

# Chapter 5

## Rules and Policies

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### 5.1.1 Multilateral Instrument 33-109, Registration Information

#### MULTILATERAL INSTRUMENT 33-109

#### REGISTRATION INFORMATION

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**MULTILATERAL INSTRUMENT 33-109  
REGISTRATION INFORMATION**

**PART 1 DEFINITIONS**

**1.1 Definitions** - In this Instrument

“Form 3” means the required form for an application for registration as dealer, adviser, or underwriter in the local jurisdiction;

“Form 4” means the form that was required for an application for registration for an individual in the local jurisdiction before February 21, 2003.

“non-registered individual” means, for a registered firm or for a person or company that is applying for registration, an individual who is not registered to trade or advise on behalf of the firm and who

- (a) is a director, partner, officer, or branch manager of the firm, or
- (b) in Alberta, British Columbia, and Ontario,
  - (i) is a director, partner, officer, or branch manager of the firm, or
  - (ii) beneficially owns, directly or indirectly, or exercises control or direction over, 10 percent or more of the voting securities of the firm;

“MI 31-102” means Multilateral Instrument 31-102 National Registration Database;

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

“registered firm” means a person or company that is registered as a dealer, adviser, or underwriter;

“registered individual” means, for a registered firm, an individual who is registered to trade or advise on behalf of the registered firm;

“sponsoring firm” means,

- (a) for a registered individual, the registered firm on whose behalf the individual trades or advises,
- (b) for an individual applying for registration, the registered firm, or the person or company applying to become a registered firm, on whose behalf the individual proposes to trade or advise,
- (c) for a non-registered individual of a registered firm, the registered firm, or
- (d) for a non-registered individual of a person or company that is applying for registration, the person or company that is applying for registration.

**1.2 Interpretation** - Terms defined in MI 31-102 and used in this Instrument have the respective meanings ascribed to those terms in MI 31-102.

**PART 2 APPLICATION FOR REGISTRATION**

**2.1 Dealer, Adviser and Underwriter Registration** - Except as provided in subsection 2.3(1), an applicant for registration as a dealer, adviser, or underwriter must submit to the regulator,

- (a) in paper format, a completed Form 3;
- (b) in accordance with MI 31-102, a completed Form 33-109F3 for each business location of the applicant, other than the applicant’s head office; and
- (c) in accordance with MI 31-102, a completed Form 33-109F4 for each non-registered individual of the applicant who has not applied to become a registered individual with the applicant under subsection 2.2(1).

## 2.2 Individual Registration

- (1) Except as provided in subsection (2) and subsection 2.3(2), an individual who applies for registration under securities legislation must make the application by submitting to the regulator in accordance with MI 31-102 a completed Form 33-109F4.
- (2) Despite subsection (1), a non-registered individual of a registered firm who applies to become a registered individual with the firm must make the application by submitting to the regulator in accordance with MI 31-102 a completed Form 33-109F2.

## 2.3 Commodity Futures Act Registrants

- (1) In Manitoba and Ontario, if an applicant for registration under section 2.1 is registered under the *Commodity Futures Act*, the applicant
  - (a) is not required to submit a completed Form 33-109F3 under subsection 2.1(b) for any business location of the applicant that is recorded on NRD; and
  - (b) is not required to submit a completed Form 33-109F4 under subsection 2.1(c) for a non-registered individual if the applicant submits to the regulator, in accordance with MI 31-102, a completed Form 33-109F2 for the individual.
- (2) 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 to the regulator, in accordance with MI 31-102, a completed Form 33-109F2.

## PART 3 CHANGES TO REGISTERED FIRM INFORMATION

### 3.1 Changes to Form 3 Information

- (1) A registered firm must notify the regulator of a change to any information previously submitted in Form 3, or under this subsection, within 5 business days of the change.
- (2) Except as provided in subsection (3), for the purposes of subsection (1), a notice of change must be made by submitting a completed Form 33-109F5 in paper format.
- (3) Despite subsection (2), a notice of change under this section is not required to be in Form 33-109F5 if the change relates to
  - (a) the addition of an officer, partner, or director to the registered firm, and if a completed Form 33-109F4 in respect of the officer, partner, or director is submitted under section 2.2 or 3.3;
  - (b) the resignation or termination of an officer, partner or director of the registered firm, and if a completed Form 33-109F1 is submitted under section 4.3 or 5.2; or
  - (c) a business location other than head office, and if a completed Form 33-109F3 is submitted under section 3.2.

### 3.2 Changes to Business Locations

- (1) A registered firm must notify the regulator of the opening of a business location, other than a new head office, by submitting in accordance with MI 31-102 a completed Form 33-109F3 within 5 business days of the opening.
- (2) A registered firm must notify the regulator of a change to any information previously submitted in Form 33-109F3 by submitting in accordance with MI 31-102 a completed Form 33-109F3 within 5 business days of the change.

- 3.3 Addition of Non-registered Individuals** - A registered firm must submit to the regulator in accordance with MI 31-102 a completed Form 33-109F4 for a non-registered individual within 5 business days of the individual becoming a non-registered individual of the registered firm.

## **PART 4 CHANGES TO REGISTERED INDIVIDUAL INFORMATION**

### **4.1 Changes to Form 33-109F4 Information**

- (1) Except as provided in subsection (2), a registered individual must notify the regulator in accordance with MI 31-102 of a change to any information previously submitted in Form 33-109F4, or under this subsection, within 5 business days of the change.
- (2) Despite subsection (1), a registered individual must notify the regulator in accordance with MI 31-102 of a change to information previously submitted in Item 3 or Item 8 of Form 33-109F4, or under this subsection, within 1 year of the change.

**4.2 Application to Change or Surrender Individual Registration Categories** - A registered individual of a registered firm who applies to change or surrender his or her registration category with the firm must make the application by submitting to the regulator in accordance with MI 31-102 a completed Form 33-109F2.

**4.3 Termination of Relationship** - A registered firm must, within 5 business days of a termination of an employment, partner, or agency relationship with a registered individual, notify the regulator of the termination of the relationship by submitting in accordance with MI 31-102 a completed Form 33-109F1.

## **PART 5 CHANGES TO NON-REGISTERED INDIVIDUAL INFORMATION**

### **5.1 Changes to Form 33-109F4 Information**

- (1) Except as provided in subsections (2), (3), and (4), a registered firm must notify the regulator in accordance with MI 31-102 of a change to any information previously submitted in Form 33-109F4, or under this subsection, for a non-registered individual within 5 business days of the change.
- (2) Despite subsection (1) and except as provided in subsection (4), a registered firm must notify the regulator in accordance with MI 31-102 of a change to information previously submitted in Item 3 of Form 33-109F4, or under this subsection, for a non-registered individual within 1 year of the change.
- (3) Despite subsection (1) and except as provided in subsection (4), a registered firm must notify the regulator of a change to any information regarding a category of non-registered individual listed in Item 6 of Form 33-109F4 for a non-registered individual by submitting in accordance with MI 31-102 a completed Form 33-109F2 within 5 business days of the change.
- (4) Despite subsections (1), (2), and (3), a registered firm is not required to notify the regulator of a change to information if another firm has notified the regulator of the change in accordance with MI 31-102 and within the required time.

**5.2 Termination of Relationship** - A registered firm must, within 5 business days of an individual ceasing to be a non-registered individual of the registered firm, notify the regulator in accordance with MI 31-102 of the termination of the relationship by submitting a completed Form 33-109F1.

## **PART 6 DUE DILIGENCE AND RECORD-KEEPING**

### **6.1 Sponsoring Firm Obligations**

- (1) A sponsoring firm must make reasonable efforts to ensure that information submitted by
  - (a) the firm for a non-registered individual; or
  - (b) a registered individual, or an individual applying for registration, for whom the firm is the sponsoring firm,is true and complete.
- (2) A sponsoring firm must retain all documents used by the firm to satisfy its obligation under subsection (1),
  - (a) in the case of a non-registered individual, for a period of 7 years after the individual ceases to be a non-registered individual; or

- (b) in the case of a registered individual, or an individual applying for registration, for a period of 7 years after the individual ceases to be a registered individual with the firm.
- (3) Without limiting the generality of subsection (2), if a registered individual, or an individual applying for registration, 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 (2)(b).
- (4) A sponsoring firm that retains a document under subsection (2) or (3) in respect of an NRD submission must record the NRD submission number on the document.

## **PART 7 EXEMPTION**

### **7.1 Exemption**

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

## **PART 8 TRANSITION TO NRD**

### **8.1 Definitions - In this Part**

“NRD access date” means, for an NRD firm filer, the date the NRD firm filer receives notice that it has access to NRD to make NRD submissions; and

“NRD freeze period” means the period that begins on the day specified in a notice of the securities regulatory authority and ends on the day that is 5 business days after the NRD access date.

### **8.2 Changes to Form 3 Information - A notice of change under section 3.1 is not required during the NRD freeze period if the change relates to**

- (a) the addition of an officer, partner, or director to the registered firm, and if a completed Form 33-109F4 in respect of the officer, partner, or director is submitted in accordance with MI 31-102 within 30 business days of the NRD access date;
- (b) the resignation or termination of an officer, partner or director of the registered firm, and if a completed Form 33-109F1 is submitted in accordance with MI 31-102 within 30 business days of the NRD access date; or
- (c) a business location other than head office, and if a completed Form 33-109F3 is submitted in accordance with MI 31-102 within 30 business days of the NRD access date.

### **8.3 Changes to Business Location - A registered firm is exempt from the requirement to make a submission under section 3.2 during the NRD freeze period, if the firm makes the submission in accordance with MI 31-102 within 30 business days of the NRD access date.**

### **8.4 Addition of Non-registered Individuals - A registered firm is exempt from the requirement to make a submission under section 3.3 during the NRD freeze period, if the firm makes the submission in accordance with MI 31-102 within 30 business days of the NRD access date.**

### **8.5 Changes to Form 4 Information - Registered Individuals**

- (1) This section applies to a registered individual who has not submitted in accordance with MI 31-102 a completed Form 33-109F4.
- (2) A registered individual must notify the regulator of a change to any information previously submitted in Form 4, or under this subsection, by submitting a completed Form 33-109F5 in paper format within 5 business days of the change.
- (3) A registered individual who has submitted a completed Form 33-109F5 under subsection (2), must submit in accordance with section 7.7 of MI 31-102 a completed Form 33-109F4.

**8.6 Termination of Relationship - Registered Individuals** - A registered firm is exempt from the requirement to make a submission under section 4.3 during the NRD freeze period, if the firm makes the submission in accordance with MI 31-102 within 30 business days of the NRD access date.

**8.7 Changes to Form 4 Information - Non-registered Individuals**

- (1) This section applies to a registered firm that has not submitted in accordance with MI 31-102 a completed Form 33-109F4 for a non-registered individual.
- (2) A registered firm must notify the regulator of a change to any information previously submitted in Form 4 for a non-registered individual, or under this subsection, by submitting a completed Form 33-109F5 in paper format within 5 business days of the change.
- (3) A registered firm that has submitted a completed Form 33-109F5 for a non-registered individual under subsection (2), must submit in accordance with section 7.8 of MI 31-102 a completed Form 33-109F4 for the non-registered individual.

**8.8 Termination of Relationship - Non-registered Individuals** - A registered firm is exempt from the requirement to make a submission under section 5.2 during the NRD freeze period, if the firm makes the submission in accordance with MI 31-102 within 30 business days of the NRD access date.

**PART 9 EFFECTIVE DATE**

**9.1 Effective Date** - This Instrument comes into force on February 21, 2003.

**FORM 33-109F1**

**NOTICE OF TERMINATION**

Enter the following information using the online version of this submission at the NRD web site ([www.nrd.ca](http://www.nrd.ca)). If the NRD filer is relying on the temporary hardship exemption in MI 31-102 this form is required to be delivered to the regulator in paper format.

**1. Individual**

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

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

**2. Business location**

Address of business location: \_\_\_\_\_

NRD number of business location: \_\_\_\_\_

**3. Termination**

Effective date of termination: \_\_\_\_\_

Indicate whether the individual:

- was dismissed for cause \_\_\_\_\_
- was dismissed in good standing \_\_\_\_\_
- resigned in good standing \_\_\_\_\_
- is deceased \_\_\_\_\_

Include details regarding any:

- unresolved client complaints:
  
- internal discipline matters:
  
- restrictions for violation of regulatory requirements:
  
- financial obligations the individual has to clients:

**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 set out below for the administration and enforcement of certain provisions of the securities legislation in British Columbia, Alberta, Saskatchewan, Manitoba, Ontario, Nova Scotia, New Brunswick, Prince Edward Island, Newfoundland and Labrador, Northwest Territories, Yukon Territory, and Nunavut.

**Rules and Policies**

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If you have any questions about the collection and use of this information, you may contact the securities regulatory authority in any jurisdiction in which the required information is filed, at the address or telephone number provided in Schedule "A".

**WARNING:**

It is an offence to submit information that, in a material respect and at the time and in the light of the circumstances in which it is submitted, is misleading or untrue.

**CERTIFICATION**

**The following certification is to be used when submitting this form in NRD format:**

- I am making this submission as agent for the NRD filer. By checking this box I certify that all statements of fact in this submission were provided to me by the NRD filer.

**The following certification is to be used when submitting this form in paper format:**

I, the undersigned, certify that I have read and that I understand the questions in the notice and the Warning set out above. I also certify that all statements of fact made in the answers to the questions are true.

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

\_\_\_\_\_  
Date

\_\_\_\_\_  
Firm name

<b>SCHEDULE "A"</b>	
<b>Notice and collection and use of personal information</b>	
<b>Contact Information</b>	
<p><b>Alberta</b></p> <p>Alberta Securities Commission, 4th Floor, 300 B 5th Avenue S.W. Calgary, AB T2P 3C4 Attention: Information Officer Telephone: (403) 297-6454</p>	<p><b>British Columbia</b></p> <p>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)</p>
<p><b>Manitoba</b></p> <p>The Manitoba Securities Commission 1130-405 Broadway Winnipeg, MB R3C 3L6 Attention: Director - Legal Telephone: (204) 945-4508</p>	<p><b>New Brunswick</b></p> <p>Securities Administration Branch PO Box 5001 606, 133 Prince William Street Saint John, NB E2L 4Y9 Attention: Deputy Administrator, Capital Markets Telephone: (506) 658-3021</p>
<p><b>Newfoundland and Labrador</b></p> <p>Securities Commission of Newfoundland and Labrador P.O. Box 8700, 2nd Floor, West Block Confederation Building St. John's, NF A1B 4J6 Attention: Director of Securities Tel: (709) 729-4189</p>	<p><b>Nova Scotia</b></p> <p>Nova Scotia Securities Commission 2<sup>nd</sup> Floor, Joseph Howe Building 1690 Hollis Street P.O. Box 458 Halifax, NS B3J 3J9 Attention: FOI Officer Telephone: (902) 424-7768</p>
<p><b>Northwest Territories</b></p> <p>Government of the Northwest Territories P.O. Box 1320 Yellowknife, NWT X1A 2L9 Attention: Deputy Registrar of Securities Telephone: (867) 920-8984</p>	<p><b>Nunavut</b></p> <p>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) 975-6190</p>
<p><b>Ontario</b></p> <p>Ontario Securities Commission Suite 1903, Box 55 20 Queen Street West Toronto, ON M5H 3S8 Attention: FOI Coordinator Telephone: (416) 593-8314</p>	<p><b>Prince Edward Island</b></p> <p>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) 368-4569</p>
<p><b>Québec</b></p> <p>Commission des valeurs mobilières du Québec Stock Exchange Tower P.O. Box 246, 22nd Floor 800 Victoria Square Montréal, PQ H4Z 1G3 Attention: Responsable de l'accès à l'information Telephone: (514) 940-2150 or (800) 361-5072 (in Québec)</p>	<p><b>Saskatchewan</b></p> <p>Saskatchewan Securities Commission 800 B1920 Broad Street Regina, SK S4P 3V7 Attention: Director Telephone: (306) 787-5842</p>
<p><b>Yukon</b></p> <p>Department of Community Services Yukon P.O. Box 2703 Whitehorse, YU Y1A 2C6 Attention: Registrar of Securities Telephone: (867) 667-5225</p>	

**FORM 33-109F2**

**CHANGE OR SURRENDER OF INDIVIDUAL CATEGORIES**

Enter the following information using the online version of this submission at the NRD web site ([www.nrd.ca](http://www.nrd.ca)). If the NRD filer is relying on the temporary hardship exemption in MI 31-102 this form is required to be delivered to the regulator in paper format.

**1. Individual**

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

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

**2. Individual categories**

Indicate the individual categories that the individual is adding or removing:

**3. Details of surrender**

If the individual is surrendering his or her registration include details regarding any:

- unresolved client complaints:
  
- internal discipline matters:
  
- restrictions for violation of regulatory requirements that occurred at any time during the individual's employment with the firm:
  
- financial obligations the individual has to clients:

**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 set out below for the administration and enforcement of certain provisions of the securities legislation in British Columbia, Alberta, Saskatchewan, Manitoba, Ontario, Nova Scotia, New Brunswick, Prince Edward Island, Newfoundland and Labrador, Northwest Territories, Yukon Territory, and Nunavut.

By submitting this information you consent to the collection by the securities regulatory authority of the personal information provided above, police records, records from other government or non-governmental regulatory authorities or self-regulatory organizations, credit records and employment records about you as may be necessary for the securities regulatory authority to complete its review of the information submitted above including your continued fitness for registration, if applicable, in accordance with the legal authority of the securities regulatory authority for the duration of the period which you remain registered or approved by the securities regulatory authority. The sources the securities regulatory authority may contact include government and private bodies or agencies, individuals, corporations and other organizations.

If you have any questions about the collection and use of this information, you may contact the securities regulatory authority in any jurisdiction in which the required information is filed, at the address or telephone number provided in Schedule "A".

**WARNING:**

It is an offence to submit information that, in a material respect and at the time and in the light of the circumstances in which it is submitted, is misleading or untrue.

**CERTIFICATION:**

**The following certification is to be used when submitting this form in NRD format:**

- I am making this submission as agent for the individual to whom this submission relates. By checking this box I certify that all statements of fact in this submission were provided to me by the individual.

**Both of the following certifications are to be used when submitting this form in paper format:**

I, the undersigned, certify that I have read and that I understand the questions in this form and the Warning set out above. I also certify that all statements of fact provided in this application are true.

\_\_\_\_\_  
Signature of applicant or non-registered individual

\_\_\_\_\_  
Date

I, the undersigned, certify on behalf of the sponsoring firm that the individual will be engaged by the sponsoring firm as a registered individual or a non-registered individual. I certify that I have, or a branch manager or another officer or partner has, discussed the questions set out in this form and I am satisfied that the individual fully understands the questions.

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

\_\_\_\_\_  
Date

\_\_\_\_\_  
Firm name

<b>SCHEDULE "A"</b>	
<b>Notice and collection and use of personal information</b>	
<b>Contact Information</b>	
<p><b>Alberta</b></p> <p>Alberta Securities Commission, 4th Floor, 300 B 5th Avenue S.W. Calgary, AB T2P 3C4 Attention: Information Officer Telephone: (403) 297-6454</p>	<p><b>British Columbia</b></p> <p>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)</p>
<p><b>Manitoba</b></p> <p>The Manitoba Securities Commission 1130-405 Broadway Winnipeg, MB R3C 3L6 Attention: Director - Legal Telephone: (204) 945-4508</p>	<p><b>New Brunswick</b></p> <p>Securities Administration Branch PO Box 5001 606, 133 Prince William Street Saint John, NB E2L 4Y9 Attention: Deputy Administrator, Capital Markets Telephone: (506) 658-3021</p>
<p><b>Newfoundland and Labrador</b></p> <p>Securities Commission of Newfoundland and Labrador P.O. Box 8700, 2nd Floor, West Block Confederation Building St. John's, NF A1B 4J6 Attention: Director of Securities Tel: (709) 729-4189</p>	<p><b>Nova Scotia</b></p> <p>Nova Scotia Securities Commission 2<sup>nd</sup> Floor, Joseph Howe Building 1690 Hollis Street P.O. Box 458 Halifax, NS B3J 3J9 Attention: FOI Officer Telephone: (902) 424-7768</p>
<p><b>Northwest Territories</b></p> <p>Government of the Northwest Territories P.O. Box 1320 Yellowknife, NWT X1A 2L9 Attention: Deputy Registrar of Securities Telephone: (867) 920-8984</p>	<p><b>Nunavut</b></p> <p>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) 975-6190</p>
<p><b>Ontario</b></p> <p>Ontario Securities Commission Suite 1903, Box 55 20 Queen Street West Toronto, ON M5H 3S8 Attention: FOI Coordinator Telephone: (416) 593-8314</p>	<p><b>Prince Edward Island</b></p> <p>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) 368-4569</p>
<p><b>Québec</b></p> <p>Commission des valeurs mobilières du Québec Stock Exchange Tower P.O. Box 246, 22nd Floor 800 Victoria Square Montréal, PQ H4Z 1G3 Attention: Responsable de l'accès à l'information Telephone: (514) 940-2150 or (800) 361-5072 (in Québec)</p>	<p><b>Saskatchewan</b></p> <p>Saskatchewan Securities Commission 800 B1920 Broad Street Regina, SK S4P 3V7 Attention: Director Telephone: (306) 787-5842</p>
<p><b>Yukon</b></p> <p>Department of Community Services Yukon P.O. Box 2703 Whitehorse, YU Y1A 2C6 Attention: Registrar of Securities Telephone: (867) 667-5225</p>	

**FORM 33-109F3**

**BUSINESS LOCATIONS OTHER THAN HEAD OFFICE**

Enter the following information using the online version of this submission at the NRD web site ([www.nrd.ca](http://www.nrd.ca)). If the NRD filer is relying on the temporary hardship exemption in MI 31-102 this form is required to be delivered to the regulator in paper format.

Please select one box:

- This form is being submitted to notify the regulator of the opening of this business location. Complete the entire form.
- This form is being submitted to notify the regulator of the closing of this business location. Complete the entire form.
- This form is being submitted to notify the regulator of the change of information previously submitted in respect of this business location. Complete the entire form and describe the information that has changed (for example, "telephone number" or "type of business location"): \_\_\_\_\_

**1. Type of business location**

\_\_\_\_\_ branch  
\_\_\_\_\_ sub-branch

**2. Supervisor or branch manager**

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

**3. Business location information**

Business address: \_\_\_\_\_  
Telephone number: (    ) \_\_\_\_\_  
Facsimile number: (    ) \_\_\_\_\_  
Mailing address (if different from business address): \_\_\_\_\_

**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 set out below for the administration and enforcement of certain provisions of the securities legislation in British Columbia, Alberta, Saskatchewan, Manitoba, Ontario, Nova Scotia, New Brunswick, Prince Edward Island, Newfoundland and Labrador, Northwest Territories, Yukon Territory, and Nunavut.

If you have any questions about the collection and use of this information, you may contact the securities regulatory authority in any jurisdiction in which the required information is filed, at the address or telephone number provided in Schedule "A".

**WARNING:**

It is an offence to submit information that, in a material respect and at the time and in the light of the circumstances in which it is submitted, is misleading or untrue.

**CERTIFICATION**

**The following certification is to be used when submitting this form in NRD format:**

- I am making this submission as agent for the NRD filer. By checking this box I certify that all statements of fact in this submission were provided to me by the NRD filer.

**The following certification is to be used when submitting this form in paper format:**

I, the undersigned, certify that I have read and that I understand the questions in this notice and the Warning set out above. I also certify that all statements of fact made in the answers to the questions are true.

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

\_\_\_\_\_  
Date

\_\_\_\_\_  
Firm name

<b>SCHEDULE "A"</b>	
<b>Notice and collection and use of personal information</b>	
<b>Contact Information</b>	
<p><b>Alberta</b></p> <p>Alberta Securities Commission, 4th Floor, 300 B 5th Avenue S.W. Calgary, AB T2P 3C4 Attention: Information Officer Telephone: (403) 297-6454</p>	<p><b>British Columbia</b></p> <p>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)</p>
<p><b>Manitoba</b></p> <p>The Manitoba Securities Commission 1130-405 Broadway Winnipeg, MB R3C 3L6 Attention: Director - Legal Telephone: (204) 945-4508</p>	<p><b>New Brunswick</b></p> <p>Securities Administration Branch PO Box 5001 606, 133 Prince William Street Saint John, NB E2L 4Y9 Attention: Deputy Administrator, Capital Markets Telephone: (506) 658-3021</p>
<p><b>Newfoundland and Labrador</b></p> <p>Securities Commission of Newfoundland and Labrador P.O. Box 8700, 2nd Floor, West Block Confederation Building St. John's, NF A1B 4J6 Attention: Director of Securities Tel: (709) 729-4189</p>	<p><b>Nova Scotia</b></p> <p>Nova Scotia Securities Commission 2<sup>nd</sup> Floor, Joseph Howe Building 1690 Hollis Street P.O. Box 458 Halifax, NS B3J 3J9 Attention: FOI Officer Telephone: (902) 424-7768</p>
<p><b>Northwest Territories</b></p> <p>Government of the Northwest Territories P.O. Box 1320 Yellowknife, NWT X1A 2L9 Attention: Deputy Registrar of Securities Telephone: (867) 920-8984</p>	<p><b>Nunavut</b></p> <p>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) 975-6190</p>
<p><b>Ontario</b></p> <p>Ontario Securities Commission Suite 1903, Box 55 20 Queen Street West Toronto, ON M5H 3S8 Attention: FOI Coordinator Telephone: (416) 593-8314</p>	<p><b>Prince Edward Island</b></p> <p>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) 368-4569</p>
<p><b>Québec</b></p> <p>Commission des valeurs mobilières du Québec Stock Exchange Tower P.O. Box 246, 22nd Floor 800 Victoria Square Montréal, PQ H4Z 1G3 Attention: Responsable de l'accès à l'information Telephone: (514) 940-2150 or (800) 361-5072 (in Québec)</p>	<p><b>Saskatchewan</b></p> <p>Saskatchewan Securities Commission 800 B1920 Broad Street Regina, SK S4P 3V7 Attention: Director Telephone: (306) 787-5842</p>
<p><b>Yukon</b></p> <p>Department of Community Services Yukon P.O. Box 2703 Whitehorse, YU Y1A 2C6 Attention: Registrar of Securities Telephone: (867) 667-5225</p>	

**FORM 33-109F4 REGISTRATION INFORMATION FOR AN INDIVIDUAL**

**SUBMISSION TO NRD**

Enter the following information using the online version of this submission at the NRD web site ([www.nrd.ca](http://www.nrd.ca)). If the NRD filer is relying on the temporary hardship exemption in MI 31-102 this form is required to be delivered to the regulator in paper format.

**INSTRUCTIONS FOR FILING IN PAPER FORMAT**

1. This form is to be used by every individual seeking registration from a securities regulatory authority or a self-regulatory organization or who is a non-registered individual with a registered firm or a firm seeking registration.
2. This form is also to be used by any sole proprietor submitting an application for registration as a dealer, broker, adviser or underwriter to a securities regulatory authority.
3. Failure to answer all applicable questions may cause delays in the processing of the application form.
4. This form must be legible.
5. To complete the application, individuals should seek advice from an authorized officer of the sponsoring firm or from a legal adviser.
6. The number of originally-signed copies of the form to be filed with the self-regulatory organization and/or securities regulatory authority or similar authority varies from province to province. If unsure of the procedure, please consult the Registration Department of the self-regulatory organization to which you are applying or the applicable securities regulatory authority, or similar authority.

**Item 1 – Name**

**1. Legal name**

Last name	First name	Second name <i>(if applicable)</i>	Third name <i>(if applicable)</i>
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**2. Other names**

Are you currently, or have you previously been, known by a name other than the name provided above?....  Yes  No

If "Yes", complete Schedule "A".

**Item 2 - Residential address**

**Current address**

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

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

Telephone number: (    ) \_\_\_\_\_ Resided at this address since: \_\_\_\_\_  
(YYYY/MM)

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

**FORM 33-109F4 REGISTRATION INFORMATION FOR AN INDIVIDUAL**

**Item 3 – Personal information**

**Personal description**

Date of birth: _____ (YYYY/MM/DD)		Place of birth: _____ (city, province, territory or state, country)	
Gender: <input type="checkbox"/> Female <input type="checkbox"/> Male	Colour of eyes: _____	Colour of hair: _____	
Height: imperial units: _____	OR	metric units: _____	
Weight: imperial units: _____	OR	metric units: _____	

**Item 4 – Citizenship**

**Citizenship information**

What is your citizenship?

Canadian  
 Other, specify: \_\_\_\_\_

If you are a citizen of a country other than Canada, complete the following for that other citizenship. You are only required to provide the following information for one citizenship.

Passport number: \_\_\_\_\_ Country of citizenship: \_\_\_\_\_

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

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

**Item 5 - Registration jurisdictions**

**Jurisdictions**

Indicate, by checking the appropriate box, each province or territory to which you are submitting this form:

<input type="checkbox"/> Alberta	<input type="checkbox"/> Northwest Territories	<input type="checkbox"/> Prince Edward Island
<input type="checkbox"/> British Columbia	<input type="checkbox"/> Nova Scotia	<input type="checkbox"/> Québec
<input type="checkbox"/> Manitoba	<input type="checkbox"/> Nunavut	<input type="checkbox"/> Saskatchewan
<input type="checkbox"/> New Brunswick	<input type="checkbox"/> Ontario	<input type="checkbox"/> Yukon Territory
<input type="checkbox"/> Newfoundland and Labrador		

**Item 6 - Individual categories**

**Categories**

Indicate, by checking the appropriate box in Schedule "C", each registration category for which you are applying. If you are a non-registered individual and you are not applying for registration, indicate each category that describes your position with your sponsoring firm.

**FORM 33-109F4 REGISTRATION INFORMATION FOR AN INDIVIDUAL**

**Item 7 - Address and agent for service**

**1. Address for service**

You must have one address for service in each province or territory in which you are now, or are applying to become, a registered individual or non-registered individual. A post office box is not an acceptable address for service. 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: ( ) \_\_\_\_\_

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

**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 any agent named below.

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

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

**Item 8 – Proficiency**

**1. Course or examination information**

Complete Schedule "E" to indicate each course and examination that you have successfully completed or for which you have received an exemption.

If you are not required under securities legislation or the rules of a self-regulatory organization to satisfy any course or examination requirements you are not required to complete this item.

**2. Student numbers**

If you have a student number with one of the following institutions, provide it below:

Canadian Securities Institute (CSI): \_\_\_\_\_

Investment Funds Institute of Canada (IFIC): \_\_\_\_\_

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

Association for Investment Management and Research (AIMR): \_\_\_\_\_

Canadian Association of Insurance and Financial Advisors (CAIFA): \_\_\_\_\_

**3. Exemption refusal**

Has any securities regulatory authority or self-regulatory organization refused to grant you an exemption from a course, examination or experience requirement? .....  Yes  No

If "Yes", complete Schedule "F".

**FORM 33-109F4 REGISTRATION INFORMATION FOR AN INDIVIDUAL**

**Item 9 – Location of employment**

**Location of employment**

Provide the following information for the location of the sponsoring firm at which you will be working. 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 number: \_\_\_\_\_

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

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

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**

**Employment information**

On Schedule “G”, provide the information requested for your current business and employment activities, including those with your sponsoring firm.

Check here if you are not required under securities legislation to provide this information.

**Item 11 - Previous employment**

**Employment information**

On Schedule “H”, provide the information requested for your previous business and employment activities for the 10-year period before the date of this application. Include any periods of self-employment or unemployment during this period. Do not include summer employment while you were a full-time student.

In addition, provide the information requested for all of your securities or exchange contracts (including commodity futures contracts and commodity futures options) business and employment activities during and prior to the ten-year period.

Check here if you are not required under securities legislation to provide this information.

Check here if the information required by this section has been provided in Item 10.

**Item 12 - Resignations and terminations**

**Resignation and termination information**

Have you ever resigned or been terminated following allegations, made by a client, sponsoring firm, self-regulatory organization, securities regulatory authority or any other regulatory authority that you:

- a) violated investment related statutes, regulations, rules or industry standards of conduct? .....  Yes  No
- b) failed to supervise in connection with investment related statutes, regulations, rules or industry standards of conduct? .....  Yes  No
- c) committed fraud or the wrongful taking of property? .....  Yes  No

If “Yes”, to any of the above questions, complete Schedule “I”.

**FORM 33-109F4 REGISTRATION INFORMATION FOR AN INDIVIDUAL**

**Item 13 – Regulatory disclosure**

**1. Securities regulatory authorities**

a) Other than a registration that has been recorded on NRD under the NRD number you are using to make this submission, are you now, or have you ever been, registered or licensed to trade in or advise on securities or exchange contracts (including commodity futures contracts and commodity futures options) in any province, territory, state or country? .....  Yes  No

If "Yes", complete Schedule "J", section 1(a).

b) Are you now, or have you ever been, a partner, director, officer, or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities of any firm which has been registered or licensed, or is now registered or licensed, to trade in or advise on securities or exchange contracts (including commodity futures contracts and commodity futures options) in any province, territory, state or country? .....  Yes  No

If "Yes", complete Schedule "J", section 1(b).

c) Have you, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), when you were a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities of that firm, been refused registration or a license to trade in or advise on securities or exchange contracts (including commodity futures contracts and commodity futures options) in any province, territory, state or country? .....  Yes  No

"Yes", complete Schedule "J", section 1(c).

d) Have you, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), when you were a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities of that firm, been denied the benefit of any exemption from registration provided by securities legislation or legislation governing exchange contracts (including commodity futures contracts and commodity futures options) in any province, territory, state or country? .....  Yes  No

If "Yes", complete Schedule "J", section 1(d).

e) Have you, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), when you were a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities of that firm, been subject to a cease trade order, a cease distribution order, a suspension or termination order, any disciplinary proceedings or any order resulting from disciplinary proceedings pursuant to securities legislation or legislation governing exchange contracts (including commodity futures contracts and commodity futures options) in any province, territory, state or country? .....  Yes  No

If "Yes", complete Schedule "J", section 1(e).

**2. Self-regulatory organizations**

a) Have you, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), when you were a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities of that firm, been a member or participating organization of any stock exchange or other self-regulatory organization in any province, territory, state or country? .....  Yes  No

If "Yes", complete Schedule "J", section 2(a).

b) Have you, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), when you were a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities of that firm, been refused membership or entry as a participating organization in any stock exchange or other self-regulatory organization in any province, territory, state or country? .....  Yes  No

If "Yes", complete Schedule "J", section 2(b).

**FORM 33-109F4 REGISTRATION INFORMATION FOR AN INDIVIDUAL**

c) Have you, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), when you were a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities of that firm, been subject to a suspension, expulsion or termination order, or been subject to any disciplinary proceedings or any order resulting from disciplinary proceedings conducted by any stock exchange or other self-regulatory organization in any province, territory, state or country? .....  Yes  No

If "Yes", complete Schedule "J", section 2(c).

**3. Non-securities regulation**

a) Have you, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), when you were a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities of that firm, 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 exchange contracts (including commodity futures contracts and commodity futures options) in any province, territory, state or country? .....  Yes  No

If "Yes", complete Schedule "J", section 3(a).

b) Have you, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), when you were a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities of that firm, been refused registration or a licence 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 exchange contracts (including commodity futures contracts and commodity futures options) in any province, territory, state or country? .....  Yes  No

If "Yes", complete Schedule "J", section 3(b).

c) Have you, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), when you were a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities of that firm, been subject to a suspension or termination order, or disciplinary proceedings or any order resulting from disciplinary proceedings conducted 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 exchange contracts (including commodity futures contracts and commodity futures options) in any province, territory, state or country? .....  Yes  No

If "Yes", complete Schedule "J", section 3(c).

**Item 14 - Criminal disclosure**

**Criminal, provincial and territorial offences**

With respect to questions (b) and (d) below, if you or your firm have pleaded guilty or been found guilty of an offence, that offence must be reported even if an absolute or conditional discharge has been granted with respect to the offence. You are not required to disclose any offence for which a pardon has been granted under the *Criminal Records Act* (Canada) unless the pardon has been revoked. You are not required to disclose speeding or parking violations.

a) Is there currently an outstanding charge against you alleging an offence that was committed in any province, territory, state, or country? .....  Yes  No

If "Yes", complete Schedule "K", section (a).

b) Have you, since attaining the age of 18, ever been convicted of, pleaded guilty to or no contest to an offence that was committed in any province, territory, state, or country? .....  Yes  No

If "Yes", complete Schedule "K", section (b).

c) Have charges been laid, alleging an offence that was committed in any province, territory, state, or country against any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)) in which you are or were at the time of that event a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities? .....  Yes  No

If "Yes", complete Schedule "K", section (c).

**FORM 33-109F4 REGISTRATION INFORMATION FOR AN INDIVIDUAL**

d) Has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), when you were a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities of that firm, been convicted of, pleaded guilty to or no contest to an offence that was committed in any province, territory, state, or country? .....  Yes  No

If "Yes", complete Schedule "K", section (d).

**Item 15 - Civil disclosure**

**Current and past civil proceedings**

a) Have you, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), when you were a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities of that firm, been a defendant or respondent in any civil proceeding in which fraud, theft, deceit, misrepresentation, or similar conduct is, or was, alleged? .....  Yes  No

If "Yes", complete Schedule "L", section (a).

b) Other than what you disclosed in Item 15(a), were you, at the time the events that led to the civil proceeding occurred, a partner, director or officer or a holder of securities carrying more than 10 percent of the votes of all outstanding voting securities of a firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)) that is or was a defendant or respondent in any civil proceeding in which fraud, theft, deceit, misrepresentation, or similar conduct is or was alleged?.....  Yes  No

If "Yes", complete Schedule "L", section (b).

**Item 16 – Financial disclosure**

**1. Bankruptcy**

Under the law of any province, territory, state, or country have you, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), when you were a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities of that firm:

- a) had a petition in bankruptcy issued against you or the firm or made a voluntary assignment in bankruptcy? .....  Yes  No
- b) made a proposal under any legislation relating to bankruptcy or insolvency? .....  Yes  No
- c) been subject to proceedings under any legislation relating to the winding up, dissolution or companies' creditors arrangement? .....  Yes  No
- d) been subject to or instituted any proceedings, arrangement or compromise with creditors (including having a receiver, receiver-manager, administrator or trustee appointed by or at the request of creditors, either privately, or through court process, or by order of a regulator, to hold your assets)? .....  Yes  No

If "Yes" to any of the above questions, complete Schedule "M", section 1.

**2. Debt Obligations**

Have you ever failed to meet a financial obligation of \$500 or more as it came due, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), when you were a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities of that firm, failed to meet a financial obligation as it came due? .....  Yes  No

If "Yes", complete Schedule "M", section 2.

**3. Surety bond or fidelity bond**

Have you ever applied for a surety or fidelity bond and been refused? .....  Yes  No

If "Yes", complete Schedule "M", section 3.

**FORM 33-109F4 REGISTRATION INFORMATION FOR AN INDIVIDUAL**

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

Are there currently, or have there been, outstanding against you any of the following:

- a) garnishments,
- b) unsatisfied judgments, or
- c) directions to pay;

issued by a federal, provincial, territorial or state authority? .....  Yes  No

If "Yes", complete Schedule "M", section 4.

**Item 17 - Related securities firms**

**Related securities firms and holdings**

Are you a partner, director, or officer of a firm (other than your sponsoring firm) whose principal business is trading in or advising on securities or exchange contracts (including commodity futures contracts and commodity futures options) or are you a holder of 10 percent or more of the voting securities of any firm (including your sponsoring firm) whose principal business is trading in or advising on securities or exchange contracts (including commodity futures contracts and commodity futures options)?.....  Yes  No

If "Yes", complete Schedule "N".

**Agent for Service**

By submitting this form you certify that in each jurisdiction in which you have appointed an agent for service you have properly executed the appointment of agent for service required by the regulator or the securities legislation of that jurisdiction.

**Submission to Jurisdiction**

By submitting this application you irrevocably and unconditionally submit to the non-exclusive jurisdiction of the judicial, quasi-judicial and administrative tribunals of each jurisdiction to which you have submitted this application and any administrative proceeding in that jurisdiction, in any action, investigation or administrative, criminal, quasi-criminal, penal or other proceeding (each, a "Proceeding") arising out of or relating to or concerning your activities as a registrant or an officer, partner or director of a registrant under the securities legislation of the jurisdiction, and irrevocably waive any right to raise as a defence in any Proceeding any alleged lack of jurisdiction to bring that Proceeding.

**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 set out below for purposes of the administration and enforcement of certain provisions of the securities legislation in British Columbia, Alberta, Saskatchewan, Manitoba, Ontario, Québec, Nova Scotia, New Brunswick, Prince Edward Island, Newfoundland and Labrador, Northwest Territories, Yukon Territory, and Nunavut.

By submitting this application you consent to the collection by the securities regulatory authority to which this application is being submitted of the personal information contained in the application, police records, records from other government or non-governmental regulatory authorities or self-regulatory organizations, credit records and employment records about you as may be necessary for the securities regulatory authority to complete its review of your application or continued fitness for registration in accordance with the legal authority of the securities regulatory authority for the duration of the period which you remain registered or approved by the securities regulatory authority. The sources the securities regulatory authority may contact include government and private bodies or agencies, individuals, corporations and other organizations.

**FORM 33-109F4 REGISTRATION INFORMATION FOR AN INDIVIDUAL**

The principal purpose for which this collection of personal information is to be used is to assess your suitability for registration and to assess your continued fitness for registration in accordance with the applicable securities legislation.

If you have any questions about the collection and use of this information, you may contact the securities regulatory authority in any jurisdiction in which the required information is filed, at the address or telephone number set out in Schedule "O". In Québec, questions may also be addressed to the Commission d'accès à l'information du Québec (1-888-528-7741, web site: [www.cai.gouv.qc.ca](http://www.cai.gouv.qc.ca)).

**WARNING:** It is an offence to submit information that, in a material respect and at the time and in the light of the circumstances in which it is submitted, is misleading or untrue.

**Certification**

**The following certification is to be used when submitting this form in NRD format:**

I am making this submission as agent for the individual to whom this submission relates. By checking this box I certify that all statements of fact in this submission were provided to me by the individual.

**Both of the following certifications are to be used when submitting this form in paper format:**

I, the undersigned, certify that I have read and that I understand the questions in this form and the Warning set out above. I also certify that all statements of fact provided in this application are true.

\_\_\_\_\_  
Signature of applicant or non-registered individual

\_\_\_\_\_  
Date

I, the undersigned, certify on behalf of the sponsoring firm that the individual will be engaged by the sponsoring firm as a registered individual or a non-registered individual. I certify that I have, or a branch manager or another officer or partner has, discussed the questions set out in this form with the individual and I am satisfied that the individual fully understands the questions.

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

\_\_\_\_\_  
Date

\_\_\_\_\_  
Firm name

**SCHEDULE "A"**  
**Name**

Item  1

**Other names**

_____	_____	_____	_____
Last name	First name	Second name <i>(if applicable)</i>	Third name <i>(if applicable)</i>

Provide the reasons for the use of this name (for example, marriage, divorce, court order, commonly used name).

When did you use this name? From: \_\_\_\_\_ To: \_\_\_\_\_  
(YYYY/MM) (YYYY/MM)

_____	_____	_____	_____
Last name	First name	Second name <i>(if applicable)</i>	Third name <i>(if applicable)</i>

Provide the reasons for the use of this name (for example, marriage, divorce, court order, commonly used name).

When did you use this name? From: \_\_\_\_\_ To: \_\_\_\_\_  
(YYYY/MM) (YYYY/MM)

_____	_____	_____	_____
Last name	First name	Second name <i>(if applicable)</i>	Third name <i>(if applicable)</i>

Provide the reasons for the use of this name (for example, marriage, divorce, court order, commonly used name).

When did you use this name? From: \_\_\_\_\_ To: \_\_\_\_\_  
(YYYY/MM) (YYYY/MM)

**SCHEDULE "B"**  
**Residential address**

Item  2

**Previous addresses**

A postal code (or ZIP code) and a telephone number are not required for any previous address.

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

When did you live at this address? From: \_\_\_\_\_ To: \_\_\_\_\_  
(YYYY/MM) (YYYY/MM)

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

When did you live at this address? From: \_\_\_\_\_ To: \_\_\_\_\_  
(YYYY/MM) (YYYY/MM)

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

When did you live at this address? From: \_\_\_\_\_ To: \_\_\_\_\_  
(YYYY/MM) (YYYY/MM)

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

When did you live at this address? From: \_\_\_\_\_ To: \_\_\_\_\_  
(YYYY/MM) (YYYY/MM)

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

**Categories**

Indicate, by checking the appropriate box, each category for which you are applying.

**Alberta**

- |  |  |
|--|--|
| <input type="checkbox"/> Salesperson           | <input type="checkbox"/> Shareholder               |
| <input type="checkbox"/> Officer (Trading)     | <input type="checkbox"/> Branch Manager            |
| <input type="checkbox"/> Officer (Non-Trading) | <input type="checkbox"/> Officer (Advising)        |
| <input type="checkbox"/> Partner (Trading)     | <input type="checkbox"/> Officer (Non-Advising)    |
| <input type="checkbox"/> Partner (Non-Trading) | <input type="checkbox"/> Junior Officer (Advising) |
| <input type="checkbox"/> Director              | <input type="checkbox"/> Partner (Advising)        |
|  | <input type="checkbox"/> Partner (Non-Advising)    |

**British Columbia**

- |   |  |
|---|--|
| <input type="checkbox"/> Salesperson            | <input type="checkbox"/> Officer (Advising)      |
| <input type="checkbox"/> Officer (Trading)      | <input type="checkbox"/> Officer (Non-Advising)  |
| <input type="checkbox"/> Officer (Non-Trading)  | <input type="checkbox"/> Partner (Advising)      |
| <input type="checkbox"/> Partner (Trading)      | <input type="checkbox"/> Partner (Non-Advising)  |
| <input type="checkbox"/> Partner (Non-Trading)  | <input type="checkbox"/> Director (Advising)     |
| <input type="checkbox"/> Director (Trading)     | <input type="checkbox"/> Director (Non-Advising) |
| <input type="checkbox"/> Director (Non-Trading) | <input type="checkbox"/> Advising Employee       |
| <input type="checkbox"/> Compliance Officer     |  |
| <input type="checkbox"/> Shareholder            |  |
| <input type="checkbox"/> Branch Manager         |  |

**Manitoba**

- |   |  |
|---|--|
| <input type="checkbox"/> Salesperson            | <input type="checkbox"/> Associate Advising Officer                    |
| <input type="checkbox"/> Officer (Trading)      | <input type="checkbox"/> Associate Advising Partner                    |
| <input type="checkbox"/> Officer (Non-Trading)  | <input type="checkbox"/> Associate Advising Director                   |
| <input type="checkbox"/> Partner (Trading)      | <input type="checkbox"/> Associate Advising Employee                   |
| <input type="checkbox"/> Partner (Non-Trading)  | <input type="checkbox"/> Non-trading                                   |
| <input type="checkbox"/> Director (Trading)     | <input type="checkbox"/> Officer                                       |
| <input type="checkbox"/> Director (Non-Trading) | <input type="checkbox"/> Partner                                       |
| <input type="checkbox"/> Branch Manager         | <input type="checkbox"/> Futures Contract Portfolio Manager            |
| <input type="checkbox"/> Advising Officer       | <input type="checkbox"/> Associate Futures Contracts Portfolio Manager |
| <input type="checkbox"/> Advising Partner       | <input type="checkbox"/> Floor Trader                                  |
| <input type="checkbox"/> Advising Director      | <input type="checkbox"/> Floor Broker                                  |
| <input type="checkbox"/> Non-Advising Officer   | <input type="checkbox"/> Local   |
| <input type="checkbox"/> Non-Advising Partner   | <input type="checkbox"/> Adviser                                       |
| <input type="checkbox"/> Non-Advising Director  |  |
| <input type="checkbox"/> Advising Employee      |  |

**New Brunswick**

- |  |  |
|--|--|
| <input type="checkbox"/> Salesperson           | <input type="checkbox"/> Compliance Officer        |
| <input type="checkbox"/> Officer (Trading)     | <input type="checkbox"/> Officer (Advising)        |
| <input type="checkbox"/> Officer (Non-Trading) | <input type="checkbox"/> Officer (Non-Advising)    |
| <input type="checkbox"/> Partner (Trading)     | <input type="checkbox"/> Junior Officer (Advising) |
| <input type="checkbox"/> Partner (Non-Trading) | <input type="checkbox"/> Partner (Advising)        |
| <input type="checkbox"/> Director              | <input type="checkbox"/> Partner (Non-Advising)    |
| <input type="checkbox"/> Shareholder           |  |

<b>SCHEDULE "C"</b>	
<b>Individual categories</b>	
Item <input type="checkbox"/> 6	
<b>Categories</b>	
<b>Newfoundland and Labrador</b>	
<input type="checkbox"/> Salesperson <input type="checkbox"/> Officer (Trading) <input type="checkbox"/> Officer (Non-Trading) <input type="checkbox"/> Director <input type="checkbox"/> Shareholder <input type="checkbox"/> Partner (Trading) <input type="checkbox"/> Partner (Non-Trading) <input type="checkbox"/> Branch Manager	<input type="checkbox"/> Officer (Advising) <input type="checkbox"/> Officer (Non-Advising) <input type="checkbox"/> Director <input type="checkbox"/> Shareholder <input type="checkbox"/> Partner (Advising) <input type="checkbox"/> Partner (Non-Advising) <input type="checkbox"/> Branch Manager
<b>Northwest Territories</b>	
<input type="checkbox"/> Salesperson <input type="checkbox"/> Officer (Trading) <input type="checkbox"/> Officer (Non-Trading) <input type="checkbox"/> Director <input type="checkbox"/> Partner (Trading) <input type="checkbox"/> Partner (Non-Trading) <input type="checkbox"/> Sole Proprietor	<input type="checkbox"/> Shareholder <input type="checkbox"/> Branch Manager <input type="checkbox"/> Representative (Advising) <input type="checkbox"/> Officer (Advising) <input type="checkbox"/> Officer (Non-Advising) <input type="checkbox"/> Partner (Advising) <input type="checkbox"/> Partner (Non-Advising)
<b>Nova Scotia</b>	
<input type="checkbox"/> Salesperson <input type="checkbox"/> Officer (Trading) <input type="checkbox"/> Officer (Non-Trading) <input type="checkbox"/> Sole Proprietor (Trading) <input type="checkbox"/> Director <input type="checkbox"/> Partner (Trading) <input type="checkbox"/> Partner (Non-Trading)	<input type="checkbox"/> Officer (Advising) <input type="checkbox"/> Officer (Non-Advising) <input type="checkbox"/> Associate Partner <input type="checkbox"/> Partner (Advising) <input type="checkbox"/> Partner (Non-Advising) <input type="checkbox"/> Sole Proprietor (Advising)
<b>Nunavut</b>	
<input type="checkbox"/> Salesperson <input type="checkbox"/> Officer (Trading) <input type="checkbox"/> Officer (Non-Trading) <input type="checkbox"/> Director <input type="checkbox"/> Partner (Trading) <input type="checkbox"/> Partner (Non-Trading) <input type="checkbox"/> Sole Proprietor	<input type="checkbox"/> Shareholder <input type="checkbox"/> Branch Manager <input type="checkbox"/> Representative (Advising) <input type="checkbox"/> Officer (Advising) <input type="checkbox"/> Officer (Non-Advising) <input type="checkbox"/> Partner (Advising) <input type="checkbox"/> Partner (Non-Advising)
<b>Ontario</b>	
Except as indicated the following categories are available under the <i>Securities Act</i> and the <i>Commodity Futures Act</i> .	
<input type="checkbox"/> Floor Trader <input type="checkbox"/> Salesperson <input type="checkbox"/> Officer (Trading) <input type="checkbox"/> Officer (Non-Trading) <input type="checkbox"/> Partner (Trading) <input type="checkbox"/> Partner (Non-Trading) <input type="checkbox"/> Sole Proprietor (Trading) <input type="checkbox"/> Director <input type="checkbox"/> Advising Representative	<input type="checkbox"/> Associate Advising Representative ( <i>Securities Act</i> category only) <input type="checkbox"/> Officer (Advising) <input type="checkbox"/> Officer (Non-Advising) <input type="checkbox"/> Associate Officer ( <i>Securities Act</i> category only) <input type="checkbox"/> Partner (Advising) <input type="checkbox"/> Partner (Non-Advising) <input type="checkbox"/> Associate Partner ( <i>Securities Act</i> category only) <input type="checkbox"/> Sole Proprietor (Advising) <input type="checkbox"/> Shareholder

<b>SCHEDULE "C"</b>	
<b>Individual categories</b>	
Item <input type="checkbox"/> 6	
<b>Categories</b>	
<b>Prince Edward Island</b>	
<input type="checkbox"/> Salesperson <input type="checkbox"/> Officer (Trading) <input type="checkbox"/> Officer (Non-Trading) <input type="checkbox"/> Partner (Trading) <input type="checkbox"/> Partner (Non-Trading) <input type="checkbox"/> Director <input type="checkbox"/> Shareholder	<input type="checkbox"/> Branch Manager <input type="checkbox"/> Compliance Officer <input type="checkbox"/> Counselling Officer (Officer) <input type="checkbox"/> Counselling Officer (Partner) <input type="checkbox"/> Counselling Officer (Other) <input type="checkbox"/> Officer (Non-Advising) <input type="checkbox"/> Partner (Non-Advising)
<b>Québec</b>	
<b>Dealer</b>	<b>Adviser</b>
<input type="checkbox"/> Salesperson (representative) <input type="checkbox"/> Officer <input type="checkbox"/> Partner <input type="checkbox"/> Director <input type="checkbox"/> Director (Non-Industry) <input type="checkbox"/> Branch Manager	<input type="checkbox"/> Representative (Advising) <input type="checkbox"/> Officer <input type="checkbox"/> Partner <input type="checkbox"/> Director <input type="checkbox"/> Director (Non-Industry) <input type="checkbox"/> Branch Manager
<b>Saskatchewan</b>	
<input type="checkbox"/> Salesperson <input type="checkbox"/> Officer (Trading) <input type="checkbox"/> Officer (Non-Trading) <input type="checkbox"/> Partner (Trading) <input type="checkbox"/> Partner (Non-Trading) <input type="checkbox"/> Director	<input type="checkbox"/> Employee (Advising) <input type="checkbox"/> Officer (Advising) <input type="checkbox"/> Officer (Non-Advising) <input type="checkbox"/> Partner (Advising) <input type="checkbox"/> Partner (Non-Advising)
<b>Yukon</b>	
<input type="checkbox"/> Salesperson <input type="checkbox"/> Officer (Trading) <input type="checkbox"/> Officer (Non-Trading) <input type="checkbox"/> Partner (Trading) <input type="checkbox"/> Partner (Non-Trading) <input type="checkbox"/> Director <input type="checkbox"/> Sole Proprietor (Trading) <input type="checkbox"/> Branch Manager	<input type="checkbox"/> Shareholder <input type="checkbox"/> Officer (Advising) <input type="checkbox"/> Officer (Non-Advising) <input type="checkbox"/> Partner (Advising) <input type="checkbox"/> Partner (Non-Advising) <input type="checkbox"/> Sole Proprietor (Advising)

**SCHEDULE "C"**  
**Individual categories**

Item  6

**Categories**

**Investment Dealers Association of Canada**

- |   |  |
|---|--|
| <ul style="list-style-type: none"> <li><input type="checkbox"/> Partner (Industry)</li> <li><input type="checkbox"/> Partner (Non-Industry)</li> <li><input type="checkbox"/> Director (Industry)</li> <li><input type="checkbox"/> Director (Non-Industry)</li> <li><input type="checkbox"/> Officer (Trading)</li> <li><input type="checkbox"/> Officer (Non-Trading)</li> <li><input type="checkbox"/> Industry Investor</li> <li><input type="checkbox"/> Non-Industry Investor</li> <li><input type="checkbox"/> Chief Compliance Officer</li> <li><input type="checkbox"/> Ultimate Designated Person</li> <li><input type="checkbox"/> Alternate Designated Person</li> <li><input type="checkbox"/> Designated Registered Options Principal</li> <li><input type="checkbox"/> Alternate Registered Options Principal</li> <li><input type="checkbox"/> Designated Registered Futures Options Principal</li> <li><input type="checkbox"/> Alternate Registered Futures Options Principal</li> <li><input type="checkbox"/> Sales Manager</li> <li><input type="checkbox"/> Branch Manager</li> <li><input type="checkbox"/> Co-Branch Manager</li> <li><input type="checkbox"/> Assistant Branch Manager</li> <li><input type="checkbox"/> Futures Contract Options Supervisor</li> <li><input type="checkbox"/> Investment Representative (Mutual Funds)</li> <li><input type="checkbox"/> Investment Representative (Retail)</li> <li><input type="checkbox"/> Investment Representative (Non-Retail)</li> <li><input type="checkbox"/> Investment Representative Options (Retail)</li> <li><input type="checkbox"/> Investment Representative Options (Non-Retail)</li> <li><input type="checkbox"/> Investment Futures Contract Representative Options (Retail)</li> <li><input type="checkbox"/> Investment Futures Contract Representative Options (Non-Retail)</li> </ul> | <ul style="list-style-type: none"> <li><input type="checkbox"/> Registered Representative (Mutual Funds)</li> <li><input type="checkbox"/> Registered Representative (Retail)</li> <li><input type="checkbox"/> Registered Representative (Non-Retail)</li> <li><input type="checkbox"/> Registered Representative Options (Retail)</li> <li><input type="checkbox"/> Registered Representative Options (Non-Retail)</li> <li><input type="checkbox"/> Registered Futures Contract Representative Options (Retail)</li> <li><input type="checkbox"/> Registered Futures Contract Representative Options (Non-Retail)</li> <li><input type="checkbox"/> Trader - CATS</li> <li><input type="checkbox"/> Trader - TradeCDNX</li> <li><input type="checkbox"/> Trader - Commodity Floor Trader</li> <li><input type="checkbox"/> Associate Portfolio Manager - Securities</li> <li><input type="checkbox"/> Associate Portfolio Manager - Security Options</li> <li><input type="checkbox"/> Associate Portfolio Manager - Commodity Futures Options</li> <li><input type="checkbox"/> Portfolio Manager - Securities</li> <li><input type="checkbox"/> Portfolio Manager - Security Options</li> <li><input type="checkbox"/> Portfolio Manager - Commodity Futures Options</li> </ul> |
|---|--|

**SCHEDULE "D"**  
**Address and Agent for Service**

Item  7

**Address for Service**

**1. Address for service**

You must have one address for service in each province or territory in which you are now, or are applying to become, a registered individual or non-registered 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: \_\_\_\_\_

**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 "E"  
Proficiency**

Item  8

**Course or examination information**

Indicate each course and examination that you have successfully completed or for which you have received an exemption.

COURSE OR EXAMINATION	DATE COMPLETED	DATE EXEMPTED AND BY WHICH JURISDICTION OR REGULATOR (YYYY/MM/DD)
30-day Training Program		
90-day Training Program		
ACE Trader Exam		
Agricultural Markets – Risk Management Course (ARM)		
Branch Compliance Officers Course		
Branch Manager's Examination Course (formerly the Canadian Branch Managers Qualifying Examination)		
Canadian Commodity Futures Examination		
Canadian Commodity Supervisors Examination		
Canadian Funds Course (Quebec only)		
Canadian Futures Exam (Part 1)		
Canadian Futures Exam (Part 2)		
Canadian Investment Finance Course Part I		
Canadian Investment Finance Course Part II		
Canadian Investment Funds Course		
Canadian Investment Management Program (Part 1)		
Canadian Investment Management Program (Parts 2)		
Canadian Options Course		
Canadian Securities Course		
CATS Examination-Oral		
CATS Examination-Written		
Certified Financial Planners Program		
Chartered Financial Analyst Charter		
Chartered Financial Analyst Course (Level I)		
Chartered Financial Analyst Course (Level II)		
Chartered Financial Analyst Course (Level III)		
Commodity Futures Exam (Part 1)		
Commodity Futures Exam (Part 2)		
Conduct and Practices Handbook Course		
Derivatives Fundamentals Course		
Derivatives Operational Management Course		
Effective Management Seminar		
Energy Markets - Risk Management Course		

<b>SCHEDULE "E"</b> <b>Proficiency</b>		
Ensis Growth Fund Understanding Labour Sponsored Investment Funds (Full Course)		
Examination based on Manual for Registered Representatives (RR Exam)		
Fellow of the Canadian Securities Institute		
Financial Markets Risk Management Course		
Examination based on Manual for Registered Representatives (RR Exam)		
Futures Floor Trader Examination (Winnipeg Stock Exchange)		
Futures Licensing Course		
General Securities Representative Examination (Series 7)		
In-House Scholarship Training Program		
Investment Funds Course		
Investment Management Techniques		
Labour Sponsored Investment Funds Course		
National Commodity Futures Examination		
New Entrants Examination		
Officers' Partners' and Directors' Course		
Operations Course		
Options Licensing Course		
Options Strategies Course		
Options Supervisors Course		
Partners, Directors and Senior Officers Qualifying Examination		
Personal Financial Planning Diploma		
Portfolio Management Techniques		
Principles of Mutual Funds Investment Course		
Professional Financial Planning Course		
Professional Options Trader Examination		
Real Estate Agent's Pre-Licensing Course		
Registered Options Principal's Qualifying Examination		
Technical Analysis Course (TAC)		
Trader Training Course		
VCT Trader Exam		
Wealth Management Techniques		
Other, specify:		
Other, specify:		
Other, specify:		
Other, specify:		

**SCHEDULE "F"**  
**Proficiency**

Item  8

**Exemption refusal**

Complete the following for each exemption that was refused.

Which securities regulatory authority or self-regulatory organization refused to grant the exemption?

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

State the reason given for not being granted the exemption:

Which securities regulatory authority or self-regulatory organization refused to grant the exemption?

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

State the reason given for not being granted the exemption:

**SCHEDULE "G"**  
**Current employment**

Item  10

**Employment information**

Provide the information requested for each of your current business and employment activities, including those with your sponsoring firm.

- Unemployed
- Full-time student
- Employed or self-employed

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

You are only required to fill in the following if you have indicated above that you are employed or self-employed.

Name of business or employer:

\_\_\_\_\_

Address of business or employer:

\_\_\_\_\_

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

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

Describe the type of business or employment and your duties. If you are seeking a type of registration for which specified experience is required, provide details of that experience below (for example, level of responsibility, value of accounts under direct supervision, and research experience):

Indicate the number of hours per week you will be devoting to this business or employment: \_\_\_\_\_

If the business or employment described above is with the sponsoring firm and if you are working less than 30 hours per week for the firm, explain why you are working less than 30 hours per week for the firm:

**SCHEDULE "G"**  
**Current employment**

If the business or employment described above is not with the sponsoring firm, disclose any potential for confusion by clients and any potential for conflicts of interest arising from your proposed activities as a registrant and the business or employment described above (include whether the business is listed on an exchange):

**SCHEDULE "H"**  
**Previous employment**

Item  11

**Employment information**

Provide the information requested for your previous business and employment activities for the 10-year period before the date of this application. Include any periods of self-employment or unemployment during this period. Do not include summer employment while you were a full-time student.

In addition, provide the information requested in respect of all of your securities or exchange contracts (including commodity futures contracts and commodity futures options) business and employment activities during and prior to the ten-year period.

- Unemployed
- Full-time student
- Employed or self-employed

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

You are only required to fill in the following if you have indicated above that you are, or were, employed or self-employed.

Name of business or employer:

\_\_\_\_\_

Address of business or employer:

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

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

**SCHEDULE "H"**  
**Previous employment**

Item  11

**Employment information**

Describe the type of business or employment and your duties. If you are seeking a type of registration for which specified experience is required, provide details of that experience below (for example, level of responsibility, value of accounts under direct supervision, and research experience):

**SCHEDULE "I"**  
**Resignations and terminations**

Item  12

**Resignation and Termination information**

For each resignation or termination indicate below, (1) the name of the firm from which you resigned or were terminated, (2) whether you resigned or were terminated, (3) the date you resigned or were terminated, and (4) the circumstances relating to your resignation or termination (including whether the allegations were made by a client, sponsoring firm, self-regulatory organization or regulatory authority).

**SCHEDULE "J"**  
**Regulatory disclosure**

Item  13

**1. Securities regulatory authorities**

- a) For each registration or licence, indicate below (1) the securities regulatory authority with which you are, or were, registered or licensed, (2) the type or category of registration or licence, and (3) the dates between which you held the registration or licence.
- b) For each registration or licence, indicate below (1) the name of the firm, (2) the securities regulatory authority with which the firm is, or was, registered or licensed, (3) the type or category of registration or licence, and (4) the dates between which you held the registration or licence.
- c) For each registration or licence refused, indicate below (1) the party that was refused the registration or licence, (2) the securities regulatory authority 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.
- d) For each exemption from registration denied, indicate below (1) the party that was denied the exemption, (2) the securities regulatory authority that denied the exemption, (3) the date the exemption was denied, and (4) any other information that you think is relevant or that is requested by the regulator.
- e) For each order or disciplinary proceeding, indicate below (1) the party against whom the order was made or the proceeding taken, (2) the securities regulatory authority 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), and (6) any other information that you think is relevant or that is requested by the regulator.

**SCHEDULE "J"**  
**Regulatory disclosure**

**2. Self-regulatory organizations**

- a) For each membership or participation, indicate below (1) the party that is, or was, a member or participating organization, (2) the self-regulatory organization with which the party is, or was, a member or participating organization, (3) the type or category of membership or participation, and (4) the dates between which the party was a member or participating organization.
  
- b) For each membership or participation refused, indicate below (1) the party that was refused membership or participation, (2) the self-regulatory organization that refused the membership or participation, (3) the type or category of membership or participation refused, (4) the date of the refusal, and (5) the reasons for the refusal.
  
- c) For each order or disciplinary proceeding, indicate below (1) the party against whom the order was made or the proceeding taken, (2) the self-regulatory organization 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), and (6) any other information that you think is relevant or that is requested by the regulator.

**3. Non-securities regulation**

- a) For each registration or licence, indicate below (1) the party is, or was, registered or licensed, (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 dates between which the party held the registration or licence.
  
- b) For each registration or licence refused, indicate below (1) the party that was refused registration or licensing, (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.
  
- c) For each order or disciplinary proceeding, indicate below (1) the party against whom the order was made or the proceeding taken, (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), and (6) any other information that you think is relevant or that is requested by the regulator.

**SCHEDULE "K"**  
**Criminal disclosure**

Item  14

**Criminal, provincial and territorial offences**

- a) For each charge, indicate below (1) the charge, (2) the date of the charge, (3) any trial or appeal dates, and (4) the court location.
  
- b) For each conviction, indicate below (1) the offence, (2) the date of the conviction, and (3) the disposition (state any penalty or fine and the date any fine was paid).
  
- c) For each charge, indicate below (1) the name of the firm, (2) the charge, (3) the date of the charge, (4) any trial or appeal dates, and (5) the court location.
  
- d) For each conviction, indicate below (1) the name of the firm, (2) the offence, (3) the date of the conviction, and (4) the disposition (state any penalty or fine and the date any fine was paid).

**SCHEDULE "L"**  
**Civil disclosure**

Item  15

**Current and past civil proceedings**

- a) For each civil proceeding, indicate below (1) the party that is, or was, a defendant or respondent, (2) each plaintiff in the proceeding, (3) whether the proceeding is pending, on appeal or final, (4) the jurisdiction in which the action is being, or was, pursued, and (5) a summary of any disposition or settlement. (Disclosure must include those actions settled without admission of liability.)
  
- b) For each civil proceeding, indicate below (1) the firm that was a defendant or respondent in the proceeding, (2) your relationship to the firm, (3) each plaintiff in the proceeding, (4) whether the proceeding is pending, on appeal or final, (5) the jurisdiction in which the action is being, or was, pursued, and (6) a summary of any disposition or settlement. (Disclosure must include those actions settled without admission of liability.)

**SCHEDULE "M"**  
**Financial Disclosure**

Item  16

**1. Bankruptcy**

For each event, indicate below (1) the party about whom this disclosure is being made, (2) any amounts currently owing, (3) the creditors, (4) the status of the matter, (5) a summary of any disposition or settlement, and (6) any other information that you think is relevant or that is requested by the regulator.

**2. Solvency**

For each event, indicate below (1) the party that failed to meet its financial obligation, (2) the amount that was owing at the time the party failed to meet its financial obligation, (3) the party 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 is requested by the regulator.

**3. Surety Bond or Fidelity Bond**

For each bond refused, indicate 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.

**4. Garnishments, Unsatisfied Judgments or Directions to Pay**

For each garnishment, unsatisfied judgement or direction to pay, indicate below (1) the amount that was owing at the time the garnishment, judgement or direction to pay was rendered, (2) the party 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) any amounts currently owing, and (5) any other information that you think is relevant or that is requested by the regulator.



**SCHEDULE "N"**  
**Related securities firms**

f) Are the funds to be invested (or proposed to be invested) guaranteed directly or indirectly by any person or firm? .....  Yes  No

If "Yes", identify the party and state the relationship between you and that party:

g) Have you either directly or indirectly given up any rights with respect to such securities or partnership interest, or do you, on approval of this application, intend to give up any such rights (including by hypothecation, pledging or depositing as collateral the securities or partnership interest with any institution or person)? .....  Yes  No

If "Yes", identify the party, state the relationship between you and that party and describe the rights that have been or will be given up:

h) Is a person other than you the beneficial owner of the shares, bonds, debentures, partnership units or other notes held by you? .....  Yes  No

If "Yes", complete (i), (j) and (k).

i) Name of beneficial owner:

Last name	First name	Second name <i>(if applicable)</i>	Third name <i>(if applicable)</i>
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j) Residential address:

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

k) Occupation:

<b>SCHEDULE "O"</b>	
<b>Notice and collection and use of personal information</b>	
<b>Contact Information</b>	
<b>Alberta</b>	<b>British Columbia</b>
Alberta Securities Commission, 4th Floor, 300 B 5th Avenue S.W. Calgary, AB T2P 3C4 Attention: Information Officer Telephone: (403) 297-6454	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)
<b>Manitoba</b>	<b>New Brunswick</b>
The Manitoba Securities Commission 1130-405 Broadway Winnipeg, MB R3C 3L6 Attention: Director – Legal Telephone: (204) 945-4508	Securities Administration Branch PO Box 5001 606, 133 Prince William Street Saint John, NB E2L 4Y9 Attention: Deputy Administrator, Capital Markets Telephone: (506) 658-3021
<b>Newfoundland and Labrador</b>	<b>Nova Scotia</b>
Securities Commission of Newfoundland and Labrador P.O. Box 8700, 2nd Floor, West Block Confederation Building St. John's, NF A1B 4J6 Attention: Director of Securities Tel: (709) 729-4189	Nova Scotia Securities Commission 2nd Floor, Joseph Howe Building 1690 Hollis Street P.O. Box 458 Halifax, NS B3J 3J9 Attention: FOI Officer Telephone: (902) 424-7768
<b>Northwest Territories</b>	<b>Nunavut</b>
Government of the Northwest Territories P.O. Box 1320 Yellowknife, NWT X1A 2L9 Attention: Deputy Registrar of Securities Telephone: (867) 920-8984	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) 975-6190
<b>Ontario</b>	<b>Prince Edward Island</b>
Ontario Securities Commission Suite 1903, Box 55 20 Queen Street West Toronto, ON M5H 3S8 Attention: FOI Coordinator Telephone: (416) 593-8314	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) 368-4569
<b>Québec</b>	<b>Saskatchewan</b>
Commission des valeurs mobilières du Québec Stock Exchange Tower P.O. Box 246, 22nd Floor 800 Victoria Square Montréal, PQ H4Z 1G3 Attention: Responsable de l'accès à l'information Telephone: (514) 940-2150 or (800) 361-5072 (in Québec)	Saskatchewan Securities Commission 800 B1920 Broad Street Regina, SK S4P 3V7 Attention: Director Telephone: (306) 787-5842
<b>Yukon</b>	
Department of Community Services Yukon P.O. Box 2703 Whitehorse, YU Y1A 2C6 Attention: Registrar of Securities Telephone: (867) 667-5225	

**FORM 33-109F5**

**CHANGE OF REGISTRATION INFORMATION**

**GENERAL INSTRUCTIONS**

1. This notice must be submitted when notifying a regulator of changes to Form 3 or Form 4 information in accordance with MI 33-109.
2. If the NRD filer is relying on the temporary hardship exemption in MI 31-102, this form is required to be delivered to the regulator in paper format when notifying a regulator of changes to Form 33-109F4.
3. If this form is being submitted in respect of a change to a Form 3, Form 4 or Form 33-109F4 an authorized partner or officer of the firm must sign the form.

**1. Type of form**

Identify the part of the Form 3, Form 4, or Form 33-109F4 for which this notice is being provided. If this notice is being provided to update an individual's Form 4 or Form 33-109F4, provide the name of the individual.

- Form 3, Item(s) \_\_\_\_\_,
- Form 4, Item(s) \_\_\_\_\_, name of individual \_\_\_\_\_, or
- Form 33-109F4, Item(s) \_\_\_\_\_, name of individual \_\_\_\_\_

**2. Details of Change**

Provide the details of the change for each item identified above:

**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 set out below for the administration and enforcement of certain provisions of the securities legislation in British Columbia, Alberta, Saskatchewan, Manitoba, Ontario, Nova Scotia, New Brunswick, Prince Edward Island, Newfoundland and Labrador, Northwest Territories, Yukon Territory, and Nunavut.

By submitting this information you consent to the collection by the securities regulatory authority of the personal information provided above, police records, records from other government or non-governmental regulatory authorities or self-regulatory organizations, credit records and employment records about you as may be necessary for the securities regulatory authority to complete its review of your continued fitness for registration, if applicable, in accordance with the legal authority of the securities regulatory authority for the duration of the period which you remain registered or approved by the securities regulatory authority. The sources the securities regulatory authority may contact include government and private bodies or agencies, individuals, corporations and other organizations.

If you have any questions about the collection and use of this information, you may contact the securities regulatory authority in any jurisdiction in which the required information is filed, at the address or telephone number provided in Schedule "A".

**WARNING:** It is an offence to submit information that, in a material respect and at the time and in the light of the circumstances in which it is submitted, is misleading or untrue.

**CERTIFICATION**

I, the undersigned, certify that I have read and that I understand the questions in this notice and the Warning set out above. I also certify that all statements of fact made in the answers to the questions are true.

\_\_\_\_\_  
Signature of registered or non-registered individual  
(No signature is required here if this form is being submitted in respect of a change to Form 3 information.)

\_\_\_\_\_  
Date

If this form is being submitted in respect of a change to Form 3, I, the undersigned, certify that I understand the requirements and the Warning in this notice and that all statements of fact provided in this notice are true.

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

\_\_\_\_\_  
Date

\_\_\_\_\_  
Firm name

<b>SCHEDULE "A"</b>	
<b>Notice and collection and use of personal information</b>	
<b>Contact Information</b>	
<p><b>Alberta</b></p> <p>Alberta Securities Commission, 4th Floor, 300 B 5th Avenue S.W. Calgary, AB T2P 3C4 Attention: Information Officer Telephone: (403) 297-6454</p>	<p><b>British Columbia</b></p> <p>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)</p>
<p><b>Manitoba</b></p> <p>The Manitoba Securities Commission 1130-405 Broadway Winnipeg, MB R3C 3L6 Attention: Director - Legal Telephone: (204) 945-4508</p>	<p><b>New Brunswick</b></p> <p>Securities Administration Branch PO Box 5001 606, 133 Prince William Street Saint John, NB E2L 4Y9 Attention: Deputy Administrator, Capital Markets Telephone: (506) 658-3021</p>
<p><b>Newfoundland and Labrador</b></p> <p>Securities Commission of Newfoundland and Labrador P.O. Box 8700, 2nd Floor, West Block Confederation Building St. John's, NF A1B 4J6 Attention: Director of Securities Tel: (709) 729-4189</p>	<p><b>Nova Scotia</b></p> <p>Nova Scotia Securities Commission 2<sup>nd</sup> Floor, Joseph Howe Building 1690 Hollis Street P.O. Box 458 Halifax, NS B3J 3J9 Attention: FOI Officer Telephone: (902) 424-7768</p>
<p><b>Northwest Territories</b></p> <p>Government of the Northwest Territories P.O. Box 1320 Yellowknife, NWT X1A 2L9 Attention: Deputy Registrar of Securities Telephone: (867) 920-8984</p>	<p><b>Nunavut</b></p> <p>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) 975-6190</p>
<p><b>Ontario</b></p> <p>Ontario Securities Commission Suite 1903, Box 55 20 Queen Street West Toronto, ON M5H 3S8 Attention: FOI Coordinator Telephone: (416) 593-8314</p>	<p><b>Prince Edward Island</b></p> <p>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) 368-4569</p>
<p><b>Québec</b></p> <p>Commission des valeurs mobilières du Québec Stock Exchange Tower P.O. Box 246, 22nd Floor 800 Victoria Square Montréal, PQ H4Z 1G3 Attention: Responsable de l'accès à l'information Telephone: (514) 940-2150 or (800) 361-5072 (in Québec)</p>	<p><b>Saskatchewan</b></p> <p>Saskatchewan Securities Commission 800 B1920 Broad Street Regina, SK S4P 3V7 Attention: Director Telephone: (306) 787-5842</p>
<p><b>Yukon</b></p> <p>Department of Community Services Yukon P.O. Box 2703 Whitehorse, YU Y1A 2C6 Attention: Registrar of Securities Telephone: (867) 667-5225</p>	

**COMPANION POLICY 33-109CP  
TO MULTILATERAL INSTRUMENT 33-109  
REGISTRATION INFORMATION**

**PART 1 APPLICATION AND PURPOSE**

- 1.1 Application** - Multilateral Instrument 33-109 ("MI 33-109") has been implemented in all jurisdictions except Quebec.
- 1.2 Purpose** - The purpose of MI 33-109 is to consolidate and harmonize requirements regarding the initial submission of registration information and the updating of that information.

**PART 2 BUSINESS LOCATIONS**

- 2.1 Business Locations** - The securities regulatory authority or regulator is of the view that a business location for a registered firm, or a person or company that is applying for registration, is a location within the jurisdiction, including a residence, where a firm's registered individuals are based for the purpose of carrying out registerable activity.

**PART 3 NOTICE OF CHANGES**

**3.1 Bulk Transfer of Locations and Individuals**

- (1) If a registered firm is acquiring a large number of business locations (for example, as a result of an amalgamation or asset purchase) from one or more other registered firms that are located in the same jurisdictions and registered in the same categories as the acquiring firm, and if a significant number of individuals are associated on NRD with the locations, the securities regulatory authority or regulator will consider exempting the firms and individuals involved in the transaction from the following requirements:
1. the requirement to submit a notice regarding the termination of each employment, partner, or agency relationship under section 4.3 of MI 33-109;
  2. the requirement to submit a notice regarding each individual who ceases to be a non-registered individual under section 5.2 of MI 33-109;
  3. the requirement to submit a registration application for each individual applying to become a registered individual under section 2.2 of MI 33-109;
  4. the requirement to submit a Form 33-109F4 for each non-registered individual under section 3.3 of MI 33-109;
  5. the requirement under section 3.1 of MI 33-109 to notify the regulator of a change to the business location information in Form 33-109F3.
- (2) In order to exempt the firms and individuals involved in the transaction from the requirements set out above, the application should include the following information:
- (a) the name and NRD number of the registered firm that will acquire control of the business locations;
  - (b) for each registered firm that is transferring control of the business locations,
    - (i) the name and NRD number of the registered firm;
    - (ii) the address and NRD number of each business location that is being transferred from the registered firm named in (b)(i) to the registered firm named in (a); and
  - (c) the date that the business locations will be transferred to the registered firm named in (a).
- (3) To facilitate the processing of the exemption application, the applicant may put the information referred to in subsection (2) in the form set out in Appendix A to this Companion Policy.
- (4) This exemption application should be submitted by the registered firm that will acquire control of the business locations at the closing of the transaction and should be submitted sufficiently in advance of the date on which the business locations are to be transferred (the "transfer date"). At this time, the securities regulatory

authority is of the view that submitting the application at least 30 days prior to the transfer date should be sufficient.

- (5) In addition to any application fee, it is likely that the payment of a fee will be a condition of this type of exemption order and that the fee will be related to the number of registered firms, business locations, registered individuals, and non-registered individuals involved in the transaction.
- (6) If the exemption is granted, as soon as practicable after the transfer date, the regulator will instruct the NRD administrator to indicate the transfer of the business locations, the registered individuals, and the non-registered individuals on NRD.
- (7) Bulk transfers involving firms that are registered in different categories or different jurisdictions may need to take additional steps. Firms involved in such a transaction should contact the applicable regulators to discuss what steps are required to allow the firms to use the bulk transfer process described above.

#### **PART 4 DUE DILIGENCE**

**4.1 Sponsoring Firm Obligations** - The securities regulatory authority or regulator is of the view that the reasonable efforts firms are required to undertake in Part 6 of MI 33-109 include

- (a) establishing written policies and procedures relating to the investigation of an individual prior to submitting a Form 33-109F4 on behalf of the individual, and
- (b) ensuring that the review of an individual pursuant to these policies and procedures is documented.

#### **PART 5 COMMODITY FUTURES ACT SUBMISSIONS**

**5.1** In Ontario, if a person or company is required to make a submission under both MI 33-109 and OSC Rule 33-506 (*Commodity Futures Act*) with respect to the same information, the securities regulatory authority is of the view that a single filing on a form required under either rule satisfies both requirements.

Appendix A

**Request for NRD Bulk Transfer of Business Locations**

This is an application for exemption under Multilateral Instrument 33-109.

A) Registered firm that will acquire the business locations

Name:

Firm NRD number:

B) Registered firm transferring the business locations

Name:

Firm NRD number:

Business locations that will be transferred

Address of business location:

NRD number of business location:

Address of business location:

NRD number of business location:

(Repeat for each business location as necessary.)

C) Date that business locations will be transferred:

**ONTARIO REGULATION**  
made under the  
**SECURITIES ACT**

Amending Reg. 1015 of R.R.O. 1990  
(General)

Note: Since the end of 2001, Regulation 1015 has been amended by Ontario Regulation 290/02. Previous amendments are listed in the Table of Regulations published in *The Ontario Gazette* dated January 19, 2002.

**1. The heading before section 129 and section 129 of Regulation 1015 of the Revised Regulations of Ontario, 1990 is revoked.**

**2. Section 135 of the Regulation is revoked and the following substituted:**

**135.** Upon receipt and review of a notice to the Director under Multilateral Instrument 33-109 *Registration Information*, the Director may require an application for amendment of registration prepared in accordance with Form 7.

**3. Section 136 of the Regulation is revoked.**

**4. (1) Clauses 5 (1) (a) and (b) and the portion of subsection 5 (2) before clause (a) of Schedule 1 to the Regulation are amended by striking out “Form 4 (or a letter in lieu thereof)” wherever it appears and substituting in each case “Form 33-109F2 or 33-109F4 (made under Multilateral Instrument 33-109 *Registration Information*)”.**

**(2) Clause 5 (2) (a) of Schedule 1 to the Regulation is revoked and the following substituted:**

(a) filed as part of an application in Form 3; or

**(3) Clause 6 (c) of Schedule 1 to the Regulation is revoked and the following substituted:**

(c) \$375 for each individual who is a representative, partner or officer of the applicant, other than a partner or officer who is not resident in Ontario and is not registered to advise in Ontario.

**(4) Section 7 of Schedule 1 to the Regulation is amended by striking out the portion before clause (b) and substituting the following:**

7. An application for registration as a representative, partner or officer of an adviser in Form 33-109F2 or 33-109F4 (made under Multilateral Instrument 33-109 *Registration Information*) shall be accompanied by a fee of \$375 unless it is,

(a) filed as part of an application in Form 3; or

**(5) Subsection 9 (1) of Schedule 1 to the Regulation is revoked.**

**(6) Subsection 9 (2) of Schedule 1 to the Regulation is amended by striking out “within thirty days after the applicant’s anniversary date” and substituting “on or before December 31 in each year”.**

**(7) Clauses 9 (3) (a), (b) and (c) Schedule 1 to the Regulation are revoked and the following substituted:**

(a) the number of branch and sub-branch offices on December 31 of the current year, as shown in the records of the Commission;

(b) the salespersons, representatives, partners and officers on December 31 of the current year, as shown in the records of the Commission; and

(c) the information contained in the audited consolidated financial statements or Financial Questionnaire and Report filed most recently prior to December 31 of the current year.

**(8) Section 12 of Schedule 1 to the Regulation is revoked and the following substituted:**

**12.** (1) A notice submitted by a dealer or adviser under Multilateral Instrument 33-109 *Registration Information* shall be accompanied by a fee of \$125 for each of the following changes:

1. A change in the address for service of the dealer or adviser.
2. A change in the head office address of the dealer or adviser.
3. A change in the name of the dealer or adviser.
4. A change in a category of registration of the dealer or adviser.
5. A change in the auditor of the dealer or adviser.
6. A change in the financial year end of the dealer or adviser.
7. A change in the officers, directors, or partners of the dealer or adviser.
8. A change in the holders of the voting securities of the dealer or adviser.
9. The opening of a business location, other than a new head office, and any change to business location information submitted on Form 33-109F3 (made under Multilateral Instrument 33-109 *Registration Information*).

(2) Upon an amalgamation or merger of two or more registrants, the successor registrant shall pay a fee of \$125 in respect of each change referred to in subsection (1) that occurs to each predecessor registrant as a result of the amalgamation or merger.

**5. Form 3 of the Regulation is revoked and the following substituted:**



Ontario

**Form 3  
Securities Act**

**Application for Registration  
as Dealer or Adviser**

NOTE: Should any space be insufficient for your answers, a statement may be attached and marked as an exhibit cross-referencing each statement to the item to which it pertains provided it is initialled by the applicant and the Commissioner taking the affidavit.

Application is made for registration under the *Securities Act*

(NOTE: Refer to sections 98 and 99 of the Regulation to confirm the appropriate category of registration.)

in the category of

1.	(a)	Name of Applicant	
	(b)	Head Office Business Address	
		Telephone Number	Postal Code
	(c)	Address for service in Ontario	
		Telephone Number	Postal Code
2.	The applicant maintains accounts at the following bank(s): (State bank and branches through which business is transacted)		
3.	Is applicant applying for registration of any branch offices? If so, state addresses		
<b>INSTRUCTION: Answer "Yes" or "No" to the following questions. If "Yes", give particulars</b>			
4.	Has the applicant, or to the best of the applicant's information and belief, has any affiliate of the applicant,		
	(a)	been registered in any capacity under any <i>Securities Act</i> of Ontario?	
	(b)	applied for registration, in any capacity, under any <i>Securities Act</i> of Ontario?	
5.	Is the applicant, or to the best of the applicant's information and belief, is any affiliate of the applicant, now, or has any such person or company been,		
	(a)	registered or licensed in any capacity in any other province, state or country which requires registration or licensing to deal or trade in securities?	
	(b)	registered or licensed in any other capacity in Ontario or any other province, state or country under any legislation which requires registration or licensing to deal with the public in any capacity? (e.g., as an insurance agent, real estate agent, used car dealer, mortgage broker, etc.)	

	(c)	refused registration or a licence mentioned in 5(a) or (b) above or has any registration or licence been suspended or cancelled in any category mentioned in 5(a) or (b) above?
	(d)	denied the benefit of any exemption from registration provided by any Securities Act of Ontario, or similar exemption provided by securities acts or regulations of any other province, state or country?
6.	Is the applicant, or to the best of the applicant's information and belief is any affiliate of the applicant, now, or has any such person or company been,	
	(a)	a member of any Stock Exchange, Association of Investment Dealers, Investment Bankers, Brokers, Broker-Dealers, or similar organization, in any province, state or country?
	(b)	refused membership in any Stock Exchange, Association of Investment Dealers, Investment Bankers, Brokers, Broker-Dealers, or similar organization, in any province, state or country?
	(c)	suspended as a member of any Stock Exchange, Association of Investment Dealers, Investment Bankers, Brokers, Broker-Dealers, or similar organization, in any province, state or country?
7.	Has the applicant, or to the best of the applicant's information and belief, has any affiliate of the applicant, operated under, or carried on business under, any name other than the name shown in this application?	
8.	Has the applicant, or to the best of the applicant's information and belief, has any affiliate of the applicant,	
	(a)	ever been convicted under the law of any province, state or country, excepting minor traffic violations?
		Is there currently an outstanding charge or indictment against the applicant or affiliate?
		<b>INSTRUCTION: Question 8(a) refers to all laws, e.g., Criminal, Immigration, Customs, Liquor, etc. of any province, state or country in any part of the world. You are not required to disclose any convictions for which a pardon has been granted under the Criminal Records Act (Canada), and which pardon has not been revoked.</b>
	(b)	ever been the defendant or respondent in any proceedings in any civil court in any jurisdiction in any part of the world wherein fraud was alleged?
	(c)	at any time declared bankruptcy, or made a voluntary assignment in bankruptcy? (If "Yes", give particulars and also attach a certified copy of discharge.)
	(d)	ever been refused a fidelity bond?

9. Set out in the space provided, the name of the applicant, or the name of and position held by each officer or partner of the applicant seeking or holding registration. <b>NOTE: an underwriter may not trade with the public. (To provide more information, please submit an attachment)</b>			
Names of persons who will act (In addition to last name, give full first and middle names)	Office Held	Names of persons who will act (In addition to last name, give full first and middle names)	Office Held
1.		5.	
2.		6.	
3.		7.	
4.		8.	
10.	A Capitalization of Company:  Other than a Security Issuer, complete below or attach marked as an exhibit to the application a statement containing the information called for below, to provide information with respect to the financial structure and control of the applicant company.		
(a)	The authorized and issued capital of the company, stating:		
	Preferred Shares (State number of shares and dollar value) Shares \$	Common Shares (State number of shares and dollar value) Shares	
(1)	authorized capital		
(2)	issued		
(3)	total dollar value of other securities:		
	(i) Bonds		
	(ii) Debentures		
	(iii) Any other loans, state source and maturity		
	TOTAL \$		
(b)	The names, addresses and usual place of residence of registered, and direct, and indirect, beneficial owners of each class of security or obligation issued, and if a trust is the beneficial owner, the names, addresses and usual place of residence of each person or company having a beneficial interest in the trust, and the nature and extent of the holdings and percentage of interest attributable to each security holder, lender or cestui que trust (beneficiary).		
(c)	State name and address of every depository holding any of the assets of the company		
	<b>INSTRUCTION: Answer "yes" or "No" to the following questions. If "Yes", give particulars</b>		
(d)	Has any person or company undertaken to act as a guarantor in relation to the financial or other undertakings of the applicant?		

(e)	Has a subordination agreement been executed by the creditor(s) in relation to loans owing by the applicant?
(f)	Is there any person or company whose name is not disclosed in the statement called for by (b) above who has any direct or indirect interest in the applicant. either beneficially or otherwise?
B	<p>Capitalization of a Partnership or Proprietorship</p> <p>Attach, marked as an exhibit to the application, a statement containing the information called for below with respect to the assets of the partnership or proprietorship, and demonstrate therein the degree of control (voting power) of each of the participants in the applicant.</p>
(a)	Amount of paid-in capital \$
(b)	Description of the assets
(c)	State name and address of every depository holding any of the assets:
(d)	Source, amount and maturity date of any obligations owing by the partnership, if any: (Where applicable, give names and addresses of creditors).
<b>INSTRUCTION: Answer "yes" or "No" to the following questions. If "Yes", give particulars</b>	
(e)	Has any person or company undertaken to act as guarantor in relation to the financial or other undertakings of applicant?
(f)	Has a subordination agreement been executed by the creditor(s) in relation to loans owing by the applicant?
(g)	Is there any person or company whose name is not disclosed above who has any interest in the applicant, either beneficially or otherwise?

DATED at

this      day of      20

By

\_\_\_\_\_ (Name of applicant)

\_\_\_\_\_ (Signature of applicant, partner or officer)

\_\_\_\_\_ (Official capacity)

**AFFIDAVIT**

**In the matter of the *Securities Act***

Province of Ontario ) I,  
 ) (Name in full)  
\_\_\_\_\_of ) of the  
 )  
To Wit: ) in the County of

**MAKE OATH AND SAY:**

- 1. I am the applicant (or a partner or officer of the applicant) herein for registration and I signed the application.
- 2. The statements of fact made in the application are true.

SWORN before me at the )  
 )  
in the \_\_\_\_\_of \_\_\_\_\_ )  
 ) .....  
 ) (Signature of Deponent)  
this \_\_\_\_\_ day of \_\_\_\_\_ 20 \_\_\_\_\_ )  
 )  
 )  
 )  
(A Commissioner, etc.)

It is an offence under the *Securities Act* to file an application containing a statement that, at the time and in light of the circumstances in which it is made, is a misrepresentation.

**Attachment Page**

(Please Include the Question Number you are Answering)

6. Form 4 of the Regulation is revoked.

7. This Regulation comes into force on the day that the rule made by the Ontario Securities Commission on November 12, 2002 entitled “Multilateral Instrument 33-109 *Registration Information*” comes into force.

Ontario Securities Commission:

“Howard Wetston”  
Vice Chair

Howard Wetston  
(Print Name)

“David A. Brown”  
Commissioner

David A. Brown  
(Print Name)

Dated on November 13, 2002.

**Note:** The rule made by the Ontario Securities Commission on November 12, 2002 entitled “Multilateral Instrument 33-109 *Registration Information*” comes into force on February 21, 2003.