



Form 33-109F4

CSA Instrument Form

REGISTRATION INFORMATION FOR AN INDIVIDUAL

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Item 1 - Name			
1. Legal name			
<hr/>			
Last name	First name	Second name <i>(if applicable)</i>	Third name <i>(if applicable)</i>
2. Other names			
Are you currently, or have you previously been known by a name other than the name provided above? ___ yes ___ no			
If "Yes" complete Schedule "A".			
Item 2 – Residential address			
Current address			
Provide all residential addresses, including any foreign residential addresses, for the past 10 years.			
Current residential address _____ (number, street, city, province, territory or state, country, postal code)			
Telephone number: () _____		Resided at this address since: _____ (YYYY/MM)	
If you have resided at this address for less than 10 years, complete Schedule "B".			

Item 3 – Personal information
Personal description
Date of birth: _____ Place of Birth: _____ (YYYY/MM/DD) (city, province, territory or state, country)
Gender: Female _____ Male _____ Colour of eyes: _____ Colour of hair: _____
Height: imperial units _____ OR metric units _____ Weight: imperial units _____ OR metric units _____
Item 4 - Citizenship
Citizenship information
<p>What is your citizenship?</p> <p><input type="checkbox"/> Canadian</p> <p><input type="checkbox"/> Other, specify: _____</p> <p>If you are a citizen of a country other than Canada, complete the following for that other citizenship. You are only required to provide the following information for one citizenship.</p> <p>Passport number: _____ Country of citizenship: _____</p> <p>Date of issue: _____ (YYYY/MM/DD)</p> <p>Place of issue: _____ (city, province, territory or state, country)</p>
Item 5 – Registration jurisdictions
Jurisdiction
<p>Indicate, by checking the appropriate line, each province or territory to which you are submitting this form:</p> <p><input type="checkbox"/> Alberta <input type="checkbox"/> Northwest Territories <input type="checkbox"/> Prince Edward Island</p> <p><input type="checkbox"/> British Columbia <input type="checkbox"/> Nova Scotia <input type="checkbox"/> Québec</p> <p><input type="checkbox"/> Manitoba <input type="checkbox"/> Nunavut <input type="checkbox"/> Saskatchewan</p> <p><input type="checkbox"/> New Brunswick <input type="checkbox"/> Ontario <input type="checkbox"/> Yukon</p> <p><input type="checkbox"/> Newfoundland and Labrador</p>
Item 6 – Individual categories
Categories
<p>Indicate, by checking the appropriate line in Schedule “C”, each registration category for which you are applying. If you are a permitted individual and you are not applying for registration, indicate each category that describes your position with your sponsoring firm.</p>

Item 7 – Address and agent for service	
1 Address for service	
<p>You must have one address for service in each province or territory in which you are now, or are applying to become, a registered individual or permitted individual. A post office box is not an acceptable address for service. Complete Schedule “D” for each additional address for service you are providing.</p> <p>Address for service: _____ (number, street, city, province, territory or state, country, postal code)</p> <p>Telephone number: () _____ Fax number: () _____</p> <p>E-mail address: _____</p>	
2 Agent for service	
<p>If you have appointed an agent for service, provide the following information for the agent. The address for service provided above must be the address of any agent named below.</p> <p>Name of agent for service: _____</p> <p>Contact person: _____ Last name First name</p>	
Item 8 – Proficiency	
1 Course or examination information	
<p>Complete Schedule “E” to indicate each course and examination that you have successfully completed or for which you have received an exemption.</p> <p>If you are not required under securities legislation or the rules of a self-regulatory organization to satisfy any course or examination requirements you are not required to complete this item.</p>	
2 Student numbers	
<p>If you have a student number with one of the following institutions, provide it below.</p> <p>Canadian Securities Institute (CSI): _____</p> <p>Investment Funds Institute of Canada (IFIC): _____</p> <p>Institute of Canadian Bankers (ICB): _____</p> <p>Association for Investment Management and Research (AIMR): _____</p> <p>Canadian Association of Insurance and Financial Advisors (CAIFA): _____</p>	
3 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 “F”.</p>	
Item 9 – Location of employment	
Location of employment	

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

NRD number: _____

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

Telephone number: () _____ Fax number: () _____

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

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

Item 10 – Current employment

Employment information

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

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

Item 11 – Previous employment

Employment information

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

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

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

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

Item 12 – Resignation and terminations
Resignation and termination information
<p>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:</p> <p>(a) violated investment related statutes, regulations, rules or industry standards of conduct? ___ yes ___ no</p> <p>(b) failed to supervise in connection with investment related statutes, regulations, rules or industry standards of conducts? ___ yes ___ no</p> <p>(c) committed fraud or the wrongful taking of property? ___ yes ___ no</p> <p>If “yes”, to any of the above questions, complete Schedule “I”.</p>
Item 13 – Regulatory disclosure
1 Securities regulatory authorities
<p>(a) Other than a registration that has been recorded on NRD under the NRD number you are using to make this submission, are you now, or have you ever been, registered or licensed to trade in or advise on securities or exchange contracts (including commodity futures contracts and commodity futures options) in any province, territory, state or country? ___ yes ___ no</p> <p>If “Yes”, complete Schedule “J”, section 1(a)</p>
<p>(b) Are you now, or have you ever been, a partner, director, officer, or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities of any firm which has been registered or licensed, or is now registered or licensed, to trade in or advise on securities or exchange contracts (including commodity futures contracts and commodity futures options) in any province, territory, state or country? ___ yes ___ no</p> <p>If “Yes”, complete Schedule “J”, section 1(b)</p>
<p>(c) Have you or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), when you were a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities of that firm, been refused registration or a license to trade in or advise on securities or exchange contracts (including commodity futures contracts and commodity futures options) in an province, territory, state or country? ___ yes ___ no</p> <p>If “Yes”, complete Schedule “J”, section 1(c)</p>
<p>(d) Have you, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), when you were a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities of that firm, been denied the benefit of any exemption from registration provided by securities legislation or legislation governing exchange contracts (including commodity futures contracts and commodity futures options) in any province, territory, state or country? ___ yes ___ no</p> <p>If “Yes”, complete Schedule “J”, section 1(d)</p>

(e) Have you, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), when you were a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities of that firm, been subject to a cease trade order, a cease distribution order, a suspension or termination order, any disciplinary proceedings or any order resulting from disciplinary proceedings pursuant to securities legislation or legislation governing exchange contracts (including commodity futures contracts and commodity futures options) in any province, territory, state or country? yes no

If "Yes", complete Schedule "J", section 1(e)

2 Self-regulatory organizations

(a) Have you, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), when you were a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities of that firm, been a member or a participating organization of any stock exchange or other self-regulatory organization in any province, territory, state or country? yes no

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

(b) Have you, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), when you were a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities of that firm, been refused membership or entry as a participating organization of any stock exchange or other self-regulatory organization in any province, territory, state or country? yes no

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

(c) Have you, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), when you were a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities of that firm, been subject to a suspension, expulsion or termination order, or been subject to any disciplinary proceedings or any order resulting from disciplinary proceedings conducted by any stock exchange or other self-regulatory organization in any province, territory, state or country? yes no

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

3 Non-securities regulation

(a) Have you, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), when you were a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities of that firm, been registered or licensed under any legislation which requires registration or licensing to deal with the public in any capacity other than to trade in or advise on securities or exchange contracts (including commodity futures contracts and commodity futures options) in any province, territory, state or country? yes no

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

(b) Have you, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), when you were a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities of that firm, been refused registration or a 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

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

(c) Have you, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), when you were a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities of that firm, been subject to a suspension or termination order, or disciplinary proceedings or any order resulting from disciplinary proceedings conducted under any legislation which requires registration or licensing to deal with the public in any capacity other than to trade in or advise on securities or exchange contracts (including commodity futures contracts and commodity futures options) in any province, territory, state or country? yes no

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

Item 14 – Criminal disclosure

Criminal, provincial and territorial offences

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

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

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

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

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

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

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

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

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

Item 15 – Civil disclosure

Current and past civil proceedings

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

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

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

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

Item 16 – Finance disclosure

1 Bankruptcy

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

(a) had a petition in bankruptcy issued against you or the firm or made a voluntary assignment in bankruptcy? yes no

(b) made a proposal under any legislation relating to bankruptcy or insolvency? yes no

(c) been subject to proceedings under any legislation relating to the winding up, dissolution or companies' creditors arrangement? yes no

(d) been subject to or instituted any proceedings, arrangement or compromise with creditors (including having a receiver, receiver-manger, administrator or trustee appointed by or at the request of creditors, either privately, or through court process, or by order of a regulator, to hold your assets)? yes no

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

2 Debt Obligations
<p>Have you ever failed to meet a financial obligation of \$500 or more as it came due, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), when you were a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities of that firm, failed to meet a financial obligation as it came due? <input type="checkbox"/> yes <input type="checkbox"/> no</p> <p>If "Yes", complete Schedule "M", section 2</p>
3 Surety bond or fidelity bond
<p>Have you ever applied for a surety or fidelity bond and been refused? <input type="checkbox"/> yes <input type="checkbox"/> no</p> <p>If "Yes", complete Schedule "M", section 3</p>
4 Garnishments, unsatisfied judgments or directions to pay
<p>Are there currently, or have there been, outstanding against you any of the following:</p> <p>(a) garnishments</p> <p>(b) unsatisfied judgments, or</p> <p>(c) directions to pay;</p> <p>issued by a federal, provincial, territorial or state authority? <input type="checkbox"/> yes <input type="checkbox"/> no</p> <p>If "Yes", complete Schedule "M", section 4</p>
Item 17 – Related securities firms
Related securities firms and holdings
<p>Are you a partner, director, or officer of a firm (other than your sponsoring firm) whose principal business is trading in or advising on securities or exchange contracts (including commodity futures contracts and commodity futures options) or are you a holder of 10 percent or more of the voting securities of any firm (including your sponsoring firm) whose principal business is trading in or advising on securities or exchange contracts (including commodity futures contracts and commodity futures options)? <input type="checkbox"/> yes <input type="checkbox"/> no</p> <p>If "Yes", complete Schedule "N"</p>
Agent for Service
<p>By submitting this form you certify that in each jurisdiction in which you have appointed an agent for service you have properly executed the appointment of agent for service required by the regulator or the securities legislation of that jurisdiction.</p>

Submission to Jurisdiction

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

Notice of collection and use of personal information

The personal information required under this form is collected on behalf of and used by the securities regulatory authorities set out below for purposes of the administration and enforcement of certain provisions of the securities legislation in British Columbia, Alberta, Saskatchewan, Manitoba, Ontario, Québec, Nova Scotia, New Brunswick, Prince Edward Island, Newfoundland and Labrador, Northwest Territories, Yukon 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 securities regulatory authority. The sources the securities regulatory authority may contact include government and private bodies or agencies, individuals, corporations and other organizations.

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

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

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

Certification

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

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

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

I, the undersigned, certify that I have read and that I understand the questions in this form and the Warning set out above. I also certify that all statements of fact provided in this application are true.

Signature of applicant or permitted individual

Date

I, the undersigned, certify on behalf of the sponsoring firm that the individual will be engaged by the sponsoring firm as a registered individual or a permitted individual. I certify that I have, or a branch manager or another officer or partner has, discussed the questions set out in this form with the individual and I am satisfied that the individual fully understands the questions.

Signature of authorized officer or partner

Date

Firm name

SCHEDULE "B"
Residential address

Item 2

Previous addresses

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

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

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

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

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

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

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

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

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

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

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

SCHEDULE "C"
Individual categories

Item 6 - Categories

Indicate by checking each category for which you are applying.

Alberta

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

British Columbia

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

Manitoba

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

New Brunswick	
___ Salesperson	___ Compliance Officer
___ Officer (Trading)	___ Officer (Advising)
___ Officer (Non-Trading)	___ Officer (Non-Advising)
___ Partner (Trading)	___ Junior Officer (Advising)
___ Partner (Non-Trading)	___ Partner (Advising)
___ Director	___ Partner (Non-Advising)
___ Shareholder	
Newfoundland and Labrador	
___ Salesperson	___ Officer (Advising)
___ Officer (Trading)	___ Officer (Non-Advising)
___ Officer (Non-Trading)	___ Director
___ Director	___ Shareholder
___ Shareholder	___ Partner (Advising)
___ Partner (Trading)	___ Partner (Non-Advising)
___ Partner (Non-Trading)	___ Branch Manager
___ Branch Manager	
Northwest Territories	
___ Salesperson	___ Shareholder
___ Officer (Trading)	___ Branch Manager
___ Officer (Non-Trading)	___ Representative (Advising)
___ Director	___ Officer (Advising)
___ Partner (Trading)	___ Officer (Non-Advising)
___ Partner (Non-Trading)	___ Partner (Advising)
___ Sole Proprietor	___ Partner (Non-Advising)
Nova Scotia	
___ Salesperson	___ Officer (Advising)
___ Officer (Trading)	___ Officer (Non-Advising)
___ Officer (Non-Trading)	___ Associate Partner
___ Sole Proprietor (Trading)	___ Partner (Advising)
___ Director	___ Partner (Non-Advising)
___ Partner (Trading)	___ Sole Proprietor (Advising)
___ Partner (Non-Trading)	
Nunavut	
___ Salesperson	___ Shareholder
___ Officer (Trading)	___ Branch Manager
___ Officer (Non-Trading)	___ Representative (Advising)
___ Director	___ Officer (Advising)
___ Partner (Trading)	___ Officer (Non-Advising)
___ Partner (Non-Trading)	___ Partner (Advising)
___ Sole Proprietor	___ Partner (Non-Advising)
Ontario	
Except as indicated the following categories are available under the <i>Securities Act</i> and the <i>Commodity Futures Act</i> .	

___ Floor Trader	___ Associate Advising Representative (<i>Securities Act</i> category only)
___ Salesperson	___ Officer (Advising)
___ Officer (Trading)	___ Officer (Non-Advising))
___ Officer (Non-Trading)	___ Associate Officer (<i>Securities Act</i> category only)
___ Partner (Trading)	___ Partner (Advising)
___ Partner (Non-Trading)	___ Partner (Non-Advising)
___ Sole Proprietor (Trading)	___ Associate Partner (<i>Securities Act</i> category only)
___ Director	___ Sole Proprietor (Advising)
___ Advising Representative	
___ Shareholder	
Prince Edward Island	
___ Salesperson	___ Branch Manager
___ Officer (Trading)	___ Compliance Officer
___ Officer (Non-Trading)	___ Counselling Officer (Officer)
___ Partner (Trading)	___ Counselling Officer (Partner)
___ Partner (Non-Trading)	___ Counselling Officer (Other)
___ Director	___ Officer (Non-Advising)
___ Shareholder	___ Partner (Non-Advising)
Québec	
Dealer	Adviser
___ Salesperson (representative)	___ Representative (Advising)
___ Officer	___ Officer
___ Partner	___ Partner
___ Director	___ Director
___ Director (Non-Industry)	___ Director (Non-Industry)
___ Branch Manager	___ Branch Manager
Saskatchewan	
___ Salesperson	___ Employee (Advising)
___ Officer (Trading)	___ Officer (Advising)
___ Officer (Non-Trading)	___ Officer (Non-Advising)
___ Partner (Trading)	___ Partner (Advising)
___ Partner (Non-Trading)	___ Partner (Non-Advising)
___ Director	

Yukon	
___ Salesperson	___ Shareholder
___ Officer (Trading)	___ Officer (Advising)
___ Officer (Non-Trading)	___ Officer (Non-Advising)
___ Partner (Trading)	___ Partner (Advising)
___ Partner (Non-Trading)	___ Partner (Non-Advising)
___ Director	___ Sole Proprietor (Advising)
___ Branch Manager	___ Sole Proprietor (Trading)
Investment Dealers Association of Canada	
___ Partner (Industry)	___ Registered Representative (Mutual Funds)
___ Partner (Non-Industry)	___ Registered Representative (Retail)
___ Director (Industry)	___ Registered Representative (Non-Retail)
___ Director (Non-Industry)	___ Registered Representative Options (Retail)
___ Officer (Trading)	___ Registered Representative Options (Non-Retail)
___ Officer (Non-Trading)	___ Registered Futures Contract Representative
___ Industry Investor	___ Options (Retail)
___ Non-Industry Investor	___ Registered Futures Contract Representative
___ Chief Compliance Officer	___ Options (Non-Retail)
___ Ultimate Designated Person	___ Trader – CATS
___ Alternate Designated Person	___ Trader – TradeCDNX
___ Designated Registered Options Principal	___ Trader – Commodity Floor Trader
___ Alternate Registered Options Principal	___ Associate Portfolio Manager – Securities
___ Designated Registered Futures Options Principal	___ Associate Portfolio Manager – Security
___ Alternate Registered Futures Options Principal	___ Options
___ Sales Manager	___ Associate Portfolio Manager – Commodity
___ Branch Manager	___ Futures Options
___ Co-Branch Manager	___ Portfolio Manager – Securities
___ Assistant Branch Manager	___ Portfolio Manager – Security Options
___ Futures Contract Options Supervisor	___ Portfolio Manager – Commodity Futures
___ Investment Representative (Mutual funds)	___ Options
___ Investment Representative (Retail)	
___ Investment Representative (Non-Retail)	
___ Investment Representative Options (Retail)	
___ Investment Representative Options (Non-Retail)	
___ Investment Futures Contract Representative	
___ Options (Retail)	
___ Investment Futures Contract Representative	
___ Options (Non-Retail)	

SCHEDULE "D"
Address and Agent for Service

Item 7 – Address for Service

1. Address for Service

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

Address for service: _____
(number, street, city, province, territory, postal code)

Telephone number: () _____ Fax number: () _____

E-mail address: _____

2. Agent for Service

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

Name of agent for service: _____
(if applicable)

Contact person: _____
Last name First name

SCHEDULE "E"
Proficiency

Item 8 - Course or examination information

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

COURSE OR EXAMINATION	DATE COMPLETED	DATE EXEMPTED AND BY WHICH JURISDICTION OR REGULATOR (YYYY/MM/DD)
30-day Training Program		
90-day Training Program		
ACE Trader Exam		
Agricultural Markets – Risk Management Course (ARM)		
Branch Compliance Officers Course		
Branch Manager’s Examination Course (formerly the Canadian Branch Managers Qualifying Examination)		
Canadian Commodity Futures Examination		
Canadian Commodity Supervisors Examination		
Canadian Funds Course (Québec only)		
Canadian Futures Exam (Part 1)		
Canadian Futures Exam (Part 2)		
Canadian Investment Finance Course Part I		
Canadian Investment Finance Course Part II		
Canadian Investment Funds Course		
Canadian Investment Management Program (Part 1)		
Canadian Investment Management Program (Part 2)		
Canadian Options Course		
Canadian Securities Course		
CATS Examination-Oral		
CATS Examination-Written		
Certified Financial Planners Program		
Chartered Financial Analyst Charter		
Chartered Financial Analyst Course (Level I)		
Chartered Financial Analyst Course (Level II)		
Chartered Financial Analyst Course (Level III)		

Commodity Futures Exam (Part 1)		
Commodity Futures Exam (Part 2)		
Conduct and Practices Handbook Course		
Derivatives Fundamentals Course		
Derivatives Operational Management Course		
Effective Management Seminar		
Energy Markets – Risk Management Course		
Ensis Growth Fund Understanding Labour Sponsored Investment Funds (Full Course)		
Examination based on Manual for Registered Representatives (RR Exam)		
Fellow of the Canadian Securities Institute		
Financial Markets Risk Management Course		
Examination based on Manual for Registered Representatives (RR Exam)		
Futures Floor Trader Examination (Winnipeg Stock Exchange)		
Futures Licensing Course		
General Securities Representative Examination (Series 7)		
In-House Scholarship Training Program		
Investment Funds Course		
Investment Management Techniques		
Labour Sponsored Investment Funds Course		
National Commodity Futures Examination		
New Entrants Examination		
Officers’ Partners’ and Directors’ Course		
Operations Course		
Options Licensing Course		
Options Strategies Course		
Options Supervisors Course		
Partners, Directors and Senior Officers Qualifying Examination		
Personal Financial Planning Diploma		
Portfolio Management Techniques		
Principles of Mutual Funds Investment Course		
Professional Financial Planning Course		
Professional Options Trader Examination		

Real Estate Agent's Pre-Licensing Course		
Registered Options Principal's Qualifying Examination		
Technical Analysis Course (TAC)		
Trader Training Course		
VCT Trader Exam		
Wealth Management Techniques		
Other, specify:		
Other, specify:		
Other, specify:		
Other, specify:		

SCHEDULE "F"
Proficiency

Item 9 - Exemption refusal

Complete the following for each exemption that was refused

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

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

State the reason given for not being granted the exemption:

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

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

State the reason given for not being granted the exemption:

SCHEDULE "G"
Current employment

Item 10 – Employment information

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

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

From: _____
(YYYY/MM/DD)

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

Name of business or employer:

Address of business or employer:

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

Name and title of immediate supervisor: _____

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

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

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

If the business or employment described above is not with the sponsoring firm, disclose any potential for confusion by clients and any potential for conflicts of interest arising from your proposed activities as a registrant and the business or employment described above (include whether the business is listed on an exchange):

SCHEDULE "H"
Previous employment

Item 11 - Employment information

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

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

Unemployed

Full-time student

Employed or self-employed

From: _____
(YYYY/MM/DD)

To: _____
(YYYY/MM/DD)

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

Name of business or employer:

Address of business or employer:

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

Name and title of immediate supervisor: _____

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

SCHEDULE "I"
Resignations and terminations

Item 12 - Resignation and Termination information

For each resignation or termination indicate below, (1) the name of the firm from which you resigned or were terminated, (2) whether you resigned or were terminated, (3) the date you resigned or were terminated, and (4) the circumstances relating to your resignation or termination (including whether the allegations were made by a client, sponsoring firm, self-regulatory organization or regulatory authority)

SCHEDULE "J"
Regulatory disclosure

Item 13

1. Securities regulatory authorities

(a) For each registration or licence, indicate below, (1) the securities regulatory authority with which you are, or were, registered or licensed, (2) the type or category of registration or licence, and (3) the dates between which you held the registration or licence.

(b) For each registration or licence, indicate below (1) the name of the firm, (2) the securities regulatory authority with which the firm is, or was, registered or licensed, (3) the type or category of registration or licence, and (4) the dates between which you held the registration or licence.

(c) For each registration or licence refused, indicate below (1) the party that was refused the registration or licence, (2) the securities regulatory authority that refused the registration or licence, (3) the type or category of registration or licence refused, (4) the date of the refusal, and (5) the reasons for the refusal.

(d) For each exemption from registration denied, indicate below (1) the party that was denied the exemption, (2) the securities regulatory authority that denied the exemption, (3) the date the exemption was denied, and (4) any other information that you think is relevant or that is requested by the regulator.

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

2. Self-regulatory organizations

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

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

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

3. Non-securities regulation

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

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

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

SCHEDULE "K"
Criminal disclosure

Item 14 - Criminal, provincial and territorial offences

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

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

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

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

SCHEDULE "L"
Civil disclosure

Item 15 - Current and past civil proceedings

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

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

SCHEDULE "M"
Financial disclosure

Item 16

1. Bankruptcy

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

2. Solvency

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

3. Surety Bond or Fidelity Bond

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

4. Garnishments, Unsatisfied Judgements or Directions to Pay

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

SCHEDULE "N"
Related securities firms

Item 17 - Related Securities Firms and Holdings

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

- (a) Firm name: _____
- (b) Relationship to the firm and period of relationship:
- | | | | |
|---|--------------------------|------------------------|------------------------|
| ___ Partner | From: _____
(YYYY/MM) | To: _____
(YYYY/MM) | <i>(if applicable)</i> |
| ___ Director | From: _____
(YYYY/MM) | To: _____
(YYYY/MM) | <i>(if applicable)</i> |
| ___ Officer | From: _____
(YYYY/MM) | To: _____
(YYYY/MM) | <i>(if applicable)</i> |
| ___ Holder of
voting securities
over 10 percent | From: _____
(YYYY/MM) | To: _____
(YYYY/MM) | <i>(if applicable)</i> |

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

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

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

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

(f) Are the funds to be invested (or proposed to be invested) guaranteed directly or indirectly by any person or firm? ___ yes ___ no

If "Yes", identify the party and state the relationship between you and that party:

(g) Have you either directly or indirectly given up any rights with respect to such securities or partnership interest, or do you, on approval of this application, intend to give up any such rights (including by hypothecation, pledging or depositing as collateral the securities or partnership interest

with any institution or person)? ___ yes ___ no

If "Yes", identify the party and state the relationship between you and that party and describe the rights that have been or will be given up:

(h) Is a person other than you the beneficial owner of the shares, bonds, debentures, partnership units or other notes held by you? ___ yes ___ no

If "Yes", complete (i), (j) and (k).

(i) Name of beneficial owner:

Last name	First name	Second name <i>(if applicable)</i>	Third name <i>(if applicable)</i>
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(j) Residential address:

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

(k) Occupation:

SCHEDULE "O"
Notice and collection and use of personal information

Contact Information

Alberta	British Columbia
<p>Alberta Securities Commission 4th Floor, 300 B 5th Avenue SW Calgary, AB T2P 3C4 Attention: Information Officer Telephone: (403) 297-6454</p>	<p>British Columbia Securities Commission PO Box 10142, Pacific Centre 701 West Georgia Street Vancouver, BC V7Y 1L2 Attention: Freedom of Information Officer Telephone: (604) 899-6500 or (800) 373-6393 (in BC)</p>
Manitoba	New Brunswick
<p>The Manitoba Securities Commission 1130-405 Broadway Winnipeg, MB R3C 3L6 Attention: Director – Legal Telephone: (204) 945-4508</p>	<p>Securities Administration Branch PO Box 5001 606, 133 Prince William Street Saint John, NB E2L 4Y9 Attention: Deputy Administrator, Capital Markets Telephone: (506) 658-3021</p>
Newfoundland and Labrador	Nova Scotia
<p>Securities Commission of Newfoundland and Labrador PO Box 8700, 2nd Floor, West Block Confederation Building St. John's, NL A1B 4J6 Attention: Deputy of Securities Telephone: (709) 729-4189</p>	<p>Nova Scotia Securities Commission 2nd Floor, Joseph Howe Building 1690 Hollis Street PO Box 458 Halifax, NS B3J 3J9 Attention: FOI Officer Telephone: (902) 424-7768</p>
Northwest Territories	Nunavut
<p>Government of the Northwest Territories PO Box 1320 Yellowknife, NT X1A 2L9 Attention: Deputy Registrar of Securities Telephone: (867) 920-8984</p>	<p>Legal Registries Division Department of Justice Government of Nunavut PO Box 1000 Station 570 Iqaluit, NU X0A 0H0 Attention: Deputy Registrar of Securities Telephone: (867) 975-6190</p>
Ontario	Prince Edward Island
<p>Ontario Securities Commission Suite 1903, Box 55 20 Queen Street West Toronto, ON M5H 3S8 Attention: FOI Coordinator Telephone: (416) 593-8314</p>	<p>Securities Registry Office of the Attorney General B Consumer, Corporate and Insurance Services Division PO Box 2000 Charlottetown, PE C1A 7N8 Attention: Deputy Registrar of Securities Telephone: (902) 368-4569</p>
Québec	Saskatchewan
<p>Commission des valeurs mobilières du Québec</p>	<p>Saskatchewan Securities Commission</p>

<p>Stock Exchange Tower PO Box 246, 22nd Floor 800 Victoria Square Montréal, PQ H4Z 1G3 Attention: Responsable de l'accès à l'information Téléphone : (514) 940-2150 or (800) 361-5072 (in Québec)</p>	<p>800 B1920 Broad Street Regina, SK S4P 3V7 Attention: Director Telephone: (306) 787-5842</p>
<p style="text-align: center;">Yukon</p> <p>Department of Community Services Yukon PO Box 2703 Whitehorse, YT Y1A 2C6 Attention: Superintendent of Securities Telephone: (867) 667-5225</p>	