

**FORM 33-109F2**  
**CHANGE OR SURRENDER OF INDIVIDUAL CATEGORIES**

**(section 2.2(2), 2.4, 2.6(2) or 4.1(4))**

**WARNING - It is an offence to knowingly give false or misleading information to the regulator or the securities regulatory authority.**

**CERTIFICATION**

**Individual**

I, the individual, certify to the regulator or, in Québec, the securities regulatory authority in each jurisdiction where I am submitting this form and to any applicable self-regulatory organization (SRO) that

- I have read this form and understand all matters within this form, including the questions,
- I have discussed this form with a branch manager, supervisor, officer or partner of my sponsoring firm and that to the best of my knowledge, the branch manager, supervisor, officer or partner is satisfied that I understand all matters within this form, including the questions,
- to the best of my knowledge and after reasonable inquiry, all of the information provided on this form is true and complete, and
- if applicable, I will limit my activities to those allowed by my category of registration and any SRO approval.

I consent to and authorize the collection, directly and indirectly, of personal information by each regulator or, securities regulatory authority and each SRO and to the use of my personal information as set out in item 6.

**Firm**

I, on behalf of the firm, certify to the regulator or, in Québec, the securities regulatory authority in each jurisdiction where the firm is submitting this form and to any applicable SRO that

- the individual identified in this form will be engaged by the sponsoring firm as a registered individual or a permitted individual, and
- I have, or a branch manager, supervisor, officer or partner has, discussed this form, with the individual. To the best of my knowledge, the individual understands all matters within this form, including the questions.

NRD format:

☐ I, the authorized firm representative, am making this submission under authority delegated by the firm and the individual identified in this form. By checking this box, I certify that

(a) the firm provided me with all of the information on this form and makes the firm certification above,

(b) the individual provided the firm with all of the information on this form and makes the individual certification above, and

(c) the individual provided the above consent and authorization for the collection and use of the individual's personal information.

Non-NRD format:

*Individual*

By signing below, I, the individual, make the above individual certification and provide my consent and authorization for the collection, directly and indirectly, and use of my personal information.

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

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

*Firm*

By signing below, I, on behalf of the firm, make the firm certification above.

Name of firm

Name of authorized signing officer or partner

Title of authorized signing officer or partner

Signature of authorized signing officer or partner

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

**GENERAL INSTRUCTIONS**

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

categories or permitted activities or provide notice of other changes to the information on Schedule C of Form 33-109F4.

## **Terms**

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

## **How to submit this form**

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

If you are relying on the temporary hardship exemption in section 5.1 of Regulation 31-102 respecting National Registration Database (chapter V-1.1, r. 9), you may submit this form in a format other than NRD format.

### **Item 1        Individual**

Name of individual    NRD number of individual

### **Item 2        Registration jurisdictions**

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

Choose “No” if you are registered in:

(a)     only one jurisdiction of Canada

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

(c)     more than one jurisdiction of Canada and you are requesting a change only in your principal jurisdiction.

Yes    ☐     No    ☐

**2.**     Check each jurisdiction where you are seeking the change or surrender.

☐     Alberta

☐     British Columbia

☐     Manitoba

☐     New Brunswick

☐     Newfoundland and Labrador

- ☐ Northwest Territories
- ☐ Nova Scotia
- ☐ Nunavut
- ☐ Ontario
- ☐ Prince Edward Island
- ☐ Québec
- ☐ Saskatchewan
- ☐ Yukon

**Item 3      Removing categories**

What categories are you seeking to remove?

**Item 4      Adding categories**

**1.      Categories**

What categories are you seeking to add?

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

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

Yes ☐      No ☐

If "No", state: The name of your insurer \_\_\_\_\_

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

**3.      Relevant securities experience**

Do you have securities experience?

Yes ☐      No ☐      N/A ☐

If you are an individual applying for IIROC approval, select N/A.

If “Yes”, complete Schedule A.

**Item 5 Reason for surrender**

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

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

1. Notice of collection and use of personal information

Your personal information is collected by, or on behalf of, each securities regulatory authority and SRO set out in Schedule B. Any of the securities regulatory authorities or SROs set out in Schedule B may contact governmental or regulatory authorities, private bodies or agencies, individuals, corporations, employers, and other organizations, in Canada and in other countries, for information about you.

This personal information is being collected under the authority of the applicable securities legislation, derivatives legislation (including commodity futures legislation) or both of the securities regulatory authorities and under the SRO rules of an SRO set out in Schedule B. The collection, use and disclosure are done in accordance with applicable freedom of information and privacy legislation.

The principal purpose of this collection by the securities regulatory authorities is to administer, enforce, carry out their duties or exercise their powers under their respective securities legislation, derivatives legislation (including commodity futures legislation) or both, and by the SROs to administer and enforce the rules of the SROs.

The information submitted by you on this form with your consent, or collected indirectly with your authorization, may be collected

- at any time during your registration or while you are a permitted individual, or
- at the time the regulator or, in Québec, the securities regulatory authority or the SRO is informed by your sponsoring firm that you no longer have authority to act on behalf of the sponsoring firm or are not a permitted individual of the sponsoring firm.

If you have any questions about the collection, use and disclosure of this information, contact the securities regulatory authority or SRO in any jurisdiction in which the required information is submitted. See Schedule B for details.

Certain information, such as your name(s) (including aliases, trade names or some past names), your sponsoring firm, and other relevant registration information, will be listed in a publicly available registry of registered individuals and, if applicable, on the Disciplined List.

Certain securities regulatory authorities may provide to or receive from certain entities information under separate provisions of their securities legislation or derivatives legislation (including commodity futures legislation) or both, and SROs may provide or receive information under the rules of the SROs. This consent and notice does not limit the authority, powers, obligations, or rights conferred on any of the securities regulatory authorities by legislation or regulations in effect in their jurisdiction.

## 2. Consent to collect and use personal information

By submitting this form, you consent to and authorize the collection, directly and indirectly, of personal information by each securities regulatory authority and SRO and to the use of your personal information as set out above.

The personal information that each securities regulatory authority or SRO collects, includes the following:

- the personal information provided in this form;
- the personal information provided by your sponsoring firm;
- registration or financial services licensing information;
- law enforcement records, including police records;
- credit records;
- bankruptcy or other insolvency records;
- employment records and information received from an employer;
- records and information received from entities you had or have an independent contractor or agency relationship with;
- personal information available online;
- records from governmental or regulatory authorities, SROs or professional bodies;
- records of, and used in, court proceedings, including probation records.

**Item 7** (Revoked).

**Item 8** (Revoked)

## **SCHEDULE A**

### **Relevant securities experience (Item 4)**

#### *Instructions:*

- *Some registration categories require a specified amount of experience have been obtained within specified timeframes. Please see Regulation 31-103 respecting Registration Requirements, Exemptions and Ongoing Registrant Obligations (chapter. V-1.1, r. 10) or the relevant SRO rules for more information.*
- *If you are applying to be an advising representative or an associate advising representative, or with IIROC as a portfolio manager, associate portfolio manager, or supervisor designated to be responsible for the supervision of managed accounts, provide details of the activities you performed for each position in which you gained relevant investment management experience. Such details may include the level of responsibility; value of accounts under direct supervision; number of years of experience in performing securities research and analysis for the purpose of portfolio securities selection, portfolio construction and analysis; type of experience in performing client relationship management; number of years of experience collecting know-your-client information; or number of years of experience conducting suitability assessments.*
- *If you are applying as an advising representative limited to client relationship management, indicate this by including the following statement: "Individual seeking registration as CRM AR".*
- *For all other categories, provide details of activities that you performed for each position in which you gained relevant securities industry experience.*

#### **1. If you are applying**

- **to be an advising representative or an associate advising representative of a portfolio manager, describe the relevant investment management experience that you have gained, or**
- **for any other category, describe the relevant securities industry experience that you have gained.**

**For each position in which you gained relevant experience, provide the following information:**

- (a) **the name of the firm or entity with which you gained this experience;**
- (b) **your title;**
- (c) **the start and end dates of this position;**
- (d) **the details of the activities you performed that are relevant for the category of registration that you are applying for;**

(e) the percentage of your time in this position that was spent on activities relating to the experience.

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

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## **SCHEDULE B**

### **Contact information for notice and consent for collection and use of personal information**

#### **Alberta**

Alberta Securities Commission  
Suite 600, 250–5th St. SW  
Calgary, AB T2P 0R4  
Attention: Information Officer  
Telephone: (403) 297-6454

#### **British Columbia**

British Columbia Securities Commission  
P.O. Box 10142, Pacific Centre  
701 West Georgia Street  
Vancouver, BC V7Y 1L2  
Attention: Registration staff  
Telephone: (604) 899-6500 or (800) 373-6393 (in Canada)  
E-mail: [Registration@bcsc.bc.ca](mailto:Registration@bcsc.bc.ca)

#### **Manitoba**

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

#### **New Brunswick**

Financial and Consumer Services Commission of  
New Brunswick / Commission des services  
financiers et des services aux consommateurs du  
Nouveau-Brunswick  
Suite 300, 85 Charlotte Street  
Saint John, NB E2L 2J2  
Attention: Registration  
Telephone: (506) 658-3060

#### **Newfoundland and Labrador**

Superintendent of Securities, Service NL  
Government of Newfoundland and Labrador  
P.O. Box 8700  
2nd Floor, West Block  
Confederation Building  
St. John's, NL A1B 4J6  
Attention: Manager of Registrations  
Telephone: (709) 729-5661

#### **Nunavut**

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

#### **Ontario**

Ontario Securities Commission  
22nd Floor  
20 Queen Street West  
Toronto, ON M5H 3S8  
Attention: Compliance and Registrant Regulation  
Telephone: (416) 593-8314  
e-mail: [registration@osc.gov.on.ca](mailto:registration@osc.gov.on.ca)

#### **Prince Edward Island**

Securities Office  
Department of Community Affairs and Attorney  
General  
P.O. Box 2000  
Charlottetown, PE C1A 7N8  
Attention: Superintendent of Securities  
Telephone: (902) 368-6288

#### **Québec**

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

#### **Saskatchewan**

Financial and Consumer Affairs Authority of  
Saskatchewan  
Suite 601, 1919 Saskatchewan Drive  
Regina, SK S4P 4H2  
Attention: Director, Capital Markets  
Telephone: (306) 787-5871  
E-mail: [registrationfcaa@gov.sk.ca](mailto:registrationfcaa@gov.sk.ca)

**Nova Scotia**

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

**Northwest Territories**

Government of the Northwest Territories  
Department of Justice  
1st Floor Stuart M. Hodgson Building  
5009 – 49th Street  
Yellowknife, NWT X1A 2L9  
Attention: Superintendent of Securities  
Telephone: (867) 920-8984

**Yukon**

Government of Yukon  
Office of the Yukon Superintendent of Securities  
Department of Community Services  
P.O. Box 2703 C-6  
Whitehorse, YT Y1A 2C6  
Attention: Superintendent of Securities  
Telephone: (867) 667-5466

**Self-regulatory organization**

Investment Industry Regulatory Organization of  
Canada  
121 King Street West, Suite 2000  
Toronto, Ontario M5H 3T9  
Attention: Privacy Officer  
Telephone: (416) 364-6133  
E-mail: PrivacyOfficer@iirc.ca".

M.O. 2009-05, Sch. 33-109F2; M.O. 2011-13, s. 10; M.O. 2014-11, s. 8; I.N. 2017-05-01; M.O. 2017-09, s. 3; M.O. 2022-01, s. 10.