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Part 2

GAZETTE OFFICIELLE DU QUÉBEC, July 11, 2007, Vol. 139, No. 28

1975

**M.O., 2007-05**

**Order number V-1.1-2007-05 of the Minister  
of Finance dated 21 June 2007**

Securities Act  
(R.S.Q., c. V-1.1)

CONCERNING the Regulation 33-109 respecting  
Registration Information

WHEREAS subparagraphs 1, 2, 26 and 27 of section 331.1 of the Securities Act (R.S.Q., c. V-1.1) stipulate that the Autorité des marchés financiers may make regulations concerning the matters referred to in those paragraphs;

WHEREAS the third and fourth paragraphs of section 331.2 of the said Act stipulate that a draft regulation shall be published in the Bulletin of the Authority, accompanied with the notice required under section 10 of the Regulations Act (R.S.Q., c. R-18.1) and may not be submitted for approval or be made before 30 days have elapsed since its publication;

WHEREAS the first and fifth paragraphs of the said section stipulate that every regulation made under section 331.1 must be approved, with or without amendment, by the Minister of Finance and comes into force on the date of its publication in the *Gazette officielle du Québec* or any later date specified in the regulation;

WHEREAS the draft Regulation 33-109 respecting Registration Information was published in the Bulletin concerning securities of the Autorité des marchés financiers, volume 3, No. 19 of May 12, 2006;

WHEREAS on May 4, 2007, by the decision No. 2007-PDG-0089, the Authority made the Regulation 33-109 Respecting Registration Information;

WHEREAS there is cause to approve this regulation without amendment;

CONSEQUENTLY, the Minister of Finance approves without amendment the Regulation 33-109 respecting Registration Information.

June 21, 2007

MONIQUE JÉRÔME-FORGET,  
*Minister of Finance*

### Regulation 33-109 respecting Registration Information

Securities Act  
(R.S.Q., c. V-1.1, s. 331.1, par. (1), (2), (26) and (27);  
2006, c. 50)

#### 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;

“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 respecting National Registration Database approved by the Minister Order 2007-04 dated June 21, 2007 and used in this Regulation have the respective meanings ascribed to those terms in Regulation 31-102 respecting National Registration Database.

## PART 2 APPLICATION FOR REGISTRATION

### 2.1. Dealer, Adviser and Underwriter Registration

An applicant for registration as a dealer, adviser, or underwriter must submit to the securities regulatory authority,

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

(b) in accordance with Regulation 31-102 respecting National Registration Database, 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 respecting National Registration Database, 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) An individual who applies for registration under securities legislation must make the application by submitting to the securities regulatory authority in accordance with Regulation 31-102 respecting National Registration Database 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 securities regulatory authority in accordance with Regulation 31-102 respecting National Registration Database a completed Form 33-109F2.

### 2.3. Commodity Futures Act Registrants

(1) In Manitoba and Ontario, despite section 2.1, 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 respecting National Registration Database, 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 respecting National Registration Database, 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 securities regulatory authority of a change to any information previously submitted in Form 3, or under this subsection, within 5 business days of the change.

(2) 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 securities regulatory authority of the opening of a business location, other than a new head office, by submitting in accordance with Regulation 31-102 respecting National Registration Database a completed Form 33-109F3 within 5 business days of the opening.

(2) A registered firm must notify the securities regulatory authority of a change to any information previously submitted in Form 33-109F3 by submitting in accordance with Regulation 31-102 respecting National Registration Database 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 securities regulatory authority in accordance with Regulation 31-102 respecting National Registration Database 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 securities regulatory authority 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) A registered individual must notify the securities regulatory authority in accordance with Regulation 31-102 respecting National Registration Database 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 securities regulatory authority in accordance with Regulation 31-102 respecting National Registration Database 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 securities regulatory authority in accordance with Regulation 31-102 respecting National Registration Database 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 securities regulatory authority in accordance with Regulation 31-102 respecting National Registration Database 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 securities regulatory authority of the termination of the relationship by submitting in accordance with Regulation 31-102 respecting National Registration Database a completed Form 33-109F1.

## PART 5

### CHANGES TO PERMITTED INDIVIDUAL INFORMATION

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

(1) A registered firm must notify the securities regulatory authority in accordance with Regulation 31-102 respecting National Registration Database 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), a registered firm must notify the securities regulatory authority in accordance with Regulation 31-102 respecting National Registration Database 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), a registered firm must notify the securities regulatory authority in accordance with Regulation 31-102 respecting National Registration Database 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), a registered firm must notify the securities regulatory authority 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 respecting National Registration Database 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 securities regulatory authority of a change to information if another firm has notified the securities regulatory authority of the change in accordance with Regulation 31-102 respecting National Registration Database 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 securities regulatory authority in accordance with Regulation 31-102 respecting National Registration Database 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 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) Except in Ontario, an exemption referred to in subsection (1) is granted under the statute referred to in Appendix B of National Instrument 14-101 Definitions, adopted by the Commission des valeurs mobilières du Québec pursuant to decision no. 2001-C-0274 dated June 12, 2001, opposite the name of the local jurisdiction.

## PART 8

### FINAL PROVISIONS

**8.1.** 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).

**8.2.** Regulation 33-109Q respecting Registration Information approved by Ministerial Order no. 2004-06 dated December 2, 2004 is repealed.

**8.3.** This Regulation comes into force on 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****Alberta**

Alberta Securities Commission  
4th Floor, 300 B 5th Avenue S.W.  
Calgary, AB T2P 3C4  
Attention: Information Officer  
Telephone: (403) 297-6454

**British Columbia**

British Columbia Securities Commission  
P.O. Box 10142, Pacific Centre  
701 West Georgia Street  
Vancouver, BC V7Y 1L2  
Attention: Freedom of Information Officer  
Telephone: (604) 899-6500 or (800) 373-6393  
(in B.C.)

**Manitoba**

The Manitoba Securities Commission  
500-400 Ave St-Mary  
Winnipeg, MB R3C 4K5  
Attention: Director – Legal  
Telephone: (204) 945-4508

**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

**Newfoundland and Labrador**

Securities Commission of Newfoundland and Labrador  
P.O. Box 8700, 2nd Floor, West Block  
Confederation Building  
St. John's, NF A1B 4J6  
Attention: Director of Securities  
Tel: (709) 729-4189

**Nova Scotia**

Nova Scotia Securities Commission  
2nd Floor, Joseph Howe Building  
1690 Hollis Street  
P.O. Box 458  
Halifax, NS B3J 3J9  
Attention: FOI Officer  
Telephone: (902) 424-7768

**Northwest Territories**

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

**Nunavut**

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

**Ontario**

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

**Prince Edward Island**

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

**Québec**

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

**Saskatchewan**

Saskatchewan Financial Services Commission  
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 33-109F2****Change or surrender of individual categories**

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

**1. Individual**

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

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

**2. Individual categories**

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



**3. Details of surrender**

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

unresolved client complaints:

internal discipline matters:

restrictions for violation of regulatory requirements that occurred at any time during the individual's employment with the firm:

financial obligations the individual has to clients:

**Notice of Collection and Use of Personal Information**

The personal information required under this form is collected on behalf of and used by the securities regulatory authorities set out below 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 applicant or permitted individual

\_\_\_\_\_  
Date

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

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

**Contact Information**

**Alberta**

Alberta Securities Commission  
4th Floor, 300 B 5th Avenue S.W.  
Calgary, AB T2P 3C4  
Attention: Information Officer  
Telephone: (403) 297-6454

**British Columbia**

British Columbia Securities Commission  
P.O. Box 10142, Pacific Centre  
701 West Georgia Street  
Vancouver, BC V7Y 1L2  
Attention: Freedom of Information Officer  
Telephone: (604) 899-6500 or (800) 373-6393  
(in B.C.)

**Manitoba**

The Manitoba Securities Commission  
500-400 Ave St-Mary  
Winnipeg, MB R3C 4K5  
Attention: Director – Legal  
Telephone: (204) 945-4508

**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

**Newfoundland and Labrador**

Securities Commission of Newfoundland and Labrador  
P.O. Box 8700, 2nd Floor, West Block  
Confederation Building  
St. John's, NF A1B 4J6  
Attention: Director of Securities  
Tel: (709) 729-4189

**Nova Scotia**

Nova Scotia Securities Commission  
2nd Floor, Joseph Howe Building  
1690 Hollis Street  
P.O. Box 458  
Halifax, NS B3J 3J9  
Attention: FOI Officer  
Telephone: (902) 424-7768

**Northwest Territories**

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

**Nunavut**

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

**Ontario**

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

**Prince Edward Island**

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

**Québec**

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

**Saskatchewan**

Saskatchewan Financial Services Commission  
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](http://www.nrd.ca)). If the NRD filer is relying on the temporary hardship exemption in Regulation 31-102, this form is required to be delivered to the regulator in paper format.

Please select one box:

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

**1. Type of business location**

\_\_\_\_\_ branch

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

1986

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**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**

**Alberta**

Alberta Securities Commission  
 4th Floor, 300 B 5th Avenue S.W.  
 Calgary, AB T2P 3C4  
 Attention: Information Officer  
 Telephone: (403) 297-6454

**British Columbia**

British Columbia Securities Commission  
 P.O. Box 10142, Pacific Centre  
 701 West Georgia Street  
 Vancouver, BC V7Y 1L2  
 Attention: Freedom of Information Officer  
 Telephone: (604) 899-6500 or (800) 373-6393  
 (in B.C.)

**Manitoba**

The Manitoba Securities Commission  
 500-400 Ave St-Mary  
 Winnipeg, MB R3C 4K5  
 Attention: Director – Legal  
 Telephone: (204) 945-4508

**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

**Newfoundland and Labrador**

Securities Commission of Newfoundland and Labrador  
 P.O. Box 8700, 2nd Floor, West Block  
 Confederation Building  
 St. John's, NF A1B 4J6  
 Attention: Director of Securities  
 Tel: (709) 729-4189

**Nova Scotia**

Nova Scotia Securities Commission  
 2nd Floor, Joseph Howe Building  
 1690 Hollis Street  
 P.O. Box 458  
 Halifax, NS B3J 3J9  
 Attention: FOI Officer  
 Telephone: (902) 424-7768

**Northwest Territories**

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

**Nunavut**

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

**Ontario**

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

**Prince Edward Island**

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

**Québec**

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

**Saskatchewan**

Saskatchewan Financial Services Commission  
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 33-109F4****REGISTRATION INFORMATION FOR AN INDIVIDUAL****SUBMISSION TO NRD**

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

**INSTRUCTIONS FOR FILING IN PAPER FORMAT**

1. This form is to be used by every individual seeking registration from a securities regulatory authority or a self-regulatory organization or who is a 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**

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

If “Yes”, complete Schedule “A”.

**Item 2 – Residential address****Current address**

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

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

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

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

**Item 3 – Personal information****Personal description**

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

Gender:  Female  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: \_\_\_\_\_

1990

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Part 2

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

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

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

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

### Item 5 – Registration jurisdictions

#### Jurisdictions

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

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

### Item 6 – Individual categories

#### Categories

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

### Item 7 – Address and agent for service

#### 1. Address for service

You must have one address for service in each province or territory in which you are now, or are applying to become, a registered individual or 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.

Address for service: \_\_\_\_\_  
(number, street, city, province or territory, postal code)

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

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

#### 2. Agent for service

If you have appointed an agent for service, provide the following information for the agent. The address for service provided above must be the address of any agent named below.

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

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



**Item 8 – Proficiency****1. Course or examination information**

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

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

**2. Student numbers**

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

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

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

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

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

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

**3. Exemption refusal**

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

If “Yes”, complete Schedule “F”.

**Item 9 – Location of employment****Location of employment**

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

NRD number: \_\_\_\_\_

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

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

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

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

**Item 10 – Current employment****Employment information**

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

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

**Item 11 – Previous employment****Employment information**

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

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

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

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

**Item 12 – Resignations and terminations****Resignation and termination information**

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

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

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

**Item 13 – Regulatory disclosure****1. Securities regulatory authorities**

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

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

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

Yes  No

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

---

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

Yes  No

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).

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## 2. Self-regulatory organizations

---

a) Have you, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), when you were a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities of that firm, been a member or participating organization of any stock exchange or other self-regulatory organization in any province, territory, state or country?

Yes  No

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

---

b) Have you, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), when you were a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities of that firm, been refused membership or entry as a participating organization in any stock exchange or other self-regulatory organization in any province, territory, state or country?

Yes  No

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

---

c) Have you, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), when you were a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities of that firm, been subject to a suspension, expulsion or termination order, or been subject to any disciplinary proceedings or any order resulting from disciplinary proceedings conducted by any stock exchange or other self-regulatory organization in any province, territory, state or country?

Yes  No

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

### 3. Non-securities regulation

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

Yes  No

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

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

Yes  No

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

c) Have you, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), when you were a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities of that firm, been subject to a suspension or termination order, or disciplinary proceedings or any order resulting from disciplinary proceedings conducted under any legislation which requires registration or licensing to deal with the public in any capacity other than to trade in or advise on securities or exchange contracts (including commodity futures contracts and commodity futures options) in any province, territory, state or country?

Yes  No

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

### Item 14 – Criminal disclosure

#### Criminal, provincial and territorial offences

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

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

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

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

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

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

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

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

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

## Item 15 – Civil disclosure

### Current and past civil proceedings

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

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

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

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

## Item 16 – Financial disclosure

### 1. Bankruptcy

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

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

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

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## 2. Debt Obligations

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

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

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## 3. Surety bond or fidelity bond

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

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

---

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

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

- a) garnishments,  
 b) unsatisfied judgments, or  
 c) directions to pay;  
 issued by a federal, provincial, territorial or state authority?  Yes  No

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

---

**Item 17 – Related securities firms****Related securities firms and holdings**

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

If “Yes”, complete Schedule “N”.

**Agent for Service**

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

**Submission to Jurisdiction**

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

**Notice of collection and use of personal information**

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

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

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

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

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

Certification

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

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

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

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

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

\_\_\_\_\_  
Signature of applicant or 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 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  
(if applicable)

\_\_\_\_\_  
Third name  
(if applicable)

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  
(if applicable)

\_\_\_\_\_  
Third name  
(if applicable)

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)



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1999

Last name	First name	Second name (if applicable)	Third name (if applicable)
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Provide the reasons for the use of this name (for example, marriage, divorce, court order, commonly used name).

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

**SCHEDULE "B"****Residential address****Item 2****Previous addresses**

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

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

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

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

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

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

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

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

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

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

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

**SCHEDULE "C"****Individual categories****Item 6****Categories**

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

*Alberta*

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

*British Columbia*

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

*Manitoba*

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

*New Brunswick*

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

- |  |  |
|--|--|
| <input type="checkbox"/> Shareholder                         | <input type="checkbox"/> Officer (Advising or Trading and Advising)        |
| <input type="checkbox"/> Officer (Non-Advising, Non-Trading) | <input type="checkbox"/> Junior Officer (Advising or Trading and Advising) |
| <input type="checkbox"/> Mutual Fund Salesperson (only)      | <input type="checkbox"/> Partner (Advising or Trading and Advising)        |
| <input type="checkbox"/> Branch Manager                      | <input type="checkbox"/> Partner (Non-Advising, Non-Trading)               |
| <input type="checkbox"/> Representative                      | <input type="checkbox"/> Sole Proprietor (advising)                        |

*Newfoundland and Labrador*

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

*Northwest Territories*

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

*Nova Scotia*

- |  |   |
|--|---|
| <input type="checkbox"/> Salesperson               | <input type="checkbox"/> Officer (Advising)         |
| <input type="checkbox"/> Officer (Trading)         | <input type="checkbox"/> Officer (Non-Advising)     |
| <input type="checkbox"/> Officer (Non-Trading)     | <input type="checkbox"/> Associate Partner          |
| <input type="checkbox"/> Sole Proprietor (Trading) | <input type="checkbox"/> Partner (Advising)         |
| <input type="checkbox"/> Director                  | <input type="checkbox"/> Partner (Non-Advising)     |
| <input type="checkbox"/> Partner (Trading)         | <input type="checkbox"/> Sole Proprietor (Advising) |
| <input type="checkbox"/> Partner (Non-Trading)     |   |

*Nunavut*

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

*Ontario*

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"/> Associate Advising Representative (Securities Act category only) |
| <input type="checkbox"/> Salesperson           | <input type="checkbox"/> Officer (Advising)   |
| <input type="checkbox"/> Officer (Trading)     | <input type="checkbox"/> Officer (Non-Advising)   |
| <input type="checkbox"/> Officer (Non-Trading) | <input type="checkbox"/> Associate Officer (Securities Act category only)                 |
| <input type="checkbox"/> Partner (Trading)     | <input type="checkbox"/> Partner (Advising)   |
| <input type="checkbox"/> Partner (Non-Trading) |   |

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- Sole Proprietor (Trading)  
 Director  
 Advising Representative

- Partner (Non-Advising)  
 Associate Partner (Securities Act category only)  
 Sole Proprietor (Advising)  
 Shareholder

*Prince Edward Island*

- Salesperson  
 Officer (Trading)  
 Officer (Non-Trading)  
 Partner (Trading)  
 Partner (Non-Trading)  
 Director  
 Shareholder

- Branch Manager  
 Compliance Officer  
 Counselling Officer (Officer)  
 Counselling Officer (Partner)  
 Counselling Officer (Other)  
 Officer (Non-Advising)  
 Partner (Non-Advising)

*Québec***Dealer**

- Representative  
 Representative – group savings plan brokerage  
 Representative – commodity pool brokerage  
 Representative – permanent and preferred shares brokerage  
 Representative – investment contract brokerage  
 Representative – scholarship plan brokerage  
 Director  
 Officer  
 Officer responsible for the activities in Québec  
 Compliance supervisor  
 Correspondent (contact person)  
 Branch Manager  
 Shareholder  
 Partner

**Adviser**

- Representative (portfolio manager)  
 Representative (adviser)  
 Representative acting in derivatives-Options  
 Representative acting in derivatives-Futures  
 Director  
 Officer  
 Officer in charge of derivatives-Options  
 Officer in charge of derivatives-Futures  
 Shareholder  
 Officer responsible for the activities in Québec  
 Partner

*Saskatchewan*

- Salesperson  
 Officer (Trading)  
 Officer (Non-Trading)  
 Partner (Trading)  
 Partner (Non-Trading)  
 Director

- Employee (Advising)  
 Officer (Advising)  
 Officer (Non-Advising)  
 Partner (Advising)  
 Partner (Non-Advising)

*Yukon*

- Salesperson  
 Officer (Trading)  
 Officer (Non-Trading)  
 Partner (Trading)  
 Partner (Non-Trading)  
 Director  
 Sole Proprietor (Trading)  
 Branch Manager

- Shareholder  
 Officer (Advising)  
 Officer (Non-Advising)  
 Partner (Advising)  
 Partner (Non-Advising)  
 Sole Proprietor (Advising)

*Investment Dealers Association*

- |  |   |
|--|---|
| <input type="checkbox"/> Partner (Industry)                              | <input type="checkbox"/> Registered Representative (Mutual Funds)       |
| <input type="checkbox"/> Partner (Non-Industry)                          | <input type="checkbox"/> Registered Representative (Retail)             |
| <input type="checkbox"/> Director (Industry)                             | <input type="checkbox"/> Registered Representative (Non-Retail)         |
| <input type="checkbox"/> Director (Non-Industry)                         | <input type="checkbox"/> Registered Representative Options (Retail)     |
| <input type="checkbox"/> Officer (Trading)                               | <input type="checkbox"/> Registered Representative Options (Non-Retail) |
| <input type="checkbox"/> Officer (Non-Trading)                           | <input type="checkbox"/> Registered Futures Contract Representative     |
| <input type="checkbox"/> Industry Investor                               | <input type="checkbox"/> Options (Retail)                               |
| <input type="checkbox"/> Non-Industry Investor                           | <input type="checkbox"/> Registered Futures Contract Representative     |
| <input type="checkbox"/> Chief Compliance Officer                        | <input type="checkbox"/> Options (Non-Retail)                           |
| <input type="checkbox"/> Ultimate Designated Person                      | <input type="checkbox"/> Trader - CATS                                  |
| <input type="checkbox"/> Alternate Designated Person                     | <input type="checkbox"/> Trader - TradeCDNX                             |
| <input type="checkbox"/> Designated Registered Options Principal         | <input type="checkbox"/> Trader - Commodity Floor Trader                |
| <input type="checkbox"/> Alternate Registered Options Principal          | <input type="checkbox"/> Associate Portfolio Manager - Securities       |
| <input type="checkbox"/> Designated Registered Futures Options Principal | <input type="checkbox"/> Associate Portfolio Manager - Security Options |
| <input type="checkbox"/> Alternate Registered Futures Options Principal  | <input type="checkbox"/> Associate Portfolio Manager - Commodity        |
| <input type="checkbox"/> Sales Manager                                   | <input type="checkbox"/> Futures Options                                |
| <input type="checkbox"/> Branch Manager                                  | <input type="checkbox"/> Portfolio Manager - Securities                 |
| <input type="checkbox"/> Co-Branch Manager                               | <input type="checkbox"/> Portfolio Manager - Security Options           |
| <input type="checkbox"/> Assistant Branch Manager                        | <input type="checkbox"/> Portfolio Manager - Commodity Futures Options  |
| <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      |   |
| <input type="checkbox"/> Options (Retail)                                |   |
| <input type="checkbox"/> Investment Futures Contract Representative      |   |
| <input type="checkbox"/> Options (Non-Retail)                            |   |

**SCHEDULE "D"****Address and Agent for Service****Item 7****Address for Service****1. Address for service**

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

Address for service: \_\_\_\_\_  
(number, street, city, province or territory, postal code)

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

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

**2. Agent for service**

If you have appointed an agent for service, provide the following information for the agent. The address for service provided above must be the address of the agent named below.

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

Contact person: \_\_\_\_\_  
Last name First name**SCHEDULE "E"**  
**Proficiency****Item 8****Course or examination information**

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

<b>COURSE OR EXAMINATION</b>	<b>DATE COMPLETED</b>	<b>DATE EXEMPTED AND BY WHICH JURISDICTION OR REGULATON (YYYY/MM/DD)</b>
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		

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2005

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CATS Examination-Written

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Certified Financial Planners Program

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Chartered Financial Analyst Charter

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Chartered Financial Analyst Course (Level I)

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Chartered Financial Analyst Course (Level II)

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Chartered Financial Analyst Course (Level III)

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Commodity Futures Exam (Part 1)

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Commodity Futures Exam (Part 2)

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Conduct and Practices Handbook Course

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---

Derivatives Fundamentals Course

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Derivatives Operational Management Course

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Effective Management Seminar

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Energy Markets - Risk Management Course

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Ensis Growth Fund Understanding Labour Sponsored  
Investment Funds (Full Course)

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Examination based on Manual for Registered Representatives  
(RR Exam)

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Fellow of the Canadian Securities Institute

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Financial Markets Risk Management Course

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Examination based on Manual for Registered Representatives  
(RR Exam)

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Futures Floor Trader Examination (Winnipeg Stock Exchange)

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Futures Licensing Course

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General Securities Representative Examination (Series 7)

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In-House Scholarship Training Program

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Investment Funds Course

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Investment Management Techniques

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Labour Sponsored Investment Funds Course

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National Commodity Futures Examination

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New Entrants Examination

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Officers' Partners' and Directors' Course

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Operations Course

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Options Licensing Course

Options Strategies Course

Options Supervisors Course

Partners, Directors and Senior Officers Qualifying Examination

Personal Financial Planning Diploma

Portfolio Management Techniques

Principles of Mutual Funds Investment Course

Professional Financial Planning Course

Professional Options Trader Examination

Real Estate Agent's Pre-Licensing Course

Registered Options Principal's Qualifying Examination

Technical Analysis Course (TAC)

Trader Training Course

VCT Trader Exam

Wealth Management Techniques

Other, specify:

Other, specify:

Other, specify:

Other, specify:

**SCHEDULE "F"**  
**Proficiency****Item 8****Exemption refusal**

Complete the following for each exemption that was refused.

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

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

State the reason given for not being granted the exemption:

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

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

State the reason given for not being granted the exemption:



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

**Item 10**

**Employment information**

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

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

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

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

Name of business or employer: \_\_\_\_\_

Address of business or employer: \_\_\_\_\_

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

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

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

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

\_\_\_\_\_

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

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):

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**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.

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.

**2. Self-regulatory organizations**

a) For each membership or participation, indicate below (1) the party that is, or was, a member or participating organization, (2) the self-regulatory organization with which the party is, or was, a member or participating organization, (3) the type or category of membership or participation, and (4) the dates between which the party was a member or participating organization.

b) For each membership or participation refused, indicate below (1) the party that was refused membership or participation, (2) the self-regulatory organization that refused the membership or participation, (3) the type or category of membership or participation refused, (4) the date of the refusal, and (5) the reasons for the refusal.

c) For each order or disciplinary proceeding, indicate below (1) the party against whom the order was made or the proceeding taken, (2) the self-regulatory organization that issued the order or that is, or was, conducting the proceeding, (3) the date any notice of proceeding was issued, (4) the date any order or settlement was made, (5) a summary of any notice, order or settlement (including any sanctions imposed), and (6) any other information that you think is relevant or that is requested by the regulator.

**3. Non-securities regulation**

a) For each registration or licence, indicate below (1) the party is, or was, registered or licensed, (2) with which regulatory authority, or under what legislation, the party is, or was, registered or licensed, (3) the type or category of registration or licence, and (4) the dates between which the party held the registration or licence.

b) For each registration or licence refused, indicate below (1) the party that was refused registration or licensing, (2) with which regulatory authority, or under what legislation, the registration or licence was refused, (3) the type or category of registration or licence refused, (4) the date of the refusal, and (5) the reasons for the refusal.

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

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

**Item 14**

**Criminal, provincial and territorial offences**

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

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

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

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

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

**Item 15**

**Current and past civil proceedings**

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

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

**SCHEDULE "M"**  
**Financial Disclosure**
**Item 16**
**1. Bankruptcy**

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

**2. Solvency**

For each event, indicate below (1) the party that failed to meet its financial obligation, (2) the amount that was owing at the time the party failed to meet its financial obligation, (3) the party to whom the amount is, or was, owing, (4) any relevant dates (for example, when payments are due or when final payment was made), (5) any amounts currently owing, and (6) any other information that you think is relevant or that is requested by the regulator.

**3. Surety Bond or Fidelity Bond**

For each bond refused, indicate below (1) the name of the bonding company, (2) the address of the bonding company, (3) the date of the refusal, and (4) the reasons for the refusal.

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

For each garnishment, unsatisfied judgement or direction to pay, indicate below (1) the amount that was owing at the time the garnishment, judgement or direction to pay was rendered, (2) the party to whom the amount is, or was, owing, (3) any relevant dates (for example, when payments are due or when final payment was made), (4) any amounts currently owing, and (5) any other information that you think is relevant or that is requested by the regulator.

**SCHEDULE "N"**  
**Related securities firms**
**Item 17**
**Related Securities Firms and Holdings**

Indicate below (a) the name of the firm and (b) your relationship to the firm.

a) Firm name:

b) Relationship to the firm and period of relationship:

- Partner From: \_\_\_\_\_ / \_\_\_\_\_ To: \_\_\_\_\_ / \_\_\_\_\_ (if applicable)  
 (YYYY/MM) (YYYY/MM)
- Director From: \_\_\_\_\_ / \_\_\_\_\_ To: \_\_\_\_\_ / \_\_\_\_\_ (if applicable)  
 (YYYY/MM) (YYYY/MM)
- Officer From: \_\_\_\_\_ / \_\_\_\_\_ To: \_\_\_\_\_ / \_\_\_\_\_ (if applicable)  
 (YYYY/MM) (YYYY/MM)

Holder of voting securities over 10 percent From: \_\_\_\_\_ / \_\_\_\_\_ (YYYY/MM) (YYYY/MM) To: \_\_\_\_\_ / \_\_\_\_\_ (if applicable)

If you are a holder of 10 percent or more of the voting securities of the firm, complete (c), (d), (e), (f), (g) and (h).

c) State the number, value, class and percentage of securities or the amount of partnership interest you own or propose to acquire upon approval. If acquiring shares upon approval, state source (for example, treasury shares, or if upon transfer, state name of transferor).

d) State the value of subordinated debentures or bonds of the firm to be held by you or any other subordinated loan to be made by you to the firm (if applicable):

e) If another party has provided you with funds to invest in the firm, identify the party and state the relationship between you and that party:

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 (if applicable)	Third name (if applicable)
_____	_____	_____	_____

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****Alberta**

Alberta Securities Commission  
4th Floor, 300 B 5th Avenue S.W.  
Calgary, AB T2P 3C4  
Attention: Information Officer  
Telephone: (403) 297-6454

**British Columbia**

British Columbia Securities Commission  
P.O. Box 10142, Pacific Centre  
701 West Georgia Street  
Vancouver, BC V7Y 1L2  
Attention: Freedom of Information Officer  
Telephone: (604) 899-6500 or (800) 373-6393  
(in B.C.)

**Manitoba**

The Manitoba Securities Commission  
500-400 Ave St-Mary  
Winnipeg, MB R3C 4K5  
Attention: Director – Legal  
Telephone: (204) 945-4508

**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

**Newfoundland and Labrador**

Securities Commission of Newfoundland and Labrador  
P.O. Box 8700, 2nd Floor, West Block  
Confederation Building  
St. John's, NF A1B 4J6  
Attention: Director of Securities  
Tel: (709) 729-4189

**Nova Scotia**

Nova Scotia Securities Commission  
2nd Floor, Joseph Howe Building  
1690 Hollis Street  
P.O. Box 458  
Halifax, NS B3J 3J9  
Attention: FOI Officer  
Telephone: (902) 424-7768

**Northwest Territories**

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

**Nunavut**

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

**Ontario**

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

**Prince Edward Island**

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

**Québec**

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

**Saskatchewan**

Saskatchewan Financial Services Commission  
800 B1920 Broad Street  
Regina, Saskatchewan S4P 3V7  
Attention: Director  
Telephone: (306) 787-5842

**Yukon**

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

**FORM 33-109F5****CHANGE OF REGISTRATION INFORMATION****GENERAL INSTRUCTIONS**

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

**1. Type of form**

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

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

**2. Details of Change**

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

**Notice of Collection and Use of Personal Information**

The personal information required under this form is collected on behalf of and used by the securities regulatory authorities set out below 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

###### Alberta

Alberta Securities Commission  
4th Floor, 300 B 5th Avenue S.W.  
Calgary, AB T2P 3C4  
Attention: Information Officer  
Telephone: (403) 297-6454

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British Columbia Securities Commission  
P.O. Box 10142, Pacific Centre  
701 West Georgia Street  
Vancouver, BC V7Y 1L2  
Attention: Freedom of Information Officer  
Telephone: (604) 899-6500 or (800) 373-6393  
(in B.C.)

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500-400 Ave St-Mary  
Winnipeg, MB R3C 4K5  
Attention: Director – Legal  
Telephone: (204) 945-4508

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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  
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Telephone: (506) 658-3021

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Securities Commission of Newfoundland and Labrador  
 P.O. Box 8700, 2nd Floor, West Block  
 Confederation Building  
 St. John's, NF A1B 4J6  
 Attention: Director of Securities  
 Tel: (709) 729-4189

**Nova Scotia**

Nova Scotia Securities Commission  
 2nd Floor, Joseph Howe Building  
 1690 Hollis Street  
 P.O. Box 458  
 Halifax, NS B3J 3J9  
 Attention: FOI Officer  
 Telephone: (902) 424-7768

**Northwest Territories**

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

**Nunavut**

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

**Ontario**

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

**Prince Edward Island**

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

**Québec**

Autorité des marchés financiers  
 800, square Victoria  
 C.P. 246, 22<sup>e</sup> étage  
 Montréal (Québec) H4Z 1G3  
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 (877) 525-0337 (in Québec)

**Saskatchewan**

Saskatchewan Financial Services Commission  
 800 B1920 Broad Street  
 Regina, Saskatchewan S4P 3V7  
 Attention: Director  
 Telephone: (306) 787-5842

**Yukon**

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

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