



General Instructions

1. This form is to be used by every individual seeking registration or approval from a Canadian Securities Commission or similar authority and / or a self-regulatory organization, or submitting an application for registration or approval as a partner, director or officer of a dealer, broker or adviser to a Canadian Securities Commission or similar authority.
2. This form may also be used by any individual submitting an application for registration as a dealer, broker or adviser to a Canadian Securities Commission or similar authority.
3. All applicable questions must be answered. Failure to do so may cause delays in the processing of the application form.
4. This form and all attachments added thereto *must be* typewritten. Any form or attachment completed by any other means may be considered not properly filed.
5. All attachments pertaining to any question must be made exhibits to the form and each one must be so marked. *All signatures must be originals.* The Commissioner of Oaths before whom the application is sworn, as well as the applicant, is required to initial all attachments.
6. In completing the application, applicants should seek advice from an authorized officer of the sponsoring firm or from a legal adviser, if necessary.
7. Number of originally-signed copies of the form to be filed with the self-regulatory organization and / or Securities Commission or similar authority varies from province to province. If unsure of the procedure, please consult the Registration Department of the self-regulatory organization through which you are applying or the applicable Securities Commission, or similar authority.
8. Applicants for registration in Quebec need only disclose information for the past 10 years in respect of Questions 15B), 15D), 17A), 17B), 18 and 19.

FOR INTERNAL USE ONLY

Confirmation of Question 7	Other Confirmation
Application approved by	Date

1. APPLICANT:

Last Name	First, Second & Third Names
Residential address (with postal code)	Area Code: Telephone:
Address for service in province of registration (with postal code)	Social Insurance Number (not required for applications in Ontario)
Present position in the firm	Commenced employment on Day Month Year

2. Firm:

Name	Area Code: Telephone:
Address where applicant will be working (street, city, province, postal code)	

3. TYPE OF REGISTRATION OR APPROVAL REQUESTED:

INSTRUCTION: Check **ALL** applicable boxes to indicate the registration or approval requested. The "Types of Registration or Approval Requested" have the meaning attributed to them in the applicable securities act, commodity futures act, or regulation and in by-laws, rules and regulations of exchanges, the Investment Dealers Association of Canada and other self-regulatory organizations. Applicants filing for restricted registration should file under OTHER, specifying the nature of the restricted registration applied for.

<p>REGISTERED REPRESENTATIVE OR SALESPERSON REGISTRATION:</p> <p><input type="checkbox"/> Securities</p> <p><input type="checkbox"/> Commodity Futures</p> <p><input type="checkbox"/> Commodity Futures Options</p> <p><input type="checkbox"/> Options</p> <p><input type="checkbox"/> Mutual Funds</p> <p><input type="checkbox"/> Floor Trader - Securities <input type="checkbox"/></p> <p><input type="checkbox"/> - Commodity Futures <input type="checkbox"/></p> <p><input type="checkbox"/> Individual Member</p> <p><input type="checkbox"/> Scholarship Plans</p> <p><input type="checkbox"/> Other (specify)</p>	<p>OTHERS:</p> <p><input type="checkbox"/> Partner</p> <p><input type="checkbox"/> Director</p> <p><input type="checkbox"/> Officer (title)</p> <p><input type="checkbox"/> - Trading <input type="checkbox"/></p> <p><input type="checkbox"/> - Non-Trading <input type="checkbox"/></p> <p><input type="checkbox"/> - Counselling <input type="checkbox"/></p> <p><input type="checkbox"/> Branch Manager</p> <p><input type="checkbox"/> Director, Investor, or Officer of approved affiliated company (delete designation not applicable)</p> <p><input type="checkbox"/> Industry Investor</p> <p><input type="checkbox"/> Non-Industry Investor</p> <p><input type="checkbox"/> Portfolio Manager</p> <p><input type="checkbox"/> Designated / Alternate Registered Options Principal</p> <p><input type="checkbox"/> Designated / Alternate Registered Futures Principal</p> <p><input type="checkbox"/> Designated / Alternate Registered Futures Option Principal</p> <p><input type="checkbox"/> Other (specify)</p>
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4. APPLYING FOR REGISTRATION / APPROVAL FROM THE FOLLOWING:

INSTRUCTION: Check all appropriate boxes to indicate the Canadian Securities Commissions or similar authority and / or self-regulatory organizations with which the applicant is seeking registration or approval.

SECURITIES COMMISSIONS OR SIMILAR AUTHORITIES			
<input type="checkbox"/> Alberta	<input type="checkbox"/> Newfoundland	<input type="checkbox"/> Nunavut	<input type="checkbox"/> Quebec
<input type="checkbox"/> British Columbia	<input type="checkbox"/> Northwest Territories	<input type="checkbox"/> Ontario	<input type="checkbox"/> Saskatchewan
<input type="checkbox"/> Manitoba	<input type="checkbox"/> Nova Scotia	<input type="checkbox"/> Prince Edward Island	<input type="checkbox"/> Yukon Territory
<input type="checkbox"/> New Brunswick			
SELF-REGULATORY ORGANIZATIONS			
<input type="checkbox"/> Alberta Stock Exchange	<input type="checkbox"/> Toronto Stock Exchange		
<input type="checkbox"/> Investment Dealers Association of Canada	<input type="checkbox"/> Vancouver Stock Exchange		
<input type="checkbox"/> Montreal Exchange	<input type="checkbox"/> Winnipeg Commodity Exchange		
<input type="checkbox"/> Toronto Futures Exchange	<input type="checkbox"/> Winnipeg Stock Exchange		
	<input type="checkbox"/> Other (specify)		

5. PERSONAL DESCRIPTION OF APPLICANT:

(A)

DATE OF BIRTH		PLACE OF BIRTH			Sex
Day	Month	Year	City	Province	
Height	Weight	Colour of Eyes	Colour of Hair	Name of any individual of the opposite sex or of the same sex with whom you live in a conjugal relationship and nature of his / her employment.	
Citizenship		If NOT a Canadian citizen, answer question 5 (B) below.			

5. PERSONAL DESCRIPTION OF APPLICANT:

(B)

Are you a permanent resident?	Number of years of continuous residence in Canada.	Passport			
		Country	Place of Issue	Date of Issue	Number

6. PHOTOGRAPH:

INSTRUCTION: Attach hereto two copies of a black and white photograph, full face, showing a true likeness of the applicant as the applicant now appears and *taken within the last 6 months*; they must measure 2" X 2", be of passport quality and bear on the back the date on which the photographs were taken, *the signature of the applicant and that of the Commissioner of Oaths or that of an officer, director, partner or branch manager of the sponsoring firm.*

7. EDUCATION:

(A)

INSTRUCTION: State the last school attended in each level.	Degree or Diploma	Date Obtained
High School or Secondary Level		
Post-Secondary, College, CEGEP or University		
Professional Education		
Other		

Have you successfully completed :

	Yes	No	Exempt*
Canadian Securities Course	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Examination based on Manual for Registered Representatives	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Partners / Directors / Officers Qualifying Examination	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Canadian Investment Finance (Course 2)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Part I	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Part II	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
F.C.S.I.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Chartered Financial Analyst Course	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Qualifying Examination for Registered Options Principal	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Canadian Options Course	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Canadian Investment Funds Course	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
National Commodity Futures Examination	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Canadian Commodity Futures Examination	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Canadian Futures Examination	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Commodity Supervisors Examination

Branch Managers Examination

Other (specify)

*If you have been granted exemption, attach full particulars.

(B) Have you *ever* applied for and been refused exemptions from any of the above listed examination requirements? (If so, give particulars as an attachment).

8. EMPLOYMENT HISTORY:

A) The following information constitutes full disclosure of your business activities, including any periods of self-employment and unemployment, for 10 years immediately prior to the date of this application, excluding any summer employment while a full-time student, but including *all* securities or commodities industry employment during and prior to the ten-year period.

Name and address of employer	Name and title of immediate superior	Nature of employment and duties of applicant	FROM		TO	
			Month	Year	Month	Year
PRESENT:						
PREVIOUS:						

B) Have you ever been discharged by an employer for cause?
(If so, give particulars as an attachment).

9. RESIDENTIAL HISTORY: (give all home addresses for the past 10 years.)

Include street, city, province & postal code	FROM		TO	
	Month	Year	Month	Year
PRESENT:				
PREVIOUS:				

10. REFERENCES:

Give three names as references, excluding relatives and persons associated with the sponsoring firm. References must include a bank or trust corporation at which you have an account (give account number).

Name	Firm Name	Business Address (with postal code) and Telephone (with area code)	Occupation

ANSWER "YES" OR "NO" TO EACH OF QUESTIONS 11 TO 20 INCLUSIVE.
IF THE ANSWER TO ANY OF THE FOLLOWING QUESTIONS IS "YES",
COMPLETE DETAILS *MUST* BE ATTACHED BY WAY OF EXHIBIT.

11. CHANGE OF NAME:

INSTRUCTION: Name changes resulting from marriage, divorce, court order or any other process should be listed here giving appropriate dates.

Have you *ever* had, used, operated under, or carried on business under any name other than the name mentioned in Question 1 of this form, or have you ever been known under any other name?

12. PRIOR REGISTRATION OR LICENSING:

A) Are you now or have you *ever* been registered or licensed, or applied for registration or a licence in any capacity under any act or regulation thereof, regulating trading in securities, commodities or commodity futures contracts of any province, territory, state or country?

List all authorities with whom you were registered and the dates of registration. State whether the registration is currently in effect.

B) Are you now, or have you *ever* been a partner, shareholder, director or officer of any company or of a partnership which has been registered or licensed, or is now registered or licensed (except as an issuer if you are or have been solely a shareholder) in any capacity under any act or regulation thereto, regulating trading in securities, commodities or commodity futures contracts of any province, territory, state or country?

C) Are you now or have you *ever* been registered or licensed, or applied for registration or a licence, under any legislation which requires registration or licensing to deal with the public, in any capacity *other than trading in securities, commodities or commodity futures contracts* in any province, territory, state or country?

QUESTIONS 13 TO 18 INSTRUCTIONS:

In answering Questions 13 to 18, and particularly Question 15, you may need assistance from an authorized officer of the sponsoring firm or from a legal adviser. Full details are required as attachments in respect of any question to which the applicant answer "yes". These details must include the circumstances, the relevant dates, the names of the parties involved and the final determination if known.

13. REFUSAL, SUSPENSION, CANCELLATION OR DISCIPLINARY MEASURE:

- A) Have you *ever* been refused registration or a licence, or has your registration or licence been suspended or cancelled, under any act or regulation thereof, regulating trading in securities, commodities or commodity futures contracts of any province, territory, state or country?
- B) Are you now, or have you *ever* been a partner, shareholder, director or officer of a company or of a partnership which has, during the time of your association with it, been refused registration (except a registration as an issuer if you are or have been solely a shareholder) or a licence, or whose registration has been suspended or cancelled under any act, or regulation thereof, regulating trading in securities, commodities or commodity futures contracts of any province, territory, state or country?
- C) Have you *ever* been refused registration or a licence, or has your registration or licence been suspended or cancelled, under any legislation which requires registration or licensing to deal with the public in any capacity *other than trading in securities, commodities or commodity futures contracts* in any province, territory, state or country?
- D) Have you been denied the benefit of any exemption from registration or licencing provided by any act or regulation thereto regulating trading in securities, commodities or any commodity futures contracts of any province, territory, state or country?
- E) Has any prior or current registration or licensing to deal or trade in securities, commodities or commodity futures contracts held by you or any partnership or company of which you were at the time of such event a partner, officer or director or holder of voting securities carrying more than 5 per cent of the votes carried by all outstanding voting securities *ever* been the subject of disciplinary action undertaken by any authority regulating or supervising trading in securities, commodities, or commodity futures contracts?

14. SELF-REGULATORY ORGANIZATIONS:

Have you or has any partnership or company of which you are or were at the time of such event a partner, director, officer or holder of voting securities carrying more than 5 per cent of the votes carried by all outstanding voting securities:

- A) *Ever* been a member of any stock exchange, commodities exchange, commodity futures exchange, association of investment dealers, investment bankers, brokers, broker-dealers, mutual fund dealers, commodity futures dealers, investment counsel, other professional association or any similar organization in any province, territory, state or country?
- B) *Ever* been refused registration or licensing or approval for membership or approval in any other capacity by / in any of the institutions or associations described in Question 14A)?
- C) *Ever* been the subject of disciplinary action undertaken by any authority as described in Question 14A)?

15. OFFENCES UNDER THE LAW:

INSTRUCTION: Offences under such federal statutes as the *Income Tax Act* (Canada) and the *Immigration Act* (Canada) constitute criminal offences and must be disclosed when answering this question. It should be noted that pleas or findings of guilt for impaired driving are *Criminal Code* (Canada) matters and must be disclosed. Where you have pleaded guilty or been found guilty of an offence, such offence must be reported even though an absolute or conditional discharge has been granted.

You are not required to disclose any offence for which a pardon has been granted under the *Criminal Records Act* (Canada) and such pardon has not been revoked. Under such circumstances, the appropriate response would be: "No".

If you are in doubt as to previous dealings you have had with law enforcement agencies and the applicability of this question with respect to such encounters, you should obtain the advice of an authorized officer of your sponsor or a legal adviser.

A) Past Offences Involving Securities or Commodities –

Have you *ever* pleaded guilty or been found guilty under any law of any province, territory, state or country of any offence relating to trading in securities, commodities, commodity futures contracts or options or with the theft thereof, or with any related offence, or been a party to any proceedings taken on account of fraud arising out of any trade in or advice in respect thereof?

B) Past Offences Involving Other Criminal Offences or Contraventions –

Have you *ever* pleaded guilty or been found guilty under any law of any province, territory, state or country for contraventions or other criminal offences not noted in A) above?

C) Current Charges or Indictments –

Are you *currently the subject of a charge or indictment*, under any law of any province, territory, state or country for contraventions, criminal offences or other conduct of the type described in A) or B) above (see also instructions above)?

D) Partnership or Company Offences or Current Charges or Indictments –

Has any partnership or company of which you are or were at the time of such event a partner, officer, director or a holder of voting securities carrying more than 5 per cent of the votes carried by all outstanding voting securities, *ever* pleaded guilty or been found guilty, or is any such partnership or company currently the subject of a *charge or indictment*, under any law of any province, territory, state or country for contraventions, criminal offences or other conduct of the type described in A) or B) above (see also instructions above)?

16. CIVIL PROCEEDINGS:

Has any claim been made successfully or, to your knowledge, is any claim pending in any civil proceedings before a court or other tribunal in any province, territory, state or country which was, or is based in whole or in part of fraud, theft, deceit, misrepresentation or similar conduct?

A) Against you?

B) Against any partnership or company of which you are or were at the time of such event, or at the time such proceedings were commenced, a partner, director, officer or holder of voting securities carrying more than 5 per cent of the votes carried by all outstanding voting securities?

17. BANKRUPTCY:

A) Under the law of any province, territory, state or country have you *ever*:

(a) been declared bankrupt or made a voluntary assignment in bankruptcy?

(b) made a proposal under any legislation relating to bankruptcy or insolvency?

(c) been subject to or instituted any proceedings, arrangement or compromise with creditors including, without limitation, produced a declaration under the Quebec Voluntary Deposit of Salary Wages Law or had a receiver and / or manager appointed to hold your assets?

If yes, and if applicable, attach copy of any discharge, release or document with similar effect.

B) Has any partnership or corporation of which you are or were at the time of such event a partner, director, officer or holder of voting securities carrying more than 5 per cent of the votes carried by all outstanding voting securities *ever*.

(a) been declared bankrupt or made a voluntary assignment in bankruptcy?

(b) made a proposal under any legislation relating to bankruptcy or insolvency?

(c) been subject to proceedings under any legislation relating to the winding up, dissolution or companies' creditors arrangements?

(d) been subject to or instituted any proceedings, arrangement or compromise with creditors or had a receiver and / or manager appointed to hold its assets?

If yes, and if applicable, attach copy of any discharge, release or document with similar effect.

18. JUDGMENT OR GARNISHMENT:

Has any judgment or garnishment ever been rendered against you or is any judgment or garnishment outstanding against you, in any civil court in any province, state or country for damages or other relief in respect of a fraud or for any reason whatsoever?

19. SURETY BOND OR FIDELITY BOND:

A) Have you ever applied for a surety bond or fidelity bond and been refused?

If yes, attach name and address of bonding company, and when and why the bond was refused.

B) Are you presently bonded?

20. BUSINESS ACTIVITIES:

A) Will you be actively engaged in the business of the firm with which you are now applying and devote the major portion of your time thereto?

B) Are you engaged in any other business or have any other employment for gain except your occupation with the firm with which you are now applying?

If so, *attach full details* including the full name and address of the business, the nature of the business, your title or position and the amount of time you devote to the business.

C) Are you a partner, director, officer, shareholder or other contributor of capital of a partnership or of a company having as its principal business that of a broker, dealer or adviser in securities, commodities, commodity futures contracts or options other than the firm with which you are now applying? If so, *attach full details*.

21. A) State the number, value, class and percentage of shares or the amount of partnership interest you own or propose to acquire upon approval. If acquiring shares upon approval, state source, i.e. treasury shares or if upon transfer, state name of transferor.

B) 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.

C) Are you or will you upon approval be the beneficial owner of the shares, bonds, debentures, partnership interest or other notes held by you? If no, state name, residential address and occupation of the beneficial owner.

CAUTION

FILING OF ANY FALSE INFORMATION OR FAILURE TO DISCLOSE FULL INFORMATION REQUIRED BY OR ON THIS APPLICATION MAY RESULT IN ITS REJECTION OR IN DISCIPLINARY ACTION TAKEN AGAINST THE APPLICANT AND / OR THE SPONSORING FIRM WITHIN THE PROVISIONS OF THE APPLICABLE SECURITIES AND / OR COMMODITY FUTURES LEGISLATION. REGULATIONS AND POLICY STATEMENTS OF THE SECURITIES REGULATORY AUTHORITIES AND WITHIN THE TERMS OF THE BY-LAWS, FILINGS, RULES AND / OR REGULATIONS OF ANY ONE OF THE SELF-REGULATORY ORGANIZATIONS TO WHICH THIS APPLICATION IS SUBMITTED OR MAY RESULT IN A REFUSAL TO REGISTER THE APPLICANT.

CERTIFICATE AND AGREEMENT OF APPLICANT AND SPONSORING FIRM

The undersigned hereby certify that the foregoing statements are true and correct to the best of our knowledge, information and belief and hereby undertake to notify the self-regulatory organization in writing of any material change therein as prescribed by any by-law or rule of the respective self-regulatory organizations.

We agree that we are conversant with the by-laws, rulings, rules and regulations of the self-regulatory organizations listed in Question 4.

We agree to be bound by and observe and comply with them as they are from time to time amended or supplemented, and we agree to keep ourselves fully informed about them as so amended and supplemented. We submit to the jurisdiction of the self-regulatory organizations and, wherever applicable, the Governors, Directors and committees thereof, and we agree that any approval granted pursuant to this application may be revoked, terminated or suspended at any time in accordance with the then applicable by-laws, rulings, rules and regulations. In the event of any such revocation or termination, the undersigned applicant agrees forthwith to terminate his / her association with the undersigned sponsoring firm and thereafter not accept employment with or perform services of any kind for any member or member house, of the self-regulatory organizations or any approved affiliated company or other affiliate of any such member or member house, in each case if and to the extent provided in the then applicable by-laws, rulings, rules and regulations of the self-regulatory organizations. Our obligations above are joint and several.

We agree to the transfer of this application form, without amendment, to another of the self-regulatory organizations listed in Question 4 of this application form in the event that at some time in the future the undersigned applicant applies to such other self-regulatory organization.

The undersigned applicant has discussed the questions in this application and in particular Question 15 and 16 with an officer or branch manager of this firm. The undersigned authorized officer is satisfied that the applicant fully understands the questions, and further certifies on behalf of the sponsoring firm that the applicant will be engaged as registered or approved.

The undersigned applicant acknowledges and consents that any of the self-regulatory organizations may obtain any information whatsoever from any source, as permitted by law in any jurisdiction in Canada or elsewhere.

Dated at _____ this _____ day of _____ 20_____

(Signature of Applicant)

(Name of Sponsoring Firm)

By _____
(Partner or Authorized Officer)

AFFIDAVIT

I, the undersigned applicant, do depose and say that I have read and understand the questions in this applicant form as well as the answers made by myself thereto and the Caution set out above, and that statements of fact made therein and in the attachments if any, are true.

Sworn before me _____
(Commissioner of Oaths, etc.)

(Signature of Deponent)

at the city of _____, Province of _____

this _____ day of _____ 20_____

The Provinces of Saskatchewan & Manitoba require this affidavit to be sworn before a notary public or barrister or solicitor where the applicant is outside the province at the time of application.

It is an offence under applicable Canadian securities and commodity futures legislation to file an application which contains a statement that, at the time and in light of the circumstances in which it is made, is false or misleading, or which fails to state any material fact.