

Before completing this form, please read the following carefully:

By “outside activity”, the Autorité des marchés financiers (the “AMF”) means any occupation, function or activity that involves dealing with the public, whether it is remunerated or not remunerated and whether it is pursued on a full-time or part-time basis, for a specified or unspecified period.

Only the following outside activities must be declared to the AMF:

- Activities constituting a **provision of finance-related services** (see the [Provision of Finance-Related Services](#) appendix)
- Activities requiring the **segregation of clienteles** (see the [Segregation of Clienteles Rule](#) appendix)

If this declaration is complete and complies with regulatory requirements, the AMF will not contact you.

You do not need to declare an activity arising from a right to practise granted by the AMF.

If you are a representative governed by the *Securities Act*, CQLR, c. V-1.1 or *Derivatives Act*, CQLR, c. I-14.01, the registration file must also be updated in the National Registration Database (“NRD”) by the sponsoring firm.

Rights of access and correction

You may examine the personal information concerning you, obtain a copy of it or request that it be corrected if it is inaccurate, incomplete or equivocal, or if the collection, release or keeping of the information is not authorized under the *Act respecting Access to documents held by public bodies and the Protection of personal information*, CQLR, c. A-2.1. If you have any questions on this topic, please visit the AMF website at [Information Access | AMF \(lautorite.qc.ca\)](http://www.lautorite.qc.ca).

SECTION 1 – IDENTIFICATION

INFORMATION ABOUT THE CANDIDATE OR REPRESENTATIVE

Client No. (10 digits)			
Mr. <input type="checkbox"/>	First name	Last name	
Ms. <input type="checkbox"/>			
Date of birth	____ / ____ / ____ year month day		

SECTION 2 – DECLARATION

Do you pursue outside activities, **other than those related to a right to practise issued by the AMF**, that constitute a provision of finance-related services or require the segregation of clienteles? Yes No

For further details, see the attached appendices.

- **If you answered “no”, do not declare this outside activity to the AMF.**
- **If you answered “yes,” please describe your functions, duties and responsibilities arising from this outside activity:**

Please provide information about the business for which you are pursuing the outside activity:

Name of business (if applicable): _____

Head office (if applicable): _____

GENERAL UNDERTAKINGS

You are reminded that...

Some outside activities can cause confusion for clients, particularly when they are finance-related. A client may confuse your outside activities with those for which you hold a representative’s certificate. A representative may therefore pursue an outside activity only if, pursuant to the Regulation respecting the pursuit of activities as a representative, CQLR, c. D-9.2, r. 10, the outside activity is unlikely to be confused with the activities of a representative.

I therefore confirm that the outside activity declared is not likely to be confused with my activities as a representative.

Yes No

You are reminded that...

Under the Regulation respecting the pursuit of activities as a representative, a representative may pursue an outside activity only if he has reported the outside activity in writing to the firm or independent partnership on whose behalf he or she acts.

I therefore confirm that I have reported the outside activity in writing to the firm or independent partnership on behalf of which I am acting as a representative, if applicable.

Yes No

OUTSIDE ACTIVITY CONSTITUTING A PROVISION OF FINANCE-RELATED SERVICES

Does the outside activity declared constitute a provision of finance-related services? Yes No

For further details, see the [Provision of Finance-Related Services](#) appendix.

- If you answered “yes”, please confirm the following undertaking:

You are reminded that...

Under the Regulation respecting the pursuit of activities as a representative, representatives who pursue an outside activity may not use privileged or confidential information to which they have access in the course of the outside activity, unless the person concerned has consented in writing to such use.

I therefore confirm that I do not use in my activities as a representative privileged or confidential information obtained in the course of my outside activity unless the person concerned has consented in writing to such use. Yes No

OUTSIDE ACTIVITY REQUIRING THE SEGREGATION OF CLIENTELES

Does the outside activity declared require the segregation of clienteles? Yes No

For further details, see the [Segregation of Clienteles Rule](#) appendix.

- If you answered “yes”, please confirm the following undertaking:

You are reminded that...

Under the Regulation respecting the pursuit of activities as a representative, a representative may not offer financial products or services to any natural person with whom the representative has a relationship arising from an outside activity that requires the segregation of clienteles or to any person whom the representative knows is a relative of the natural person, meaning the natural person’s spouse or child, the spouse’s child, the natural person’s mother, father, brother or sister, the spouse of the natural person’s father or mother, the father or mother of the natural person’s spouse or the spouse of the natural person’s child.

I confirm that I do not offer financial products or services to any natural person with whom I have a relationship arising from an outside activity or to any persons I know is a relative of the natural person. Yes No

SECTION 3 – REQUIRED SUPPORTING DOCUMENT

Missing or incomplete documents will delay processing of your application.

The *Attestation of Firm or Independent Partnership* appendix is not required for independent representatives.

- Attestation of Firm or Independent Partnership* (attached)

SECTION 4 – DECLARATION REGARDING THE INFORMATION PROVIDED

I declare that the information provided in this form is accurate and complete.

I undertake to notify the AMF of any change to the information or a document that I have furnished to the AMF pertaining to the pursuit of an outside activity within 30 days of such change.

Mr. <input type="checkbox"/>	First name		Last name		
Ms. <input type="checkbox"/>					
Signature				Date	____ / ____ / ____ year / month / day

The AMF only accepts forms sent by **mail** and submitted through **AMF E-Services**.

No form submitted by e-mail or fax will be accepted.

Send your form and supporting documents to the following address:

Autorité des marchés financiers
Place de la Cité, tour Cominar
2640, boulevard Laurier, bureau 400
Québec (Québec) G1V 5C1

This appendix is mandatory where a candidate or a representative attached to a firm or independent partnership declares an outside activity to the AMF.

It must be completed and signed by a signatory authorized by the AMF.

SECTION 1 – IDENTIFICATION

INFORMATION ABOUT THE FIRM OR INDEPENDENT PARTNERSHIP

Name of business		Client No. (10 digits)	
Civic No.	Street	Suite / Unit	
Municipality	Province	Postal code	

SECTION 2 – INFORMATION ABOUT THE CANDIDATE OR REPRESENTATIVE

Client No. (10 digits)			
Mr. <input type="checkbox"/>	First name	Last name	
Ms. <input type="checkbox"/>			
Outside activity declared			
Does the activity declared by the candidate or representative require the segregation of clienteles? For further details, see the Segregation of Clienteles Rule appendix.			Yes <input type="checkbox"/> No <input type="checkbox"/>

SECTION 3 – DECLARATION REGARDING THE INFORMATION PROVIDED

I declare that the information provided in this form is accurate and complete.

I also confirm that I am keeping a record on the outside activities of the representative, if applicable, which includes the documents and information enumerated in the *Regulation respecting firms, independent representatives and independent partnerships*, CQLR, D-9.2, r. 2.

Mr. <input type="checkbox"/>	First name	Last name	
Ms. <input type="checkbox"/>			
Signature	Date		____ / ____ / ____ year month day

The AMF only accepts forms sent by **mail** and submitted through **AMF E-Services**.

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Place de la Cité, tour Cominar
2640, boulevard Laurier, bureau 400
Québec (Québec) G1V 5C1

You must declare to the AMF any outside activity constituting a provision of finance-related services. You must also declare, if applicable, that you are a shareholder, partner, director or officer of the business on behalf of which you are pursuing such activities.

No declaration is required if the outside activity arises from a right to practise granted by the AMF.

Outside activities constituting a provision of finance-related services may also require the segregation of clientele.

For further details, visit our [Activities to be declared \(Outside activities\)](#) web page.

CLARIFICATIONS

The AMF considers the following to be outside activities constituting a provision of finance-related services:

- Providing loan or deposit or other banking products and services
- Lending money or accepting deposits of money
- Facilitating or administering mortgages, including acting as a mortgage agent or administrator
- Carrying on a money service business, including exchanging one type of currency for another, transferring money from one person to another, or issuing or redeeming money orders, traveller's cheques or anything similar
- Providing tax services, including preparing tax returns or providing tax advice
- Providing accounting or bookkeeping services
- Providing corporate finance services, including services provided in the capacity of a comptroller, treasurer and chief financial officer
- Advising persons on credit/debt restructuring
- Providing advice on mergers and acquisition
- Providing oversight or independent review or expert opinion on the management of an entity's financial assets

You must declare to the AMF any outside activity requiring the segregation of clienteles. You must also declare, if applicable, that you are a shareholder, partner, director or officer of the business on behalf of which you are pursuing such activities.

For further details, visit our [Activities to be declared \(Outside activities\)](#) web page.

SEGREGATION OF CLIENTELES RULE

If you pursue any of the activities listed below, you are prohibited from soliciting and acting as a certified representative for the clients for whom you are pursuing the outside activity (“segregation of clienteles”). Indeed, under the *Regulation respecting the pursuit of activities as a representative*, a representative may not offer financial products and services to any natural person with whom the representative has a relationship arising from certain outside activities.

This rule also applies in respect of any natural person whom the representative knows is a relative of the person, meaning the natural person’s spouse or child, the spouse’s child, the natural person’s mother, father, brother or sister, the spouse of the natural person’s father or mother, the father or mother of the natural person’s spouse or the spouse of the natural person’s child.

LIST OF OUTSIDE ACTIVITIES, BY DISCIPLINE, REQUIRING THE SEGREGATION OF CLIENTELES

INSURANCE OF PERSONS

- Judge or police officer
- Minister of religion or leader in a religious organization
- Member of the Ordre professionnel des avocats du Québec
- Member of the Ordre professionnel des notaires du Québec
- Member of the Ordre professionnel des infirmières et infirmiers du Québec
- Member of the Ordre professionnel des médecins du Québec
- Teacher in an educational institution at the secondary, college or university level
- Funeral director or any other similar duties in the funeral services industry
- Immigration and citizenship consultant
- Bankruptcy trustee
- Member of management or an employee of a union, other than a union formed of representatives, or of a professional association
- Member of the Ordre des comptables professionnels agréés, to the extent that pursuing that activity requires the representative to hold a public accountancy permit
- Real estate broker
- **Any activity that places the representative or candidate in a position of influence** due to the nature, training or specialized knowledge it requires.

To help you determine whether the activity places you in a position of influence, consider the degree of susceptibility the natural person has due to the person’s reliance on your specialized knowledge, expertise, or trustworthiness associated with your outside activity.

FINANCIAL PLANNING

- Judge or police officer
- Minister of religion or leader in a religious organization
- Member of the Ordre professionnel des infirmières et infirmiers du Québec
- Member of the Ordre professionnel des médecins du Québec
- Teacher in an educational institution at the secondary, college or university level
- Immigration and citizenship consultant
- Bankruptcy trustee
- Member of management or employee of a union, other than a union formed of representatives, or a professional association
- Real estate broker
- **Any activity that places the representative or candidate in a position of influence** due to the nature, training or specialized knowledge it requires.

To help you determine whether the activity places you in a position of influence, consider the degree of susceptibility the natural person has due to the person's reliance on your specialized knowledge, expertise, or trustworthiness associated with your outside activity.

GROUP INSURANCE OF PERSONS

- Judge or police officer
- Minister of religion or leader in a religious organization
- Member of the Ordre professionnel des avocats du Québec
- Member of the Ordre professionnel des notaires du Québec
- Teacher in an educational institution at the secondary, college or university level
- Immigration and citizenship consultant
- Bankruptcy trustee
- Member of management or employee of a union, other than a union formed of representatives, or a professional association
- Member of the Ordre des comptables professionnels agréés, to the extent that pursuing that activity requires the representative to hold a public accountancy permit
- Real estate broker

DAMAGE INSURANCE

- Judge
- Police officer
- Minister of religion or leader in a religious organization
- Member of the Ordre professionnel des avocats du Québec
- Member of the Ordre professionnel des notaires du Québec
- Teacher in an educational institution at the secondary, college or university level
- Immigration and citizenship consultant
- Bankruptcy trustee
- Member of management or employee of a union, other than a union formed of representatives, or a professional association
- Member of the Ordre des comptables professionnels agréés, to the extent that pursuing that activity requires the representative to hold a public accountancy permit
- Real estate broker
- Vendor, lessor or repairer of road vehicles, off-road vehicles or boats
- Vendor, lessor or repairer of movable property, to the extent that the product or service is specifically related to the property

For example, you may pursue activities as a vendor, lessor or repairer of movable property of low value, such as plastic food containers, handcrafted jewelry, decorations or food products, if it is property for which you do not specifically offer insurance through a rider. You may have a relationship arising from the activity of vendor, lessor or repairer of property with your damage insurance broker or agent clientele if the property is covered as part of a comprehensive policy such as the equivalent of Coverage C – Personal Property (Contents) in Québec Personal Property Form 1501 of the Insurance Bureau of Canada.

- Contractor within the meaning of section 7 of the *Building Act*, CQLR, c. B-1.1
- Supplier of services required when there is an insurance loss

These services include: post-disaster appraisal, remediation, repair or clean-up, protection of premises, controlled pumping or drying, decontamination, recovery, recycling or demolition of construction waste.

CLAIMS ADJUSTER

- Judge or police officer
- Minister of religion or leader in a religious organization
- Teacher in an educational institution at the secondary, college or university level
- Immigration and citizenship consultant
- Bankruptcy trustee
- Member of management or employee of a union, other than a union formed of representatives, or a professional association
- Real estate broker
- Vendor, lessor or repairer of road vehicles, off-road vehicles or boats
- Vendor, lessor or repairer of movable property, to the extent that the product or service is specifically related to the property

For example, you may pursue activities as a vendor, lessor or repairer of movable property of low value, such as plastic food containers, handcrafted jewelry, decorations or food products, if it is property for which you do not specifically offer insurance through a rider. You may have a relationship arising from the activity of vendor, lessor or repairer of property with your damage insurance broker or agent clientele if the property is covered as part of a comprehensive policy such as the equivalent of Coverage C – Personal Property (Contents) in Québec Personal Property Form 1501 of the Insurance Bureau of Canada.

- Contractor within the meaning of section 7 of the *Building Act*, CQLR, c. B-1.1
- Supplier of services required when there is an insurance loss

These services include: post-disaster appraisal, remediation, repair or clean-up, protection of premises, controlled pumping or drying, decontamination, recovery, recycling or demolition of construction waste.

MORTGAGE BROKERAGE

- Judge or police officer
- Minister of religion or leader in a religious organization
- Member of the Ordre professionnel des avocats du Québec
- Member of the Ordre professionnel des notaires du Québec
- Teacher in an educational institution at the secondary, college or university level
- Immigration and citizenship consultant
- Bankruptcy trustee
- Member of management or an employee of a union, other than a union formed of representatives, or of a professional association
- Member of the Ordre des comptables professionnels agréés, to the extent that pursuing that activity requires the representative to hold a public accountancy permit
- Money lender
- Loan administrator, except where the broker acts on behalf of a natural person who wants to take out or has taken out a loan secured by immovable hypothec
- Member of the Ordre professionnel des évaluateurs agréés du Québec
- Building inspector