

REGULATION 33-109 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. Definitions

In this Regulation

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

"Form 4" means the form that was required for an application for registration for an individual in the local jurisdiction before February 21, 2003, or in Québec, before January 1, 2005.

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

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

"NRD submission number" means the unique number generated by NRD to identify each NRD submission; "registered firm" means a person or company that is registered as a dealer, adviser, or underwriter;

"registered individual" means, for a registered firm, an individual who,

- (a) is registered to trade or advise on behalf of the registered firm, or,
- (b) in Québec, is registered to act as a securities dealer or adviser, on behalf of the registered firm;

"Regulation 31-102" means Regulation 31-102 respecting National Registration Database approved by Ministerial Order (*insert the number and date of the Ministerial Order*);

"sponsoring firm" means,

- (a) for a registered individual,
 - (i) the registered firm on whose behalf the individual trades or advises, or,
 - (ii) in Québec, the registered firm on whose behalf the individual acts as a securities dealer or adviser,
- (b) for an individual applying for registration,
 - (i) the registered firm, or the person or company applying to become a registered firm, on whose behalf the individual proposes to trade or advise, or,

(ii) in Québec, the registered firm, or the person or company applying to become a registered firm, on whose behalf the individual proposes to act as a securities dealer or adviser,

(c) for a permitted individual of a registered firm, the registered firm on whose behalf the individual acts, or

(d) for a permitted individual of a person or company that is applying for registration, the person or company that is applying for registration.

1.2. Interpretation

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

PART 2 APPLICATION FOR REGISTRATION

2.1. Dealer, Adviser and Underwriter Registration

Except as provided in subsection 2.3(1), an applicant for registration as a dealer, adviser, or underwriter must submit to the regulator,

(a) in paper format, a completed Form 3;

(b) in accordance with Regulation 31-102, a completed Form 33-109F3 for each business location of the applicant, other than the applicant's head office; and

(c) in accordance with Regulation 31-102, a completed Form 33-109F4 for each permitted individual of the applicant who has not applied to become a registered individual with the applicant under subsection 2.2(1).

2.2. Individual Applicants

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

(2) Despite subsection (1), a permitted individual of a registered firm who applies to become a registered individual with the firm must make the application by submitting to the regulator in accordance with Regulation 31-102 a completed Form 33-109F2.

2.3. Commodity Futures Act Registrants

(1) In Manitoba and Ontario, if an applicant for registration under section 2.1 is registered under the *Commodity Futures Act* (R.S.O., 1990, c. C.20; C.C.S.M., c. C152), the applicant

(a) is not required to submit a completed Form 33-109F3 under subsection 2.1(b) for any business location of the applicant that is recorded on NRD; and

(b) is not required to submit a completed Form 33-109F4 under subsection 2.1(c) for a permitted individual if the applicant submits to the regulator, in accordance with Regulation 31-102, a completed Form 33-109F2 for the individual.

(2) In Manitoba and Ontario, despite subsection 2.2(1), if an individual applies for registration under securities legislation and is recorded on NRD with his or her sponsoring firm as registered under the *Commodity Futures Act*, the individual must make the application by submitting to the regulator, in accordance with 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 regulator of a change to any information previously submitted in Form 3, or under this subsection, within 5 business days of the change.

(2) Except as provided in subsection (3), for the purposes of subsection (1), a notice of change must be made by submitting a completed Form 33-109F5 in paper format.

(3) Despite subsection (2), a notice of change under this section is not required to be in Form 33-109F5 if the change relates to

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

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

(c) a business location other than head office, and if a completed Form 33-109F3 is submitted under section 3.2.

3.2. Changes to Business Locations

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

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

3.3. Addition of Permitted individuals

A registered firm must submit to the regulator in accordance with Regulation 31-102 a completed Form 33-109F4 for a permitted individual within 20 business days of the individual becoming a permitted individual of the registered firm.

3.4. Changes to other registration information -

A registered firm must notify the regulator of a change in its auditor or financial year-end within 5 business days of the change.

PART 4 CHANGES TO REGISTERED INDIVIDUAL INFORMATION

4.1. Changes to Form 33-109F4 Information

(1) Except as provided in subsections (2) and (3), a registered individual must notify the regulator 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 regulator in accordance with Regulation 31-102 of a change to information previously submitted in Item 11 of Form 33-109F4, or under this subsection, within 10 business days of the change.

(3) Despite subsection (1), a registered individual must notify the regulator in accordance with Regulation 31-102 of a change to information previously submitted in Items 3, 4, or paragraph 1 of Item 8 of Form 33-109F4, or under this subsection, within 20 business days of the change.

4.2. Application to Change or Surrender Individual Registration Categories

A registered individual of a registered firm who applies to change or surrender his or her registration category with the firm must make the application by submitting to the regulator in accordance with Regulation 31-102 a completed Form 33-109F2.

4.3. Termination of Relationship

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

PART 5 CHANGES TO PERMITTED INDIVIDUAL INFORMATION

5.1. Changes to Form 33-109F4 Information

(1) Except as provided in subsections (2), (3), (4), and (5), a registered firm must notify the regulator in accordance with Regulation 31-102 of a change to any information previously submitted in Form 33-109F4, or under this subsection, for a permitted individual within 5 business days of the change.

(2) Despite subsection (1) and except as provided in subsection (5), a registered firm must notify the regulator in accordance with Regulation 31-102 of a change to information previously submitted in Item 11 of Form 33-109F4, or under this subsection, for a permitted individual within 10 business days of the change.

(3) Despite subsection (1) and except as provided in subsection (5), a registered firm must notify the regulator in accordance with Regulation 31-102 of a change to information previously submitted in Items 3, 4, or paragraph 1 of Item 8 of Form 33-109F4, or under this subsection, for a permitted individual within 20 business days of the change.

(4) Despite subsection (1) and except as provided in subsection (5), a registered firm must notify the regulator of a change to any information regarding a category of permitted individual listed in Item 6 of Form 33-109F4 for a permitted individual by submitting in accordance with Regulation 31-102 a completed Form 33-109F2 within 5 business days of the change.

(5) Despite subsections (1), (2), (3), and (4), a registered firm is not required to notify the regulator of a change to information if another firm has notified the regulator of the change in accordance with Regulation 31-102 and within the required time.

5.2. Termination of Relationship

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

PART 6 DUE DILIGENCE AND RECORD-KEEPING

6.1. Sponsoring Firm Obligations

(1) A sponsoring firm must make reasonable efforts to ensure that information submitted by

- (a) the firm for a permitted individual; or
 - (b) a registered individual, or an individual applying for registration, for whom the firm is the sponsoring firm, is true and complete.
- (2) A sponsoring firm must retain all documents used by the firm to satisfy its obligation under subsection (1),
- (a) in the case of a permitted individual, for a period of seven years after the individual ceases to be a permitted individual; or
 - (b) in the case of a registered individual, or an individual applying for registration, for a period of seven years after the individual ceases to be a registered individual with the firm.
- (3) Without limiting the generality of subsection (2), if a registered individual, or an individual applying for registration, appoints an agent for service, the sponsoring firm must keep the original Appointment of Agent for Service executed by the individual for the period of time set out in paragraph (2)(b).
- (4) A sponsoring firm that retains a document under subsection (2) or (3) in respect of an NRD submission must record the NRD submission number on the document.

PART 7 EXEMPTION

7.1. Exemption

- (1) The regulator or the securities regulatory authority may grant an exemption from this Regulation, in whole or in part, subject to such conditions or restrictions as may be imposed in the exemption.
- (2) Despite subsection (1), in Ontario, only the regulator may grant such an exemption.
- (3) In Québec, this exemption is granted pursuant to section 263 of the Securities Act (R.S.Q., c. V-1.1).

PART 8 INCONSISTENT PROVISIONS

8.1. Inconsistent Provisions

In Québec, the provisions of this Regulation take precedence over any inconsistent provisions of Title V of the Securities Regulation made by Order-in-Council 660-83 dated March 30, 1983 (1983, G.O. 2, 1269).

PART 9 REPLACEMENT OF FORMER REGULATION AND EFFECTIVE DATE OF THIS REGULATION

9.1. This Regulation replaces Regulation 33-109Q respecting Registration Information approved by Ministerial Order no. 2004-06 dated December 2, 2004.

9.2. This Regulation comes into force on the fifteenth day following the date of its publication in the *Gazette officielle du Québec*.

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). 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, in a material respect and at the time and in the light of the circumstances in which it is submitted, is misleading or untrue.

CERTIFICATION

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

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

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

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

Signature of authorized officer or partner

Date

Firm name

SCHEDULE “A”	
Notice and Collection and Use of Personal Information	
Contact Information	
<p>Alberta Alberta Securities Commission 4th Floor, 300 B 5th Avenue S.W. Calgary, AB T2P 3C4 Attention: Information Officer Telephone: (403) 297-6454</p>	<p>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.)</p>
<p>Manitoba The Manitoba Securities Commission 500-400 Ave St-Mary Winnipeg, MB R3C 4K5 Attention: Director – Legal Telephone: (204) 945-4508</p>	<p>New Brunswick New Brunswick Securities Commission 85 Charlotte Street, Suite 300 Saint John, New Brunswick E2L 2J2 Commission des valeurs mobilières du Nouveau-Brunswick 85, rue Charlotte, bureau 300 Saint John (Nouveau-Brunswick) E2L 2J2 Attention: Director Market Regulation Directeur de la rélementation du marché Telephone: (506) 658-3021</p>
<p>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</p>	<p>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</p>
<p>Northwest Territories Government of the Northwest Territories P.O. Box 1320 Yellowknife, NWT X1A 2L9 Attention: Deputy Registrar of Securities Telephone: (867) 920-8984</p>	<p>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</p>
<p>Ontario Ontario Securities Commission Suite 1903, Box 55 20 Queen Street West Toronto, ON M5H 3S8 Attention: FOI Coordinator Telephone: (416) 593-8314</p>	<p>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</p>
<p>Québec Autorité des marchés financiers 800, square Victoria C.P. 246, 22^e 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)</p>	<p>Saskatchewan Saskatchewan Financial Services Commission 800 B1920 Broad Street Regina, SK S4P 3V7 Attention: Director Telephone: (306) 787-5842</p>

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

Contact Information

Yukon

Department of Community Services Yukon
P.O. Box 2703
Whitehorse, YU 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). 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 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.

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 that you remain registered or approved by the securities regulatory authority. The sources the securities

regulatory authority may contact include government and private bodies or agencies, individuals, corporations and other organizations.

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

WARNING:

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

CERTIFICATION:

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

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

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

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

Signature of applicant or permitted 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 permitted 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	
<p>Alberta Alberta Securities Commission 4th Floor, 300 B 5th Avenue S.W. Calgary, AB T2P 3C4 Attention: Information Officer Telephone: (403) 297-6454</p>	<p>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.)</p>
<p>Manitoba The Manitoba Securities Commission 500-400 Ave St-Mary Winnipeg, MB R3C 4K5 Attention: Director – Legal Telephone: (204) 945-4508</p>	<p>New Brunswick New Brunswick Securities Commission 85 Charlotte Street, Suite 300 Saint John, New Brunswick E2L 2J2 Commission des valeurs mobilières du Nouveau-Brunswick 85, rue Charlotte, bureau 300 Saint John (Nouveau-Brunswick) E2L 2J2 Attention: Director Market Regulation Directeur de la rélementation du marché Telephone: (506) 658-3021</p>
<p>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</p>	<p>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</p>
<p>Northwest Territories Government of the Northwest Territories P.O. Box 1320 Yellowknife, NWT X1A 2L9 Attention: Deputy Registrar of Securities Telephone: (867) 920-8984</p>	<p>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</p>
<p>Ontario Ontario Securities Commission Suite 1903, Box 55 20 Queen Street West Toronto, ON M5H 3S8 Attention: FOI Coordinator Telephone: (416) 593-8314</p>	<p>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</p>

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

Contact Information

Québec

Autorité des marchés financiers
800, square Victoria
C.P. 246, 22^e 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
800 B1920 Broad Street
Regina, SK S4P 3V7
Attention: Director
Telephone: (306) 787-5842

Yukon

Department of Community Services Yukon
P.O. Box 2703
Whitehorse, YU 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). 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 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, in a material respect and at the time and in the light of the circumstances in which it is submitted, is misleading or untrue.

CERTIFICATION

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

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

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

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

Signature of authorized officer or partner

Date

Firm name

SCHEDULE "A"	
Notice and Collection and Use of Personal Information	
Contact Information	
<p>Alberta Alberta Securities Commission 4th Floor, 300 B 5th Avenue S.W. Calgary, AB T2P 3C4 Attention: Information Officer Telephone: (403) 297-6454</p>	<p>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.)</p>
<p>Manitoba The Manitoba Securities Commission 500-400 Ave St-Mary Winnipeg, MB R3C 4K5 Attention: Director – Legal Telephone: (204) 945-4508</p>	<p>New Brunswick New Brunswick Securities Commission 85 Charlotte Street, Suite 300 Saint John, New Brunswick E2L 2J2 Commission des valeurs mobilières du Nouveau-Brunswick 85, rue Charlotte, bureau 300 Saint John (Nouveau-Brunswick) E2L 2J2 Attention: Director Market Regulation Directeur de la réglementation du marché Telephone: (506) 658-3021</p>
<p>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</p>	<p>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</p>
<p>Northwest Territories Government of the Northwest Territories P.O. Box 1320 Yellowknife, NWT X1A 2L9 Attention: Deputy Registrar of Securities Telephone: (867) 920-8984</p>	<p>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</p>
<p>Ontario Ontario Securities Commission Suite 1903, Box 55 20 Queen Street West Toronto, ON M5H 3S8 Attention: FOI Coordinator Telephone: (416) 593-8314</p>	<p>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</p>
<p>Québec Autorité des marchés financiers 800, square Victoria C.P. 246, 22^e 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)</p>	<p>Saskatchewan Saskatchewan Financial Services Commission 800 B1920 Broad Street Regina, SK S4P 3V7 Attention: Director Telephone: (306) 787-5842</p>

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

Contact Information

Yukon

Department of Community Services Yukon
P.O. Box 2703
Whitehorse, YU 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			
<p>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.</p>			
INSTRUCTIONS FOR FILING IN PAPER FORMAT			
<ol style="list-style-type: none"> 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 permitted individual with a registered firm or a firm seeking registration. 2. This form is also to be used by any sole proprietor submitting an application for registration as a dealer, broker, adviser or underwriter to a securities regulatory authority. 3. Failure to answer all applicable questions may cause delays in the processing of the application form. 4. This form must be legible. 5. To complete the application, individuals should seek advice from an authorized officer of the sponsoring firm or from a legal adviser. 6. The number of originally-signed copies of the form to be filed with the self-regulatory organization and/or securities regulatory authority or similar authority varies from province to province. If unsure of the procedure, please consult the Registration Department of the self-regulatory organization to which you are applying or the applicable securities regulatory authority, or similar authority. 			
Item 1 – Name			
1. Legal name			
Last name	First name	Second name (if applicable)	Third name (if applicable)
2. Other names			
<p>Are you currently, or have you previously been, known by a name other than the name provided above? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If “Yes”, complete Schedule “A”.</p>			

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)
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Gender: <input type="checkbox"/> Female <input type="checkbox"/> Male	Colour of eyes: _____	Colour of hair: _____
--	-----------------------	-----------------------

Height: imperial units: _____ OR metric units: _____

Weight: imperial units: _____ OR metric units: _____

Item 4 – Citizenship

Citizenship information

What is your citizenship?

- Canadian
- Other, specify: _____

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

Passport number: _____ Country of citizenship: _____

Date of issue: _____
 (YYYY/MM/DD)

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

FORM 33-109F4 REGISTRATION INFORMATION FOR AN INDIVIDUAL																
Item 5 - Registration jurisdictions																
	<p>Jurisdictions</p> <p>Indicate, by checking the appropriate box, each province or territory to which you are submitting this form:</p> <table style="width: 100%; border: none;"> <tr> <td style="width: 33%;"><input type="checkbox"/> Alberta</td> <td style="width: 33%;"><input type="checkbox"/> Northwest Territories</td> <td style="width: 33%;"><input type="checkbox"/> Prince Edward Island</td> </tr> <tr> <td><input type="checkbox"/> British Columbia</td> <td><input type="checkbox"/> Nova Scotia</td> <td><input type="checkbox"/> Québec</td> </tr> <tr> <td><input type="checkbox"/> Manitoba</td> <td><input type="checkbox"/> Nunavut</td> <td><input type="checkbox"/> Saskatchewan</td> </tr> <tr> <td><input type="checkbox"/> New Brunswick</td> <td><input type="checkbox"/> Ontario</td> <td><input type="checkbox"/> Yukon Territory</td> </tr> <tr> <td><input type="checkbox"/> Newfoundland and Labrador</td> <td></td> <td></td> </tr> </table>	<input type="checkbox"/> Alberta	<input type="checkbox"/> Northwest Territories	<input type="checkbox"/> Prince Edward Island	<input type="checkbox"/> British Columbia	<input type="checkbox"/> Nova Scotia	<input type="checkbox"/> Québec	<input type="checkbox"/> Manitoba	<input type="checkbox"/> Nunavut	<input type="checkbox"/> Saskatchewan	<input type="checkbox"/> New Brunswick	<input type="checkbox"/> Ontario	<input type="checkbox"/> Yukon Territory	<input type="checkbox"/> Newfoundland and Labrador		
<input type="checkbox"/> Alberta	<input type="checkbox"/> Northwest Territories	<input type="checkbox"/> Prince Edward Island														
<input type="checkbox"/> British Columbia	<input type="checkbox"/> Nova Scotia	<input type="checkbox"/> Québec														
<input type="checkbox"/> Manitoba	<input type="checkbox"/> Nunavut	<input type="checkbox"/> Saskatchewan														
<input type="checkbox"/> New Brunswick	<input type="checkbox"/> Ontario	<input type="checkbox"/> Yukon Territory														
<input type="checkbox"/> Newfoundland and Labrador																
Item 6 - Individual categories																
	<p>Categories</p> <p>Indicate, by checking the appropriate box in Schedule “C”, each registration category for which you are applying. If you are a permitted 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																
	<p>1. Address for service</p> <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 permitted 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>															
	<p>2. Agent for service</p> <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 name First name</p>															
Item 8 – Proficiency																
	<p>1. Course or examination information</p> <p>Complete Schedule “E” to indicate each course and examination that you have successfully completed or for which you have received an exemption.</p>															

FORM 33-109F4 REGISTRATION INFORMATION FOR AN INDIVIDUAL

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

2. Student numbers

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

Canadian Securities Institute (CSI): _____

Investment Funds Institute of Canada (IFIC): _____

Institute of Canadian Bankers (ICB): _____

Association for Investment Management and Research (AIMR): _____

Canadian Association of Insurance and Financial Advisors (CAIFA): _____

3. Exemption refusal

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

If “Yes”, complete Schedule “F”.

Item 9 – Location of employment

Location of employment

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

NRD number: _____

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

Telephone number: () _____ Fax number: () _____

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

Mailing address: _____
(number, street, city, province, territory or state, country, postal code)

FORM 33-109F4 REGISTRATION INFORMATION FOR AN INDIVIDUAL	
Item 10 - Current employment	
	<p>Employment information</p> <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	
	<p>Employment information</p> <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	
	<p>Resignation and termination information</p> <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 “T”.</p>
Item 13 – Regulatory disclosure	
	<p>1. Securities regulatory authorities</p> <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?</p> <p style="text-align: right;"><input type="checkbox"/> Yes <input type="checkbox"/> No</p>

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

- b) Are you now, or have you ever been, a partner, director, officer, or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities of any firm which has been registered or licensed, or is now registered or licensed, to trade in or advise on securities or exchange contracts (including commodity futures contracts and commodity futures options) in any province, territory, state or country?

Yes No

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

- c) Have you, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), when you were a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities of that firm, been refused registration or a license to trade in or advise on securities or exchange contracts (including commodity futures contracts and commodity futures options) in any province, territory, state or country?

Yes No

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

FORM 33-109F4 REGISTRATION INFORMATION FOR AN INDIVIDUAL	
	<p>province, territory, state or country? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If “Yes”, complete Schedule “J”, section 2 (a).</p>
	<p>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? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If “Yes”, complete Schedule “J”, section 2 (b).</p>
	<p>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?</p> <p style="text-align: right;">Yes <input type="checkbox"/> No</p> <p>If “Yes”, complete Schedule “J”, section 2 (c).</p>
3. Non-securities regulation	
	<p>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? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If “Yes”, complete Schedule “J”, section 3 (a).</p>
	<p>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? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If “Yes”, complete Schedule “J”, section 3(b).</p>
	<p>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</p>

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of the votes carried by all outstanding voting securities of that firm, been subject to a suspension or termination order, or disciplinary proceedings or any order resulting from disciplinary proceedings conducted under any legislation which requires registration or licensing to deal with the public in any capacity other than to trade in or advise on securities or exchange contracts (including commodity futures contracts and commodity futures options) in any province, territory, state or country? Yes No

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

Item 14 - Criminal disclosure

Criminal, provincial and territorial offences

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

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

If “Yes”, complete Schedule “K”, section (a).

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

Yes No

If “Yes”, complete Schedule “K”, section (b).

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

If “Yes”, complete Schedule “K”, section (c).

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

Yes No

If “Yes”, complete Schedule “K”, section (d).

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Item 15 - Civil disclosure	
Current and past civil proceedings	
a)	<p>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</p> <p>If “Yes”, complete Schedule “L”, section (a).</p>
b)	<p>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	
1. Bankruptcy	
<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>	
a)	<p>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>
b)	<p>made a proposal under any legislation relating to bankruptcy or insolvency? <input type="checkbox"/> Yes <input type="checkbox"/> No</p>
c)	<p>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>
d)	<p>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>	
2. Debt Obligations	
<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</p>	

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	<p>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>
3. Surety bond or fidelity bond	
	<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>
4. Garnishments, unsatisfied judgments or directions to pay	
	<p>Are there currently, or have there been, outstanding against you any of the following:</p> <p>a) garnishments,</p> <p>b) unsatisfied judgments, or</p> <p>c) directions to pay;</p> <p>issued by a federal, provincial, territorial or state authority? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If “Yes”, complete Schedule “M”, section 4.</p>
Item 17 - Related securities firms	
Related securities firms and holdings	
	<p>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)? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If “Yes”, complete Schedule “N”.</p> <div style="border: 1px solid black; width: fit-content; margin: 10px auto; padding: 5px;">Agent for Service</div> <p>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.</p> <div style="border: 1px solid black; width: fit-content; margin: 10px auto; padding: 5px;">Submission to Jurisdiction</div> <p>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</p>

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(each, a “Proceeding”) arising out of or relating to or concerning your activities as a registrant or an officer, partner or director of a registrant under the securities legislation of the jurisdiction, and irrevocably waive any right to raise as a defence in any Proceeding any alleged lack of jurisdiction to bring that Proceeding.

Notice of collection and use of personal information

The personal information required under this form is collected on behalf of and used by the securities regulatory authorities set out below for purposes of the administration and enforcement of certain provisions of the securities legislation in British Columbia, Alberta, Saskatchewan, Manitoba, Ontario, Québec, Nova Scotia, New Brunswick, Prince Edward Island, Newfoundland and Labrador, Northwest Territories, Yukon Territory, and Nunavut.

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

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

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

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

Certification

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

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

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

I, the undersigned, certify that I have read and that I understand the questions in this form and the Warning set out above.

I also certify that all statements of fact provided in this application are true.

Signature of applicant or permitted individual

Date

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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 permitted individual. I certify that I have, or a branch manager or another officer or partner has, discussed the questions set out in this form with the individual and I am satisfied that the individual fully understands the questions.

Signature of authorized officer or partner

Date

Firm name

SCHEDULE "A"			
Name			
Item 1			
Other names			
Last name	First name	Second name <i>(if applicable)</i>	Third name <i>(if applicable)</i>
Provide the reasons for the use of this name (for example, marriage, divorce, court order, commonly used name).			
When did you use this name? From: _____ To: _____ (YYYY/MM) (YYYY/MM)			
Last name	First name	Second name <i>(if applicable)</i>	Third name <i>(if applicable)</i>
Provide the reasons for the use of this name (for example, marriage, divorce, court order, commonly used name).			
When did you use this name? From: _____ To: _____ (YYYY/MM) (YYYY/MM)			
Last name	First name	Second name <i>(if applicable)</i>	Third name <i>(if applicable)</i>
Provide the reasons for the use of this name (for example, marriage, divorce, court order, commonly used name).			
When did you use this name? From: _____ To: _____ (YYYY/MM) (YYYY/MM)			

SCHEDULE "B"
Residential address

Item 2

Previous addresses

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

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

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

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

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

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

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

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

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

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

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

SCHEDULE “C”	
Individual categories	
Item 6	
Categories	
Indicate, by checking the appropriate box, each category for which you are applying.	
<i>Alberta</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"/> 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)
<i>British Columbia</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 (Trading) <input type="checkbox"/> Director (Non-Trading) <input type="checkbox"/> Compliance Officer <input type="checkbox"/> Shareholder <input type="checkbox"/> Branch Manager	<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
<i>Manitoba</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 (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	<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
<i>New Brunswick</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"/> Officer (Non-Advising, Non-Trading)	<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) <input type="checkbox"/> Officer (Advising or Trading and Advising) <input type="checkbox"/> Junior Officer (Advising or Trading and

SCHEDULE “C” Individual categories	
Item 6	
Categories	
<input type="checkbox"/> Mutual Fund Salesperson (only) <input type="checkbox"/> Branch Manager <input type="checkbox"/> Representative	Advising) <input type="checkbox"/> Partner (Advising or Trading and Advising) <input type="checkbox"/> Partner (Non-Advising, Non-Trading) <input type="checkbox"/> Sole Proprietor (advising)
<i>Newfoundland and Labrador</i>	
<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
<i>Northwest Territories</i>	
<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)
<i>Nova Scotia</i>	
<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)
<i>Nunavut</i>	
<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)

SCHEDULE “C” Individual categories	
Item 6	
Categories	
<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>	
Dealer <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	Adviser <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

SCHEDULE “C” Individual categories	
Item 6	
Categories	
<i>Saskatchewan</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"/> Employee (Advising) <input type="checkbox"/> Officer (Advising) <input type="checkbox"/> Officer (Non-Advising) <input type="checkbox"/> Partner (Advising) <input type="checkbox"/> Partner (Non-Advising)
<i>Yukon</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"/> 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)
<i>Investment Dealers Association</i>	
<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

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		

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)	
CATS Examination-Written			
Certified Financial Planners Program			
Chartered Financial Analyst Charter			
Chartered Financial Analyst Course (Level I)			
Chartered Financial Analyst Course (Level II)			
Chartered Financial Analyst Course (Level III)			
Commodity Futures Exam (Part 1)			
Commodity Futures Exam (Part 2)			
Conduct and Practices Handbook Course			
Derivatives Fundamentals Course			
Derivatives Operational Management Course			
Effective Management Seminar			
Energy Markets - Risk Management Course			
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			

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)	
General Securities Representative Examination (Series 7)			
In-House Scholarship Training Program			
Investment Funds Course			
Investment Management Techniques			
Labour Sponsored Investment Funds Course			
National Commodity Futures Examination			
New Entrants Examination			
Officers’ Partners’ and Directors’ Course			
Operations Course			
Options Licensing Course			
Options Strategies Course			
Options Supervisors Course			
Partners, Directors and Senior Officers Qualifying Examination			
Personal Financial Planning Diploma			
Portfolio Management Techniques			
Principles of Mutual Funds Investment Course			
Professional Financial Planning Course			
Professional Options Trader Examination			
Real Estate Agent’s Pre-Licensing Course			
Registered Options Principal's Qualifying Examination			
Technical Analysis Course (TAC)			

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)	
Trader Training Course			
VCT Trader Exam			
Wealth Management Techniques			
Other, specify:			
Other, specify:			
Other, specify:			
Other, specify:			

SCHEDULE "F"
Proficiency

Item 8

Exemption refusal

Complete the following for each exemption that was refused.

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

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

State the reason given for not being granted the exemption:

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

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

State the reason given for not being granted the exemption:

SCHEDULE “G” Current employment	
Item 10	
	Employment information
	<p>Provide the information requested for each of your current business and employment activities, including those with your sponsoring firm.</p>
	<p> <input type="checkbox"/> Unemployed <input type="checkbox"/> Full-time student <input type="checkbox"/> Employed or self-employed </p>
	<p>From: _____ (YYYY/MM/DD)</p>
	<p>You are only required to fill in the following if you have indicated above that you are employed or self-employed.</p>
	<p>Name of business or employer:</p> <p>_____</p>
	<p>Address of business or employer:</p> <p>_____</p>
	<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>
	<p>Indicate the number of hours per week you will be devoting to this business or employment:</p> <p style="text-align: center;">_____</p>
	<p>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:</p>
	<p>If the business or employment described above is not with the sponsoring firm, disclose any potential for confusion by clients and any potential for conflicts of interest arising from your proposed activities as a registrant and the business or employment described above (include whether the business is listed on an exchange):</p>

SCHEDULE "H"
Previous employment

Item 11

Employment information

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

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

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

From: _____ To: _____
(YYYY/MM/DD) (YYYY/MM/DD)

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

Name of business or employer:

Address of business or employer:

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

Name and title of immediate supervisor: _____

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

SCHEDULE "I"
Resignations and terminations

Item 12

Resignation and Termination information

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

**SCHEDULE “J”
Regulatory disclosure**

Item 13

1. Securities regulatory authorities

a) For each registration or licence, indicate below (1) the securities regulatory authority with which you are, or were, registered or licensed, (2) the type or category of registration or licence, and (3) the dates between which you held the registration or licence.

b) For each registration or licence, indicate below (1) the name of the firm, (2) the securities regulatory authority with which the firm is, or was, registered or licensed, (3) the type or category of registration or licence, and (4) the dates between which you held the registration or licence.

c) For each registration or licence refused, indicate below (1) the party that was refused the registration or licence, (2) the securities regulatory authority that refused the registration or licence, (3) the type or category of registration or licence refused, (4) the date of the refusal, and (5) the reasons for the refusal.

d) For each exemption from registration denied, indicate below (1) the party that was denied the exemption, (2) the securities regulatory authority that denied the exemption, (3) the date the exemption was denied, and (4) any other information that you think is relevant or that is requested by the regulator.

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>
2. Self-regulatory organizations	
	<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>
3. Non-securities regulation	
	<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

- b) For each registration or licence refused, indicate below (1) the party that was refused registration or licensing, (2) with which regulatory authority, or under what legislation, the registration or licence was refused, (3) the type or category of registration or licence refused, (4) the date of the refusal, and (5) the reasons for the refusal.
- c) For each order or disciplinary proceeding, indicate below (1) the party against whom the order was made or the proceeding taken, (2) the regulatory authority that made the order or that is, or was, conducting the proceeding, or under what legislation the order was made or the proceeding is being, or was, conducted, (3) the date any notice of proceeding was issued, (4) the date any order or settlement was made, (5) a summary of any notice, order or settlement (including any sanctions imposed), and (6) any other information that you think is relevant or that is requested by the regulator.

SCHEDULE "K"
Criminal disclosure

Item 14

Criminal, provincial and territorial offences

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

b) For each conviction, indicate below (1) the offence, (2) the date of the conviction, and (3) the disposition (state any penalty or fine and the date any fine was paid).

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

d) For each conviction, indicate below (1) the name of the firm, (2) the offence, (3) the date of the conviction, and (4) the disposition (state any penalty or fine and the date any fine was paid).

SCHEDULE "L"
Civil disclosure

Item 15

Current and past civil proceedings

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

SCHEDULE “M” Financial Disclosure	
Item 16	
	1. Bankruptcy
	For each event, indicate below (1) the party about whom this disclosure is being made, (2) any amounts currently owing, (3) the creditors, (4) the status of the matter, (5) a summary of any disposition or settlement, and (6) any other information that you think is relevant or that is requested by the regulator.
	2. Solvency
	For each event, indicate below (1) the party that failed to meet its financial obligation, (2) the amount that was owing at the time the party failed to meet its financial obligation, (3) the party to whom the amount is, or was, owing, (4) any relevant dates (for example, when payments are due or when final payment was made), (5) any amounts currently owing, and (6) any other information that you think is relevant or that is requested by the regulator.
	3. Surety Bond or Fidelity Bond
	For each bond refused, indicate below (1) the name of the bonding company, (2) the address of the bonding company, (3) the date of the refusal, and (4) the reasons for the refusal.
	4. Garnishments, Unsatisfied Judgments or Directions to Pay
	For each garnishment, unsatisfied judgement or direction to pay, indicate below (1) the amount that was owing at the time the garnishment, judgement or direction to pay was rendered, (2) the party to whom the amount is, or was, owing, (3) any relevant dates (for example, when payments are due or when final payment was made), (4) any amounts currently owing, and (5) any other information that you think is relevant or that is requested by the regulator.

**SCHEDULE “N”
Related securities firms**

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? Yes No

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

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

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

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

If “Yes”, complete (i), (j) and (k).

i) Name of beneficial owner:

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

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

k) Occupation:

SCHEDULE “O”	
Notice and Collection and Use of Personal Information	
Contact Information	
<p>Alberta Alberta Securities Commission 4th Floor, 300 B 5th Avenue S.W. Calgary, AB T2P 3C4 Attention: Information Officer Telephone: (403) 297-6454</p>	<p>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.)</p>
<p>Manitoba The Manitoba Securities Commission 500-400 Ave St-Mary Winnipeg, MB R3C 4K5 Attention: Director – Legal Telephone: (204) 945-4508</p>	<p>New Brunswick New Brunswick Securities Commission 85 Charlotte Street, Suite 300 Saint John, New Brunswick E2L 2J2 Commission des valeurs mobilières du Nouveau-Brunswick 85, rue Charlotte, bureau 300 Saint John (Nouveau-Brunswick) E2L 2J2 Attention: Director Market Regulation Directeur de la rélementation du marché Telephone: (506) 658-3021</p>
<p>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</p>	<p>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</p>
<p>Northwest Territories Government of the Northwest Territories P.O. Box 1320 Yellowknife, NT X1A 2L9 Attention: Deputy Registrar of Securities Telephone: (867) 920-8984</p>	<p>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</p>
<p>Ontario Ontario Securities Commission Suite 1903, Box 55 20 Queen Street West Toronto, ON M5H 3S8 Attention: FOI Coordinator Telephone: (416) 593-8314</p>	<p>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</p>
<p>Québec Autorité des marchés financiers 800, square Victoria C.P. 246, 22^e 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)</p>	<p>Saskatchewan Saskatchewan Financial Services Commission 800 B1920 Broad Street Regina, Saskatchewan S4P 3V7 Attention: Director Telephone: (306) 787-5842</p>

SCHEDULE "O"
Notice and Collection and Use of Personal Information

Contact Information

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 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.

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 that you remain registered or approved by the securities regulatory authority. The sources the securities regulatory authority may contact include government and private bodies or agencies, individuals, corporations and other organizations.

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

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

CERTIFICATION

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

Signature of registered or permitted 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

SCHEDULE “A”	
Notice and Collection and Use of Personal Information	
Contact Information	
<p>Alberta Alberta Securities Commission 4th Floor, 300 B 5th Avenue S.W. Calgary, AB T2P 3C4 Attention: Information Officer Telephone: (403) 297-6454</p>	<p>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.)</p>
<p>Manitoba The Manitoba Securities Commission 500-400 Ave St-Mary Winnipeg, MB R3C 4K5 Attention: Director – Legal Telephone: (204) 945-4508</p>	<p>New Brunswick New Brunswick Securities Commission 85 Charlotte Street, Suite 300 Saint John, New Brunswick E2L 2J2 Commission des valeurs mobilières du Nouveau-Brunswick 85, rue Charlotte, bureau 300 Saint John (Nouveau-Brunswick) E2L 2J2 Attention: Director Market Regulation Directeur de la rélementation du marché Telephone: (506) 658-3021</p>
<p>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</p>	<p>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</p>
<p>Northwest Territories Government of the Northwest Territories P.O. Box 1320 Yellowknife, NT X1A 2L9 Attention: Deputy Registrar of Securities Telephone: (867) 920-8984</p>	<p>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</p>
<p>Ontario Ontario Securities Commission Suite 1903, Box 55 20 Queen Street West Toronto, ON M5H 3S8 Attention: FOI Coordinator Telephone: (416) 593-8314</p>	<p>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</p>
<p>Québec Autorité des marchés financiers 800, square Victoria C.P. 246, 22^e 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)</p>	<p>Saskatchewan Saskatchewan Financial Services Commission 800 B1920 Broad Street Regina, Saskatchewan S4P 3V7 Attention: Director Telephone: (306) 787-5842</p>

SCHEDULE "A"	
Notice and Collection and Use of Personal Information	
Contact Information	
Yukon Department of Community Services Yukon P.O. Box 2703 Whitehorse, YT Y1A 2C6 Attention: Registrar of Securities Telephone: (867) 667-5225	