assets must be included in the capital calculation. The examples below provide guidance as to how to calculate unresolved differences:

- (i) If there is an unresolved difference relating to client securities, the amount to be reported on Line 12 will be equal to the fair value of the client securities that are short, plus the applicable margin rate for those securities.
- (ii) If there is an unresolved difference relating to the registrant’s investments, the amount to be reported on Line 12 will be equal to the fair value of the investments (securities) that are short.
- (iii) If there is an unresolved difference relating to cash, the amount to be reported on Line 12 will be equal to the amount of the shortfall in cash.

Please refer to section 12.1 of Companion Policy 31-103CP *Registration Requirements, Exemptions and Ongoing Registrant Obligations* for further guidance on how to prepare and file this form.

**Management Certification**

**Registered Firm Name:** \_\_\_\_\_

We have examined the attached capital calculation and certify that the firm is in compliance with the capital requirements as at \_\_\_\_\_.

**Name and Title****Signature****Date**

1. \_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

2. \_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**Schedule 1 of Form 31-103F1 Calculation of Excess Working Capital  
(calculating line 9 [market risk])**

For purposes of completing this form:

- (1) "Fair value" means the value of a security determined in accordance with Canadian GAAP applicable to publicly accountable enterprises.
- (2) For each security whose value is included in line 1, Current Assets, multiply the fair value of the security by the margin rate for that security set out below. Add up the resulting amounts for all of the securities you hold. The total is the "market risk" to be entered on line 9.

**(a) Bonds, Debentures, Treasury Bills and Notes**

- (i) Bonds, debentures, treasury bills and other securities of or guaranteed by the Government of Canada, of the United Kingdom, of the United States of America and of any other national foreign government (provided such foreign government securities are currently rated Aaa or AAA by Moody's Canada Inc. or its DRO affiliate or Standard & Poor's Rating Services (Canada) or its DRO affiliate, respectively), maturing (or called for redemption):

within 1 year:	1% of fair value multiplied by the fraction determined by dividing the number of days to maturity by 365
over 1 year to 3 years:	1 % of fair value
over 3 years to 7 years:	2% of fair value
over 7 years to 11 years:	4% of fair value
over 11 years:	4% of fair value

- (ii) Bonds, debentures, treasury bills and other securities of or guaranteed by any jurisdiction of Canada and obligations of the International Bank for Reconstruction and Development, maturing (or called for redemption):

within 1 year:	2% of fair value multiplied by the fraction determined by dividing the number of days to maturity by 365
over 1 year to 3 years:	3 % of fair value
over 3 years to 7 years:	4% of fair value
over 7 years to 11 years:	5% of fair value
over 11 years:	5% of fair value

- (iii) Bonds, debentures or notes (not in default) of or guaranteed by any municipal corporation in Canada or the United Kingdom maturing:

within 1 year: 3% of fair value multiplied by the fraction determined by dividing the number of days to maturity by 365

over 1 year to 3 years: 5% of fair value

over 3 years to 7 years: 5% of fair value

over 7 years to 11 years: 5% of fair value

over 11 years: 5% of fair value

- (iv) Other non-commercial bonds and debentures, (not in default): 10% of fair value

- (v) Commercial and corporate bonds, debentures and notes (not in default) and non-negotiable and non-transferable trust company and mortgage loan company obligations registered in the registered firm's name maturing:

within 1 year: 3% of fair value

over 1 year to 3 years: 6% of fair value

over 3 years to 7 years: 7% of fair value

over 7 years to 11 years: 10% of fair value

over 11 years: 10% of fair value

**(b) Bank Paper**

Deposit certificates, promissory notes or debentures issued by a Canadian chartered bank (and of Canadian chartered bank acceptances) maturing:

within 1 year: 2% of fair value multiplied by the fraction determined by dividing the number of days to maturity by 365

over 1 year: apply rates for commercial and corporate bonds, debentures and notes

**(c) Acceptable foreign bank paper**

Deposit certificates, promissory notes or debentures issued by a foreign bank, readily negotiable and transferable and maturing:

within 1 year: 2% of fair value multiplied by the fraction determined by dividing the number of days to maturity by 365

over 1 year: apply rates for commercial and corporate bonds, debentures and notes



“Acceptable Foreign Bank Paper” consists of deposit certificates or promissory notes issued by a bank other than a Canadian chartered bank with a net worth (i.e., capital plus reserves) of not less than \$200,000,000.

**(d) Mutual Funds**

Securities of mutual funds qualified by prospectus for sale in any jurisdiction of Canada:

- (i) 5% of the net asset value per security as determined in accordance with National Instrument 81-106 *Investment Fund Continuous Disclosure*, where the fund is a money market mutual fund as defined in National Instrument 81-102 *Mutual Funds*; or
- (ii) the margin rate determined on the same basis as for listed stocks multiplied by the net asset value per security of the fund as determined in accordance with National Instrument 81-106 *Investment Fund Continuous Disclosure*.

**(e) Stocks**

In this paragraph, “securities” includes rights and warrants and does not include bonds and debentures.

- (i) On securities including investment fund securities, rights and warrants, listed on any exchange in Canada or the United States of America:

Long Positions – Margin Required

Securities selling at \$2.00 or more – 50% of fair value

Securities selling at \$1.75 to \$1.99 – 60% of fair value

Securities selling at \$1.50 to \$1.74 – 80% of fair value

Securities selling under \$1.50 – 100% of fair value

Short Positions – Credit Required

Securities selling at \$2.00 or more – 150% of fair value

Securities selling at \$1.50 to \$1.99 - \$3.00 per share

Securities selling at \$0.25 to \$1.49 – 200% of fair value

Securities selling at less than \$0.25 – fair value plus \$0.25 per shares

- (ii) For positions in securities that are constituent securities on a major broadly-based index of one of the following exchanges, 50% of the fair value:
  - (a) Australian Stock Exchange Limited
  - (b) Bolsa de Madrid
  - (c) Borsa Italiana
  - (d) Copenhagen Stock Exchange
  - (e) Euronext Amsterdam
  - (f) Euronext Brussels
  - (g) Euronext Paris S.A.
  - (h) Frankfurt Stock Exchange
  - (i) London Stock Exchange
  - (j) New Zealand Exchange Limited
  - (k) Stockholm Stock Exchange
  - (l) Swiss Exchange
  - (m) The Stock Exchange of Hong Kong Limited
  - (n) Tokyo Stock Exchange

**(f) Mortgages**

- (i) For a firm registered in any jurisdiction of Canada except Ontario:
  - (a) Insured mortgages (not in default): 6% of fair value
  - (b) Mortgages which are not insured (not in default): 12% of fair value of the loan or the rates set by Canadian financial institutions or Schedule III banks, whichever is greater.
- (ii) For a firm registered in Ontario:
  - (a) Mortgages insured under the National Housing Act (Canada) (not in default): 6% of fair value
  - (b) Conventional first mortgages (not in default): 12% of fair value of the loan or the rates set by Canadian financial institutions or Schedule III banks, whichever is greater.

If you are registered in Ontario regardless of whether you are also registered in another jurisdiction of Canada, you will need to apply the margin rates set forth in (ii) above.

- (g) For all other securities – 100% of fair value.

**FORM 33-109F7**  
**REINSTATEMENT**  
**OF REGISTERED INDIVIDUALS AND PERMITTED INDIVIDUALS**  
**(sections 2.3 and 2.5(2))**

**GENERAL INSTRUCTIONS**

Complete and submit this form to the relevant regulator(s) or in Québec, the securities regulatory authority, or self-regulatory organization (SRO) if an individual has left a sponsoring firm and is seeking to reinstate their registration in the same category or reinstate their same status of permitted individual as before with a sponsoring firm. You only need to complete and submit one form regardless of the number of registration categories or permitted individual statuses you are seeking to be reinstated in.

An individual may reinstate their registration or permitted individual status by submitting this form. This form may only be used if all of the following apply:

1. this form is submitted on or before the end of three months after the cessation date of the individual's employment, partnership or agency relationship with the individual's former sponsoring firm,
2. there have been no changes to the information previously submitted in respect of Items 13 (Regulatory Disclosure), 14 (Criminal Disclosure), 15 (Civil Disclosure) and 16 (Financial Disclosure) of the individual's Form 33-109F4 since the individual left their former sponsoring firm, and
3. the individual's employment, partnership or agency relationship with their former sponsoring firm did not end because the individual was asked by the firm to resign, resigned voluntarily or was dismissed, following an allegation against the individual of criminal activity, a breach of securities legislation, or a breach of the rules of an SRO.

If you do not meet all of the above conditions then you must apply for reinstatement by completing on NRD a Form 33-109F4 by making the NRD submission entitled 'Reactivation of Registration'.

**Terms**

In this form, "you", "your" and "individual" means the individual who is seeking to reinstate their registration or their status as permitted individual.

"former sponsoring firm" means the registered firm where you most recently carried out duties as a registered or permitted individual.

"major shareholder" and "shareholder" mean a shareholder who, in total, directly or indirectly owns voting securities carrying 10 per cent or more of the votes carried by all outstanding voting securities.

“new sponsoring firm” means the registered firm where you will begin carrying out duties as a registered or permitted individual when your registration or permitted individual status is reinstated.

Several terms used in this form are defined in the Form 33-109F4 [*Registration of Individuals and Review of Permitted Individuals*] that you submitted when you first became registered or elsewhere in the securities legislation of your province or territory. Please refer to those definitions.

## How to submit this form

### **NRD format**

Submit this form at the National Registration Database (NRD) website in NRD format at [www.nrd.ca](http://www.nrd.ca). If you have any questions, contact the compliance, registration or legal department of the new sponsoring firm or a legal adviser, or visit the NRD information website at [www.nrd-info.ca](http://www.nrd-info.ca).

### **Format, other than NRD format**

If you are relying on the temporary hardship exemption in section 5.1 of National Instrument 31-102 *National Registration Database*, you may submit this form in a format other than NRD format.

If you need more space, use a separate sheet of paper. Clearly identify the Item and question number. Complete and sign the form, and send it to the relevant regulator(s) or, in Québec, the securities regulatory authority, SRO (s) or similar authority. The number of originally signed copies of the form you are required to submit depends on the province or territory, and on the regulator, the securities regulatory authority or SRO.

To avoid delays in processing this form, be sure to answer all of the items that apply to you. If you have questions, contact the compliance, registration or legal department of the new sponsoring firm or a legal adviser, or visit the National Registration Database information website at [www.nrd-info.ca](http://www.nrd-info.ca).

## Item 1 Name

1. NRD number: \_\_\_\_\_

2. Legal name

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Last name (N/A <input type="checkbox"/> )	First name	Second name (N/A <input type="checkbox"/> )	Third name
--	------------	---	------------

3. Date of birth (YYYY/MM/DD):

#### 4. Use of other names

Are you currently using, or have you ever used, operated under, or carried on business under, a name other than the name(s) mentioned above (for example, trade names for sole proprietorships or team names)?

Yes  No

If "yes", complete Schedule A.

#### Item 2 Number of jurisdictions

1. Are you seeking to reinstate your registration or permitted individual status in more than one jurisdiction of Canada?

Yes  No

2. Check each province or territory in which you are seeking reinstatement of registration or reinstatement as a permitted individual:

- All jurisdictions
- Alberta
- British Columbia
- Manitoba
- New Brunswick
- Newfoundland and Labrador
- Northwest Territories
- Nova Scotia
- Nunavut
- Ontario
- Prince Edward Island
- Québec
- Saskatchewan
- Yukon

#### Item 3 Individual categories

1. On Schedule B, check each category for which you are seeking to reinstate your registration or permitted individual status. If you are seeking reinstatement of status as a permitted individual, check each category that describes your position with your new sponsoring firm.

2. If you are seeking reinstatement as a representative of a mutual fund dealer or of a scholarship plan dealer in Québec, are you covered by your new sponsoring firm's professional liability insurance?

Yes  No

If "No", state:

The name of your insurer \_\_\_\_\_

Your policy number \_\_\_\_\_

#### **Item 4 Address and agent for service**

##### **1. Address for service**

You must have one address for service in each province or territory where you are submitting this form. A residential or business address is acceptable. A post office box is not acceptable. Complete Schedule C for each additional address for service you are providing.

Address for service:

\_\_\_\_\_  
(number, street, city, province or territory, postal code)

Telephone number \_\_\_\_\_ Fax number, if applicable \_\_\_\_\_

E-mail address, if available \_\_\_\_\_

##### **2. Agent for service**

If you have appointed an agent for service, provide the following information for the agent in each province or territory where you have an agent for service. The address of your agent for service must be the same as the address for service above. If your agent for service is not an individual, provide the name of your contact person.

Name of agent for service:

\_\_\_\_\_

Contact person:

\_\_\_\_\_

Last name, First name

**Item 5 Location of employment**

1. Provide the following information for your new sponsoring firm. If you will be working out of more than one location, provide the following information for the location out of which you will be doing most of your business.

Unique Identification Number (optional): \_\_\_\_\_

NRD location number: \_\_\_\_\_

Business address:

\_\_\_\_\_  
(number, street, city, province, territory or state, country, postal code)

Telephone number: (\_\_\_\_) \_\_\_\_\_ Fax number: (\_\_\_\_) \_\_\_\_\_

2. If the new sponsoring firm has a foreign head office, and/or you are not a resident of Canada, provide the address for the location in which you will be conducting business.

Business address: \_\_\_\_\_  
(number, street, city, province, territory or state, country, postal code)

Telephone number: (\_\_\_\_) \_\_\_\_\_ Fax number: (\_\_\_\_) \_\_\_\_\_

[The following under #3 "Type of location", #4 and #5 is for a Format other than NRD format only]

3. Type of location:

Head office       Branch or Business Location       Sub-branch

4. Name of branch manager: \_\_\_\_\_

5.  Check here if the mailing address of the location is the same as the business address provided above. Otherwise, complete the following:

Mailing address:

\_\_\_\_\_  
(number, street, city, province, territory or state, country, postal code)

**Item 6 Previous employment**

Provide the following information for your former sponsoring firm.

Name: \_\_\_\_\_

Date on which you were no longer authorized to act on behalf of your former sponsoring firm as a registered individual or permitted individual: \_\_\_\_\_  
(YYYY/MM/DD)

The reason why you left your former sponsoring firm:

---

**Item 7 Current employment, other business activities, officer positions held and directorships**

Name of your new sponsoring firm: \_\_\_\_\_

Complete a separate Schedule D for each of your current business and employment activities, including employment and business activities with your new sponsoring firm and any employment and business activities outside your new sponsoring firm. Also include all business related officer or director positions and any other equivalent positions held, whether you receive compensation or not.

**Item 8 Ownership of securities in new sponsoring firm**

Are you a partner or major shareholder of your new sponsoring firm?

Yes  No

If "Yes", complete Schedule E.

**Item 9 Confirm permanent record**

1. Check the appropriate box to indicate that, since leaving your former sponsoring firm, there has been a change to any information previously submitted for the items of your Form 33-109F4 that are listed below.

- Regulatory disclosure (Item 13)
- Criminal disclosure (Item 14)
- Civil disclosure (Item 15)
- Financial disclosure (Item 16)

2. Check the box below - ***I am eligible to file this Form 33-109F7, only*** if you satisfy both of the following conditions:

(a) there are no changes to any of the disclosure items under Item 9.1 above, and



(b) your employment, partnership or agency relationship with your former sponsoring firm did not end because you were asked by the firm to resign or resigned voluntarily, or were dismissed, following an allegation against you of

- criminal activity,
- a breach of securities legislation, or
- a breach of the rules of an SRO.

If you do not meet the above conditions for selecting the box '*I am eligible to file this Form 33-109F7*', then you must apply for reinstatement by completing on NRD a Form 33-109F4 by making the NRD submission entitled '**Reactivation of Registration**'. If you are submitting a Form 33-109F4 in a format other than NRD format you must complete the entire form.

I am eligible to file this Form 33-109F7.

#### **Item 10 Acknowledgements, submission to jurisdiction and notice of collection and use of personal information**

By submitting this form, you:

- acknowledge that the submission to jurisdiction, consent to collection and use of personal information, and authorization in respect of SROs (to the extent applicable) that you provided in your Form 33-109F4 remain in effect and extend to this form
- consent to the collection and disclosure of your personal information by regulators and by your sponsoring firm, in each case, for registration and other related regulatory purposes.

If you have any questions about the collection and use of your personal information, contact the securities regulatory authority or applicable SRO in the relevant jurisdiction. See Schedule F for details. In Québec, you can also contact the Commission d'accès à l'information at 1-888-528-7741 or visit its website at [www.cai.gouv.qc.ca](http://www.cai.gouv.qc.ca).

You acknowledge and agree that if you are seeking reinstatement of your registration and it was subject to any undischarged terms and conditions when you left your former sponsoring firm, those terms and conditions will remain in effect at your new sponsoring firm.

#### **Item 11 Warning**

**It is an offence under securities legislation and/or derivatives legislation, including commodity futures legislation, to give false or misleading information on this form.**

**Item 12 Certification****1. Certification - NRD format:**

I confirm I have discussed the questions in this form with an officer, branch manager or supervisor of my sponsoring firm. To the best of my knowledge, the officer, branch manager or supervisor was satisfied that I fully understood the questions. I will limit my activities to those permitted by my category of registration.

I am making this submission as agent for the individual. By checking this box, I certify that the individual provided me with all of the information on this form.

**2. Certification - Format other than NRD format:****Individual**

By signing below, I certify to the regulator, or in Québec the securities regulatory authority, in each jurisdiction where I am submitting this form, either directly or through the principal regulator that:

- I have read the form and understand the questions, and
- all of the information provided on this form is true, and complete.

Signature of individual \_\_\_\_\_ Date signed \_\_\_\_\_  
(YYYY/MM/DD)

**Authorized partner or officer of the new sponsoring firm**

By signing below, I certify to the regulator, or in Québec the securities regulatory authority, in each jurisdiction where I am submitting this form for the individual that:

- the individual will be engaged by the new sponsoring firm as a registered individual or a permitted individual
- I have, or a branch manager or another officer or supervisor has, discussed the questions set out in this form with the individual and, to the best of my knowledge, the individual fully understands the questions, and
- the new sponsoring firm understands that if the individual's reinstatement of registration was subject to any undischarged terms and conditions when the individual left their former sponsoring firm, those terms and conditions remain in effect and agrees to assume any ongoing obligations that apply to the sponsoring firm in respect of the individual under those terms and conditions.

Name of firm \_\_\_\_\_

Name of authorized signing officer or partner \_\_\_\_\_

Title of authorized signing officer or partner \_\_\_\_\_

Signature of authorized signing officer or partner \_\_\_\_\_

Date signed \_\_\_\_\_  
(YYYY/MM/DD)

**SCHEDULE A**  
**Use of other names (Item 1.4)**

**Item 1.4 Use of other names**

**Name 1:**

Name: \_\_\_\_\_

Provide the reasons for the use of this other name (for example, trade name or team name)?: \_\_\_\_\_

If this other name is or was used in connection with any sponsoring firm, did the sponsoring firm approve the use of the name?

Yes  No

When did you use this name? From: \_\_\_\_\_ To: \_\_\_\_\_  
 (YYYY/MM) (YYYY/MM)

**Name 2:**

Name: \_\_\_\_\_

Provide the reasons for the use of this other name (for example, trade name or team name):

If this other name is or was used in connection with any sponsoring firm, did the sponsoring firm approve the use of the name?

Yes  No

When did you use this name? From: \_\_\_\_\_ To: \_\_\_\_\_  
 (YYYY/MM) (YYYY/MM)

**Name 3:**

Name: \_\_\_\_\_

Provide the reasons for the use of this other name (for example, trade name or team name):

If this other name is or was used in connection with any sponsoring firm, did the sponsoring firm approve the use of the name?

Yes  No

When did you use this name?

From:

To:

\_\_\_\_\_  
(YYYY/MM)

\_\_\_\_\_  
(YYYY/MM)

**SCHEDULE B**  
**Individual Categories (Item 3)**

Check each category for which you are seeking reinstatement of registration, approval or permitted individual status

**Categories Common to all jurisdictions under securities legislation**

***Firm categories [Format other than NRD format only]***

- Investment Dealer
- Mutual Fund Dealer
- Scholarship Plan Dealer
- Exempt Market Dealer
- Restricted Dealer
- Portfolio Manager
- Restricted Portfolio Manager
- Investment Fund Manager

***Individual categories and permitted activities***

- Dealing Representative
- Advising Representative
- Associate Advising Representative
- Ultimate Designated Person
- Chief Compliance Officer
- Officer – Specify title:
  - Director
  - Partner
  - Shareholder
  - Branch Manager (MFDA members only)
  - IIROC approval only

**IIROC**

***Approval categories***

- Executive

- Director (Industry)
- Director (Non-Industry)
- Supervisor
- Investor
- Registered Representative
- Investment Representative
- Trader

***Additional approval categories***

- Chief Compliance Officer
- Chief Financial Officer
- Ultimate Designated Person

***Products***

- Non-Trading
- Securities
- Options
- Futures Contracts and Futures Contract Options
- Mutual Funds only

***Customer type***

- Retail
- Institutional
- Not Applicable

***Portfolio management***

- Portfolio Management

**Categories under local commodity futures and derivatives legislation**

**Ontario**

***Firm categories***

- Commodity Trading Adviser
- Commodity Trading Counsel
- Commodity Trading Manager
- Futures Commission Merchant

***Individual categories and permitted activities***

- Advising Representative
- Salesperson
- Branch Manager
- Officer – Specify title:
- Director
- Partner
- Shareholder
- IIROC approval only

**Manitoba*****Firm categories***

- Dealer (Merchant)
- Dealer (Futures Commission Merchant)
- Dealer (Floor Broker)
- Adviser
- Local

***Individual categories and permitted activities***

- Floor Trader
- Salesperson
- Branch Manager
- Adviser
- Officer – Specify title
- Director
- Partner
- Futures Contracts Portfolio Manager
- Associate Futures Contracts Portfolio Manager
- IIROC approval only
- Local

**Québec – activities relating to derivatives**

*For information purposes, indicate whether you will carry on activities as a*

***representative of:***

An Investment Dealer Acting as a Derivatives dealer

A Portfolio Manager Acting as a Derivatives portfolio manager



**SCHEDULE C**  
**Address and agent for service (Item 4)**

**Item 4.1 Address for service**

You must have one address for service in each province or territory in which you are now, or are seeking to become, a registered individual or permitted individual. A post office box is not an acceptable address for service.

Address for service:

---

(number, street, city, province or territory, postal code)

Telephone number: (\_\_\_\_) \_\_\_\_\_ Fax number: (\_\_\_\_) \_\_\_\_\_

E-mail address: \_\_\_\_\_

**Item 4.2 Agent for service**

If you have appointed an agent for service, provide the following information for the agent. The address for service provided above must be the address of the agent named below.

Name of agent for service: \_\_\_\_\_

*(if applicable)*

Contact person:

---

Last name, First name

**SCHEDULE D****Current employment, other business activities, officer positions held and directorships  
(Item 7)**

Complete a separate Schedule E for each of your current business and employment activities with your sponsoring firm and with all other organizations. This includes any business related officer or director positions held, or any other equivalent positions held, whether you receive compensation or not.

**1. Start date**

\_\_\_\_\_

(YYYY/MM/DD)

**2. Firm information**

Check here if this activity is employment with your sponsoring firm.

If the activity is with your sponsoring firm, you are not required to indicate the firm name and address information below:

Name of business or employer: \_\_\_\_\_

Address of business or employer: \_\_\_\_\_  
(number, street, city, province, territory or state, country)

Name and title of your immediate supervisor: \_\_\_\_\_

**3. Description of duties**

Describe all employment and business activities related to this employer. Include the nature of the business and your duties, title or relationship with the business. If you are seeking registration that requires specific experience, include details with this firm such as level of responsibility, value of accounts under direct supervision, number of years of experience, and percentage of time spent on each activity.

\_\_\_\_\_  
\_\_\_\_\_

**4. Number of work hours per week**

How many hours per week do you devote to this business or employment?

\_\_\_\_\_

If this activity is employment with your sponsoring firm and you work less than 30 hours per week, explain why.

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**5. Conflict of Interest**

If you have more than one employer or are engaged in business related activities:

A. Disclose any potential for confusion by clients and any potential for conflicts of interest arising from your multiple employment or business related activities or proposed business related activities.

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B. Indicate whether or not any of your employers or organizations where you engage in business related activities are listed on an exchange.

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C. Confirm whether the firm has procedures for minimizing potential conflicts of interest and if so, confirm that you are aware of these procedures.

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D. If you do not perceive any conflicts of interest arising from this employment, explain why.

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**SCHEDULE E**  
**Ownership of securities and derivatives firms (Item 8)**

Firm name: \_\_\_\_\_

What is your relationship to the firm?    Partner        Major shareholder

What is the period of this relationship?

From:	To:	<i>(if applicable)</i>
(YYYY/MM)	(YYYY/MM)	

Provide the following information:

a)    State the number, value, class and percentage of securities, or the amount of partnership interest you own or propose to acquire when you are reinstated or approved as a result of the review of this form. If acquiring shares when you are so approved or registered, state the source (for example, treasury shares, or if upon transfer, state name of transferor).

\_\_\_\_\_  
 \_\_\_\_\_

b)    State the market value (approximate, if necessary) of any subordinated debentures or bonds of the firm to be held by you or any other subordinated loan to be made by you to the firm:

\_\_\_\_\_  
 \_\_\_\_\_

c)    If another person or firm has provided you with funds to invest in the firm, provide the name of the person or firm and state the relationship between you and that person or firm:

\_\_\_\_\_  
 \_\_\_\_\_

d)    Are the funds to be invested (or proposed to be invested) guaranteed directly or indirectly by any person or firm?

Yes       No   

If "Yes", provide the name of the person or firm and state the relationship between you and that person or firm:

\_\_\_\_\_  
 \_\_\_\_\_

e) Have you directly or indirectly given up any rights relating to these securities or this partnership interest, or do you, when you are registered or approved as a result of the review of this form, intend to give up any of these rights (including by hypothecation, pledging or depositing as collateral the securities or partnership interest with any firm or person)?

Yes  No

If "Yes", provide the name of the person or firm, state the relationship between you and that person or firm and describe the rights that have been or will be given up: \_\_\_\_\_

f) Is a person other than you the beneficial owner of the shares, bonds, debentures, partnership units or notes held by you?

Yes  No

If "Yes", complete (g), (h) and (i).

g) Name of beneficial owner:

Last name	First name	Second name (if applicable)	Third name (if applicable)

h) Residential address:

\_\_\_\_\_  
 \_\_\_\_\_  
 (number, street, city, province, territory or state, country, postal code)

i) Occupation: \_\_\_\_\_

**SCHEDULE F**  
**Contact information for**  
**Notice of collection and use of personal information**

**Alberta**

Alberta Securities Commission,  
 Suite 600, 250-5<sup>th</sup> St. SW  
 Calgary, AB T2P 0R4  
 Attention: Information Officer  
 Telephone: (403) 355-4151

**British Columbia**

British Columbia Securities Commission  
 P.O. Box 10142, Pacific Centre  
 701 West Georgia Street  
 Vancouver, BC V7Y 1L2  
 Attention: Freedom of Information  
 Officer  
 Telephone: (604) 899-6500 or (800) 373-  
 6393 (in BC)

**Manitoba**

The Manitoba Securities Commission  
 500 - 400 St. Mary Avenue  
 Winnipeg, MB R3C 4K5  
 Attention: Director of Registrations  
 Telephone (204) 945-2548  
 Fax (204) 945-0330

**New Brunswick**

New Brunswick Securities Commission  
 Suite 300, 85 Charlotte Street  
 Saint John, NB E2L 2J2  
 Attention: Director, Regulatory Affairs  
 Telephone: (506) 658-3060

**Newfoundland and Labrador**

Securities NL  
 Financial Services Regulation Division  
 Department of Government Services  
 P.O. Box 8700, 2nd Floor, West Block  
 Confederation Building  
 St. John's, NL A1B 4J6  
 Attention: Manager of Registrations  
 Tel: (709) 729-5661

**Nunavut**

Legal Registries Division  
 Department of Justice  
 Government of Nunavut  
 P.O. Box 1000 Station 570  
 Iqaluit, NU X0A 0H0  
 Attention: Deputy Registrar of Securities  
 Telephone: (867) 975-6590

**Ontario**

Ontario Securities Commission  
 Suite 1903, Box 55  
 20 Queen Street West  
 Toronto, ON M5H 3S8  
 Attention: Compliance and Registrant  
 Regulation  
 Telephone: (416) 593-8314  
 e-mail: registration@osc.gov.on.ca

**Prince Edward Island**

Securities Registry  
 Office of the Attorney General B Consumer,  
 Corporate and  
 Insurance Services Division  
 P.O. Box 2000  
 Charlottetown, PE C1A 7N8  
 Attention: Deputy Registrar of Securities  
 Telephone: (902) 368-6288

**Québec**

Autorité des marchés financiers  
 800, square Victoria, 22<sup>e</sup> étage  
 C.P. 246, tour de la Bourse  
 Montréal (Québec) H4Z 1G3  
 Attention: Responsable de l'accès à  
 l'information  
 Telephone: (514) 395-0337 or (877) 525-0337  
 (in Québec)

**Nova Scotia**

Nova Scotia Securities Commission  
 Suite 400, 5251 Duke Street  
 Halifax, NS B3J 1P3  
 Attention: Deputy Director, Capital  
 Markets  
 Telephone: (902) 424-7768

**Northwest Territories**

Government of the Northwest Territories  
 P.O. Box 1320  
 Yellowknife, NWT X1A 2L9  
 Attention: Deputy Superintendent of  
 Securities  
 Telephone: (867) 920-8984

**Saskatchewan**

Saskatchewan Financial Services Commission  
 Suite 601, 1919 Saskatchewan Drive  
 Regina, SK S4P 4H2  
 Attention: Director  
 Telephone: (306) 787-5842

**Yukon**

Office of the Yukon Superintendent of  
 Securities  
 Government of Yukon  
 Department of Community Services  
 307 Black Street, 1<sup>st</sup> Floor  
 P.O. Box 2703 (C-6)  
 Whitehorse, YT Y1A 2C6  
 Attention: Superintendent of Securities  
 Telephone: (867) 667-5466  
 Fax: (867) 393-6521  
[http://www.community.gov.yk.ca/corp/securities\\_about.html](http://www.community.gov.yk.ca/corp/securities_about.html)

**Self-regulatory organization**

Investment Industry Regulatory Organization  
 of Canada  
 121 King Street West, Suite 1600  
 Toronto, Ontario M5H 3T9  
 Attention: Privacy Officer  
 Telephone: (416) 364-6133  
 E-mail: PrivacyOfficer@iiroc.ca