FORM 33-506F4

REGISTRATION OF INDIVIDUALS AND REVIEW OF PERMITTED INDIVIDUALS

(.section 2.2)

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

CERTIFICATION

Individual

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

• I have read this form and understand all matters within this form, including the questions and, for greater certainty, if the business location is a residence, the notice in Item 9,

• I have discussed this form with a branch manager, supervisor, officer or partner of my sponsoring firm and that to the best of my knowledge, the branch manager, supervisor, officer or partner is satisfied that I understand all matters within this form, including the questions,

• to the best of my knowledge and after reasonable inquiry, all of the information provided on this form is true and complete, and

• if applicable, I will limit my activities to those allowed by my category of registration and any SRO approval.

I consent to and authorize the collection, directly and indirectly, of personal information by each regulator, securities regulatory authority and SRO and to the use of my personal information as set out in Item 20.

Firm

I, on behalf of the firm, certify to the regulator or, in Québec, the securities regulatory authority in each jurisdiction where the firm is submitting this form and to any applicable SRO that
• the individual identified in this form will be engaged by the sponsoring firm as a registered individual or a permitted individual, and

• I have, or a branch manager, supervisor, officer or partner has, discussed this form with the individual. To the best of my knowledge, the individual understands all matters within this form, including the questions.

NRD format:

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

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

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

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

Non-NRD format:

Individual

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

Signature of individual__________________________

Date signed _________________ (YYYY/MM/DD)

Firm

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

Name of firm __________________________

Name of authorized signing officer or partner __________________

Title of authorized signing officer or partner __________________

Signature of authorized signing officer or partner __________________

Date signed _____________________ (YYYY/MM/DD)
GENERAL INSTRUCTIONS

Complete and submit this form to the relevant regulator(s) or, in Québec, the securities regulatory authority, or self-regulatory organization (SRO) if an individual is seeking

- registration in individual categories,
- to be reviewed as a permitted individual.

You are only required to submit one form even if you are applying to be registered in several categories. This form is also used if you are seeking to be reviewed as a permitted individual. A post office box is not acceptable as a valid business location address.

Terms

In this form:

“Approved person” means, in respect of a member (Member) of the Investment Industry Regulatory Organization of Canada (IIROC), an individual who is a partner, director, officer, employee or agent of a Member who is approved by IIROC or another Canadian SRO to perform any function required under any IIROC or other Canadian SRO by-law, rule, or policy;

“Canadian Investment Manager designation” means the designation earned through the Canadian investment manager program prepared and administered by CSI Global Education Inc. and so named on the day this Instrument comes into force, and every program that preceded that program, or succeeded that program, that does not have a significantly reduced scope and content when compared to the scope and content of the first-mentioned program;

“CFA Charter” means the charter earned through the Chartered Financial Analyst program prepared and administered by the CFA Institute and so named on the day this Instrument comes into force, and every program that preceded that program, or succeeded that program, that does not have a significantly reduced scope and content when compared to the scope and content of the first-mentioned program;

“Derivatives” means financial instruments, such as futures contracts (including exchange traded contracts), futures options and swaps whose market price, value or payment obligations are derived from, or based on, one or more underlying interests. Derivatives can be in the form of instruments, agreements or securities;

“Major shareholder” and “shareholder” mean a shareholder who, in total, directly or indirectly owns voting securities carrying 10 per cent or more of the votes carried by all outstanding voting securities;

“Sponsoring firm” means the registered firm where you will carry out your duties as a registered or permitted individual; and

“You”, “your” and “individual” mean the individual who is seeking registration or the individual who is filing this form as a permitted individual under securities legislation or derivatives legislation or both.

How to submit this form
NRD format

Submit this form at the National Registration Database (NRD) website in NRD format at www.nrd.ca. If you have any questions, contact the compliance, registration or legal department of the sponsoring firm or a legal adviser with securities law experience, or visit the NRD information website at www.nrd-info.ca.

Format, other than NRD format

If you are relying on the temporary hardship exemption in section 5.1 of Ontario Securities Commission Rule 31-509 National Registration Database (Commodity Futures Act), you may submit this form in a format other than NRD format.

If you need more space, use a separate sheet of paper. Clearly identify the item and question number. Complete and sign the form, and send it to the relevant regulator(s) or, in Québec, the securities regulatory authority, SRO(s) or similar authority. The number of originally signed copies of the form you are required to submit depends on the province or territory, and on the regulator, the securities regulatory authority or SRO.

To avoid delays in processing this form, be sure to answer all of the questions that apply to you. If you have questions, contact the compliance, registration or legal department of the sponsoring firm or a legal adviser with securities law experience, or visit the NRD information website at www.nrd-info.ca.

Item 1  Name

1.  Legal name

Last name  First name  Second name (N/A  ☐)  Third name (N/A  ☐)

NRD number (if applicable) ________________

2.  Other personal names

Are you currently, or have you ever been, known by any names other than your full legal name above, for example, nicknames or names due to marriage?

Yes  ☐  No  ☐

If “Yes”, complete Schedule A.

3.  Use of other names

Are you currently, or have you ever used, operated under, or carried on business under any name other than the name(s) mentioned above, for example, trade names for sole proprietorships or team names?

Yes  ☐  No  ☐
If “Yes”, complete Schedule A.

**Item 2 Residential address**

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

1. **Current and previous residential addresses**

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

   Telephone number

   Lived at this address since (YYYY/MM)

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

2. **Mailing address**

   Check here if your mailing address is the same as your current residential address provided above. Otherwise, complete the following:

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

3. **Business e-mail address**

**Item 3 Personal information**

1. Date of birth (YYYY/MM/DD)

2. Place of birth (city, province, territory or state, country)

3. Gender

   Female [ ] Male [ ]

4. Eye colour

5. Hair colour

6. Height _______ [ ] in. or _______ [ ] cm
7. Weight _______ □ lbs. or _______ □ kg

Item 4 Citizenship

1. Citizenship information

What is your country of citizenship?

□ Canada

□ Other, specify: ________________

2. If you are a citizen of a country other than Canada, complete the following for that citizenship.

□ Check here if you do not have a valid passport. Otherwise, provide:

Passport number: ______________________________________

Date of issue: __________________________

(YYYY/MM/DD)

Place of issue: ________________________________

(city, province, territory or state, country)

Item 5 Registration jurisdictions

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

Only choose “No” if:

(a) you are seeking registration,

(b) you are seeking review as a permitted individual and you are not currently registered under securities legislation in any jurisdiction of Canada.

Yes □ No □

2. Check each jurisdiction where you are seeking registration or, if you are seeking review as a permitted individual, check each jurisdiction where your sponsoring firm is registered:

□ All jurisdictions

□ Alberta

□ British Columbia

□ Manitoba

□ New Brunswick

□ Newfoundland and Labrador

□ Northwest Territories

□ Nova Scotia

□ Nunavut
Ontario
Prince Edward Island
Québec
Saskatchewan
Yukon

Item 6 Individual categories

1. On Schedule C, check each category for which you are seeking registration as an individual or review as a permitted individual. If you are seeking review as a permitted individual, check each category that describes your position with your sponsoring firm.

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

   Yes ☐ No ☐

   If “No”, state:
   The name of your insurer_____________________________________________________________
   Your policy number______________________________________________________________

Item 7 Address and agent for service

1. Address for service

   You must have one address for service in each province or territory where you are submitting this form. A residential address or a business address is acceptable. 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, if applicable ___________________________
   Business e-mail address
   __________________________________________________________

2. Agent for service

   If you have appointed an agent for service, provide the following information for the agent in each province or territory where you have an agent for service. The address of your agent for service must be the same as the address for service above. If your agent for service is not an individual, provide the name of your contact person.
Name of agent for service: ____________________________________________

Contact person: _______________________________________________________

  Last name, First name

**Item 8 Proficiency**

1. **Course, examination or designation information and other education**

Complete Schedule E to state each course, examination and designation that
- is required for the registration categories or SRO approval categories you are applying for, and
- you have successfully completed or, if you are an IIROC applicant, have been exempted from.

☐  Check here if you are not required under securities legislation or derivatives legislation (including commodity futures legislation) or both, or the rules of an SRO, to satisfy any course, examination or designation requirements.

2. **Student numbers**

If you have a student number for a course that you successfully completed with one of the following organizations, provide it below:

CSI Global Education: ________________________________

IFSE Institute: ________________________________

Institute of Canadian Bankers (ICB): ______________________

CFA Institute: ________________________________

Advocis: ________________________________

RESP Dealers Association of Canada: ________________________________

Other: ________________________________

3. **Exemption refusal**

Has any securities regulator, derivatives regulator or SRO refused to grant you an exemption from a course, examination, designation or experience requirement?

Yes ☐  No ☐

If “Yes”, complete Schedule F.

4. **Relevant securities experience**

If you are an individual applying for IIROC approval, select “N/A”.
Do you have relevant securities experience?

Yes ☐  No ☐  N/A ☐

If “Yes”, complete Schedule F.

**Item 9 Location of employment**

1. Provide the following information for your new sponsoring firm. If you will be working out of more than one business location, provide the following information for the business location out of which you will be doing most of your business. If you are only filing this form because you are a permitted individual and you are not employed by, or acting as agent for, the sponsoring firm, select “N/A”.

   NRD location number: ____________________________________________

   Unique Identification Number (optional): __________________________

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

   Telephone number: (___) _______________

   Fax number: (___) _______________

   N/A ☐

2. If the firm has a foreign head office, and/or you are not a resident of Canada, provide the address for the business location in which you will be conducting most of your business. If you are only filing this form because you are a permitted individual and you are not employed by, or acting as agent for, the sponsoring firm, select “N/A”.

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

   Telephone number: (___) _______________

   Fax number: (___) _______________

   N/A ☐

   [The following under #3 “Type of business location”, #4 and #5 is for a Format other than NRD format only]

3. Type of business location:

   ☐ Head office
   ☐ Branch or business location
   ☐ Sub-branch (members of the Mutual Fund Dealers Association of Canada only)

4. Name of supervisor or branch manager: ________________
5. □ Check here if the mailing address of the business location is the same as the business location address provided above. Otherwise, complete the following:

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

6. Notice regarding a business location that is a residence

For the administration of securities legislation or derivatives legislation, including commodity futures legislation, or both, the regulator or, in Québec, the securities regulatory authority may require access to the business location to review the books, records and documents of the registered firm. If applicable, the SRO may also require access to the business location for the administration of the rules of the SRO.

If the business location specified in this form is a residence, the regulator, securities regulatory authority or SRO may request consent to enter the residence.

If consent is not provided, it may affect the ability of the regulator, securities regulatory authority or SRO to access the books, records or documents of a registered firm. If consent is not provided, it may affect the ability of the regulator, securities regulatory authority or SRO to access the books, records or documents of a registered firm held at the business location.

Item 10 Reportable activities

1. Activities with your sponsoring firm

Instructions: Describe all of your roles and responsibilities with your sponsoring firm, whether these roles and responsibilities are securities-related or not (e.g., sale of securities, review of marketing materials, IT help desk, negotiation of employment contracts, sales of banking and insurance products and services). Include any other information about your position with your sponsoring firm that is relevant for the regulator or, in Québec, the securities regulatory authority to know (e.g., if your role is specialized). For example, if you are applying as an advising representative limited to client relationship management, indicate this by including the following statement in Schedule G: “Individual is seeking registration as CRM AR.”

Complete a Schedule G with respect to your roles and responsibilities with your sponsoring firm.

2. Reportable outside activities

Instructions: Consider all of the activities that you participate in outside of your sponsoring firm, whether or not you receive compensation for such activities and whether or not any such activity is business-related. Activities performed for an affiliated entity are considered activities outside of your sponsoring firm. If any of the categories below describes one or more activities that you participate in, complete a separate Schedule G for each activity or entity. If multiple activities are performed for one entity, complete a single Schedule G identifying all the activities performed.

Uncompensated activities that do not fall within Categories 1 to 5 (i.e., generally activities that do not involve securities or financial services and are not a position of influence, such as being a little
league soccer coach) are not reportable.

Category 1 - Activities with another registered firm

*Instructions:* Report activities with registered firms, other than your sponsoring firm. All activities in this category are reportable, whether or not you receive compensation for such activities. Major shareholder means a shareholder who, in total, directly or indirectly owns voting securities carrying 10 percent or more of the votes carried by all outstanding voting securities.

If you are a director, officer, employee, contractor, consultant, agent, or service provider of a registered firm other than your sponsoring firm, or are in any other equivalent position with or for that registered firm, or are a major shareholder or partner of that registered firm, complete a separate Schedule G for the registered firm.

Category 2 - Activities with an entity that receives compensation from a registered firm

If you are a director, officer, employee, contractor, consultant, or agent of a specified entity, or are in any other equivalent position with or for a specified entity, or are a shareholder or partner of a specified entity, complete a separate Schedule G for the specified entity.

For the purposes of this category, “specified entity” means an entity that receives compensation from a registered firm for activities that you provide for your sponsoring firm or another registered firm.

Category 3 - Other securities-related activities

*Instructions:* All activities in this category are reportable, whether or not you receive compensation for such activities. Charitable or other fundraising activities that do not involve the issuance of securities or derivatives are not reportable.

If you have been at any time in the last 7 years directly involved in the raising of money for an entity through the issuance of securities or derivatives or promoting the sale of an entity’s securities or derivatives outside of your activities with your sponsoring firm or another registered firm, complete a separate Schedule G for each entity for which you performed these activities.

Directors and officers of reporting issuers and of entities that have been at any time in the last 7 years raising money through the issuance of securities or derivatives are considered to be directly involved in the raising money for that entity.

Category 4 - Provision of financial or finance-related services

*Instructions:* All activities in this category are reportable, whether or not you receive compensation for such activities. For example, volunteer activities pertaining to your securities or financial services knowledge must be reported under this category. Also report if you are the owner or management of an entity that provides these services. Major shareholder means a shareholder who, in total, directly or indirectly owns voting securities carrying 10 percent or more of the votes carried by all outstanding voting securities.

Complete a separate Schedule G for each activity, as applicable, if you

- sell or negotiate insurance, including being an insurance broker or agent,
• provide loan or deposit and other banking products and services,
• carry on a money service business, including exchanging one type of currency for another, transferring money from one person to another, or issuing or redeeming money orders, traveller’s cheques or anything similar,
• facilitate or administer mortgages, including acting as a mortgage broker, agent or administrator,
• prepare tax returns or provide tax advice,
• help create programs for persons to meet their long-term financial goals, including providing financial planning (including estate planning) or financial advice,
• provide corporate finance services, including services provided in the capacity of a comptroller, treasurer and chief financial officer,
• advise persons under financial stress on credit/debt restructuring,
• are a pension consultant,
• provide advice on mergers and acquisitions,
• provide accounting or bookkeeping services,
• provide oversight or independent review or expert opinion on the management of an entity’s financial assets,
• lend money or accept deposits of money (e.g., alternative financing, non-bank financial institutions), or
• provide other financial or finance-related services not identified above.

Also complete a separate Schedule G for each activity, as applicable, if you are a director or officer, or are in any other equivalent position with or for, or are a major shareholder or active partner of, an entity that provides one or more of the services in the above list.

Category 5 - Positions of influence

Instructions: All positions of influence (e.g., medical doctor, leader in a religious organization) are reportable, whether or not you receive compensation for such activities. Guidance: see also section 13.4.3 of National Instrument 31-103 Registration Requirements, Exemptions and Ongoing Registrant Obligations and the Companion Policy to National Instrument 31-103 Registration Requirements, Exemptions and Ongoing Registrant Obligations.

Complete a separate Schedule G for each position of influence that you are in.

Item 11 Previous employment and other activities

On Schedule H, complete your history of employment and other activities for the past 10 years.

Item 12 Resignations and terminations

Instructions: Disclose all allegations against you that existed at the time of your resignation or termination. The allegation does not need to be the reason for or cause of your resignation or termination. Sales targets are not considered a standard of conduct of a sponsoring firm.

Have you ever resigned or been terminated from a position or contract when, at the time of your resignation or termination, there existed an allegation that you:

1. Contravened any statutes, regulations, orders of a court or regulatory body, rules or bylaws or failed to meet any standards of conduct of a sponsoring firm or of any professional body?
2. Failed to appropriately supervise compliance with any statutes, regulations, orders of a court or regulatory body, rules or bylaws or with standards of conduct of a sponsoring firm or of any professional body?

Yes □ No □

If “Yes”, complete Schedule I, Item 12.1.

3. Committed a fraud or the wrongful taking of property, including theft?

Yes □ No □

If “Yes”, complete Schedule I, Item 12.2.

Item 13 Regulatory disclosure

The questions below relate to any jurisdiction of Canada and any foreign jurisdiction.

1. Securities and derivatives regulation

a) Other than a registration or permitted individual status that has been recorded under this NRD number, are you now, or have you ever been, registered or licensed with any securities regulator or derivatives regulator or both to trade in or advise on securities or derivatives or both?

Yes □ No □

If “Yes”, complete Schedule J, Item 13.1(a).

b) Have you ever been refused registration or a licence to trade in or advise on securities or derivatives or both?

Yes □ No □

If “Yes”, complete Schedule J, Item 13.1(b).

c) Have you ever been denied the benefit of an exemption from registration provided in any securities or derivatives or both legislation or rules, other than what was disclosed in Item 8.3 of this form?

Yes □ No □

If “Yes”, complete Schedule J, Item 13.1(c).
d) Are you now, or have you ever been subject to any disciplinary proceedings or any order resulting from disciplinary proceedings under any securities legislation or derivatives legislation or both?

Yes ☐ No ☐

If “Yes”, complete Schedule J, Item 13.1(d).

2. SRO regulation

a) Other than an approval that has been recorded under this NRD number, are you now, or have you ever been, an approved person of an SRO or similar organization?

Yes ☐ No ☐

If “Yes”, complete Schedule J, Item13.2(a).

b) Have you ever been refused approved person status by an SRO or similar organization?

Yes ☐ No ☐

If “Yes”, complete Schedule J, Item 13.2(b).

c) Are you now, or have you ever been, subject to any disciplinary proceedings conducted by any SRO or similar organization?

Yes ☐ No ☐

If “Yes”, complete Schedule J, Item 13.2(c).

3. Non-securities regulation

Instructions: Only disclose registration or licences to deal with the public in any capacity.

a) Are you now, or have you ever 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 derivatives or both (e.g. insurance, real estate, accountant, lawyer, teacher, medical doctor, mortgage broker or agent)?

Yes ☐ No ☐

If “Yes”, complete Schedule J, Item 13.3(a)

b) Have you ever been refused registration or a licence under any legislation relating to your activities unrelated to securities or derivatives?

Yes ☐ No ☐

If “Yes”, complete Schedule J, Item 13.3(b).
c) Are you now, or have you ever been, a subject of any disciplinary actions conducted under any legislation relating to your activities unrelated to securities or derivatives?

Yes ☐ No ☐

If “Yes”, complete Schedule J, Item 13.3(c).

Item 14  Criminal disclosure

You must disclose all offences, including:

- a criminal offence under the laws of Canada such as the Criminal Code (Canada), the Income Tax Act (Canada), the Competition Act (Canada), the Immigration and Refugee Protection Act (Canada) and the Controlled Drugs and Substances Act (Canada), even if
  - a record suspension has been ordered under the Criminal Records Act (Canada), or
  - you have been granted an absolute or conditional discharge under the Criminal Code (Canada),

- a criminal offence under the laws of any foreign jurisdiction such as U.S. federal and state criminal offences, and

- a criminal offence, with respect to questions 14.2 and 14.4,
  - of which you or any entity when you were a partner, director, officer or major shareholder of that entity has been found guilty, or
  - for which you or any entity when you were a partner, director, officer or major shareholder of that entity has participated in the Alternative Measures Program, a diversion program, or any alternative resolution program within the previous 3 years, even if a record suspension has been ordered under the Criminal Records Act (Canada).

You are not required to disclose:

- charges for summary conviction offences that have been stayed for six months or more,

- charges for indictable offences that have been stayed for a year or more,

- offences under the Youth Criminal Justice Act (Canada), and

- speeding or parking violations.

Subject to the exceptions above:
1. Are there any outstanding or stayed charges against you alleging a criminal offence that was committed?

Yes ☐  No ☐

If “Yes”, complete Schedule K, Item 14.1.

2. Have you ever been found guilty, pleaded no contest to, or been granted an absolute or conditional discharge from any criminal offence that was committed?

Yes ☐  No ☐

If “Yes”, complete Schedule K, Item 14.2.

3. To the best of your knowledge, are there any outstanding or stayed charges against any entity of which you were, at the time the criminal offence was alleged to have taken place, a partner, director, officer or major shareholder?

Yes ☐  No ☐

If “Yes”, complete Schedule K, Item 14.3.

4. To the best of your knowledge, has any entity, when you were a partner, officer, director or major shareholder, ever been found guilty, pleaded no contest to or been granted an absolute or conditional discharge from a criminal offence that was committed?

Yes ☐  No ☐

If “Yes”, complete Schedule K, Item 14.4.

Item 15  Civil disclosure

The questions below relate to any jurisdiction of Canada and any foreign jurisdiction.

1. Are there currently any outstanding civil actions alleging fraud, theft, deceit, misrepresentation or similar misconduct against you or an entity where you are or were a partner, director, officer or major shareholder?

Yes ☐  No ☐

If “Yes”, complete Schedule L, Item 15.1.

2. Have you or an entity where you are or were a partner, director, officer or major shareholder ever been a defendant or respondent in any civil proceeding in which fraud, theft, deceit, misrepresentation or similar misconduct is, or was, successfully established in a judgment?

Yes ☐  No ☐

If “Yes”, complete Schedule L, Item 15.2.

Item 16  Financial disclosure
1. Bankruptcies, insolvencies, consumer proposals and creditor arrangements

Instructions: You must provide the following information no matter when the event occurred (even if it was longer than 7 years ago).

The information is required to be reported even if you or the entity has been discharged or released from bankruptcy.

Under the laws of any jurisdiction of Canada or any foreign jurisdiction, have any of the following events ever occurred to you or to any entity when you were a partner, director, officer or major shareholder of the entity:

a) had a petition in bankruptcy issued or made a voluntary assignment into bankruptcy or any similar proceeding (no matter when it occurred, even if it was longer than 7 years ago, and even if you or the entity have been discharged or released from bankruptcy)?

   Yes □   No □

   If “Yes”, complete Schedule M, Item 16.1(a).

b) a proposal, including a consumer proposal, under any legislation relating to bankruptcy or insolvency or any similar proceeding?

   Yes □   No □

   If “Yes”, complete Schedule M, Item 16.1(b).

c) proceedings under any legislation relating to the winding up or dissolution of the entity, or under the Companies’ Creditors Arrangement Act (Canada)?

   Yes □   No □

   If “Yes”, complete Schedule M, Item 16.1(c).

d) any proceedings, arrangement or compromise with creditors?

   Yes □   No □

   If “Yes”, complete Schedule M, Item 16.1(d).

2. Debt obligations

During the past 10 years

- have you failed to meet a financial obligation of $10,000 or more as it came due, or
- to the best of your knowledge, has any entity, while you were a partner, director, officer or major shareholder of that entity, failed to meet any financial obligation of $10,000 or more as it came due?

   Yes □   No □
If “Yes”, complete Schedule M, Item 16.2.

3.  **Surety bond or fidelity bond**

Have you ever been refused for a surety or fidelity bond?

Yes ☐  No ☐

If “Yes”, complete Schedule M, Item 16.3.

4.  **Garnishments, seizure in the hands of third persons, unsatisfied judgments or directions to pay**

Has any governmental or regulatory authority or court, in any jurisdiction, ever issued any of the following:

- against you regarding your indebtedness, or
- to the best of your knowledge, against an entity regarding the entity’s indebtedness incurred at the time you were a partner, director, officer or major shareholder of the entity:

Yes ☐  No ☐

Garnishment or seizure in the hands of third persons ☐ ☐

Unsatisfied judgment ☐ ☐

Direction to pay ☐ ☐

If “Yes”, complete Schedule M, Item 16.4.

**Item 17   Ownership of securities and derivatives firms**

Are you now, or have you ever been, a partner or major shareholder of any firm (including your sponsoring firm) whose business is trading in or advising on securities or derivatives or both?

Yes ☐  No ☐

If “Yes”, complete Schedule N.

**Item 18   Agent for service**

By submitting this form, you certify that in each jurisdiction of Canada where you have appointed an agent for service, you have completed the appointment of agent for service required in that jurisdiction.

**Item 19   Submission to jurisdiction**

By submitting this form, you agree to be subject to the securities legislation or derivatives legislation or both of each jurisdiction of Canada, and to the by-laws, regulations, rules, rulings
and policies (collectively referred to as “rules” in this form) of the SROs to which you have submitted this form. This includes the jurisdiction of any tribunals or any proceedings that relate to your activities as a registrant or a partner, director or officer of a registrant under that securities legislation or derivatives legislation or both or as an Approved Person under SRO rules.

Item 20 Notice and consent for collection and use of personal information

1. Notice of collection and use of personal information

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

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

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

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

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

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

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

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

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

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

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

Item 21 [repealed]

Item 22 [repealed]
Schedule A
Names (Item 1)

Item 1.2 Other personal names

Name 1:

<table>
<thead>
<tr>
<th>Last name</th>
<th>First name</th>
<th>Second name (N/A)</th>
<th>Third name (N/A)</th>
</tr>
</thead>
</table>

Provide the reasons for the use of this name (for example, marriage, divorce, court order, commonly used name or nickname):

__________________________________________________________________________

When did you use this name? From: To:

(YYYY/MM) (YYYY/MM)

Name 2:

<table>
<thead>
<tr>
<th>Last name</th>
<th>First name</th>
<th>Second name (N/A)</th>
<th>Third name (N/A)</th>
</tr>
</thead>
</table>

Provide the reasons for the use of this name (for example, marriage, divorce, court order, commonly used name or nickname):

__________________________________________________________________________

When did you use this name? From: To:

(YYYY/MM) (YYYY/MM)

Name 3:

<table>
<thead>
<tr>
<th>Last name</th>
<th>First name</th>
<th>Second name (N/A)</th>
<th>Third name (N/A)</th>
</tr>
</thead>
</table>

Provide the reasons for the use of this name (for example, marriage, divorce, court order, commonly used name or nickname):

__________________________________________________________________________

When did you use this name? From: To:

(YYYY/MM) (YYYY/MM)

Item 1.3 Use of other names

Name 1:

Name: ____________________________________________
Provide the reasons for the use of this other name (for example, trade name or team name):

________________________________
________________________________
________________________________

If this other name is or was used in connection with any sponsoring firm, did the sponsoring firm approve the use of the name?

Yes ☐  No ☐  N/A ☐

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

Name 2:

Name: _____________________________________________________________

Provide the reasons for the use of this other name (for example, trade name or team name):

________________________________
________________________________
________________________________

If this other name is or was used in connection with any sponsoring firm, did the sponsoring firm approve the use of the name?

Yes ☐  No ☐  N/A ☐

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

Name 3:

Name: _____________________________________________________________

Provide the reasons for the use of this other name (for example, trade name or team name):

________________________________
________________________________
________________________________

If this other name is or was used in connection with any sponsoring firm, did the sponsoring firm approve the use of the name?

Yes ☐  No ☐  N/A ☐

When did you use this name?  From: ____________________  To: ____________________
(YYYY/MM)  (YYYY/MM)
Item 2.1  Current and previous residential addresses

If you have lived at your current address for less than 10 years, list all previous addresses for the past 10 years.

You do not have to include a postal code or ZIP code, or a telephone number for any previous address.

Address 1:

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

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

Address 2:

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

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

Address 3:

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)

Check each category for which you are seeking registration, approval or review as a permitted individual.

Categories common to all jurisdictions under securities legislation

Firm categories [Format other than NRD format only]

[ ] Investment Dealer
[ ] Mutual Fund Dealer
[ ] Scholarship Plan Dealer
[ ] Exempt Market Dealer
[ ] Restricted Dealer
[ ] Portfolio Manager
[ ] Restricted Portfolio Manager
[ ] Investment Fund Manager

Individual categories and permitted activities

[ ] Dealing Representative
[ ] Advising Representative
[ ] Associate Advising Representative
[ ] Ultimate Designated Person
[ ] Chief Compliance Officer

[ ] Permitted Individual as described in paragraph (c) of the definition of "permitted individual" in section 1.1 of OSC Rule 33-506 (Commodity Futures Act) Registration Information

[ ] Officer – Specify title:

[ ] Director
[ ] Partner
[ ] Shareholder

[ ] Branch Manager (MFDA members only)
IIROC

Approval categories

[ ] Executive
[ ] Director (Industry)
[ ] Director (Non-Industry)
[ ] Supervisor
[ ] Investor
[ ] Registered Representative
[ ] Investment Representative
[ ] Portfolio Manager
[ ] Associate Portfolio Manager
[ ] Trader

Additional approval categories

[ ] Chief Compliance Officer
[ ] Chief Financial Officer
[ ] Ultimate Designated Person

Products

[ ] Non-Trading
[ ] Securities
[ ] Options
[ ] Futures Contracts and Futures Contract Options
[ ] Mutual Funds only

Customer type

[ ] Retail
[ ] Institutional
Portfolio management

Categories under local commodity futures and derivatives legislation

Ontario

Firm categories

[ ] Commodity Trading Adviser
[ ] Commodity Trading Counsel
[ ] Commodity Trading Manager
[ ] Futures Commission Merchant

Individual categories and permitted activities

[ ] Advising Representative
[ ] Salesperson
[ ] Branch Manager
[ ] Officer – Specify title:
[ ] Director
[ ] Partner
[ ] Shareholder
[ ] IIROC approval only

Manitoba

Firm categories

[ ] Dealer (Merchant)
[ ] Dealer (Futures Commission Merchant)
[ ] Dealer (Floor Broker)
[ ] Adviser
Individual categories and permitted activities

[ ] Floor Broker
[ ] Salesperson
[ ] Branch Manager
[ ] Adviser
[ ] Officer – Specify title:
[ ] Director
[ ] Partner
[ ] Futures Contracts Portfolio Manager
[ ] Associate Futures Contracts Portfolio Manager
[ ] IIROC approval only
[ ] Local

Québec

Firm categories

[ ] Derivatives Dealer
[ ] Derivatives Portfolio Manager

Individual categories and permitted activities

[ ] Derivatives Dealing Representative
[ ] Derivatives Advising Representative
[ ] Derivatives Associate Advising Representative
Schedule D
Address and agent for service (Item 7)

Item 7.1 Address for service

You must have one address for service in each province or territory in which you are now, or are seeking 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: (___) _______________

Business e-mail address:
__________________________________________________

Item 7.2 Agent for service

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

Name of agent for service:
____________________________________________________________
(if applicable)

Contact person: ____________________________________________
   Last name, First name
Item 8.1  Course, examination or designation information and other education

Instructions: Please see Division 2 [Education and experience requirements] in Part 3 [Registration requirements - individuals] of National Instrument 31-103 Registration Requirements, Exemptions and Ongoing Registrant Obligations for the education and experience requirements for the categories that you are seeking to be registered in or the relevant SRO rules for the SRO approval categories.

Below, state each course, examination and designation that
• is required for the registration categories or SRO approval categories you are applying for, and
• you have successfully completed.

*For IIROC applicants only* - If applicable, please indicate the date of any exemption granted for any course, examination, designation or other education required for approval.

<table>
<thead>
<tr>
<th>Course, examination, designation or other education</th>
<th>Date completed (YYYY/MM/DD)</th>
<th>Date exempted* (YYYY/MM/DD)</th>
<th>Regulator / securities regulatory authority granting the exemption*</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

If you have listed the CFA Charter in Item 8.1, please indicate by checking “Yes” below if you are a current member of the CFA Institute permitted to use this charter.

Yes  ☐  No  ☐

If “No”, please explain why you no longer hold this designation:

________________________________________________________________________

________________________________________________________________________

If you have listed the Canadian Investment Manager Designation in Item 8.1, please indicate by checking “Yes” below if you are currently permitted to use this designation.

Yes  ☐  No  ☐

If “No”, please explain why you no longer hold this designation:

________________________________________________________________________

________________________________________________________________________
Item 8.3  Exemption refusal

Complete the following for each exemption that was refused.

1. Which securities regulator, derivatives regulator or SRO refused to grant the exemption?
   _________________________________________________________________

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

   State the reason given for not being granted the exemption:
   _________________________________________________________________

   Date exemption refused: ________________
   (YYYY/MM/DD)

2. Which securities regulator, derivatives regulator or SRO refused to grant the exemption?
   _________________________________________________________________

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

   State the reason given for not being granted the exemption:
   _________________________________________________________________

   Date exemption refused: ________________
   (YYYY/MM/DD)

3. Which securities regulator, derivatives regulator or SRO refused to grant the exemption?
   _________________________________________________________________

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

   State the reason given for not being granted the exemption:
   _________________________________________________________________

   Date exemption refused: ________________
Item 8.4 Relevant securities experience

Instructions:

• Some registration categories require a specified amount of experience to have been obtained within specified timeframes. Please see National Instrument 31-103 Registration Requirements, Exemptions and Ongoing Registrant Obligations or the relevant SRO rules for more information.

• If you are applying to be an advising representative or an associate advising representative, or with IIROC as a portfolio manager, associate portfolio manager, or supervisor designated to be responsible for the supervision of managed accounts, provide details of the activities you performed for each position in which you gained relevant investment management experience. Such details may include the level of responsibility; value of accounts under direct supervision; number of years of experience in performing securities research and analysis for the purpose of portfolio securities selection, portfolio construction and analysis; type of experience in performing client relationship management; number of years of experience collecting know-your-client information; or number of years of experience conducting suitability assessments.

• If you are applying as an advising representative limited to client relationship management, indicate this by including the following statement: “Individual is seeking registration as CRM AR”.

• For all other categories, provide details of activities that you performed for each position in which you gained relevant securities industry experience.

1. If you are applying
   • to be an advising representative or an associate advising representative of a portfolio manager, describe the relevant investment management experience that you have gained, or
   • for any other position, describe the relevant securities industry experience that you have gained.

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

(a) the name of the firm or entity with which you gained this experience;
(b) your title;
(c) the start and end dates of this position;
(d) the details of the activities you performed that are relevant for the category of registration that you are applying for;
(e) the percentage of your time in this position that was spent on activities relating to the experience.
2. Indicate the continuing education activities in which you have participated during the last 36 months and that are relevant to the category of registration you are applying for:

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________
1. Start date ___________________________  (YYYY/MM/DD)

2. Sponsoring firm or other entity information

☐ Check here if the reportable activity is with your sponsoring firm.

If the reportable activity is with your sponsoring firm, you are not required to indicate the firm’s name and address but are required to provide the name and title of your immediate supervisor. For all other types of reportable activity, enter all of the information below:

Name of business or employer:
_____________________________________________________________________

Address of business or employer:  
_____________________________________________________________________
 (number, street, city, province, territory or state, country)

Name and title of your immediate supervisor:  
_____________________________________________________________________

3. Description of the reportable activity and your roles and responsibilities

Instructions: If you are completing this schedule in relation to your activities with your sponsoring firm, for (e) below, provide the title(s) you will use once registered, and if you are already registered, provide the title(s) you use as of the date of this filing.

(a) Describe the entity that you carry on the activity with or for, including the nature of the entity’s business.

(b) Is the entity listed on an exchange?

(c) Describe your relationship with the entity.

(d) Describe all of your roles and responsibilities relating to the activity.

_____________________________________________________________________

(e) Provide all business title(s) and professional designation(s) you use for the activity.

_____________________________________________________________________

4. Number of work hours per week

How many hours per week do you spend on this activity? _____________

5. Conflicts of interest
Instructions: Complete this section if you have a reportable activity outside your sponsoring firm. Do not complete this section if your reportable activity is solely with your sponsoring firm.

Take into consideration existing and reasonably foreseeable material conflicts of interest and existing and potential client confusion.

(a) Does the activity give rise to any material conflicts of interest between the client and the sponsoring firm or you? Does the activity give rise to client confusion? If no material conflicts of interest or client confusion are expected, explain why.

(b) Describe (i) the material conflicts of interest, and (ii) how these conflicts will be addressed in the best interest of the client.

(c) Describe (i) the client confusion, and (ii) how the client confusion will be addressed.

(d) Does your sponsoring firm and the entity have procedures for identifying and addressing material conflicts of interest? If so, confirm you are complying with both sets of procedures.

(e) State the name and title of the individual at your sponsoring firm who has reviewed and approved the activity.
Schedule H
Previous employment and other activities (Item 11)

Provide the following information for each of your employment and other activities in the past 10 years. Account for all of your time, including full-time and part-time employment, self-employment or military service. Include your status for each, such as unemployed, full-time student, or other similar statuses. Do not include short-term employment of four months or less while a student, unless it was in the securities, derivatives or financial industry.

In addition to the information required in the paragraph above, if you were employed or had business activities in the securities or derivatives industry or both during and before the 10-year period, disclose all your securities and derivatives or both employment or business activities (both before and during the 10-year period).

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

From: ____________________
(YYYY/MM)

To: ____________________
(YYYY/MM)

Complete the following only if you are, or were, employed or self-employed during this period.

Name of business or employer:
______________________________________________________________________________

Address of business or employer:
______________________________________________________________________________
(number, street, city, province, territory or state, country)

Name and title of immediate supervisor, if applicable:
______________________________________________________________________________

Describe the firm’s business, your position, duties and your relationship to the firm.

Reason why you left the firm:
______________________________________________________________________________
______________________________________________________________________________
______________________________________________________________________________
Schedule I

Resignations and terminations (Item 12)

Item 12.1

For each allegation of violation of any statute, regulation, order of a court or regulatory body, rule or bylaw or failure to meet any standard of conduct of a sponsoring firm or of any professional body, state 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 ceased to carry on duties, (4) the circumstances relating to your resignation or termination, (5) details of the allegation (regardless of whether the allegation caused or contributed to your resignation or termination), including the statutes, regulations, orders, rules or bylaws allegedly contravened or standards of conduct allegedly not met, (6) details of how the allegation was addressed, and (7) any details of the resignation, termination, or allegation relevant to the determination of your suitability for registration or whether your registration is otherwise objectionable.

Item 12.2

For each allegation of failure to supervise compliance with any statute, regulation, order, rule or bylaw or with any standard of conduct of a sponsoring firm or of any professional body, state 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 ceased to carry on duties, (4) the circumstances relating to your resignation or termination, (5) details of the allegation of failure to supervise (regardless of whether the allegation caused or contributed to your resignation or termination), (6) details of how the allegation was addressed, and (7) any details of the resignation, termination, or allegation relevant to the determination of your suitability for registration or whether your registration is otherwise objectionable.

Item 12.3

For each allegation that you committed fraud or the wrongful taking of property, including theft, state 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 ceased to carry on duties, (4) the circumstances relating to your resignation or termination, (5) details of the allegation (regardless of whether the allegation caused or contributed to your resignation or termination), (6) details of how the allegation was addressed, and (7) any details of the resignation, termination, or allegation relevant to the determination of your suitability for registration or whether your registration is otherwise objectionable.
Item 13.1 Securities and derivatives regulation

a) For each registration or licence, state below (1) the name of the firm, (2) the securities or derivatives regulator with which you are, or were, registered or licensed, (3) the type or category of registration or licence, and (4) the period that you held the registration or licence.

________________________________________________________________________

b) For each registration or licence refused, state below (1) the name of the firm, (2) the securities or derivatives regulator 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.

________________________________________________________________________

c) For each exemption from registration denied or licence refused, other than what was disclosed in Item 8.3 of this form, state below (1) the party that was refused the exemption from registration or licence, (2) the securities or derivatives regulator that refused the exemption from 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 order or disciplinary proceeding, state below (1) the name of the firm, (2) the securities or derivatives regulator that issued the order or is conducting or conducted 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), (6) whether you are or were a partner, director, officer or major shareholder of the firm and named individually in the order or disciplinary proceeding, and (7) any other relevant details.

________________________________________________________________________

Item 13.2 SRO regulation

a) For each approval, state below (1) the name of the firm, (2) the SRO with which you are or were an approved person, (3) the categories of approval, and (4) the period that you held the approval.

________________________________________________________________________

b) For each approval refused, state below (1) the name of the firm, (2) the SRO that refused the approval, (3) the category of approval refused, (4) the date of the refusal, and (5) the reasons for the refusal.

________________________________________________________________________
c) For each order or disciplinary proceeding, state below (1) the name of the firm, (2) the SRO 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, (6) whether you are or were a partner, director, officer or major shareholder of the firm and named individually in the order or disciplinary proceeding, and (7) any details of the order or disciplinary proceeding relevant to the determination of your suitability for registration or whether your registration is otherwise objectionable.

________________________________________

Item 13.3 Non-securities regulation

a) For each registration or licence, state below (1) the party who is, or was, registered or licensed, (2) if applicable, the employer or entity for whom you performed the registerable or licensable activity, (3) the period that the party held the registration or licence, (4) the type or category of registration or licence, (5) with which regulatory authority, or under what legislation, the party is, or was, registered or licensed, and (6) the licence number.

________________________________________

b) For each registration or licence refused, state below (1) the party that was refused registration or licensing, (2) if applicable, the employer or entity for whom you performed the registerable or licensable activity, (3) with which regulatory authority, or under what legislation, the registration or licence was refused, (4) the type or category of registration or licence refused, (5) the date of the refusal, and (6) 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, (6) whether you are or were a partner, director, officer or major shareholder of the entity and named individually in the order or disciplinary proceeding, and (7) any details of the order or disciplinary proceeding relevant to the determination of your suitability for registration or whether your registration is otherwise objectionable.

________________________________________
Schedule K
Criminal disclosure (Item 14)

Item 14.1
For each charge, state below (1) the type of charge, (2) the date of the charge, (3) any trial or appeal dates, and (4) the court location.

________________________________________________________________________

________________________________________________________________________

Item 14.2
For each finding of guilty, pleading no contest to, or granting of an absolute or conditional discharge from a criminal offence, state below (1) the offence, (2) the date found guilty, and (3) the disposition (any penalty or fine and the date any fine was paid).

________________________________________________________________________

________________________________________________________________________

Item 14.3
For each charge, state below (1) the name of the entity, (2) the type of charge, (3) the date of the charge, (4) any trial or appeal dates, and (5) the court location.

________________________________________________________________________

________________________________________________________________________

Item 14.4
For each finding of guilty, pleading no contest to, or granting of an absolute or conditional discharge from a criminal offence, state below (1) the name of the entity, (2) the offence, (3) the date of the conviction, and (4) the disposition (any penalty or fine and the date any fine was paid).

________________________________________________________________________

________________________________________________________________________
Item 15.1

For each outstanding civil proceeding, state below (1) the dates the statement of claim and statement of defence were issued, (2) the name of each plaintiff in the proceeding, (3) whether the proceeding is pending or on appeal, (4) whether the proceeding was against an entity where you are, or were, a partner, director, officer or major shareholder and whether you have been named individually in the allegations, and (5) the jurisdiction where the action is being pursued.

Item 15.2

For each civil proceeding, state below (1) the dates the statement of claim and statement of defence were issued, (2) the name of each plaintiff in the proceeding, (3) the jurisdiction where the action was pursued, (4) whether the proceeding was about an entity where you are, or were, a partner, director, officer or major shareholder and whether you have been named individually in the allegations, and (5) a summary of any disposition or any settlement over $10,000. You must disclose any actions settled without admission of liability.
Schedule M
Financial disclosure (Item 16)

Item 16.1 Bankruptcies, insolvencies, consumer proposals and creditor arrangements

Instructions: Proposals includes consumer proposals.

(a) For each event, state below (1) the date of the petition or voluntary assignment into bankruptcy or similar proceeding, (2) the person or entity about whom this disclosure is being made, (3) any amounts currently owing, (4) the creditors, (5) the status of the matter, (6) a summary of any disposition or settlement, (7) the date of discharge or release, if applicable, and (8) any details of the petition or voluntary assignment into bankruptcy or similar proceeding relevant to the determination of your suitability for registration or whether your registration is otherwise objectionable.

(b) For each event, state below (1) the date of the proposal, (2) the person or firm about whom this disclosure is being made, (3) any amounts currently owing, (4) the creditors, (5) the status of the matter, (6) a summary of any disposition or settlement, and (7) any details of the proposal relevant to the determination of your suitability for registration or whether your registration is otherwise objectionable.

(c) For each event, state below (1) the date of the proceeding, (2) the person or entity about whom this disclosure is being made, (3) any amounts currently owing, (4) the creditors, (5) the status of the matter, (6) a summary of any disposition or settlement, and (7) any details of the proceeding relevant to the determination of your suitability for registration or whether your registration is otherwise objectionable.

(d) For each proceeding, arrangement or compromise with creditors, state below (1) the date of the proceeding, arrangement or compromise, (2) the person or entity about whom this disclosure is being made, (3) any amounts currently owing, (4) the creditors, (5) the status of the matter, (6) a summary of any disposition or settlement, and (7) any details of the proceeding, arrangement or compromise relevant to the determination of your suitability for registration or whether your registration is otherwise objectionable.

Item 16.2 Debt obligation

For each event, state below (1) the person or entity that failed to meet its financial obligation, (2) the amount that was owing at the time the person or entity failed to meet its financial obligation, (3) the person or entity 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 details of the debt obligation relevant to the determination of your suitability for registration or whether your registration is otherwise objectionable, including why the obligation has not been met or satisfied.
Item 16.3 Surety bond or fidelity bond

For each bond refused, state 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.

Item 16.4 Garnishments, seizure in the hands of third persons, unsatisfied judgments or directions to pay

For each garnishment, seizure in the hands of third persons, unsatisfied judgment or direction to pay regarding your indebtedness, or the indebtedness of an entity incurred at the time you were a partner, director, officer or major shareholder, indicate below (1) the amount that was owing at the time the garnishment, seizure in the hands of third persons, judgment or direction to pay was rendered, (2) the person or entity 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) why the indebtedness has not been met or satisfied, (5) the percentage of earnings to be garnished or seized in the hands of third persons or the amount to be paid, (6) any amounts currently owing, and (7) any details of the garnishment, seizure in the hands of third persons, unsatisfied judgment or direction to pay relevant to the determination of your suitability for registration or whether your registration is otherwise objectionable.
Schedule N
Ownership of securities and derivatives firms (Item 17)

Name of firm (whose business is trading in or advising on securities or derivatives, or both):
____________________________________________________________________

What is your relationship to the firm?      Partner      □      Major shareholder □

What is the period of this relationship?

From:  To:  (if applicable)  
(YYYY/MM)  (YYYY/MM)

Provide the following information:

a)  State the number, value, class and percentage of securities, or the amount of partnership interest you own or propose to acquire when you are registered or approved as a result of the review of this form. If acquiring shares when you are so approved or registered, state the source (for example, treasury shares, or if upon transfer, state name of transferor).
________________________________________________________________________

b)  State the market value (approximate, if necessary) of any 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)  If another person or entity has provided you with funds to invest in the firm, provide the name of the person or entity and state the relationship between you and that person or entity:
________________________________________________________________________

d)  Is the payment of the funds to be invested (or proposed to be invested) guaranteed directly or indirectly by any person or entity?

Yes □  No □

If “Yes”, provide the name of the person or entity and state the relationship between you and that person or entity:
________________________________________________________________________

e)  Have you directly or indirectly given up any rights relating to these securities or this partnership interest, or do you, when you are registered or approved as a result of the review of this form, intend to give up any of these rights (including by hypothecation, pledging or depositing as collateral the securities or partnership interest with any entity or person)?
Yes ☐ No ☐

If “Yes”, provide the name of the person or entity, state the relationship between you and that person or entity and describe the rights that have been or will be given up:

________________________________________________________________________

f) Is a person other than you the beneficial owner of the shares, bonds, debentures, partnership units or notes held by you?

Yes ☐ No ☐

If “Yes”, complete (g), (h) and (i).

g) Name of beneficial owner:

________________________________________________________________________

h) Residential address:

________________________________________________________________________

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

i) Occupation:

________________________________________________________________________
Schedule O
Contact information for
notice and consent for collection and use of personal information

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

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

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

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

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

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

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

Québec
Autorité des marchés financiers
800, square Victoria, 22e étage
C.P. 246, tour de la Bourse
Montréal (Québec) H4Z 1G3
Attention: Responsable de l’accès à l’information
Telephone: (514) 395-0337 or (877) 525-0337
<table>
<thead>
<tr>
<th>Province</th>
<th>Address</th>
<th>Attention</th>
<th>Telephone</th>
<th>E-mail</th>
</tr>
</thead>
</table>
| Newfoundland and Labrador | Superintendent of Securities, Service NL  
Government of Newfoundland and Labrador  
P.O. Box 8700  
2nd Floor, West Block  
Confederation Building  
St. John's, NL A1B 4J6  
Attention: Manager of Registrations  
Telephone: (709) 729-5661 | | | |
| Saskatchewan      | Financial and Consumer Affairs  
Authority of Saskatchewan  
Suite 601, 1919 Saskatchewan Drive  
Regina, SK S4P 4H2  
Attention: Director, Capital Markets  
Telephone: (306) 787-5871  
E-mail: registrationfcaa@gov.sk.ca | | | |
| Nova Scotia       | Nova Scotia Securities Commission  
Suite 400, 5251 Duke Street  
Halifax, NS B3J 1P3  
Attention: Registration  
Telephone: (902) 424-7768 | | | |
| Yukon             | Government of Yukon  
Office of the Yukon Superintendent of Securities  
Department of Community Services  
P.O. Box 2703 C-6  
Whitehorse, YT Y1A 2C6  
Attention: Superintendent of Securities  
Telephone: (867) 667-5466 | | | |
| Northwest Territories | Government of the Northwest Territories  
Department of Justice  
1st Floor Stuart M. Hodgson Building  
5009 – 49th Street  
Yellowknife, NWT X1A 2L9  
Attention: Superintendent of Securities  
Telephone: (867) 920-8984 | | | |
| Self-regulatory organization | Investment Industry Regulatory Organization of Canada  
121 King Street West, Suite 2000  
Toronto, Ontario M5H 3T9  
Attention: Privacy Officer  
Telephone: (416) 364-6133  
E-mail: PrivacyOfficer@iiroc.ca | | | |