

Chapter 6

Request for Comments

6.1 Request for Comments

6.1.1 CSA Staff Notice 31-402 - Registration Forms Relating to the National Registration Database

Canadian Securities Administrators Staff Notice 31-402

Registration Forms Relating to the National Registration Database

On August 4, 2000, the Canadian Securities Administrators (the "CSA") published CSA Staff Notice 31-401 *Registration Forms Relating to the National Registration Database* requesting comments on three forms relating to the application for registration of dealer firms, adviser firms and individuals. The CSA received five comment letters in respect of the forms. Appendix A to this Notice lists the commentators, summarizes the comments received and provides the responses of CSA staff.

As a result of the comments received and as development of the National Registration Database ("NRD") continues, CSA staff continue to modify the proposed registration forms. To facilitate the development of the NRD, CSA staff are again requesting comments on proposed Form 31-102F3 *Application for Registration of a Dealer, Underwriter or Adviser* and proposed Form 31-102F4 *Application for Registration of an Individual*. Rules and instruments associated with the implementation of NRD will be published for comment at a later date. Form 31-102F3 and Form 31-102F4 will be republished for comment at that time.

Commentators should note that in the initial version of the NRD, only Form 31-102F4 will be electronically filed. Also, although the Commission des valeurs Mobilières du Québec (the "CVMQ") is not a participant in the NRD, the CVMQ will adopt Form 31-102F3 and Form 31-102F4 concurrent with their adoption by the other provincial and territorial securities regulatory authorities.

This Notice, Appendix A to this Notice, Form 31-102F3 and Form 31-102F4 are available at <http://www.osc.gov.on.ca/en/Regulation/Rulemaking/Notices/notices.html>.

Comments

Interested parties are invited to make written submissions with respect to the Forms. Submissions received by August 3, 2001 will be considered. In light of the deadlines imposed on the CSA for development of the system, this deadline will be strictly observed.

Submissions should be addressed to all of the Canadian securities regulatory authorities listed below and sent, in duplicate, in care of the Ontario Securities Commission, as indicated below:

British Columbia Securities Commission
Alberta Securities Commission
Saskatchewan Securities Commission
The Manitoba Securities Commission
Ontario Securities Commission
Office of the Administrator, New Brunswick
Registrar of Securities, Prince Edward Island
Nova Scotia Securities Commission
Securities Commission of Newfoundland
Registrar of Securities, Northwest Territories
Registrar of Securities, Yukon
Registrar of Securities, Nunavut

c/o John Stevenson, Secretary
Ontario Securities Commission
20 Queen Street West
Suite 800, Box 55
Toronto, Ontario M5H 3S8
jstevenson@osc.gov.on.ca

Submissions should also be addressed to the Commission des valeurs mobilières du Québec as follows:

Claude St. Pierre, Secrétaire
Commission des valeurs mobilières du Québec
800 Victoria Square
Stock Exchange Tower
P.O. Box 246, 22nd Floor
Montréal, Québec H4Z 1G3
claudestpierre@cvmq.com

A diskette (or an e-mail attachment) containing the submission (in DS or Windows format, preferably WordPerfect) should also be submitted.

Comment letters submitted in response to requests for comment are placed on the public file in certain jurisdictions and form part of the public record, unless confidentiality is requested. Comment letters will be circulated among the securities regulatory authorities, whether or not confidentiality is requested. Although comment letters requesting confidentiality will not be placed on the public file, freedom of information legislation in certain jurisdictions may require the securities regulatory authorities in those jurisdictions to make comment letters available. Persons submitting comment letters should therefore be aware that the press and members of the public may be able to obtain access to any comment letters.

Request for Comments

Questions may be referred to any of:

Dirk de Lint
Legal Counsel
NRD Project Group
Ontario Securities Commission
(416) 593-8090
ddelint@osc.gov.on.ca

Melinda Ando
Legal Counsel
Alberta Securities Commission
(403) 297-7274
melinda.ando@seccom.ab.ca

Robert Hudson
Manager, Registration & Market Regulation
Capital Markets Regulation Division
British Columbia Securities Commission
(604) 899-6691 or (800) 373-6393 (in B.C.)
rhudson@bcsc.bc.ca

APPENDIX A

NRD SUMMARY OF COMMENTS ON FORMS

List of Commentators:

- Canadian Securities Institute
- Berkshire Group
- TD Bank
- Blake, Cassels, Graydon
- Fogler, Rubinoff, as counsel for Friedberg Mercantile Group

No.	Topic/Commentator	Comment	CSA Response
1	Allowance for Draft Forms [Blakes]	The web-based system for submitting registration forms needs to include a capacity to store draft forms. This permits registrants' professional advisors to review forms before final submission (the process that frequently takes place with paper-based applications).	The current design of the National Registration Database system (NRD) includes this functionality.
2	Privacy Law [Blakes]	Certain questions are phrased broadly, and risk violating human rights or privacy legislation.	Staff have reviewed the questions to correct this.
3	Amendments and Material Changes	<ul style="list-style-type: none"> • Reporting material changes to registration applications should be allowed through filing web-filed amended applications [TD Bank] • To complete the advisor, dealer or individual form in respect of an amendment, would the applicant only have to complete the sections relevant to the amendment? The current use of a shorter form with a description of the amendment is more efficient [Berkshire Group]. 	<ul style="list-style-type: none"> • The current design of NRD includes this functionality. • The current design of NRD provides for filing only information which has changed.
4	Inserting NRD Numbers [Berkshire Group]	Presumably the advisor, dealer and individual form will indicate that the principal jurisdiction will issue the various NRD numbers upon granting initial registration of the firm, branch or sub-branch office. Is the registrant responsible for inserting the NRD number where the form is used for an amendment.	NRD will generate a number for each individual registrant. This number must be included with any amendment to the individual's information. This process will be described in the NRD Filer Manual.
5	Principal Jurisdiction [TD Bank]	<ul style="list-style-type: none"> • One application should be filed via the web-process to all jurisdictions in which applicant seeks registration. • Approval from the principal jurisdiction should be sufficient for registration in all jurisdictions in which registration is sought. 	<ul style="list-style-type: none"> • The current design of NRD includes this functionality. • The CSA will continue to pursue opportunities for mutual reliance but that will not involve the surrender of jurisdiction by a securities regulatory authority.

Request for Comments

No.	Topic/Commentator	Comment	CSA Response
6	Additional Forms [TD Bank]	<ul style="list-style-type: none"> • Some forms, though not prescribed, are required in certain jurisdictions for new registrations, amendments and terminations of registration. These additional forms should be web-enabled. These forms include: <ul style="list-style-type: none"> - Securities Fraud Information Centre - Records Request and Reply (or equivalent); - Notification and Consent re: Collection of Personal Information Under the Freedom of Information and Protection of Privacy Act (Ontario only); - Acknowledgment and Agreement of Review of Registration for Investment Dealers Association Applicants (Ontario only); - Acknowledgment of Conditional Registration, subject to criminal record check, for Investment Dealers Association of Canada Applicants (Alberta only); - Submission to Jurisdiction and Appointment of Agent for Service documentation (Saskatchewan and Ontario); - Application for Amendment of Registration or Transfer of Registration; - Uniform Termination Notice 	Staff are attempting to have these forms available on NRD in the first release of the system.
7	Personal/Financial Institution [TD Bank]	AB, NS, BC, Sask require personal and/or financial institution references. This requirement should be eliminated and replaced by sponsoring firm support for the application. This will encourage true standardization.	CSA staff are pursuing the elimination of this requirement.
8	“Present Position in Firm” [TD Bank]	To the phrase “present position in firm”, add “subject to regulatory approval” for new applicants.	Staff are of the view that this change is not necessary.
9	General Comments [Berkshire Group]	For the sake of efficiency and clarity, requested information that is only infrequently relevant (e.g. criminal activities, civil, judicial and regulatory reporting) should be provided as a custom exhibit to a standard form, rather than be placed in the form proper.	Staff have made an effort to make the schedules to the forms dealing with these issues more concise.
10	General Comments [Fogler]	<ul style="list-style-type: none"> • The forms could be considerably more user friendly by using fields which can be easily accessed and other such features commonly available on commercial website questionnaires and applications. • It would be useful if, uniformly throughout the forms, the phrase “the applicant” would be used. Currently, there is sporadic use of references to “you” and other personal and third person words. This gives rise to confusion when, for example, the word “you” is used in requesting information for a corporate applicant. • We note that the forms contemplate that oaths could be sworn by commissions. It has been our experience that various provinces require notaries to sign. Have the CSA members all agreed to accept out of province commissioners? 	<ul style="list-style-type: none"> • In converting the forms to the NRD, staff will seek to make the forms more user friendly. • Staff have attempted to correct such confusion by using language more consistently. • Staff are considering removing the requirement for applicants to swear an oath before a commissioner.

Request for Comments

No.	Topic/Commentator	Comment	CSA Response
	<p>General Comments [Fogler] continued...</p>	<ul style="list-style-type: none"> The definitions of capitalized terms currently contemplated in the proposed forms has not been provided. Given that these definitions may substantially change the scope and meaning of various items and therefore give rise to substantive comments, we would suggest that it would be extremely helpful to provide such definitions as soon as possible, even if generated, circulated and used as a "master definitions" schedule for all forms (which we suggest may be useful in any event). Finally, as is always the case when undertaking a significant restructuring of complicated forms, the language used for the purposes of many of the questions, and the cross-references of various items throughout the form, are either incorrect or could be better phrased. 	<ul style="list-style-type: none"> [General Instructions precede this draft which list the defined terms used in the forms.] Staff have attempted to correct these deficiencies.
11	<p>Items 4 and 5 [Blakes]</p>	<p>A repeatable field must be created to allow for entry of multiple branch office locations.</p>	<p>The current design of NRD includes this functionality.</p>
12	<p>Item 2(a) [Blakes]</p>	<p>Mailing address should allow for P.O. Box</p>	<p>This change has been made.</p>
13	<p>Item 7 [Blakes]</p>	<p>The distinction between "Other Regulator" and "Other" is unclear.</p>	<p>This should be corrected in the current draft.</p>
14	<p>Item 8 [Blakes]</p>	<p>"Investment dealer" is listed twice, while "broker" is not listed</p>	<p>This should be corrected in the current draft.</p>
15	<p>Item 13 [Blakes]</p>	<p>The required information should not be the jurisdiction of incorporation or formation, but rather the jurisdiction which law governs. This will solve the problem of businesses being continued outside of the original jurisdiction.</p>	<p>Some regulators have indicated that they need the jurisdiction of incorporation or formation.</p>
16	<p>Item 17 (b) and (c) Item 19 [Fogler]</p>	<ul style="list-style-type: none"> It is suggested that for the purposes of completing Schedule "D", Part 3 in responding to Item 17(b) and (c) of the form, either Regulated Entities should be excluded or, in the alternative, particulars of multiple carrying brokers should be provided for. Same comment re completing Schedule "B" for the purposes of responding to Item 19. 	<p>These parts do not appear in the current draft.</p>
17	<p>Item 18 [Blakes]</p>	<p>Not clear why a distinction is drawn between controlling companies that are engaged in the securities or investment advisory businesses, and banks. There are no laws limiting banks owning dealers, as they are in the U.S. If the distinction is maintained Parts 1 and 2 of Section IV, Schedule D should be consistent.</p>	<p>These questions have been removed from the current draft.</p>
18	<p>Items 20 - 22 [Fogler]</p>	<p>We request clarification that pardoned offences of individuals need not be disclosed: ie reiteration of the Item 43 Advisor Form comment: "There is inconsistency between this form and the individual's form in that the individual's form makes it clear that crimes for which a non-revoked pardon have been granted need not be disclosed. Should this not be the case for the purposes of "associates" of the applicant under Item 43"</p>	<p>Staff will consider this issue further.</p>

Request for Comments

No.	Topic/Commentator	Comment	CSA Response
19	Item 20-22 [Blakes]	<p>The criminal and offence disclosure requirements have many flaws, and need to be reviewed by legal counsel familiar with criminal procedure and human rights laws. For example:</p> <ul style="list-style-type: none"> - Item 21(b) would require an applicant to disclose being charged with an offence, in spite of having been acquitted. - Requiring disclosure of offences or convictions that are not directly related to being a registrant under the <i>Securities Act</i> may violate the <i>Ontario Human Rights Code</i>. - In requiring “the circumstances leading to the charge”, section II, Item 4 of Schedule C may violate the <i>Charter</i> right against self-incrimination. In addition, the disclosure requirement should relate only to criminal or securities-related convictions, not all charges. 	<ul style="list-style-type: none"> • The redrafted question does not require an applicant to disclose a charge if they have been acquitted. • Staff are of the view that the questions asked do not violate the <i>Ontario Human Rights Code</i>. • The revised draft no longer asks for “circumstances leading to the charge”.
20	Item 23 [Blakes]	<p>The wording is too vague for certain answers to be provided:</p> <ul style="list-style-type: none"> - What sort of finding is implied in item 23(a)? - What sort of causation is implied in item 23(b)? 	These questions have been removed from the current draft.
21	Item 26 [Blakes]	<p>The question should only require information on fraud-related civil proceedings where there have been convictions, or where there are ongoing proceedings. Fraud allegations, for instance in U.S. securities class action suits, are common.</p>	Staff are of the view that this information should be provided.
22	Item 30 [Fogler]	<p>In Item 30, futures commission merchants and dealers making inter-dealer markets in over-the-counter forward contracts should be contemplated. In addition, the fifth item should be “dealer selling mutual fund securities” and the words “or limited partnerships” in the 10th and 11th items seem inappropriate. Finally, the category of dealers selling securities of only one issuer or associate issuers appears curious.</p>	These questions have been removed from the current draft.
23	Oath [Blakes]	<p>A solemn or statutory declaration should be permitted in lieu of an oath.</p>	Staff agree. As noted above, staff are considering removing the requirement for applicants to swear an oath before a commissioner.
24	Schedule A [Fogler]	<p>For the purposes of Schedule “A” and, in particular, Item 2 of such schedule, shouldn’t a 5% indirect ownership threshold be applicable?</p>	In the current draft the ownership threshold is 10%.
25	Schedules A and B [Blakes]	<ul style="list-style-type: none"> • There are no longer any restrictions on foreign ownership of Canadian dealers, so why is this disclosure required? • No distinction is drawn between Canadian or foreign individuals; the approach should be consistent between individuals and corporations. 	<ul style="list-style-type: none"> • This disclosure is not required in the current draft. • There is no distinction between Canadian and foreign firms in the current draft.
26	Schedule B [Fogler]	<p>For the purposes of Schedule “B”, the words “and officers” in the lead-in did not appear to apply. In addition, we would suggest that the indirect greater than 5% ownership threshold should apply for the purposes of Item 1.</p>	This section has been amended in the current draft. In the current draft the ownership threshold is 10%.
27	Schedule D [Blakes]	<p>Section IV has 3 repeated sections. If this is for multiple entries, a repeatable field should be used (as with multiple locations of branches).</p>	Where repeated sections appear on the forms a repeatable field will be used on the NRD screens.
28	Schedule E	<p>Section II, Item 3: Should include Bureau des services financiers (“BSF”)</p>	On the current draft no regulators are listed.

Request for Comments

No.	Topic/Commentator	Comment	CSA Response
29	Differences with Dealer Form [Blakes]	Compared with the dealer form, the advisor form asks radically different questions about the advisor's business. For example, why are advisors being asked how many employees or clients they have, while dealers are not? It may be that many of these questions relate to requirements under the United States <i>Investment Companies Act</i> , and they should be reviewed more rigorously to determine if they are even necessary for Canadian regulatory purposes.	Advisers and dealers will both use the same form under the current draft. Staff have removed questions that do not go to an applicant's suitability.
30	Timing Issues [Blakes]	<ul style="list-style-type: none"> • Virtually all of the business-related questions for advisors have a timing problem. These questions seem to proceed on the assumption that the advisor is already in business. Since it is not possible to advise legally without registration, most of these questions are premature. • Advisor applications are more often filed by new entities, that may <u>intend</u> to offer various services. For example, at the time of initial application, the correct answer in items 16 and 17 should always be "zero", at least until after registration. Similarly, Item 18 would only be a business plan, rather than a sworn fact. • If the first CSA regulator would be prepared to register a new advisor without it having any clients yet, it seems illogical that a subsequent CSA regulator needs to know how many clients the advisor now has before it will consider another registration. • If the questions are truly "to prepare for field examinations" applicable to advisors and not to dealers, we suggest that Items 15 through 23 be removed from the application form and used for some form of later questionnaire. 	Staff agree with these comments and have removed questions that do not go to an applicant's suitability.
31	Use of US Nomenclature [Blakes]	Much of the nomenclature is applicable in the United States and not Canada.	Staff have removed nomenclature applicable in the U.S. but not Canada.
32	Corporate Advisors [Fogler]	<ul style="list-style-type: none"> • For the registration of a corporate advisor, the form does not request information as to the names of individuals acting as advisors and their registration categories. • Categories for both corporate and individual registrants should include both registrations under securities legislation and registration under commodities legislation. 	[The current firm form requests the names of individual applicants.] The current forms clarify that they may be used for registration under securities and commodities legislation.
33	Item 1 [Berkshire Group]	<ul style="list-style-type: none"> • While the CSA is contemplating applications from sole proprietors, we understood that only corporations, partnerships and other separate legal entities (<i>sic</i>) would be considered for registration as advisor firms (D). 	Some jurisdictions currently permit sole proprietorships to register as adviser firms.
34	Item 2 [Berkshire Group]	The area code of the fax number should be required throughout the form.	This change has been made.
35	Item 3 [Berkshire Group]	Does the authorized firm representative have to be a registrant?	Staffs' current view is that the AFR does not have to be a registrant.

Request for Comments

No.	Topic/Commentator	Comment	CSA Response
36	Item 4 [Berkshire Group]	<ul style="list-style-type: none"> Should item (a) include a requirement that the branch manager be registered and remind the applicant to submit an application for this individual? (D) Advisor firms do not typically seek registration of sub-branches; wouldn't this be more appropriate for the dealer application form? An e-mail and website address for the branch should be requested (D) 	<ul style="list-style-type: none"> Any obligation to register a branch manager will be contained in the legislation of the local jurisdiction (e.g., OSC Rule 31-505, section 1.4); staff are of the view the these requirements should not be repeated in the forms. The dealer and adviser form have been combined. The amended forms have incorporated this suggestion.
37	Item 6 [Berkshire Group]	Because Canadian exchanges no longer carry out registration or member regulation functions, it is more appropriate to ask the applicant if it is a member of these exchanges (D) (I)	<ul style="list-style-type: none"> The amended forms made this change.
38	Item 7 [Berkshire Group]	Consider adding the NASD, NFA, CFTC and US exchanges such as NYSE, NASDAQ and AMEX to the list of potential SROs that the applicant could belong to (D) (I, re: major US exchanges)	The amended forms incorporate this suggestion.
39	Item 7 [Fogler]	Registrations with NASD and the NFA should also be contemplated.	NRD will only permit registration with Canadian regulators.
40	Item 8 [Berkshire Group]	<ul style="list-style-type: none"> Registration categories available only in certain provinces (e.g. International Dealer, Financial Advisor) should be specified (D) Under "Registering", should 'Securities Advisors' and 'Financial Advisors' be specified in the singular? 	<ul style="list-style-type: none"> The amended form incorporates this suggestion. Each category will appear on the forms as it does in the legislation.
41	Item 8 [Fogler]	In Item 8 under the "currently registered" heading, there is no contemplation of the possibility that the applicant could hold a current registration as an advisor and be applying for registration in an additional or other category.	Application for registration in another category will not be done using the application forms, but will be done through another form of submission.
42	Item 9 [Berkshire Group]	Is this information regarding auditor necessary? In any case auditors will not be able to provide any information to regulatory authorities without consent from the client (D)	The commentator is referred to section 145 of the Regulations to the Ontario <i>Securities Act</i> .
43	Item 10 [Berkshire Group]	Is this information necessary? The requirement to deliver audited financial statements as part of the registration application would indicate the appointment of the auditors (D)	This question has been deleted from the amended form.
44	Item 13 [Berkshire Group]	Should "Country" also be included in the choices? (D)	The amended form incorporates this suggestion.
45	Item 15 [Fogler]	The word "clerical" in Item 15 should be replaced with a more specific word or phrase (ie is it intended to exclude all non-advising personnel?)	This question has been removed from the amended form.
46	Item 17 [Fogler]	We have assumed for the purposes of Item 17 that a mutual fund or other collective investment scheme carried out through a single legal entity would be considered one client. If this is not the intention, the form should make this clear.	This question has been removed from the amended form.
47	Item 18 [Fogler]	The lead into Item 18 should provide "indicate the types of clients ...". In addition, the example of hedge funds as an "other pooled investment vehicle" did not appear to us to be factually appropriate. Ordinarily, hedge funds would be structured so as to fall within the "investment companies" item.	This question has been removed from the amended form.

Request for Comments

No.	Topic/Commentator	Comment	CSA Response
48	Item 15-23 [Berkshire Group]	<ul style="list-style-type: none"> • Certain information which the CSA is requesting in the proposed forms pertain to general business activities (e.g. hours of the business, number of employees an clients, assets under management) which are not relevant to suitability for registration (which is the goal of the registration process, see s.26(1) <i>Securities Act</i>, Ontario). • Though we do not object to providing this information to assist the CSA or a recognized SRO in preparing for a compliance audit, the inclusion of this information on a form that is sworn by affidavit causes concern. For example, an unintentional error in the requested information might provide a basis for assessment of the registrant's continued suitability for registration. • If these questions are maintained by the CSA, certain phrases should be defined so that applicants have greater certainty that they are providing correct answers. Such phrases include: <ul style="list-style-type: none"> - investment advisory functions, item 16(a) - solicit advisory clients, item 16(b) - provide advisory services, item 17 - high net worth individuals, item 18 - continuous and regular supervisory or management services, item 20 - financial planning services, item 22 	CSA staff agree with this comment and have removed these questions from the amended form.
49	Item 24 [Berkshire Group]	Remove the redundant phrase "as required under securities laws".	This phrase has been removed.
50	Item 24 [Fogler]	The words "as required under securities laws" are inappropriate given that registrations are often granted by various provinces for a company which carries on business only from a single head office, such that all of their books and records are in a single location. Accordingly, it is a question of fact rather than securities legislation as to whether books and records are maintained other than at the head office location.	This phrase has been removed.
51	Item 25 [Berkshire Group]	Add the term "None" to the list of choices that the applicant can select in this question.	This phrase has been removed.
52	Item 19 [Fogler]	The word "party" in Item 29 should be "partner"	This question has been removed.
53	Items 28 and 29 [Berkshire Group]	<ul style="list-style-type: none"> • Consider amending the second definition of a related party to read: "all persons or entities that control, directly or indirectly, a majority of the voting shares or other interest in the applicant." • Add the phrase "Other (specify)" to the list of choices that the applicant can indicate as a related party in this question 	<ul style="list-style-type: none"> • The questions regarding ownership have been clarified to correct this issue. • An "Other" category has been added to the possible types of business structures.
54	Items 30-35 [Berkshire Group]	<ul style="list-style-type: none"> • The references to the terms "you" and "yourself" in these questions are inappropriate where the applicant is a corporation or some other non-individual entity. Consider amending the question to correct this inconsistency (D) • Why is the information on Items 30 through 35 requested for advisor applicants but not for dealer applicants? 	<ul style="list-style-type: none"> • The term "firm" has been used to apply to the applicant. • These questions have been removed from the amended form.
55	Item 30(a) [Blakes]	Presumably answering "yes" to Item 30(a) would show a breach of Section 115(6) of the Regulations under the <i>Securities Act</i> (Ontario), which prohibits the purchase or sale of a security in which an investment counsel has an interest to or from any portfolio managed by the investment counsel.	This question has been removed from the amended form.

Request for Comments

No.	Topic/Commentator	Comment	CSA Response
56	Item 32 [Blakes]	The reason for asking about brokers discretion in Section 32 is unclear. This might also be added to the questionnaire referred to in item 18.	This question has been removed from the amended form.
57	Item 34 [Fogler]	The wording of Item 34 is extremely broad, such that a simple yes or no answer would be of questionable utility. We would suggest that a preferable approach would be similar to that taken for the purposes of National Instrument 81-101 with respect to the allocation of brokerage business (ie requesting the advisor to describe the basis for allocating brokerage business if other than based solely on price and execution).	This question has been removed from the amended form.
58	Items 36-38 [Berkshire Group]	<ul style="list-style-type: none"> • The same comments in respect of Items 30-35 also applies to these items. • In Item 38, should the reference to Item 36(a) instead read Item 37(a)? 	Items 30-38 have been removed from the amended form.
59	Item 39 [Berkshire Group]	<ul style="list-style-type: none"> • Consider changing the last word of this item to read “applicant” rather than “firm” (D) • Should items 39 and 40 appear together with Items 28 to 35 regarding related parties? 	<ul style="list-style-type: none"> • The applicant firm will be referred to as the “firm” throughout the form. • These sections have been amended to present such questions together.
60	Item 40 [Berkshire Group]	What is meant by the phrase “directly or indirectly control your management or policies”? Who would fall into this classification that was not already identified as a shareholder, officer or director of the adviser firm? (D)	This question has been removed from the amended form.
61	Item 41-43 [Berkshire Group]	<ul style="list-style-type: none"> • Rather than repeating the phrase ‘If “yes” complete Schedule “C” after each question, consider grouping all these questions together and inserting the phrase once at the end of the questions (D) (I) • Item 43 is a subset of Item 42 as both questions ask the same thing - whether the applicant has ever been convicted of, pleaded guilty or “no contest” to offences under the law. Consider removing one of these two questions or combining them to eliminate the redundancy (D) • Item 43(b) includes a reference to 16(a). Is this to Item 16(a)? If so, we are not clear of the purpose of the reference. Should this reference instead be to Item 43(a)? 	<ul style="list-style-type: none"> • Staff considered the comment and have revised the format of the questions. • The questions have been revised. • The reference to 16(a) has been removed.
62	Item 43 [Fogler]	There is inconsistency between this form and the individual's form, in that the individual's form makes it clear that crimes for which a non-revoked pardon have been granted need not be disclosed. Should this not be the case for the purposes of “associates” of the applicant under Item 43?	The forms have been revised for consistency.

Request for Comments

No.	Topic/Commentator	Comment	CSA Response
63	Items 44-46 [Berkshire Group]	<ul style="list-style-type: none"> • Should Item 44(a) also include a reference to U.S. federal or state securities laws? (D) • Should Item 44(b) include a complete reference to Canadian and U.S. securities laws, identical to the revised reference in Item 44(a)? (D) • Item 45 (c) includes a reference to Item #9. This refers to the applicant's auditors and we are not clear of the purpose of the reference (D, re: Item #18) • Why does Item 45(d) include a specific reference to securities legislation of British Columbia? Should the question not refer to legislation of all provinces and territories generally? • Should the term "Securities Act" or "Securities Acts" in Item 45(e) be italicized? (D) • Consider amending Item 46(a) to remove the reference to 'Investment Bankers' and instead indicate, "the Investment Dealers Association of Canada (IDA), Mutual Fund Dealers Association of Canada (MFDA) or similar self-regulatory organization ..." and apply the same language to Items 46(b) and (c) (D) 	<ul style="list-style-type: none"> • The question has been redrafted to address this comment. • The question has been redrafted to address this comment. • The question has been redrafted. • The question has been redrafted. • The question has been redrafted. • The question has been redrafted to indicate the IDA and MFDA.
64	Item 47 [Berkshire Group]	Instead of Item 50, should this section also include a question about whether a judgement or garnishment has ever been rendered against the applicant or is currently outstanding against the applicant for damages or relief in respect of fraud or for any other reason? (D, re: Items 26 and 29)	The question has been redrafted to capture this information.
65	Affidavit [Berkshire Group]	Consider updating the affidavit to indicate that it should be signed in front of a Commissioner for Oaths who is licensed in the Province in which the deponent is signing the application or before a Notary Public (D)(I)	CSA staff are considering this recommendation.
66	Schedule A [Berkshire Group]	<ul style="list-style-type: none"> • Amend Item 1(a) to instead read "and any other individuals holding officer positions." (D) • Consider adding definitions for indirect and beneficial owners or include a reference to Item 1 of Schedule "B" for the individuals and entities that would be considered indirect owners (I) 	<ul style="list-style-type: none"> • Officer information is collected in Item 8 of the amended form and the instruction has been simplified. • New wording on Schedule C of the amended form is intended to clarify what information is required.
67	Schedule B [Berkshire Group]	Consider changing the title to "Indirect and Beneficial Owners" (D)	<ul style="list-style-type: none"> • Given the deletion of the reference to beneficial owners, the schedule has been titled "Indirect Ownership Information".
68	Schedule B [Fogler]	It is suggested that it would be easier if a separate Schedule "B" could be completed for each direct and indirect corporate owner.	This schedule has been redrafted partly to make it easier to complete.

Request for Comments

No.	Topic/Commentator	Comment	CSA Response
69	Schedule C [Berkshire Group]	<p>(The following comments apply to the Individual's Form as well)</p> <ul style="list-style-type: none"> • Add a note to the beginning of the schedule suggesting that respondents seek legal counsel in responding to the required questions (D) (I) • Items 2(b) and (c) refer to 'felony' and 'misdemeanor' that are terms that relate primarily to U.S. law. Consider adding the terms 'summarily' or 'by indictment' as these are more applicable to Canadian criminal matters (D) (I) • Correct the spelling error in Item 2(b) - 'please' should be 'pleas'? (D) (I) • Item 2(b) asks whether the event was a felony (or related term under Canadian law). Why is this requested again in Item 2(c)? (D) (I) • Would respondents also provide updates to previously filed information relating to criminal matters on this schedule? If so, consider adding a mention of this as is done at the top of Schedule "D" (D) (I) 	<ul style="list-style-type: none"> • The general instructions contain such a statement. • These questions have been redrafted. • This question has been deleted. • This question has been deleted. • There will be different submissions for updates.
70	Schedule D [Berkshire Group]	<ul style="list-style-type: none"> • Consider adding a title to this schedule, such as "Various Disclosure Matters" (D) • Why does this schedule include a question regarding whether this is an initial or amended filing when the other schedules do not? (D) • Would the information on affiliated advisers be more appropriately included on Schedule B? • In Section VII, rather than or in addition to asking about the percentages of clients invested in a limited partnership or the cost per unit sold, would it not be appropriate to ask for details of how the relationship between the adviser firm and the related dealer that sold the units was disclosed to the clients? • Correct the spelling error in Section VIII - 'note' should be 'not'? • See our comment regarding Question 40 relating to persons that 'directly or indirectly control your management or policies'. • Consider adding further instructions to Section IX indicating that a response is only required in this section when the applicant's primary business is a business not otherwise listed in Question 25. (D) 	<ul style="list-style-type: none"> • Every schedule has been given a title. • This question has been deleted. • A specific schedule for affiliate information has been created. • This question has been deleted. Information about limited partnerships is required under Schedule B. • This question has been deleted. • This question has been removed from the amended form. • This type of question has been added.
71	Schedule E [Berkshire Group]	<ul style="list-style-type: none"> • Items 45(a), (b) and 46(a) all request information on an applicant's registration/SRO membership history. There may not be a 'regulatory actions' arising from this information. Accordingly, applicants should be instructed that Items 1 and 2 of Section II of the schedule do not apply to these responses. (D re Items 24(a), (b), 25(a)) • What constitutes a 'reprimand' referred to in Item 2 of Section II. Is this a specific document type issued by securities enforcement departments or would this include any discussions between an applicant and regulatory staff regarding an inquiry or investigation that resulted in no other formal action being taken? (D) (I) • Should questions 2 and 7 of Section II be linked as the matters are related? Or should question 2 be identified as only applying to matters that are resolved? (D) (I) 	<ul style="list-style-type: none"> • These questions have been extensively redrafted. • Various Securities legislation provide that the Commission may by order reprimand a registrant. See Section 56(1)(b) of the <i>Securities Act</i> (Alberta). • The regulatory disclosure section has been extensively redrafted.

Request for Comments

No.	Topic/Commentator	Comment	CSA Response
72	Schedule E [Fogler]	In completing Schedule "E" in response to Items 45 and 46, such schedules import the presumption that any previous registration no longer held by the applicant has been terminated by regulatory sanction. Accordingly, we would suggest that the schedule be revised so as to first require the applicant to list all prior registrations held followed by the dates on which such registrations cease to be held, and further followed by an indication of whether the registration was voluntarily surrendered for reasons unrelated to regulatory sanctions (in which case the balance of the schedule need not be completed) or otherwise (in which case the remainder of the schedule must be completed).	The new regulatory disclosure schedule has been redrafted to address this concern. See Schedule H.
73	Citizenship Information [Berkshire Group]	We assume that if the applicant is a Canadian citizen that passport information will not be required. Please indicate this in this section.	Staff agree with this comment and have made the relevant changes to the question.
74	Item 4 [Berkshire Group]	We are not clear of the purpose of residential information going back ten years. How is this information used in determining an applicant's suitability for registration?	Staff are of the view that this information should be provided.
75	Item 7 [Berkshire Group]	<ul style="list-style-type: none"> • Should Item 7 read "from which I work or will be working"? • Why is this information requested when similar information is requested in Item 15? 	The employment questions have been extensively redrafted.
76	Item 9 [?]	Present position prior to approval, or position for which they are applying?	The employment section has been extensively redrafted.
77	Item 10 [Blakes]	"Spouse" is no longer a term generally recognized under securities legislation, and requiring such information should be reviewed against the applicable human rights requirements, as it could represent discrimination based upon marital status.	Questions requesting this information have been deleted.
78	Item 10 [?]	<ul style="list-style-type: none"> • 1-U-2000 requires only nature of employment not name of spouses employer and position held - not name of spouse's employer. Does not seem relevant unless securities related. • Should common law spouse be declared? If so, should there be reference to it? 	Questions requesting this information have been deleted.
79	Item 10 [Fogler]	The information requested in Item 10 is broader than that required in completing the current form. Given, in particular, that the form will be available to the public, requesting particulars of the spouse's employer and his or her position held, absent the type of employment (for example, employed by another registrant) giving rise to regulatory concerns, appears inappropriate. Accordingly, it is suggested that the form be limit self to requesting the information required under the current form.	Questions requesting this information have been deleted.
80	Item 10 [Berkshire Group]	We are not clear of the purpose of the information regarding the spouse's employer or position held, unless the same registrant or another registrant employs the spouse.	Questions requesting this information have been deleted.
81	Item 11 [Blakes]	Consideration should be given to eliminating the requirement to check every single box yes or no. This is over 90 check boxes on a single page. Is it absolutely necessary, for example, to check Exempt? "No" for each course?	This section has been revised to address this issue.

Request for Comments

No.	Topic/Commentator	Comment	CSA Response
82	<p>Item 11 [CSI]</p>	<ul style="list-style-type: none"> • The following courses are listed in s.11 of the Registration Form: <ul style="list-style-type: none"> - Individuals, and certain changes are recommended: - Canadian Options Course is no longer a CSI Course. - Options Supervisory Course is a CSI Course - Partners, Directors and Senior Officers Qualifying Exam is a CSI licensing Course. - Portfolio Management Techniques Course is a CSI licensing course - Technical Analysis Course is a CSI course, but not a licensing course. - Wealth Management Techniques Course is not a licensing course • Non-licensing courses should be included on the Registration Form for Individuals, to acknowledge specialized knowledge beyond basic minimum levels. • Several CSI courses are forthcoming, and will be ready when the forms come into force. They should be included in the course list: <ol style="list-style-type: none"> 1. <i>Sales Compliance Course</i>: This course is presently being developed for SRO staff, and the later version for compliance personnel in the industry will be ready in January 2001. It was specifically designed to augment the training given to compliance staff who fall below the level of designated compliance officers, since the latter are already required to take the Partners, Directors and Senior Officers Qualifying Exam. Topics include: the rationale and process of a compliance review; key issues affecting compliance officers, the operations of a securities dealer; and the structure, products and participants in the Canadian capital markets. 2. <i>Agricultural Markets - Risk Management Course</i>: This will be an advanced course in derivatives specializing in risk management for agricultural markets. The Derivatives Fundamentals Course ("DFC") will be the prerequisite course. It will be available in October, 2000. 3. <i>Energy & Metal Markets Risk Management Course</i>: This course is under development. It will be an advanced course in derivatives specializing in risk management for energy and mining markets. DFC is the prerequisite. It will be available in the summer of 2001. 4. <i>Financial Markets Risk Management Course</i>: This advanced course in derivatives will specialize in risk management in financial markets. DFC is the prerequisite, and it will be ready in spring 2001. 5. <i>Derivatives Operational Management Course</i>: This advanced course in derivatives teaches the role of front, middle and back office staff in the management of derivatives. DFC is the prerequisite and it will be ready in the fall of 2001. 6. <i>Advanced Option Strategies Course</i>: This is also an advanced course in derivatives that explains complex options strategies, pricing, and the creation of synthetic instruments. DFC is the prerequisite and it will be ready in the spring of 2001. 	<p>Many of these courses have not been finalized. In addition, courses offered by the CSI continue to change, which would result in further changes to NRD. It is staffs' view that NRD list only the required courses.</p>

Request for Comments

No.	Topic/Commentator	Comment	CSA Response
83	Item 14 [Blakes]	Is Item 14 necessary? This is not a disciplinary matter. In addition, the reason for granting the exemption may only be known to the regulator.	It is staffs' view that the applicant has some idea of why the exemption was not granted.
84	Item 17 [Fogler]	The list of specific self-regulatory organizations in Item 17 should include the NFA.	The form has been redrafted allowing for this information to be provided.
85	Item 18 [Fogler]	The types of registrations listed in Item 18 should include separately securities salespersons and commodities salespersons.	Staff will consider this.
86	Item 20 [Berkshire Group]	If an applicant responds "yes" to this question as a result of a current registration, the applicant will be providing information already requested in Item 16. Consider revising the form to remove this duplication.	These sections have been redrafted to address this concern.
87	Items 24 and 25 [Berkshire Group]	The references to items #15 and #16 appear to be incorrect. Should the references be to items #23 and #24 respectively?	These questions have been redrafted.
88	Item 37 [Blakes]	Item 37 requires disclosure of any judgement ever entered in a civil court "for any reason whatsoever". This is an unusual question since it says "in respect of a fraud or for any reason whatsoever". The distinction between a fraud and a small claims court dispute is potentially wide. By contrast, Item 32(a) refers to civil claims made which are based upon fraud, theft, deceit, misrepresentation or similar conduct. We suggest that Item 37 should be similarly limited.	Staff are of the view that this information should be provided.
89	Item 40 [?]	Indicates that all P/D/Os must complete Schedule A in regard to shareholders. The majority of P/D/Os do not hold shares (or enough shares to be significant) to require the completion of this form. This question should be changed to reflect that only applicants who hold a significant amount of shares (i.e. over 10%) must complete this schedule.	Staff are of the view that this information should be provided.
90	Items 41-43 Schedule C [Blakes]	<ul style="list-style-type: none"> • The criminal disclosure sections suffer from many of the same defects referred to in the dealer form. In particular, the instructions require offences to be reported even though an absolute or conditional discharge has been granted, and offences are only not disclosable if a pardon has been granted. However, this does not reflect recent changes in the law affecting criminal records and pardons. • Under Section 6.1 of the <i>Criminal Records Act</i> (Canada) introduced in 1992, absolute discharges are automatically purged after one year, while conditional discharges are purged automatically after three years. In these circumstances, no pardon is actually "granted". The applicant is thus placed in the position of being required to disclose a discharge after it has been purged simply because a "pardon" has not been granted. • A purge should be treated as an automatic pardon. As a result, the instructions should say that applicants are not required to disclose any offence for which a pardon has been granted and not revoked, or any offence for which the applicant was granted an absolute discharge more than one year ago or a conditional discharge more than three years ago. 	Staff are considering these comments.
91	Schedule B [Berkshire Group]	The question numbers in Section II are incorrect.	This schedule has been extensively redrafted.

Request for Comments

No.	Topic/Commentator	Comment	CSA Response
92	Schedule B [TD Bank]	Schedule B, Reporting of Prior Registration or Licensing should include the Alberta Stock Exchange, Vancouver Stock Exchange and the Winnipeg Stock Exchange.	The regulatory disclosure section has been redrafted to address this.
93	Proficiency Requirements [TD Bank]	<ul style="list-style-type: none"> • Certain course of study should be added to proficiency requirements: <ul style="list-style-type: none"> - Branch Compliance Officer (Institute of Canadian Bankers) - CDNX Traders Examination - 90 Day Training Program (Investment Dealers Association, also proposed for the Mutual Fund Dealers Association); - Continuing Education (Investment Dealers Association, also proposed for the MFDA); • Also, the draft application requests the applicant's student number; this should be amended, "if available", which often it is not 	The current form does not contain a list of proficiency requirements. The applicant will have to provide this information in the appropriate section.
94	SROs [TD Bank]	Include the Winnipeg Stock Exchange in the list of SROs.	The form no longer has a list of SROs. The applicant is given the space to provide that information.
95	Registrant Categories [TD Bank]	<ul style="list-style-type: none"> • For "Director" category, add "Industry/Non-Industry" • Delete ACE Trader, ACE Trader/RR, Assistant ACE Trader, VCT Trader 	Staff are considering this comment.

FORM 31-102F4 REGISTRATION OF INDIVIDUALS

GENERAL INSTRUCTIONS

1. This form is to be used by every individual seeking registration or approval from a securities regulatory authority or a self-regulatory organization.
2. This form is also to be used by any sole proprietor submitting an application for registration as a dealer, broker, adviser or underwriter to a securities regulatory authority.
3. 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 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.
6. In completing the application, applicants should seek advice from an authorized officer of the sponsoring firm or from a legal adviser.
7. The 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.

Item 1 - General Information

1.	Legal name			
	<u>Last name</u>	<u>First name</u>	<u>Second name</u> <i>(if applicable)</i>	<u>Third name</u> <i>(if applicable)</i>
	Other name currently used			
	Other name currently used: <i>(if different from above)</i>			
	<u>Last name</u>	<u>First name</u>	<u>Second name</u>	<u>Third name</u>
	Provide reason for other name currently used:			
	Other names previously used			
	Have you previously been known under any other name, other than the names mentioned above? " Yes " No			
	If "Yes", complete Schedule "A", section 1.			

FORM 31-102F4 REGISTRATION OF INDIVIDUALS													
2.	Residential Address												
	<p>INSTRUCTION: Provide all residential addresses, including any foreign residential addresses, for the past ten years.</p> <p>Current residential address: (number, street, city, province, territory or state, country, postal code)</p> <p>(Area code) Telephone number:</p> <p>Resided at this address since:</p> <p style="text-align: center;">_____/_____/_____ (YYYY/MM)</p> <p>If you have resided at this address for less than 10 years complete, Schedule "A", section 2.</p>												
3.	Personal Information												
	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 35%;">Date of birth: _____/_____/_____ (YYYY/MM/DD)</td> <td colspan="2">Place of birth: (city, province, territory or state, country)</td> </tr> <tr> <td>Gender: " Female " Male</td> <td>Colour of eyes:</td> <td>Colour of hair:</td> </tr> <tr> <td colspan="3">Height: imperial units: _____ OR metric units: _____</td> </tr> <tr> <td colspan="3">Weight: imperial units: _____ OR metric units: _____</td> </tr> </table>	Date of birth: _____/_____/_____ (YYYY/MM/DD)	Place of birth: (city, province, territory or state, country)		Gender: " Female " Male	Colour of eyes:	Colour of hair:	Height: imperial units: _____ OR metric units: _____			Weight: imperial units: _____ OR metric units: _____		
Date of birth: _____/_____/_____ (YYYY/MM/DD)	Place of birth: (city, province, territory or state, country)												
Gender: " Female " Male	Colour of eyes:	Colour of hair:											
Height: imperial units: _____ OR metric units: _____													
Weight: imperial units: _____ OR metric units: _____													
Item 2 - Citizenship													
	<p>What is your citizenship:</p> <p>" Canadian</p> <p>" Other, specify: _____</p>												
	<p>INSTRUCTION: If you are not a Canadian citizen, complete the following:</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">Passport number:</td> <td>Country of citizenship:</td> </tr> <tr> <td>Date of issue: ____/____/_____ (YYYY/MM/DD)</td> <td>Place of issuance: (city, province, territory or state, country)</td> </tr> </table>	Passport number:	Country of citizenship:	Date of issue: ____/____/_____ (YYYY/MM/DD)	Place of issuance: (city, province, territory or state, country)								
Passport number:	Country of citizenship:												
Date of issue: ____/____/_____ (YYYY/MM/DD)	Place of issuance: (city, province, territory or state, country)												

FORM 31-102F4 REGISTRATION OF INDIVIDUALS			
Item 3 - Registration Information			
1.	Mutual Reliance Review System for Registration		
	<p>Are you relying on National Instrument 31-101 <i>Mutual Reliance Review System for Registration</i> for this application? " Yes " No</p> <p>If "Yes", indicate the principal jurisdiction:</p>		
2.	Jurisdiction		
	<p>INSTRUCTION: Indicate, by checking the appropriate box, each province or territory to which you are applying:</p> <ul style="list-style-type: none"> " Alberta " British Columbia " Manitoba " New Brunswick " Newfoundland " Northwest Territories " Nova Scotia " Nunavut " Ontario " Prince Edward Island " Québec " Saskatchewan " Yukon Territory 		
3.	Category		
	<p>INSTRUCTION: Indicate, by checking the appropriate box, each category for which you are applying.</p> <p><i>(In the final draft of the form a list of the registration categories of each jurisdiction will be included here.)</i></p>		
4.	Address for Service		
	<p>Address for service: (number, street, city, province, territory or state, country, postal code)</p>		
	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; padding: 2px;">(Area code) Telephone number: <i>(extension if applicable)</i></td> <td style="width: 50%; padding: 2px;">(Area code) Fax number:</td> </tr> </table>	(Area code) Telephone number: <i>(extension if applicable)</i>	(Area code) Fax number:
(Area code) Telephone number: <i>(extension if applicable)</i>	(Area code) Fax number:		
	E-mail address:		

FORM 31-102F4 REGISTRATION OF INDIVIDUALS							
5.	Agent for Service						
	<p>INSTRUCTION: If you name an agent for service, the address for service provided above must be the address of the agent.</p>						
	<p>Agent for service: <i>(if applicable)</i></p>						
	<p>Contact person: <u>Last name</u> <u>First name</u> <i>(if applicable)</i></p>						
Item 4 - Proficiency							
1.	Course and Examination Information						
(a)	<p style="text-align: right;"><i>" Not applicable</i></p> <p>INSTRUCTION: Complete the following for each course and examination that you have successfully completed or for which you have received an exemption.</p> <p><i>(In the final draft of the form a list of courses and examinations will be included here.)</i></p>						
2.	Student Numbers						
	<i>" Not applicable</i>						
	<p>INSTRUCTION: Provide your student numbers below:</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; padding: 5px;">Canadian Securities Institute:</td> <td style="width: 50%; padding: 5px;">Investment Funds Institute of Canada:</td> </tr> <tr> <td style="padding: 5px;">Institute of Canadian Bankers:</td> <td style="padding: 5px;">Association for Investment Management and Research:</td> </tr> <tr> <td colspan="2" style="padding: 5px;">Canadian Association of Insurance and Financial Advisors:</td> </tr> </table>	Canadian Securities Institute:	Investment Funds Institute of Canada:	Institute of Canadian Bankers:	Association for Investment Management and Research:	Canadian Association of Insurance and Financial Advisors:	
Canadian Securities Institute:	Investment Funds Institute of Canada:						
Institute of Canadian Bankers:	Association for Investment Management and Research:						
Canadian Association of Insurance and Financial Advisors:							
3.	Exemption Information						
	<p>Are you applying for an exemption from any course, examination or experience requirement? " Yes " No</p> <p>If "Yes", complete Schedule "B", section 1.</p>						
4.	Exemption Refusal						
	<p>Has any securities regulatory authority or self-regulatory organization refused to grant you an exemption from a course, examination or experience requirement? " Yes " No</p> <p>If "Yes", complete Schedule "B", section 2.</p>						

FORM 31-102F4 REGISTRATION OF INDIVIDUALS	
Item 5 - Employment Information	" Not applicable
1.	Location of Employment
(a)	Provide the NRD number of the location of the sponsoring firm at which you are currently working or will be working: <i>(if applicable)</i> _____
(b)	Business address: (number, street, city, province, territory or state, country, postal code)
	(Area code) Telephone number: _____ (Area code) Fax number: _____
	Mailing address: _____ Same as above " (number, street, city, province, territory or state, country, postal code)
2.	Current and Previous Employment
(a)	<p>INSTRUCTION: Provide full disclosure of your current and previous business and employment 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 <i>prior to the ten-year period</i>.</p> <p>" Unemployed " Student " Employed</p> <p>Name of employer (or state self-employed): _____</p> <p>From: _____ / _____ (YYYY/MM)</p> <p>To: _____ / _____ OR " Presently engaged in the above activity. (YYYY/MM)</p>

FORM 31-102F4 REGISTRATION OF INDIVIDUALS	
(b)	INSTRUCTION: You are only required to fill in the following if you have indicated above that you are, or were, employed or self-employed:
	Address of business or employer: (number, street, city, province, territory or state, country, postal code)
	Name and title of immediate supervisor:
	Describe your duties. If you are seeking a type of registration for which specified experience is required, provide details of that experience below (for example, level of responsibility, value of accounts under direct supervision, and research experience).
3.	Other Business Activities
(a)	Full Time Employment
	Are you actively engaged in the business of the sponsoring firm and devoting the major portion of your time to that business? " Yes " No If " No", complete Schedule "C", section 1, question (a).
(b)	Other Employment
	Are you engaged in any other business or do you have any other employment for gain other than the occupation with the sponsoring firm? " Yes " No If "Yes", complete Schedule "C", section 1, question (b).
4.	Resignations and Terminations
	Have you ever resigned or been terminated following allegations, made by a client, sponsoring firm, self-regulatory organization, securities regulatory authority or any other regulatory authority that you :
(a)	violated investment related statutes, regulations, rules or industry standards of conduct? . " Yes " No If "Yes", complete Schedule "C", section 2.

FORM 31-102F4 REGISTRATION OF INDIVIDUALS	
(b)	failed to supervise in connection with investment related statutes, regulations, rules or industry standards of conduct? " Yes " No If "Yes", complete Schedule "C", section 2.
(c)	committed fraud or the wrongful taking of property? " Yes " No If "Yes", complete Schedule "C", section 2.
Item 6 - Regulatory Disclosure	
1.	Securities Regulatory Authorities
(a)	Other than a current registration with a securities regulatory authority that is participating in Multilateral Instrument 31-102, are you now, or have you ever been, registered or licensed to trade in or advise on securities or exchange contracts (including commodity futures contracts and commodity futures options) in any province, territory, state or country? " Yes " No If "Yes", complete Schedule "D", section 1.
(b)	Are you now, or have you ever been, a partner, director, officer, or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities of any firm which has been registered or licensed, or is now registered or licensed, (except as an issuer if you are or were a shareholder) to trade in or advise on securities or exchange contracts (including commodity futures contracts and commodity futures options) in any province, territory, state or country? " Yes " No If "Yes", complete Schedule "D", section 2.
(c)	Have you, or has any firm at which you are, or were at the time of such event, a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities, ever been refused registration or a license to trade in or advise on securities or exchange contracts (including commodity futures contracts and commodity futures options) in any province, territory, state or country? " Yes " No If "Yes", complete Schedule "D", section 3.
(d)	Have you, or has any firm at which you are, or were at the time of such event, a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities, ever been denied the benefit of any exemption from registration provided by securities legislation or legislation governing exchange contracts (including commodity futures contracts and commodity futures options) in any province, territory, state or country? " Yes " No If "Yes", complete Schedule "D", section 4.
(e)	Have you, or has any firm at which you are, or were at the time of such event, a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities, ever been subject to a cease trade order, a cease distribution order, a suspension or termination order, any disciplinary proceedings or any order resulting from disciplinary proceedings pursuant to securities legislation or legislation governing exchange contracts (including commodity futures contracts and commodity futures options) in any province, territory, state or country? " Yes " No If "Yes", complete Schedule "D", section 5.
2.	Self-Regulatory Organizations
(a)	Have you, or has any firm in which you are, or were at the time of such event, a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities, ever been a member or participating organization of any stock exchange, the Investment Dealers Association of Canada, the Mutual Fund Dealers Association of Canada, or other self-regulatory organization, in any province, territory, state or country? " Yes " No If "Yes", complete Schedule "D", section 6.

FORM 31-102F4 REGISTRATION OF INDIVIDUALS	
(b)	<p>Have you, or has any firm in which you are, or were at the time of such event, a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities, ever been refused membership or entry as a participating organization in any stock exchange, the Investment Dealers Association of Canada, the Mutual Fund Dealers Association of Canada, or other self-regulatory organization, in any province, territory, state or country? " Yes " No</p> <p>If "Yes", complete Schedule "D", section 7.</p>
(c)	<p>Have you, or has any firm in which you are, or were at the time of such event, a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities, ever been subject to a suspension, expulsion or termination order, or been subject to any disciplinary proceedings or any order resulting from disciplinary proceedings conducted by any stock exchange, the Investment Dealers Association of Canada, the Mutual Fund Dealers Association of Canada, or other self-regulatory organization, in any province, territory, state or country? " Yes " No</p> <p>If "Yes", complete Schedule "D", section 8.</p>
3. Non-Securities Regulation	
(a)	<p>Have you, or has any firm in which you are, or were at the time of such event, a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities, 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 exchange contracts (including commodity futures contracts and commodity futures options) in any province, territory, state or country? " Yes " No</p> <p>If "Yes", complete Schedule "D", section 9.</p>
(b)	<p>Have you, or has any firm in which you are, or were at the time of such event, a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities, ever been refused registration or a license under any legislation which requires registration or licensing to deal with the public in any capacity other than to trade in or advise on securities or exchange contracts (including commodity futures contracts and commodity futures options) in any province, territory, state or country? " Yes " No</p> <p>If "Yes", complete Schedule "D", section 10.</p>
(c)	<p>Have you, or has any firm in which you are, or were at the time of such event a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities, ever been subject to a suspension or termination order, or disciplinary proceedings or any order resulting from disciplinary proceedings conducted under any legislation which requires registration or licensing to deal with the public in any capacity other than to trade in or advise on securities or exchange contracts (including commodity futures contracts and commodity futures options) in any province, territory, state or country? " Yes " No</p> <p>If "Yes", complete Schedule "D", section 11.</p>
Item 7 - Criminal Disclosure	
(a)	<p>Is there currently an outstanding charge against you alleging an offence that was committed in Canada, or had it been committed in Canada, constitutes or would constitute an offence under the laws of Canada? " Yes " No</p> <p>If "Yes", complete Schedule "E", section 1.</p>

FORM 31-102F4 REGISTRATION OF INDIVIDUALS	
(b)	<p>Have you, since attaining the age of 18, ever been convicted of, pleaded guilty to or no contest to an offence that was committed in Canada, or had it been committed in Canada constituted or would constitute an offence under the laws of Canada? " Yes " No</p> <p>If "Yes", complete Schedule "E", section 2.</p>
(c)	<p>Have charges been laid, alleging an offence that was committed in Canada, or had it been committed in Canada, constitutes or would constitute an offence under the laws of Canada, against any firm in which you are or were at the time of such event a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities? " Yes " No</p> <p>If "Yes", complete Schedule "E", section 3.</p>
(d)	<p>Has any firm in which you are or were at the time of such event a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities, ever been convicted of, pleaded guilty to or no contest to an offence that was committed in Canada, or had it been committed in Canada, constitutes or would constitute an offence under the laws of Canada? " Yes " No</p> <p>If "Yes", complete Schedule "E", section 4.</p>
Item 8 - Civil Disclosure	
(a)	<p>Have you, or has any firm in which you are, or were at the time of such event a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities, ever been a defendant or respondent in any civil proceeding in any jurisdiction in which fraud, theft, deceit, misrepresentation, or similar conduct is, or was, alleged? " Yes " No</p> <p>If "Yes", complete Schedule "F", section 1.</p>
(b)	<p>Other than what you disclosed in Item 8 (a), were you, at the time the events that led to the civil proceeding occurred, a partner, director or officer or a holder of securities carrying more than 10 percent of the votes of all outstanding voting securities of a firm that is or was a defendant or respondent in any civil proceeding in any jurisdiction in which fraud, theft, deceit, misrepresentation, or similar conduct is or was alleged? " Yes " No</p> <p>If "Yes", complete Schedule "F", section 2.</p>
Item 9 - Financial Disclosure	
1.	Bankruptcy
	Under the law of any province, territory, state, or country have you, or has any firm in which you are, or were at the time of such event a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities ever:
(a)	<p>had a petition in bankruptcy issued against you or the firm or made a voluntary assignment in bankruptcy? " Yes " No</p> <p>If "Yes", complete Schedule "G", section 1.</p>
(b)	<p>made a proposal under any legislation relating to bankruptcy or insolvency? " Yes " No</p> <p>If "Yes" complete Schedule "G", section 1.</p>
(c)	<p>been subject to proceedings under any legislation relating to the winding up, dissolution or companies' creditors arrangement? " Yes " No</p> <p>If "Yes", complete Schedule "G", section 1.</p>

FORM 31-102F4 REGISTRATION OF INDIVIDUALS	
(d)	<p>been subject to or instituted any proceedings, arrangement or compromise with creditors (including having a receiver, receiver-manager, administrator or trustee appointed by or at the request of creditors, either privately, or through court process, or by order of a regulator, to hold your assets)? " Yes " No</p> <p>If "Yes" complete Schedule "G", section 1.</p>
2.	Solvency
	<p>Have you ever been unable to meet your financial obligations as they came due, or has any firm in which you are, or were at the time of such event a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities ever been unable to meet its financial obligations as they came due? " Yes " No</p> <p>If "Yes", complete Schedule "G", section 2.</p>
3.	Surety or Fidelity Bond
	<p>Have you ever applied for a surety or fidelity bond and been refused? " Yes " No</p> <p>If "Yes", complete Schedule "G", section 3.</p>
4.	Garnishments, Unsatisfied Judgements or Directions to Pay
	<p>Are there currently, or have there been, outstanding against you any:</p> <p>(A) garnishments, (B) unsatisfied judgements, or (C) directions to pay issued by a federal, provincial, territorial or state authority? " Yes " No</p> <p>If "Yes", complete Schedule "G", section 4.</p>
Item 10 - Related Securities Firms	
Related Securities Firms and Holdings	
	<p>Other than with your sponsoring firm, are you a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities of a firm having as its principal business that of trading in or advising on securities or exchange contracts (including commodity futures contracts and commodity futures options)? " Yes " No</p> <p>If "Yes", complete Schedule "H" .</p>

FORM 31-102F4 REGISTRATION OF INDIVIDUALS

CERTIFICATE AND AGREEMENT OF INDIVIDUAL AND SPONSORING FIRM

Agent for Service

If you have named an agent for service in this application, you designate and appoint that agent for service (the "Agent for Service") at the address of the Agent for Service upon whom may be served a notice, pleading, subpoena, summons or other process in any action, investigation or administrative, criminal, quasi-criminal, penal or other proceeding (each, a "Proceeding") arising out of or relating to or concerning your activities as a registrant or an officer, partner or director of a registrant under the securities legislation of the jurisdiction for which the Agent for Service is designated and appointed (the "Local Jurisdiction").

This appointment of an agent for service of process is governed and construed in accordance with the laws of the Local Jurisdiction.

By filing this application, you confirm that the Agent for Service has accepted the appointment as agent for service of process for you pursuant to the above terms and conditions and has agreed to advise the securities regulatory authority of the Local Jurisdiction immediately if the Agent for Service is unable to deliver to you a copy of a document served on the Agent for Service.

By filing this application, you confirm that until the earlier of (i) the termination of your position with your sponsoring firm and (ii) six years after the sponsoring firm ceases to be a registrant under the securities legislation of the Local Jurisdiction, you shall:

- (a) file a notice appointing a new agent for service of process at least 30 days prior to termination for any reason of the appointment of the Agent for Service and immediately after the death or incapacity of the Agent for Service or the Agent for Service ceasing to carrying on business; and
- (b) file a notice amending the name or address of the Agent for Service at least 30 days before any change in the name or address of the Agent for Service as set forth in this application.

Submission to Jurisdiction

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

Notice - Collection and use of Personal Information

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

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

FORM 31-102F4 REGISTRATION OF INDIVIDUALS

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

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

(In the final draft of the form a list of contact information will be included here.)

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

CERTIFICATION OF APPLICANT: I, the undersigned applicant, certify that I have read and that I understand the questions in this application form and the Warning set out above. I also certify that all statements of fact made in the answers to the questions are true.

Signature of applicant

Date

CERTIFICATION OF OFFICER OR PARTNER: I, the undersigned authorized officer or partner, certify on behalf of the sponsoring firm that the applicant will be engaged by the sponsoring firm as registered or approved. I certify that I have discussed the questions set out in this application with the applicant or where the applicant has applied through one of our branch offices the branch manager or another officer has so done and I am satisfied that the applicant fully understands the questions.

Signature of authorized officer or partner

Date

SCHEDULE "A" GENERAL INFORMATION									
Item " 1									
Section 1 - Name									
1.	Other names previously used: <table><thead><tr><th><u>Last name</u></th><th><u>First name</u></th><th><u>Second name</u></th><th><u>Third name</u></th></tr></thead><tbody><tr><td> </td><td> </td><td> </td><td> </td></tr></tbody></table>	<u>Last name</u>	<u>First name</u>	<u>Second name</u>	<u>Third name</u>				
<u>Last name</u>	<u>First name</u>	<u>Second name</u>	<u>Third name</u>						
2.	Reason for name previously used:								
3.	Period known by above name: From: _____ / _____ (YYYY/MM) To: _____ / _____ (YYYY/MM)								
Section 2 - Residential Address									
1.	Previous residential address: (number, street, city, province, territory or state, country)								
2.	From: _____ / _____ (YYYY/MM) To: _____ / _____ (YYYY/MM)								

SCHEDULE "B" PROFICIENCIES	
Item " 4	
Section 1 - Exemption Information	
1.	Indicate the course, examination or experience requirement from which you are seeking an exemption:
2.	Provide full details of the reason the exemption is being requested including other relevant courses or examinations completed, relevant experience, and any additional information that will support your exemption request:
Section 2 - Exemption Refusal	
INSTRUCTION: Complete the following for each exemption that was refused.	
1.	Which securities regulatory authority or self-regulatory organization refused to grant the exemption?
2.	The name of the course, examination or experience requirement:
3.	State the reason given for not being granted the exemption:

SCHEDULE "C" EMPLOYMENT	
Item " 5	
Section 1 - Other Business Activities	
(a)	Full Time Employment
(i)	Indicate the number of hours per week that you will be engaged in the business of the sponsoring firm:
(ii)	Provide details as to why you will not be devoting a major portion of your time to the business of the sponsoring firm:
(b)	Other Employment
	INSTRUCTION: Complete the following for each type of business or employment for gain outside of your activities with the sponsoring firm:
(i)	Name of business or employment:
(ii)	Describe the type of business or employment:
(iii)	Indicate the number of hours per week you devote to this business or employment:
(iv)	Disclose any potential for confusion or conflict of interest arising from your proposed activities with the sponsoring firm and the business or employment described above:
Section 2 - Resignations and Terminations	
	For each resignation or termination, indicate below (1) the name of the firm from which you resigned or were terminated, (2) whether you resigned or were terminated, (3) the date you resigned or were terminated, and (4) describe the circumstances relating to your resignation or termination (including whether the allegations were made by a client, sponsoring firm, self-regulatory organization or regulatory authority):

SCHEDULE "D" REGULATORY DISCLOSURE	
Item " 6	
Securities Regulatory Authorities (Sections 1- 5)	
Section 1	
<p>INSTRUCTION: For each registration or licence, indicate below (1) the securities regulatory authority with which you are, or were, registered or licensed, (2) the type or category of registration or licence, (3) any terms or conditions imposed on the registration or licence, and (4) the period of registration or licensing:</p>	
Section 2	
<p>INSTRUCTION: For each registration or licence, indicate below (1) the name of the firm, (2) the securities regulatory authority with which the firm is, or was, registered or licensed, (3) the type or category of registration or licence, and (4) the period of registration or licensing:</p>	
Section 3	
<p>INSTRUCTION: For each registration or licence refused, indicate below (1) the party that was refused the registration or licence, (2) the securities regulatory authority that refused the registration or licence, (3) the type or category of registration or licence refused, (4) the date of the refusal, and (5) the reasons for the refusal:</p>	
Section 4	
<p>INSTRUCTION: For each exemption from registration denied, indicate below (1) the party that was denied the exemption, (2) the securities regulatory authority that denied the exemption, (3) the date the exemption was denied, and (4) any other relevant details:</p>	

**SCHEDULE "D"
REGULATORY DISCLOSURE**

Section 5

INSTRUCTION: For each order or disciplinary proceeding, indicate below (1) the party against whom the order was made or the proceeding taken, (2) the securities regulatory authority that issued the order or that is, or was, conducting the proceeding, (3) the date any notice of proceeding was issued, (4) the date any order or settlement was made, (5) a summary of any notice, order or settlement (including any sanctions imposed), and (6) any other relevant details:

Self-Regulatory Organizations (Sections 6-8)

Section 6

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

Section 7

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

Section 8

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

SCHEDULE "D" REGULATORY DISCLOSURE	
Non-Securities Regulation (Sections 9 - 11)	
Section 9	
<p>INSTRUCTION: For each registration or licence, indicate below (1) the party that is, or was, registered or licensed, (2) with which regulatory authority, or under what legislation, the party is, or was, registered or licensed, (3) the type or category of registration or licence, and (4) the period of registration or licensing:</p>	
Section 10	
<p>INSTRUCTION: For each registration or licence refused, indicate below (1) the party that was refused registration or licensing, (2) with which regulatory authority, or under what legislation, the registration or licence was refused, (3) the type or category of registration or licence refused, and (4) the date of the refusal, and (5) the reasons for the refusal:</p>	
Section 11	
<p>INSTRUCTION: For each order or disciplinary proceeding, indicate below (1) the party against whom the order was made or the proceeding taken, (2) the regulatory authority that made the order or that is, or was, conducting the proceeding, or under what legislation the order was made or the proceeding is being, or was, conducted, (3) the date any notice of proceeding was issued, (4) the date any order or settlement was made, (5) a summary of any notice, order or settlement (including any sanctions imposed), and (6) any other relevant details:</p>	

SCHEDULE "E" CRIMINAL DISCLOSURE	
Item " 7	
Section 1	
INSTRUCTION: For each charge, indicate below (1) the charge, (2) the date of the charge, (3) any trial or appeal dates, and (4) the court location:	
Section 2	
INSTRUCTION: For each conviction, indicate below the full details of the conviction including (1) the offense, (2) the date of the conviction, and (3) the disposition (state any penalty or fine and the date any fine was paid):	
Section 3	
INSTRUCTION: For each charge, indicate below (1) the name of the firm, (2) the charge, (3) the date of the charge, (4) any trial or appeal dates, and (5) the court location:	
Section 4	
INSTRUCTION: For each conviction, indicate below the full details of the conviction including (1) the name of the firm, (2) the offense, (3) the date of the conviction, and (4) the disposition (state any penalty or fine and the date any fine was paid):	

SCHEDULE "G" FINANCIAL DISCLOSURE	
Item 9 9	
Section 1 - Bankruptcy	
INSTRUCTION: For each event, indicate below (1) the party about whom this disclosure is being made, (2) any amounts currently owing, (3) the creditors, (4) the status of the matter, (5) the details of any disposition or settlement, and (6) any other relevant details:	
Section 2- Solvency	
INSTRUCTION: For each event, indicate below (1) that party that is, or was, unable to meet its financial obligations, (2) the amount that is, or was, owing, (3) the party to whom the amount is, or was, owing, (4) any relevant dates (for example, when payments are due or when final payment was made), and (5) any other relevant details:	
Section 3 -Surety or Fidelity Bond	
INSTRUCTION: For each bond refused, indicate below (1) the name of the bonding company, (2) the address of the bonding company, (3) the date of the refusal, and (4) the reasons for the refusal:	
Section 4 - Garnishments, Unsatisfied Judgements or Directions to Pay	
INSTRUCTION: For each garnishment, unsatisfied judgement or direction to pay, indicate below (1) the amount that is, or was, owing, (2) the party to whom the amount is, or was, owing, (3) any relevant dates (for example, when payments are due or when final payment was made), and (4) any other relevant details:	

SCHEDULE "H" RELATED SECURITIES FIRMS																					
Item " 10																					
Section 1 - Related Securities Firms and Holdings																					
INSTRUCTION: Indicate below (a) the name of the firm and (b) your relationship to the firm:																					
(a)	Firm name:																				
(b)	Your relationship with the firm and period of relationship: <table style="width: 100%; border: none;"> <tr> <td style="width: 15%;">"</td> <td style="width: 45%;">Partner</td> <td style="width: 15%;">From:</td> <td style="width: 25%; text-align: center;">_____ / _____</td> </tr> <tr> <td>"</td> <td>Director</td> <td></td> <td style="text-align: center;">(YYYY/MM)</td> </tr> <tr> <td>"</td> <td>Officer</td> <td></td> <td></td> </tr> <tr> <td>"</td> <td>Holder of voting securities over 10 percent</td> <td>To:</td> <td style="text-align: center;">_____ / _____</td> </tr> <tr> <td></td> <td></td> <td></td> <td style="text-align: center;">(YYYY/MM)</td> </tr> </table> <div style="text-align: right; margin-top: 5px;"><i>(if applicable)</i></div>	"	Partner	From:	_____ / _____	"	Director		(YYYY/MM)	"	Officer			"	Holder of voting securities over 10 percent	To:	_____ / _____				(YYYY/MM)
"	Partner	From:	_____ / _____																		
"	Director		(YYYY/MM)																		
"	Officer																				
"	Holder of voting securities over 10 percent	To:	_____ / _____																		
			(YYYY/MM)																		
INSTRUCTION: If you are a holder of voting securities over 10 percent, complete (c), (d), (e), (f), and (g)																					
(c)	State the number, value, class and percentage of securities or the amount of partnership interest you own or propose to acquire upon approval. If acquiring securities upon approval, state the source (for example, treasury shares or if upon transfer, state name of transferor).																				
(d)	State the value of subordinated debentures or bonds of the firm to be held by you or any other subordinated loan to be made by you to the firm: <i>(if applicable)</i>																				
(e)	State the source of the funds you propose to invest in the firm and provide full details:																				
(f)	Are the funds to be invested (or proposed to be invested) guaranteed directly or indirectly by any person, partnership or firm? " Yes " No If "Yes", provide full details:																				
(g)	Have you either directly or indirectly given up any rights with respect to such securities or partnership interest, or do you, on approval of this application, intend to give up any rights including any hypothecation, pledging or deposit as collateral of the securities or amount of partnership interest with any bank, other institution or other person?																				

SCHEDULE "H" RELATED SECURITIES FIRMS					
	" Not applicable				
	INSTRUCTION: Complete the following, if you are not, or will not be, the beneficial owner of the securities, bonds, debentures, partnership units or other notes held by you.				
(h)	Name of beneficial owner: <table style="width: 100%; border: none;"> <tr> <td style="text-align: center; width: 25%;"><u>Last name</u></td> <td style="text-align: center; width: 25%;"><u>First name</u></td> <td style="text-align: center; width: 25%;"><u>Second name</u> <i>(if applicable)</i></td> <td style="text-align: center; width: 25%;"><u>Third name</u> <i>(if applicable)</i></td> </tr> </table>	<u>Last name</u>	<u>First name</u>	<u>Second name</u> <i>(if applicable)</i>	<u>Third name</u> <i>(if applicable)</i>
<u>Last name</u>	<u>First name</u>	<u>Second name</u> <i>(if applicable)</i>	<u>Third name</u> <i>(if applicable)</i>		
(i)	Residential address: (number, street, city, province, territory or state, country, postal code)				
(j)	Occupation:				

FORM 31-102F3 - APPLICATION FOR REGISTRATION AS A DEALER, ADVISER OR UNDERWRITER	
GENERAL INSTRUCTIONS	
<p>1. This form is to be used by any firm or individual submitting an application for registration as a dealer, adviser or underwriter to a securities regulatory authority.</p> <p>2. All applicable questions must be answered. Failure to do so may cause delays in the processing of the application form.</p> <p>3. This form and all attachments added thereto must be typewritten. Any form or attachment completed by other means may be considered not properly filed.</p> <p>4. 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.</p> <p>5. In completing the application, applicants should seek advice from an authorized officer of the sponsoring firm or from a legal adviser.</p> <p>6. The 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.</p>	
Item 1 - Name of Firm	
1.	<p>Full legal name of the firm:</p> <p>Does the firm currently carry on business or identify its business to the public under a name other than the legal name of the firm? " Yes " No</p> <p>If "Yes", complete Schedule "A", section 1.</p>
2.	<p>In the past 10 years, has the firm operated under, or carried on business under, any name other than a name shown in Question 1 above or in Schedule "A", section 1? " Yes " No</p> <p>If "Yes", complete Schedule "A", section 2.</p>
Item 2 - Head Office	
	<p>Head office business address: (<i>do not use a P.O. Box</i>) (number, street, city, province, territory or state, country, postal code)</p> <p>(Area code) Telephone number: (<i>extension if applicable</i>)</p> <p>(Area code) Fax number:</p> <p>Location website address:</p>

FORM 31-102F3 - APPLICATION FOR REGISTRATION AS A DEALER, ADVISER OR UNDERWRITER	
	Mailing address: (number, street, city, province, territory or state, country, postal code) ' Same as above
Item 3 - Registration Information	
1.	Mutual Reliance Review System for Registration
	Is the firm relying on National Instrument 31-101 <i>Mutual Reliance Review System for Registration</i> for this application for registration? " Yes " No If "Yes", indicate the firm's principal jurisdiction:
2.	Jurisdiction
	<p>INSTRUCTION: Indicate, by checking the appropriate box, each jurisdiction to which the firm is applying for registration:</p> <ul style="list-style-type: none"> " Alberta " British Columbia " Manitoba " New Brunswick " Newfoundland " Northwest Territories " Nova Scotia " Nunavut " Ontario " Québec " Prince Edward Island " Saskatchewan " Manitoba " Yukon
Item 4 - Category of Registration or Membership	
	<p>INSTRUCTION: Indicate, by checking the appropriate box, each category for which the firm is applying: (In the final draft of the form a list of the registration categories of each jurisdiction will be included here.)</p>

FORM 31-102F3 - APPLICATION FOR REGISTRATION AS A DEALER, ADVISER OR UNDERWRITER				
Item 5 - Address and Agent for Service				
1.	Address for Service			
	Address (<i>do not use a P.O. Box</i>) (number, street, city, province, territory or state, country, postal code)			
	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">(Area code) Telephone number: (<i>extension if applicable</i>)</td> <td style="width: 50%;">(Area code) Fax number:</td> </tr> </table>	(Area code) Telephone number: (<i>extension if applicable</i>)	(Area code) Fax number:	
(Area code) Telephone number: (<i>extension if applicable</i>)	(Area code) Fax number:			
	E-mail address:			
2.	Agent for Service			
	Agent for service: (<i>if applicable</i>)			
	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 30%;">Contact person: (<i>if applicable</i>)</td> <td style="width: 35%; text-align: center;"><u>Last name</u></td> <td style="width: 35%; text-align: center;"><u>First name</u></td> </tr> </table>	Contact person: (<i>if applicable</i>)	<u>Last name</u>	<u>First name</u>
Contact person: (<i>if applicable</i>)	<u>Last name</u>	<u>First name</u>		
Item 6 - Business Locations other than Head Office				
1.	" Not applicable			
	INSTRUCTION: Complete the following for each branch office, each sub-branch office, and, if applying in British Columbia, the chief place of business.			
	Type of location (for example, sub-branch):			
	Business address: (<i>do not use a P.O. Box</i>) (number, street, city, province, territory or state, country, postal code)			
	Mailing address: (number, street, city, province, territory or state, country, postal code) " Same as above			
	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">(Area code) Telephone number: (<i>extension if applicable</i>)</td> <td style="width: 50%;">(Area code) Fax number:</td> </tr> </table>	(Area code) Telephone number: (<i>extension if applicable</i>)	(Area code) Fax number:	
(Area code) Telephone number: (<i>extension if applicable</i>)	(Area code) Fax number:			
	Provide NRD number of the designated supervisor or branch manager:			

FORM 31-102F3 - APPLICATION FOR REGISTRATION AS A DEALER, ADVISER OR UNDERWRITER			
	Name of designated supervisor or branch manager:		
	<u>Last Name</u>	<u>First Name</u>	
Item 7 - Business Structure			
1.	State the financial year end date:		
	_____ (MM/DD)		
	Indicate legal status of the firm and complete Schedule "B":		
	" Corporation " Partnership " Limited Partnership " Limited Liability Company " Sole Proprietorship " Other, specify: _____		
	INSTRUCTION: If other than a sole proprietor, provide the jurisdiction's legislation under which the firm obtained its legal status and the date that the firm obtained its legal status:		
	Jurisdiction:		
	Date of organization or incorporation:		
	_____ (YYYY/MM/DD)		
Item 8 - Partners, Directors, Officers and Sole Proprietor			
1.	INSTRUCTION: Complete the following and file a Form 31-102F4 for each partner, director or officer of the firm. If you are a sole proprietor, complete any applicable sections under this item and file a Form 31-102F4.		
	NRD No: (if applicable)		
	<u>Last name</u>	<u>First name</u>	<u>Second Name</u> (if applicable)
			<u>Third Name</u> (if applicable)
	Position:	Date appointed:	
	" Partner " Director " Officer, provide title: _____	_____ (YYYY/MM)	
Item 9 - Auditor			

FORM 31-102F3 - APPLICATION FOR REGISTRATION AS A DEALER, ADVISER OR UNDERWRITER		
1.	INSTRUCTION: Identify the firm's auditor and the contact person's name, address, telephone number, fax number and e-mail address:	
	Name of auditor:	
	Business address of auditor: (number, street, city, province, territory or state, country, postal code)	
	(Area Code) Telephone number: (<i>extension if applicable</i>)	(Area Code) Fax number:
	Contact person:	<u>Last name</u> <u>First name</u>
Item 10 - Regulatory Disclosure		
1.	Securities Regulation	
(a)	Is the firm or, to the best of the firm's information and belief having made reasonable inquiries, is any affiliate of the firm, now, or has any such person or company been, registered or licensed to trade in or advise on securities or exchange contracts (including commodity futures contracts and commodity futures options) in any province, territory, state or country? " Yes " No If "Yes", complete Schedule "C", section 1.	
(b)	Has the firm or, to the best of the firm's information and belief having made reasonable inquiries, any affiliate of the firm ever been refused registration or a licence in any capacity to trade in or advise on securities or exchange contracts (including commodity futures contracts or commodity futures options) in any province, territory, state or country? " Yes " No If "Yes", complete Schedule "C", section 2.	
(c)	Has the firm or, to the best of the firm's information and belief having made reasonable inquiries, has any affiliate of the firm ever been denied the benefit of any exemption from registration provided by securities legislation or legislation governing exchange contracts (including commodity futures contracts and commodity futures options) in any province, territory, state or country? " Yes " No If "Yes", complete Schedule "C", section 3.	
(d)	Has the firm or, to the best of the firm's information and belief having made reasonable inquiries, has any affiliate of the firm, ever been subject to a cease trade order, a cease distribution order, a suspension or termination order, any disciplinary proceedings or any order resulting from disciplinary proceedings pursuant to securities legislation or legislation governing exchange contracts (including commodity futures contracts and commodity futures options) in any province, territory, state or country? " Yes " No If "Yes", complete Schedule "C", section 4.	

FORM 31-102F3 - APPLICATION FOR REGISTRATION AS A DEALER, ADVISER OR UNDERWRITER	
2.	Self-Regulatory Organizations
(a)	<p>Is the firm or, to the best of the firm's information and belief having made reasonable inquiries, is any affiliate of the firm, now, or has any such person or company previously been, a member or participating organization of any stock exchange, the Investment Dealers Association of Canada, the Mutual Fund Dealers Association of Canada, or other self-regulatory organization, in any province, territory, state or country? . . . " Yes " No</p> <p>If "Yes", complete Schedule "C", section 5.</p>
(b)	<p>Has the firm or, to the best of the firm's information and belief having made reasonable inquiries, has any affiliate of the firm ever been refused membership or entry as a participating organization in any stock exchange, the Investment Dealers Association of Canada, the Mutual Fund Dealers Association of Canada, or other self-regulatory organization, in any province, territory, state or country? " Yes " No</p> <p>If "Yes", complete Schedule "C", section 6.</p>
(c)	<p>Has the firm or, to the best of the firm's information and belief having made reasonable inquiries, has any affiliate of the firm, ever been subject to a suspension, expulsion or termination order, or been subject to any disciplinary proceedings or any order resulting from disciplinary proceedings conducted by any stock exchange, the Investment Dealers Association of Canada, the Mutual Fund Dealers Association of Canada, or other self-regulatory organization, in any province, territory, state or country? " Yes " No</p> <p>If "Yes", complete Schedule "C", section 7.</p>
3.	Non-Securities Regulation
(a)	<p>Is the firm or, to the best of the firm's information and belief having made reasonable inquiries, is any affiliate of the firm, now, or has any such person or company been, registered or licensed under any legislation which requires registration or licensing to deal with the public other than to trade in or advise on securities or exchange contracts (including commodity futures contracts and commodity futures options) in any province, territory, state or country? " Yes " No</p> <p>If "Yes", complete Schedule "C", section 8.</p>
(b)	<p>Has the firm or, to the best of the firm's information and belief having made reasonable inquiries, has any affiliate of the firm ever been refused registration or a licence under any legislation which requires registration or licensing to deal with the public in any capacity other than to trade in or advise on securities or exchange contracts (including commodity futures contracts and commodity futures options) in any province, territory, state or country? " Yes " No</p> <p>If "Yes" complete Schedule "C", section 9.</p>
(c)	<p>Has the firm or, to the best of the firm's information and belief having made reasonable inquiries, has any affiliate of the firm, ever been subject to a suspension or termination order, or disciplinary proceedings or any order resulting from disciplinary proceedings conducted under any legislation which requires registration or licensing to deal with the public in any capacity other than to trade in or advise on securities or exchange contracts (including commodity futures contracts and commodity futures options) in any province, territory, state or country? " Yes " No</p> <p>If "Yes", complete Schedule "C", section 10.</p>
Item 12 - Criminal Disclosure	
1.	<p>Is there currently an outstanding charge against the firm or, to the best of the firm's information and belief having made reasonable inquiries, any affiliate of the firm, alleging an offence that was committed in Canada, or had it been committed in Canada, constitutes or would constitute an offence under the laws of Canada? " Yes " No</p> <p>If "Yes", complete Schedule "D", section 1.</p>

FORM 31-102F3 - APPLICATION FOR REGISTRATION AS A DEALER, ADVISER OR UNDERWRITER	
2.	<p>Has the firm or, to the best of the firm's information and belief having made reasonable inquiries, any affiliate of the firm, ever been convicted of, pleaded guilty to or no contest to an offence that was committed in Canada and constituted, or had it been committed in Canada, would have constituted an offence under the laws of Canada? " Yes " No</p> <p>If "Yes", complete Schedule "D", section 2.</p>
Item 13 - Civil Disclosure	
	<p>Has the firm, or to the best of the firm's information and belief, having made reasonable inquiries, has any affiliate of the firm been a defendant or respondent in any civil proceeding in any jurisdiction in which fraud, theft, deceit, misrepresentation, or similar conduct is, or was, alleged? " Yes " No</p> <p>If "Yes" complete Schedule "E".</p>
Item 14 - Financial Disclosure	
1.	Bankruptcy
	Under the law of any province, territory, state or country has the firm or, to the best of the firm's information and belief having made reasonable inquiries, any affiliate of the firm:
(a)	<p>had a petition in bankruptcy issued against the firm or any affiliate of the firm or made a voluntary assignment in bankruptcy? " Yes " No</p> <p>If "Yes", complete Schedule "F", section 1.</p>
(b)	<p>made a proposal under any legislation relating to bankruptcy or insolvency? " Yes " No</p> <p>If "Yes", complete Schedule "F", section 1.</p>
(c)	<p>been subject to or instituted any proceedings, arrangement or compromise with creditors (including having a receiver, receiver-manager, administrator or trustee appointed by or at the request of creditors, either privately or through a court process, or by order of a regulator, to hold the firm's assets)? . . . " Yes " No</p> <p>If "Yes", complete Schedule "F", section 1.</p>
2.	Solvency
	<p>Has the firm or, to the best of the firm's information and belief having made reasonable inquiries, any affiliate of the firm ever been unable to meet its financial obligations as they came due? " Yes " No</p> <p>If "Yes", complete Schedule "F", section 2</p>
3.	Surety or Fidelity Bond
	<p>Has a bonding company ever denied, paid out on, or revoked a surety or fidelity bond of the firm or, to the best of the firm's information and belief having made reasonable inquiries, any affiliate of the firm? " Yes " No</p> <p>If "Yes", complete Schedule "F", section 3.</p>

FORM 31-102F3 - APPLICATION FOR REGISTRATION AS A DEALER, ADVISER OR UNDERWRITER	
4.	Garnishments, Unsatisfied Judgements or Directions to Pay
	<p>Are there currently, or have there been, outstanding against the firm or, to the best of the firm's information and belief having made reasonable inquires, any affiliate of the firm:</p> <p>(A) garnishments, (B) unsatisfied judgements, or (C) directions to pay issued by a federal, provincial, territorial or state authority? " Yes " No</p> <p>If "Yes", complete Schedule "F", section 4.</p>
CERTIFICATE AND AGREEMENT OF FIRM	
	<p>Agent for Service</p> <p>If the firm has named an agent for service in this application, the firm designates and appoints that agent for service (the "Agent for Service") at the address of the Agent for Service upon whom may be served a notice, pleading, subpoena, summons or other process in any action, investigation or administrative, criminal, quasi-criminal, penal or other proceeding (each, a "Proceeding") arising out of or relating to or concerning the firm's activities as a registrant under the securities legislation of the jurisdiction for which the Agent for Service is designated and appointed (the "Local Jurisdiction").</p> <p>This appointment of an agent for service of process is governed and construed in accordance with the laws of the Local Jurisdiction.</p> <p>By filing this application, the firm confirms that the Agent for Service has accepted the appointment as agent for service of process for the firm pursuant to the above terms and conditions and has agreed to advise the securities regulatory authority of the Local Jurisdiction immediately if the Agent for Service is unable to deliver to the firm a copy of a document served on the Agent for Service.</p> <p>By filing this application, the firm confirms that until six years after the firm ceases to be a registrant under the securities legislation of the Local Jurisdiction, the firm shall:</p> <ul style="list-style-type: none"> (a) file a notice appointing a new agent for service of process at least 30 days prior to termination for any reason of the appointment of the Agent for Service and immediately after the death or incapacity of the Agent for Service or the Agent for Service ceasing to carrying on business; and (b) file a notice amending the name or address of the Agent for Service at least 30 days before any change in the name or address of the Agent for Service as set forth in this application. <p>Submission to Jurisdiction</p> <p>By submitting this application the firm that it irrevocably and unconditionally submits to the non-exclusive jurisdiction of the judicial, quasi-judicial and administrative tribunals of each jurisdiction to which the firm has submitted this application and any administrative proceeding in that jurisdiction, in any Proceeding arising out of or relating to or concerning its activities as a registrant under the securities legislation of the jurisdiction, and irrevocably waives any right to raise as a defence in any Proceeding any alleged lack of jurisdiction to bring that Proceeding.</p> <p>Notice - Collection and use of Personal Information</p> <p>The personal information required under this form is collected on behalf of and used by the relevant securities regulatory authorities set out below for purposes of the administration and enforcement of certain provisions of the securities legislation in British Columbia, Alberta, Saskatchewan, Manitoba, Ontario, Quebec, Nova Scotia, New Brunswick, Prince Edward Island, Newfoundland, Northwest Territories, Yukon Territory and Nunavut.</p>

FORM 31-102F3 - APPLICATION FOR REGISTRATION AS A DEALER, ADVISER OR UNDERWRITER

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

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

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

(In the final draft of the form a list of contact information will be included here.)

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

CERTIFICATION OF APPLICANT: I, the undersigned applicant or authorized officer or partner of the applicant, certify that I have read and that I understand the questions in this application form and the Warning set out above. I also certify that all statements of fact made in the answers to the questions are true.

Signature

Date

SCHEDULE "A" OTHER BUSINESS NAMES	
Item 9 1	
Section 1 - Other business names currently in use	
INSTRUCTION: List each of the other business names currently in use and the jurisdictions in which they are used:	
1.	Name:
	Jurisdictions:
2.	Name:
	Jurisdictions:
3.	Name:
	Jurisdictions:
4.	Name:
	Jurisdictions:
Section 2 - Other business names previously used	
INSTRUCTION: List each of the other business names used within the past ten years and the jurisdictions in which they were used.	
1.	Name:
	Jurisdictions:
2.	Name:
	Jurisdictions:
3.	Name:
	Jurisdictions:
4.	Name:
	Jurisdictions:

**SCHEDULE "B"
OWNERSHIP INFORMATION**

Item 9 7

INSTRUCTION: Complete the following for:

- (i) each security holder that owns 10 percent or more of a class of voting securities of the applicant firm,
- (ii) each security holder that is a partner, general partner or limited partner who has the right to receive upon dissolution, or has contributed, 10 percent or more of the firm's capital,
- (iii) each security holder that owns 10 percent or more of a class of voting securities of a security holder described under (i) and (ii), and
- (iv) each security holder that is a partner, general partner or limited partner who has the right to receive upon dissolution, or has contributed, 10 percent or more of the capital of a security holder described under (i) and (ii).

For each security holder, indicate below (i) the name of the security holder, (ii) the legal status of the security holder (for example, partnership), (iii) the firm held by the security holder, (iv) whether the security holder's ownership interest is greater than or less than 25%, 50% or 75%, (v) whether the security holder is a control person, and (vi) whether the security holder is a reporting issuer.

--	--

**SCHEDULE "C"
REGULATORY DISCLOSURE**

Section 4

INSTRUCTION: Indicate below, (1) the name of the party for which this disclosure is being made, (2) the securities regulatory authority that made the order or conducted the proceedings, and (3) any other relevant details (including the date any notice of proceeding was issued, or any order or settlement was made, and a summary of the order, settlement or notice including any sanctions imposed):

Section 5

INSTRUCTION: Indicate below, (1) the name of the party for which this disclosure is being made, (2) the self-regulatory organization with which the firm or affiliate is, or was, a member or a participating organization, (3) the type or category of membership or participation, and (4) the period of the membership or participation:

Section 6

INSTRUCTION: Indicate below, (1) the name of the party for which this disclosure is being made, (2) the self-regulatory organization that refused the membership or entry as a participating organization, (3) the type or category of membership or participation refused, (4) the date of the refusal, and (5) the reasons for the refusal:

**SCHEDULE "C"
REGULATORY DISCLOSURE**

Section 7

INSTRUCTION: Indicate below, (1) the name of the party for which this disclosure is being made, (2) the self-regulatory organization that made the order or conducted the proceedings, and (3) any other relevant details (including the date any notice of proceeding was issued, or any order or settlement was made, and a summary of the order, settlement or notice, including any sanctions imposed):

Section 8

INSTRUCTION: Indicate below, (1) the name of the party for which this disclosure is being made, (2) with which regulatory authority, or under what legislation, the firm or affiliate is, or was, registered or licensed, (3) the type or category of registration or licence, and (4) the period of registration or licensing:

Section 9

INSTRUCTION: Indicate below, (1) the name of the party for which this disclosure is being made, (2) the regulatory authority that refused the registration or licensing, or the legislation under which the registration or licensing was refused, (3) the type or category of registration or licence refused, (4) the date of the refusal, and (5) reasons for the refusal:

**SCHEDULE "C"
REGULATORY DISCLOSURE**

Section 10

INSTRUCTION: Indicate below, (1) the name of the party for which this disclosure is being made, (2) the regulatory authority that made the order or conducted the proceedings, or under which legislation the order was made or the proceedings were conducted, and (3) any other relevant details (including the date any notice of proceeding was issued, or any order or settlement was made, and a summary of the order, settlement or notice, including any sanctions imposed).

SCHEDULE "D" CRIMINAL DISCLOSURE	
Item 9 12	
Section 1	
INSTRUCTION: For each charge, indicate below (1) whether the disclosure is for the firm filer or an affiliate of the firm (including the name of the affiliate), (2) the charge, (3) the date of the charge, (4) any trial or appeal dates, and (4) the court location:	
Section 2	
INSTRUCTION: For each conviction , indicate below the full details of the conviction including (1) whether this disclosure is for the firm filer or an affiliate of the firm (including the name of the affiliate), (2) the offense, (3) the date of the conviction, and (4) the disposition (state any penalty or fine and the date any fine was paid):	

SCHEDULE "E" CIVIL JUDICIAL DISCLOSURE

Item 9 13

Section 1

<p>INSTRUCTION: For each civil proceeding, indicate below (1) the jurisdiction in which the action is being, or was pursued, (2) details of any disposition or settlement (including those actions settled without admission of liability):</p>
--

SCHEDULE "F"
FINANCIAL DISCLOSURE

Section 4 - Garnishments, Unsatisfied Judgments or Directions to Pay

INSTRUCTION: For each garnishment, unsatisfied judgement or direction to pay, indicate below (1) the name of the party for which this disclosure is being made, (2) the amount that is, or was, owing, (3) the party to whom the amount is, or was, owing, (4) any relevant dates (for example, when payments are due or when final payment was made), and (5) any other relevant details: