

**Form 31-501F4**

**Surety Bond requirement: Securities Act**

**SURETY BOND TO BE GIVEN BY A BROKER, SECURITY ISSUER OR AN INDIVIDUAL REPRESENTATIVE**

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TO WHOM IT MAY CONCERN:

\_\_\_\_\_ having its head office in Yukon at \_\_\_\_\_ (hereinafter called the "Corporation"), is held and firmly bound in the right of Yukon in the penal sum of \_\_\_\_\_ to be paid to the Government of Yukon, for which payment well and truly to be made, the Corporation binds itself and its successors firmly by these presents.

Signed with the Common Seal of the Corporation and dated this \_\_\_\_ day of \_\_\_\_\_, 20 \_\_\_\_.

WHEREAS \_\_\_\_\_ of \_\_\_\_\_, Yukon (has made application for registration) or (is registered) as a (broker), security issuer or an individual representative pursuant to the provisions of the *Securities Act* and has been required pursuant to Local Rule 31-501 (incorporating the provisions of section 7 of the Regulations C.O. 1976/176 issued under Yukon's former *Securities Act* R.S.Y. 2002, c.201) to deliver a bond by a surety corporation in the sum of \_\_\_\_\_ dollars for the purposes referred to in the said Act in respect of the conduct of the said \_\_\_\_\_

AND WHEREAS by the above-written obligation the Corporation has at the request of the said \_\_\_\_\_ entered into a bond accordingly:

NOW, THE CONDITION of the above-written obligation, so entered into in respect of the conduct of the said \_\_\_\_\_ is such that if the said obligation does not by reason of any act, matter or thing at any time hereinafter become or be forfeit under any of the provisions of the said Act, then the said obligation shall be void, but otherwise shall be and remain in full force and virtue, and shall be subject to forfeiture as provided by the said Act.

PROVIDED that if the Corporation at any time gives one calendar month's notice in writing to the Superintendent for Yukon for the time being of its intention to terminate the obligation hereby undertaken, then this obligation and all liability on the part of the Corporation hereunder shall cease and determine in respect only of any act, matter or thing taking place, arising, or done subsequent to the date named in the notice of the termination of the obligation hereby undertaken, but shall remain in full force and effect in respect of all acts, matters, and things taking place, arising, or done from the date hereof to the date of such termination.

The Common Seal of the said \_\_\_\_\_ )  
\_\_\_\_\_ )  
was hereto affixed in the presence of \_\_\_\_\_ )  
\_\_\_\_\_ )  
\_\_\_\_\_ )  
\_\_\_\_\_ )  
\_\_\_\_\_ )