

## **REGULATION 33-109Q RESPECTING REGISTRATION INFORMATION**

Securities Act

(R.S.Q., c. V-1.1, s. 331.1, par. (1), (2), (26) and (27))

### **PART 1      DEFINITIONS**

#### **1.1.    In this Regulation**

“Form 3” means form 2 entitled “Application for Registration as a Dealer or Adviser” provided for in section 195 of the Securities Regulation, made by Order in Council 660-83 dated March 30, 1983 (1983, G.O. 2, 1269);

“Form 4” means form 3 entitled “Standard Application for Registration or for Certification of Natural Persons” provided for in section 197 of the Securities Regulation and used before December 31, 2004;

“non-registered individual” means an individual who is not required to register as a securities representative and who is a director, partner, officer, or branch manager of a registered firm;

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

“registered firm” means a legal person or an organization that is registered as a securities dealer or adviser;

“registered individual” means a person registered as a securities representative to act as securities dealer or adviser on behalf of a registered firm;

“Regulation 31-102” means Regulation 31-102Q respecting the National Registration Database approved by Ministerial Order 2004-05 dated 2 December 2004;

“sponsoring firm” means,

(a) for a registered individual, the registered firm on whose behalf the individual acts as a securities dealer or adviser;

(b) for an individual applying for registration as the representative of a registered firm or of a legal person or an organization having applied to become a registered firm, the registered firm, the legal person or the organization;

(c) for a non-registered individual, the registered firm on whose behalf the individual acts; or

(d) for a non-registered individual who acts on behalf of a legal person or an organization having applied to become a registered firm, the legal person or the organization.

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

**1.3.** For purposes of the schedules to this Regulation, “regulator” means the *Agence nationale d’encadrement du secteur financier* (“Agency”).

## **PART 2 APPLICATION FOR REGISTRATION**

**2.1.** An applicant for registration as a securities dealer or adviser must submit to the Agency:

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

### **2.2. Individual Registration**

(1) An individual who applies for registration as a securities representative must make the application by submitting to the Agency in accordance with Regulation 31-102 a completed Form 33-109F4.

(2) Despite subsection (1), a non-registered individual who acts on behalf of a registered firm and applies to become a registered securities representative must make the application by submitting to the Agency in accordance with Regulation 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 Agency of a change to any information previously submitted in Form 3, or under this subsection, within 5 business days of the change.

(2) 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 individual acting as director, partner or officer of the registered firm, and if a completed Form 33-109F4 in respect of the director, partner or officer is submitted under section 2.2 or 3.3;

(b) the resignation or termination of an individual acting as director, partner or officer of the registered firm, and if a completed Form 33-109F1 is submitted in respect of the director, partner or officer under section 4.3 or 5.2; or

(c) a business location other than the head office of the registered firm, 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 Agency of the opening of a business location, other than a head office, by submitting in accordance with Regulation 31-102 a completed Form 33-109F3 within 5 business days of the opening.

(2) A registered firm must notify the Agency of a change to any information previously submitted in Form 33-109F3 by resubmitting in accordance with Regulation 31-102 a completed Form 33-109F3 within 5 business days of the change.

**3.3.** A registered firm must submit to the Agency in accordance with Regulation 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) A registered individual must notify the Agency in accordance with Regulation 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 Agency in accordance with Regulation 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.** A registered individual who applies to change or surrender one of his or her registration categories must make the application by submitting to the Agency in accordance with Regulation 31-102 a completed Form 33-109F2.

**4.3.** A registered firm must, within 5 business days after a registered individual ceases to act on its behalf, notify the Agency of the termination of the relationship by submitting in accordance with Regulation 31-102 a completed Form 33-109F1.

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

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

(1) A registered firm must notify the Agency in accordance with Regulation 31-102 of a change to any information previously submitted in Form 33-109F4, or under this subsection, in respect of a non-registered individual within 5 business days of the change.

(2) Despite subsection (1), a registered firm must notify the Agency in accordance with Regulation 31-102 of a change to any information previously submitted in Item 3 of Form 33-109F4, or under this subsection, in respect of a non-registered individual within 1 year of the change.

(3) Despite subsection (1), a registered firm must notify the Agency of a change to any information regarding a category of non-registered individual listed in Item 6 of Form 33-109F4 by submitting in accordance with Regulation 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 Agency of a change to information contemplated in those subsections if another firm has already done so in accordance with Regulation 31-102 and within the required time.

**5.2.** A registered firm must, within 5 business days after a non-registered individual ceases to act on its behalf, notify the Agency of the termination of the relationship by submitting in accordance with Regulation 31-102 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 the firm for a non-registered individual or information submitted by a registered individual or by an individual applying for registration as a securities representative, 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:

(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 as a securities representative, for a period of 7 years after the individual ceases to act on behalf of the firm.

(3) If a registered individual, or an individual applying for registration as a securities representative, 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 FINAL PROVISION AND EFFECTIVE DATE**

**7.1.** The provisions of this Regulation take precedence over any inconsistent provisions of Title V of the Securities Regulation.

**7.2** This Regulation comes into force on January 1, 2005.

**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 Regulation 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, Québec, 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, 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

**SCHEDULE "A"**  
**Notice and Collection and Use of Personal Information**

**Contact Information**

**Alberta**

Alberta Securities Commission  
4th Floor, 300 B 5th Avenue S.W.  
Calgary, AB T2P 3C4  
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: Freedom of Information Officer  
Telephone: (604) 899-6500 or (800) 373-6393  
(in B.C.)

**Manitoba**

The Manitoba Securities Commission  
1130-405 Broadway  
Winnipeg, MB R3C 3L6  
Attention: Director – Legal  
Telephone: (204) 945-4508

**New Brunswick**

Securities Administration Branch  
P.O. Box 5001  
133 Prince William Street, suite 606  
Saint John, NB E2L 4Y9  
Attention: Deputy Administrator, Capital Markets  
Telephone: (506) 658-3021

**Newfoundland and Labrador**

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**

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

**Northwest Territories**

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

**Nunavut**

Legal Registries Division  
Department of Justice  
Government of Nunavut  
P.O. Box 1000 Station 570  
Iqaluit, NU X0A 0H0  
Attention: Deputy Registrar of Securities  
Telephone: (867) 975-6190

**Ontario**

Ontario Securities Commission  
Suite 1903, Box 55  
20 Queen Street West  
Toronto, ON M5H 3S8  
Attention: FOI Coordinator  
Telephone: (416) 593-8314

**Prince Edward Island**

Securities Registry  
Office of the Attorney General B  
Consumer, Corporate and Insurance Services Division  
P.O. Box 2000  
Charlottetown, PE C1A 7N8  
Attention: Deputy Registrar of Securities  
Telephone: (902) 368-4569



**SCHEDULE "A"**  
**Notice and Collection and Use of Personal Information**

**Québec**

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

**Saskatchewan**

Saskatchewan Financial Services Commission  
6th Floor, 1919 Saskatchewan Dr.  
Regina, Saskatchewan S4P 3V7  
Attention: Director  
Telephone: (306) 787-5842

**Yukon**

Department of Community Services Yukon  
P.O. Box 2703  
Whitehorse, YT Y1A 2C6  
Attention: Registrar of Securities  
Telephone: (867) 667-5225

## 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 Regulation 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 or by any duly authorized self-regulatory organization for 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. Furthermore, the personal information required under this form may be communicated to and circulated among the aforementioned securities regulatory authorities and duly authorized self-regulatory organizations for the same purposes.

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, 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

**SCHEDULE "A"**  
**Notice and Collection and Use of Personal Information**

**Contact Information**

**Alberta**

Alberta Securities Commission  
4th Floor, 300 B 5th Avenue S.W.  
Calgary, AB T2P 3C4  
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: Freedom of Information Officer  
Telephone: (604) 899-6500 or (800) 373-6393  
(in B.C.)

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1130-405 Broadway  
Winnipeg, MB R3C 3L6  
Attention: Director – Legal  
Telephone: (204) 945-4508

**New Brunswick**

Securities Administration Branch  
P.O. Box 5001  
133 Prince William Street, suite 606  
Saint John, NB E2L 4Y9  
Attention: Deputy Administrator, Capital Markets  
Telephone: (506) 658-3021

**Newfoundland and Labrador**

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**

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

**Northwest Territories**

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

**Nunavut**

Legal Registries Division  
Department of Justice  
Government of Nunavut  
P.O. Box 1000 Station 570  
Iqaluit, NU X0A 0H0  
Attention: Deputy Registrar of Securities  
Telephone: (867) 975-6190

**Ontario**

Ontario Securities Commission  
Suite 1903, Box 55  
20 Queen Street West  
Toronto, ON M5H 3S8  
Attention: FOI Coordinator  
Telephone: (416) 593-8314

**Prince Edward Island**

Securities Registry  
Office of the Attorney General B  
Consumer, Corporate and Insurance Services Division  
P.O. Box 2000  
Charlottetown, PE C1A 7N8  
Attention: Deputy Registrar of Securities  
Telephone: (902) 368-4569

**SCHEDULE "A"**  
**Notice and Collection and Use of Personal Information**

**Québec**

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

**Saskatchewan**

Saskatchewan Financial Services Commission  
6th Floor, 1919 Saskatchewan Dr.  
Regina, Saskatchewan S4P 3V7  
Attention: Director  
Telephone: (306) 787-5842

**Yukon**

Department of Community Services Yukon  
P.O. Box 2703  
Whitehorse, YT Y1A 2C6  
Attention: Registrar of Securities  
Telephone: (867) 667-5225

**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 Regulation 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 or by any duly authorized self-regulatory organization for 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. Furthermore, the personal information required under this form may be communicated to and circulated among the aforementioned securities regulatory authorities and duly authorized self-regulatory organizations for the same purposes.

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, 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

**SCHEDULE “A”**  
**Notice and Collection and Use of Personal Information**

**Contact Information**

**Alberta**

Alberta Securities Commission  
4th Floor, 300 B 5th Avenue S.W.  
Calgary, AB T2P 3C4  
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: Freedom of Information Officer  
Telephone: (604) 899-6500 or (800) 373-6393  
(in B.C.)

**Manitoba**

The Manitoba Securities Commission  
1130-405 Broadway  
Winnipeg, MB R3C 3L6  
Attention: Director – Legal  
Telephone: (204) 945-4508

**New Brunswick**

Securities Administration Branch  
P.O. Box 5001  
133 Prince William Street, suite 606  
Saint John, NB E2L 4Y9  
Attention: Deputy Administrator, Capital Markets  
Telephone: (506) 658-3021

**Newfoundland and Labrador**

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**

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

**Northwest Territories**

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

**Nunavut**

Legal Registries Division  
Department of Justice  
Government of Nunavut  
P.O. Box 1000 Station 570  
Iqaluit, NU X0A 0H0  
Attention: Deputy Registrar of Securities  
Telephone: (867) 975-6190

**Ontario**

Ontario Securities Commission  
Suite 1903, Box 55  
20 Queen Street West  
Toronto, ON M5H 3S8  
Attention: FOI Coordinator  
Telephone: (416) 593-8314

**Prince Edward Island**

Securities Registry  
Office of the Attorney General B  
Consumer, Corporate and Insurance Services Division  
P.O. Box 2000  
Charlottetown, PE C1A 7N8  
Attention: Deputy Registrar of Securities  
Telephone: (902) 368-4569



**SCHEDULE "A"**  
**Notice and Collection and Use of Personal Information**

**Québec**

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

**Saskatchewan**

Saskatchewan Financial Services Commission  
 6th Floor, 1919 Saskatchewan Dr.  
 Regina, Saskatchewan S4P 3V7  
 Attention: Director  
 Telephone: (306) 787-5842

**Yukon**

Department of Community Services Yukon  
 P.O. Box 2703  
 Whitehorse, YT Y1A 2C6  
 Attention: Registrar of Securities  
 Telephone: (867) 667-5225

FORM 33-109F4 REGISTRATION INFORMATION FOR AN INDIVIDUAL

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). If the NRD filer is relying on the temporary hardship exemption in Regulation 31-102 this form is required to be delivered to the regulator in paper format.							
INSTRUCTIONS FOR FILING IN PAPER FORMAT							
<div>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.</div> <div>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.</div> <div>3. Failure to answer all applicable questions may cause delays in the processing of the application form.</div> <div>4. This form must be legible.</div> <div>5. To complete the application, individuals should seek advice from an authorized officer of the sponsoring firm or from a legal adviser.</div> <div>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.</div>							
Item 1 – Name							
1. Legal name							
<div></div> <div></div> <table><tr><td>Last name</td><td>First name</td><td>Second name (if applicable)</td><td>Third name (if applicable)</td></tr></table>				Last name	First name	Second name (if applicable)	Third name (if applicable)
Last name	First name	Second name (if applicable)	Third name (if applicable)				
2. Other names							
<div>Are you currently, or have you previously been, known by a name other than the name provided above?<div><input type="checkbox"/> Yes <input type="checkbox"/> No</div></div> <div>If “Yes”, complete Schedule “A”.</div>							

FORM 33-109F4 REGISTRATION INFORMATION FOR AN INDIVIDUAL		
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”.	
Item 3 – Personal information		
	Personal description	
	Date of birth: _____	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?	
	<input type="checkbox"/> Canadian	
	<input type="checkbox"/> 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)		

FORM 33-109F4 REGISTRATION INFORMATION FOR AN INDIVIDUAL	
Item 5 - Registration jurisdictions	
	<b>Jurisdictions</b>
	<p>Indicate, by checking the appropriate box, each province or territory to which you are submitting this form:</p> <div><div><input type="checkbox"/> Alberta <input type="checkbox"/> British Columbia <input type="checkbox"/> Manitoba <input type="checkbox"/> New Brunswick <input type="checkbox"/> Newfoundland and Labrador</div><div><input type="checkbox"/> Northwest Territories <input type="checkbox"/> Nova Scotia <input type="checkbox"/> Nunavut <input type="checkbox"/> Ontario</div><div><input type="checkbox"/> Québec <input type="checkbox"/> Saskatchewan <input type="checkbox"/> Yukon Territory</div></div>
Item 6 - Individual categories	
	<b>Categories</b>
	<p>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.</p>
Item 7 - Address and agent for service	
	<b>1. Address for service</b>
	<p>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.</p>
	<p>Address for service: _____ (number, street, city, province or territory, postal code)</p>
	<p>Telephone number: (    ) _____ Fax number: (    ) _____</p>
	<p>E-mail address: _____</p>
	<b>2. Agent for service</b>
	<p>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.</p>
	<p>Name of agent for service: _____</p>
	<p>Contact person: _____ Last nameFirst name</p>
Item 8 – Proficiency	

FORM 33-109F4 REGISTRATION INFORMATION FOR AN INDIVIDUAL	
	<b>1. Course or examination information</b>
	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.
	<b>2. Student numbers</b>
	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): _____
	<b>3. Exemption refusal</b>
	Has any securities regulatory authority or self-regulatory organization refused to grant you an exemption from a course, examination or experience requirement? <input type="checkbox"/> Yes <input type="checkbox"/> No  If “Yes”, complete Schedule “F”.
Item 9 – Location of employment	
	<b>Location of employment</b>
	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: (    ) _____  <input type="checkbox"/> 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)

FORM 33-109F4 REGISTRATION INFORMATION FOR AN INDIVIDUAL	
Item 10 - Current employment	
	Employment information
	<p>On Schedule “G”, provide the information requested for your current business and employment activities, including those with your sponsoring firm.</p> <p><input type="checkbox"/> Check here if you are not required under securities legislation to provide this information.</p>
Item 11 - Previous employment	
	Employment information
	<p>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.</p> <p>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.</p> <p><input type="checkbox"/> Check here if you are not required under securities legislation to provide this information.</p> <p><input type="checkbox"/> Check here if the information required by this section has been provided in Item 10.</p>
Item 12 - Resignations and terminations	
	Resignation and termination information
	<p>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:</p> <p>a) violated investment related statutes, regulations, rules or industry standards of conduct? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>b) failed to supervise in connection with investment related statutes, regulations, rules or industry standards of conduct? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>c) committed fraud or the wrongful taking of property? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If “Yes”, to any of the above questions, complete Schedule “I”.</p>
Item 13 – Regulatory disclosure	
	1. Securities regulatory authorities
	<p>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? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If “Yes”, complete Schedule “J”, section 1(a).</p>

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

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

If “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).

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

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).

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).



FORM 33-109F4 REGISTRATION INFORMATION FOR AN INDIVIDUAL	
Item 14 - Criminal disclosure	
	<b>Criminal, provincial and territorial offences</b>
	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 <i>Criminal Records Act</i> (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? <input type="checkbox"/> Yes <input type="checkbox"/> 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? <input type="checkbox"/> Yes <input type="checkbox"/> 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 ? <input type="checkbox"/> Yes <input type="checkbox"/> No  If “Yes”, complete Schedule “K”, section (c).
	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 ? <input type="checkbox"/> Yes <input type="checkbox"/> No  If “Yes”, complete Schedule “K”, section (d).
Item 15 - Civil disclosure	
	<b>Current and past civil proceedings</b>
	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? <input type="checkbox"/> Yes <input type="checkbox"/> No  If “Yes”, complete Schedule “L”, section (a).

FORM 33-109F4 REGISTRATION INFORMATION FOR AN INDIVIDUAL	
	<p>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? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If “Yes”, complete Schedule “L”, section (b).</p>
Item 16 – Financial disclosure	
	<p><b>1. Bankruptcy</b></p> <p>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:</p> <p>a) had a petition in bankruptcy issued against you or the firm or made a voluntary assignment in bankruptcy? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>b) made a proposal under any legislation relating to bankruptcy or insolvency? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>c) been subject to proceedings under any legislation relating to the winding up, dissolution or companies’ creditors arrangement? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>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)? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If “Yes” to any of the above questions, complete Schedule “M”, section 1.</p>
	<p><b>2. Debt Obligations</b></p> <p>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? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If “Yes”, complete Schedule “M”, section 2.</p>
	<p><b>3. Surety bond or fidelity bond</b></p> <p>Have you ever applied for a surety or fidelity bond and been refused? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If “Yes”, complete Schedule “M”, section 3.</p>

# FORM 33-109F4 REGISTRATION INFORMATION FOR AN INDIVIDUAL

	<b>4. Garnishments, unsatisfied judgments or directions to pay</b>
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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.

- 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.

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.

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.

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.

<b>Item 17 - Related securities firms</b>
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	Related securities firms and holdings
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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
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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
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### 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

## 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

	<p>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.</p>
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**FORM 33-109F4 REGISTRATION INFORMATION FOR AN INDIVIDUAL**

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.

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”.

**WARNING:** It is an offence to submit information that, 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

FORM 33-109F4 REGISTRATION INFORMATION FOR AN INDIVIDUAL			
SCHEDULE "A"			
Name			
Item 1			
	Other names		
	<div>Last nameFirst nameSecond nameThird name</div> <div>(if applicable)(if applicable)</div>		
	<div>Provide the reasons for the use of this name (for example, marriage, divorce, court order, commonly used name).</div> <div>When did you use this name? From: To:</div> <div>(YYYY/MM)(YYYY/MM)</div>		
	<div>Last nameFirst nameSecond nameThird name</div> <div>(if applicable)(if applicable)</div>		
	<div>Provide the reasons for the use of this name (for example, marriage, divorce, court order, commonly used name).</div> <div>When did you use this name? From: To:</div> <div>(YYYY/MM)(YYYY/MM)</div>		
	<div>Last nameFirst nameSecond nameThird name</div> <div>(if applicable)(if applicable)</div>		
	<div>Provide the reasons for the use of this name (for example, marriage, divorce, court order, commonly used name).</div> <div>When did you use this name? From: To:</div> <div>(YYYY/MM)(YYYY/MM)</div>		

SCHEDULE “B” Residential address	
Item 2	
	<b>Previous addresses</b>
	A postal code (or ZIP code) and a telephone number are not required for any previous address.
	<div>Residential address: _____ (number, street, city, province, territory or state, country)</div> <div>When did you live at this address? From: _____ To: _____ (YYYY/MM) (YYYY/MM)</div>
	<div>Residential address: _____ (number, street, city, province, territory or state, country)</div> <div>When did you live at this address? From: _____ To: _____ (YYYY/MM) (YYYY/MM)</div>
	<div>Residential address: _____ (number, street, city, province, territory or state, country)</div> <div>When did you live at this address? From: _____ To: _____ (YYYY/MM) (YYYY/MM)</div>
	<div>Residential address: _____ (number, street, city, province, territory or state, country)</div> <div>When did you live at this address? From: _____ To: _____ (YYYY/MM) (YYYY/MM)</div>
	<div>Residential address: _____ (number, street, city, province, territory or state, country)</div> <div>When did you live at this address? From: _____ To: _____ (YYYY/MM) (YYYY/MM)</div>
	<div>Residential address: _____ (number, street, city, province, territory or state, country)</div> <div>When did you live at this address? From: _____ To: _____ (YYYY/MM) (YYYY/MM)</div>

SCHEDULE “C” Individual categories	
Item 6	
	<b>Categories</b>
	Indicate, by checking the appropriate box, each category for which you are applying.
	<i>Alberta</i>
	<div><div><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</div><div><input type="checkbox"/> Shareholder <input type="checkbox"/> Branch Manager <input type="checkbox"/> Officer (Advising) <input type="checkbox"/> Officer (Non-Advising) <input type="checkbox"/> Junior Officer (Advising) <input type="checkbox"/> Partner (Advising) <input type="checkbox"/> Partner (Non-Advising)</div></div>
	<i>British Columbia</i>
	<div><div><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 (Trading) <input type="checkbox"/> Director (Non-Trading) <input type="checkbox"/> Compliance Officer <input type="checkbox"/> Shareholder <input type="checkbox"/> Branch Manager</div><div><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"/> Director (Advising) <input type="checkbox"/> Director (Non-Advising) <input type="checkbox"/> Advising Employee</div></div>
	<i>Manitoba</i>
	<div><div><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 (Trading) <input type="checkbox"/> Director (Non-Trading) <input type="checkbox"/> Branch Manager <input type="checkbox"/> Advising Officer <input type="checkbox"/> Advising Partner <input type="checkbox"/> Advising Director <input type="checkbox"/> Non-Advising Officer <input type="checkbox"/> Non-Advising Partner <input type="checkbox"/> Non-Advising Director <input type="checkbox"/> Advising Employee</div><div><input type="checkbox"/> Associate Advising Officer <input type="checkbox"/> Associate Advising Partner <input type="checkbox"/> Associate Advising Director <input type="checkbox"/> Associate Advising Employee <input type="checkbox"/> Non-trading <input type="checkbox"/> Officer <input type="checkbox"/> Partner <input type="checkbox"/> Futures Contract Portfolio Manager <input type="checkbox"/> Associate Futures Contracts Portfolio Manager <input type="checkbox"/> Floor Trader <input type="checkbox"/> Floor Broker <input type="checkbox"/> Local <input type="checkbox"/> Adviser</div></div>
	<i>New Brunswick</i>
	<div><div><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</div><div><input type="checkbox"/> Compliance Officer <input type="checkbox"/> Officer (Advising) <input type="checkbox"/> Officer (Non-Advising) <input type="checkbox"/> Junior Officer (Advising) <input type="checkbox"/> Partner (Advising) <input type="checkbox"/> Partner (Non-Advising)</div></div>
<i>Newfoundland and Labrador</i>	

SCHEDULE “C” Individual categories		
Item 6		
	Categories	
	<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
	Northwest Territories	
	<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)
	Nova Scotia	
	<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)
Nunavut		
<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>SCHEDULE “C”</b> <b>Individual categories</b>		
Item 6		
	<b>Categories</b>	
	<i>Ontario</i>	
	Except as indicated the following categories are available under the Securities Act and the Commodity Futures Act.	
	<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 (Securities Act category only) <input type="checkbox"/> Officer (Advising) <input type="checkbox"/> Officer (Non-Advising) <input type="checkbox"/> Associate Officer (Securities Act category only) <input type="checkbox"/> Partner (Advising) <input type="checkbox"/> Partner (Non-Advising) <input type="checkbox"/> Associate Partner (Securities Act category only) <input type="checkbox"/> Sole Proprietor (Advising) <input type="checkbox"/> Shareholder
	<i>Prince Edward Island</i>	
	<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)
	<i>Québec</i>	
	<b>Dealer</b>  <input type="checkbox"/> Representative <input type="checkbox"/> Representative – group savings plan brokerage <input type="checkbox"/> Representative – commodity pool brokerage <input type="checkbox"/> Representative – permanent and preferred shares brokerage <input type="checkbox"/> Representative – investment contract brokerage <input type="checkbox"/> Representative – scholarship plan brokerage <input type="checkbox"/> Director <input type="checkbox"/> Officer <input type="checkbox"/> Officer responsible for the activities in Québec <input type="checkbox"/> Compliance supervisor <input type="checkbox"/> Correspondent (contact person) <input type="checkbox"/> Branch Manager <input type="checkbox"/> Shareholder <input type="checkbox"/> Partner	<b>Adviser</b>  <input type="checkbox"/> Representative (portfolio manager) <input type="checkbox"/> Representative (adviser) <input type="checkbox"/> Representative acting in derivatives-Options <input type="checkbox"/> Representative acting in derivatives-Futures <input type="checkbox"/> Director <input type="checkbox"/> Officer <input type="checkbox"/> Officer in charge of derivatives-Options <input type="checkbox"/> Officer in charge of derivatives-Futures <input type="checkbox"/> Shareholder <input type="checkbox"/> Officer responsible for the activities in Québec <input type="checkbox"/> Partner

<div>SCHEDULE “C”</div> <div>Individual categories</div>		
Item 6		
	Categories	
	Saskatchewan	
	<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)
	Yukon	
	<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)
	Investment Dealers Association	
	<input type="checkbox"/> Partner (Industry) <input type="checkbox"/> Partner (Non-Industry) <input type="checkbox"/> Director (Industry) <input type="checkbox"/> Director (Non-Industry) <input type="checkbox"/> Officer (Trading) <input type="checkbox"/> Officer (Non-Trading) <input type="checkbox"/> Industry Investor <input type="checkbox"/> Non-Industry Investor <input type="checkbox"/> Chief Compliance Officer <input type="checkbox"/> Ultimate Designated Person <input type="checkbox"/> Alternate Designated Person <input type="checkbox"/> Designated Registered Options Principal <input type="checkbox"/> Alternate Registered Options Principal <input type="checkbox"/> Designated Registered Futures Options Principal <input type="checkbox"/> Alternate Registered Futures Options Principal <input type="checkbox"/> Sales Manager <input type="checkbox"/> Branch Manager <input type="checkbox"/> Co-Branch Manager <input type="checkbox"/> Assistant Branch Manager <input type="checkbox"/> Futures Contract Options Supervisor <input type="checkbox"/> Investment Representative (Mutual Funds) <input type="checkbox"/> Investment Representative (Retail) <input type="checkbox"/> Investment Representative (Non-Retail) <input type="checkbox"/> Investment Representative Options (Retail) <input type="checkbox"/> Investment Representative Options (Non-Retail) <input type="checkbox"/> Investment Futures Contract Representative Options (Retail) <input type="checkbox"/> Investment Futures Contract Representative Options (Non-Retail)	<input type="checkbox"/> Registered Representative (Mutual Funds) <input type="checkbox"/> Registered Representative (Retail) <input type="checkbox"/> Registered Representative (Non-Retail) <input type="checkbox"/> Registered Representative Options (Retail) <input type="checkbox"/> Registered Representative Options (Non-Retail) <input type="checkbox"/> Registered Futures Contract Representative Options (Retail) <input type="checkbox"/> Registered Futures Contract Representative Options (Non-Retail) <input type="checkbox"/> Trader - CATS <input type="checkbox"/> Trader - TradeCDNX <input type="checkbox"/> Trader - Commodity Floor Trader <input type="checkbox"/> Associate Portfolio Manager - Securities <input type="checkbox"/> Associate Portfolio Manager - Security Options <input type="checkbox"/> Associate Portfolio Manager - Commodity Futures Options <input type="checkbox"/> Portfolio Manager - Securities <input type="checkbox"/> Portfolio Manager - Security Options <input type="checkbox"/> Portfolio Manager - Commodity Futures Options

<b>SCHEDULE “D”</b> <b>Address and Agent for Service</b>
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<b>Item 7</b>
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**Address for Service**

<b>1. Address for service</b>
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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: \_\_\_\_\_

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

## 2. Agent for service

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

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			

<div> <div>SCHEDULE “E”</div> <div>Proficiency</div> </div>			
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)
	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		
	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		

<div> <div>SCHEDULE “E”</div> <div>Proficiency</div> </div>			
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)
	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		

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)
	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:



<div> <div> <div>SCHEDULE “G”</div> <div>Current employment</div> </div> </div>	
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<b>Item 10</b>
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Employment information
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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 “H” Previous employment	
Item 11	
	<b>Employment information</b>
	<p>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.</p>
	<p>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.</p>
	<p><input type="checkbox"/> Unemployed</p>
	<p><input type="checkbox"/> Full-time student</p>
	<p><input type="checkbox"/> Employed or self-employed</p>
	<p>From: _____ To: _____ (YYYY/MM/DD) (YYYY/MM/DD)</p>
	<p>You are only required to fill in the following if you have indicated above that you are, or were, employed or self-employed.</p>
	<p>Name of business or employer:</p> <hr/>
	<p>Address of business or employer:</p> <hr/> <p>(number, street, city, province, territory or state, country)</p>
<p>Name and title of immediate supervisor: _____</p>	
<p>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):</p>	

SCHEDULE "T" Resignations and terminations	
Item 12	
	Resignation and Termination information
	<p>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 securities regulatory authority).</p>

SCHEDULE “J” Regulatory disclosure	
Item 13	
	1. Securities regulatory authorities
	<p>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.</p>
	<p>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.</p>
	<p>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.</p>
	<p>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.</p>

SCHEDULE “J” Regulatory disclosure	
Item 13	
	<p>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.</p>
	<b>2. Self-regulatory organizations</b>
	<p>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.</p>
	<p>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.</p>
	<p>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.</p>
	<b>3. Non-securities regulation</b>
	<p>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.</p>

SCHEDULE “J” Regulatory disclosure	
Item 13	
	<p>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.</p>
	<p>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.</p>

SCHEDULE “K” Criminal disclosure	
Item 14	
	Criminal, provincial and territorial offences
	<p>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.</p>
	<p>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).</p>
	<p>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.</p>
	<p>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).</p>

SCHEDULE “L” Civil disclosure	
Item 15	
	<b>Current and past civil proceedings</b>
	<p>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.)</p>
	<p>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.)</p>



SCHEDULE “M” Financial Disclosure	
Item 16	
	<b>1. Bankruptcy</b>
	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.
	<b>2. Solvency</b>
	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.
	<b>3. Surety Bond or Fidelity Bond</b>
	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.
	<b>4. Garnishments, Unsatisfied Judgments or Directions to Pay</b>
	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	
Item 17	
Related Securities Firms and Holdings	
Indicate below (a) the name of the firm and (b) your relationship to the firm.	
a)	Firm name:
b)	Relationship to the firm and period of relationship:
<input type="checkbox"/> Partner	From: _____ / _____ To: _____ / _____ (YYYY/MM) (if applicable) (YYYY/MM)
<input type="checkbox"/> Director	From: _____ / _____ To: _____ / _____ (YYYY/MM) (if applicable) (YYYY/MM)
<input type="checkbox"/> Officer	From: _____ / _____ To: _____ / _____ (YYYY/MM) (if applicable) (YYYY/MM)
<input type="checkbox"/> Holder of voting securities over 10 percent	From: _____ / _____ To: _____ / _____ (YYYY/MM) (if applicable) (YYYY/MM)
If you are a holder of 10 percent or more of the voting securities of the firm, complete (c), (d), (e), (f), (g) and (h).	
c)	State the number, value, class and percentage of securities or the amount of partnership interest you own or propose to acquire upon approval. If acquiring shares upon approval, state source (for example, treasury shares, or if upon transfer, state name of transferor).
d)	State the value of subordinated debentures or bonds of the firm to be held by you or any other subordinated loan to be made by you to the firm (if applicable):
e)	If another party has provided you with funds to invest in the firm, identify the party and state the relationship between you and that party:

SCHEDULE “N” Related securities firms			
Item 17			
	Related Securities Firms and Holdings		
	f) Are the funds to be invested (or proposed to be invested) guaranteed directly or indirectly by any person or firm? <input type="checkbox"/> Yes <input type="checkbox"/> 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)? <input type="checkbox"/> Yes <input type="checkbox"/> 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? <input type="checkbox"/> Yes <input type="checkbox"/> 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>
j) Residential address:			
_____			
(number, street, city, province, territory or state, country, postal code)			
k) Occupation:			

**SCHEDULE “O”**  
**Notice and Collection and Use of Personal Information**

**Contact Information**

<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 B.C.)</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  P.O. Box 5001  133 Prince William Street, suite 606  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  2nd 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, NT 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>

**SCHEDULE “O”**  
**Notice and Collection and Use of Personal Information**

**Québec**

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

**Saskatchewan**

Saskatchewan Financial Services Commission  
6th Floor, 1919 Saskatchewan Dr.  
Regina, Saskatchewan S4P 3V7  
Attention: Director  
Telephone: (306) 787-5842

**Yukon**

Department of Community Services Yukon  
P.O. Box 2703  
Whitehorse, YT 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 Regulation 33-109.
2. If the NRD filer is relying on the temporary hardship exemption in Regulation 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 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 or by any duly authorized self-regulatory organization for 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. Furthermore, the personal information required under this form may be communicated to and circulated among the aforementioned securities regulatory authorities and duly authorized self-regulatory organizations for the same purposes.

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 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

\_\_\_\_\_

Date

(No signature is required here if this form is being submitted in respect of a change to Form 3 information.)

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

<div> <div>SCHEDULE “A”</div> <div>Notice and Collection and Use of Personal Information</div> </div>		
Contact Information		
	<div> <div>Alberta</div> <div>           Alberta Securities Commission            4th Floor, 300 B 5th Avenue S.W.            Calgary, AB T2P 3C4            Attention: Information Officer            Telephone: (403) 297-6454         </div> </div>	<div> <div>British Columbia</div> <div>           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 B.C.)         </div> </div>
	<div> <div>Manitoba</div> <div>           The Manitoba Securities Commission            1130-405 Broadway            Winnipeg, MB R3C 3L6            Attention: Director – Legal            Telephone: (204) 945-4508         </div> </div>	<div> <div>New Brunswick</div> <div>           Securities Administration Branch            P.O. Box 5001            133 Prince William Street, suite 606            Saint John, NB E2L 4Y9            Attention: Deputy Administrator, Capital Markets            Telephone: (506) 658-3021         </div> </div>
	<div> <div>Newfoundland and Labrador</div> <div>           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         </div> </div>	<div> <div>Nova Scotia</div> <div>           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         </div> </div>
	<div> <div>Northwest Territories</div> <div>           Government of the Northwest Territories            P.O. Box 1320            Yellowknife, NT X1A 2L9            Attention: Deputy Registrar of Securities            Telephone: (867) 920-8984         </div> </div>	<div> <div>Nunavut</div> <div>           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         </div> </div>
	<div> <div>Ontario</div> <div>           Ontario Securities Commission            Suite 1903, Box 55            20 Queen Street West            Toronto, ON M5H 3S8            Attention: FOI Coordinator            Telephone: (416) 593-8314         </div> </div>	<div> <div>Prince Edward Island</div> <div>           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         </div> </div>
	<div> <div>Québec</div> <div>           Autorité des marchés financiers            800, square Victoria            C.P. 246, 22<sup>e</sup> étage            Montréal (Québec) H4Z 1G3            À l’attention du responsable de l’accès à l’information            Telephone : (514) 395-0337 or            (877) 525-0337 (in Québec)         </div> </div>	<div> <div>Saskatchewan</div> <div>           Saskatchewan Financial Services Commission            6th Floor, 1919 Saskatchewan Dr.            Regina, Saskatchewan S4P 3V7            Attention: Director            Telephone: (306) 787-5842         </div> </div>
	<div> <div>Yukon</div> <div>           Department of Community Services Yukon            P.O. Box 2703            Whitehorse, YT Y1A 2C6            Attention: Registrar of Securities            Telephone: (867) 667-5225         </div> </div>	