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PART II/PARTIE II

REVISED REGULATIONS OF SASKATCHEWAN/ RÈGLEMENTS RÉVISÉS DE LA SASKATCHEWAN

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REVISED REGULATIONS OF SASKATCHEWAN

SASKATCHEWAN REGULATIONS 4/2003

The Securities Act, 1988

Section 154

Commission Order, dated January 9, 2003

(Filed February 6, 2003)

Title

1 These regulations may be cited as *The Securities Commission (Adoption of National Instruments) Amendment Regulations, 2003*.

R.R.S. c.S-42.2 Reg 3 amended

2 *The Securities Commission (Adoption of National Instruments) Regulations* are amended in the manner set forth in these regulations.

Section 2 amended

3(1) The following clause is added after clause 2(z):

“(aa) Multilateral Instrument 31-102, entitled National Registration Database, as set out in Part XXVII of the Appendix”.

(2) The following clause is added after clause 2(aa):

“(bb) Multilateral Instrument 33-109, entitled Registration Information, as set out in Part XXVIII of the Appendix”.

Appendix amended

4(1) The following Part is added after Part XXVI of the Appendix:

“Part XXVII
“[*clause 2(aa)*]

**“MULTILATERAL INSTRUMENT 31-102
“NATIONAL REGISTRATION DATABASE**

“PART 1 DEFINITIONS AND INTERPRETATION

“1.1 Definitions

(1) In this Instrument:

‘authorized firm representative’ or **‘AFR’** means, for a firm filer, an individual with his or her own NRD user ID and who is authorized by the firm filer to submit information in NRD format for that firm filer and individual filers with respect to whom the firm filer is the sponsoring firm;

‘chief AFR’ means, for a firm filer, an individual who is an AFR and has accepted an appointment as a chief AFR by the firm filer;

‘firm filer’ means a person or company that is required under securities legislation to make an NRD submission in accordance with this Instrument and that is registered as, or has applied for registration as, a dealer, adviser, or underwriter;

'individual filer' means an individual that is required under securities legislation to make an NRD submission in accordance with this Instrument;

'MI 33-109' means Multilateral Instrument 33-109 Registration Information;

'National Registration Database' or **'NRD'** means the online electronic database of registration information regarding NRD filers and includes the computer system providing for the transmission, receipt, review and dissemination of that registration information by electronic means;

'NRD account' means an account with a member of the Canadian Payments Association from which fees may be paid with respect to NRD by electronic pre-authorized debit;

'NRD administrator' means CDS INC. or a successor appointed by the securities regulatory authority to operate NRD;

'NRD filer' means an individual filer or a firm filer;

'NRD format' means the electronic format for submitting information through the NRD website;

'NRD number' means the unique number first generated by NRD to identify an NRD filer, a non-registered individual, or a business location;

'NRD submission' means information that is submitted under securities legislation or securities directions in NRD format, or the act of submitting information under securities legislation or securities directions in NRD format, as the context requires;

'NRD website' means the website operated by the NRD administrator for the NRD submissions;

"1.2 Interpretation - Terms defined in MI 33-109 and used in this Instrument have the respective meanings ascribed to those terms in MI 33-109.

"PART 2 INFORMATION TO BE SUBMITTED IN NRD FORMAT

"2.1 Registration Information - A person or company that is required to submit any of the following to the securities regulatory authority or regulator must make the submission in NRD format:

1. Form 33-109F1 (Notice of Termination);
2. Form 33-109F2 (Change or Surrender of Individual Categories);
3. Form 33-109F3 (Business Locations Other Than Head Office);
4. Form 33-109F4 (Registration Information for an Individual) or a change to any information previously submitted in respect of Form 33-109F4.

“PART 3 MAKING NRD SUBMISSIONS**“3.1 NRD Submissions**

(1) An NRD filer that is required under securities legislation to submit information in NRD format must make that NRD submission:

- (a) through the NRD website;
- (b) using the NRD number of the NRD filer, non-registered individual, or business location; and
- (c) in accordance with this Instrument.

(2) A requirement in securities legislation relating to the format in which a document or other information to be submitted must be printed, or specifying the number of copies of a document that must be submitted, does not apply to an NRD submission required to be made in accordance with this Instrument.

(3) An NRD filer making an NRD submission must make the NRD submission through an AFR.

“3.2 Ongoing Firm Filer Requirements B A firm filer must:

- (a) be enrolled with the NRD administrator to use NRD;
- (b) have one and no more than one chief AFR enrolled with the NRD administrator;
- (c) maintain one and no more than one NRD account;
- (d) notify the NRD administrator of the appointment of a chief AFR within five business days of the appointment;
- (e) notify the NRD administrator of any change in the name of the firm's chief AFR within five business days of the change; and
- (f) submit any change in the name of an AFR, other than the firm's chief AFR, in NRD format within five business days of the change.

“PART 4 PAYMENT OF FEES THROUGH NRD**“4.1 Payment of Submission Fees**

(1) If a fee is required with respect to an NRD submission, a firm filer must pay the required fee by electronic pre-authorized debit through NRD.

(2) A payment under subsection (1) must be made from the firm filer's NRD account.

“4.2 Payment of Annual Registration Fees

(1) If a firm filer is required to pay an annual registration fee, the firm filer must pay the required fee by electronic pre-authorized debit through NRD.

(2) A payment under subsection (1) must be made from the firm filer's NRD account.

“4.3 Payment of NRD User Fees - Annual

- (1) If a firm filer is required to pay an annual NRD user fee, the firm filer must pay the required fee by electronic pre-authorized debit through NRD.
- (2) A payment under subsection (1) must be made from the firm filer’s NRD account.

“PART 5 TEMPORARY HARDSHIP EXEMPTION**“5.1 Temporary Hardship Exemption**

- (1) If unanticipated technical difficulties prevent an NRD filer from making a submission in NRD format within the time required under securities legislation, the NRD filer is exempt from the requirement to make the submission within the required time period, if the NRD filer makes the submission in paper format or NRD format no later than five business days after the day on which the information was required to be submitted.
- (2) Form 33-109F5 is the paper format for submitting a notice of a change to Form 33-109F4 information.
- (3) If unanticipated technical difficulties prevent an individual filer from submitting an application in NRD format, the individual filer may submit the application in paper format.
- (4) If an NRD filer makes a paper format submission under this section, the NRD filer must include the following legend in capital letters at the top of the first page of the submission:

IN ACCORDANCE WITH SECTION 5.1 OF MULTILATERAL INSTRUMENT 31-102 NATIONAL REGISTRATION DATABASE (NRD), THIS [SPECIFY DOCUMENT] IS BEING SUBMITTED IN PAPER FORMAT UNDER A TEMPORARY HARDSHIP EXEMPTION.

- (5) If an NRD filer makes a paper format submission under this section, the NRD filer must resubmit the information in NRD format as soon as practicable and in any event within 10 business days after the unanticipated technical difficulties have been resolved.

“PART 6 EXEMPTION**“6.1 Exemption**

- (1) The regulator or the securities regulatory authority may grant an exemption from this Instrument, in whole or in part, subject to such conditions or restrictions as may be imposed in the exemption.
- (2) Despite subsection (1), in Ontario only the regulator may grant such an exemption.

“PART 7 TRANSITION**“7.1 Definitions**

(1) In this Part:

‘NRD access date’ means, for an NRD firm filer, the date the NRD firm filer receives notice that it has access to NRD to make NRD submissions; and

‘transition firm’ means every dealer, adviser and underwriter that:

- (a) is a registered firm on February 3, 2003; or
- (b) is not a registered firm on February 3, 2003 and has applied for registration before March 31, 2003.

“7.2 NRD Enrolment For Transition Firms - A transition firm must enroll to use NRD by the later of:

- (a) February 7, 2003; and
- (b) the date that the firm has applied for registration.

“7.3 NRD Submissions before NRD Access Date - Despite any requirement in this Instrument to submit information in NRD format, a transition firm may submit information in paper format before the NRD access date.

“7.4 Accuracy of Business Location Information - If the information recorded on NRD for a business location of a transition firm is missing or inaccurate on the NRD access date, the transition firm must submit a completed Form 33-109F3 in NRD format in respect of that business location within 30 business days of the NRD access date.

“7.5 Individuals Included in the Data Transfer

(1) Except as provided in subsection (2), in respect of individuals who were recorded on NRD as registered or non-registered individuals of a transition firm on the NRD access date, the transition firm must submit completed Forms 33-109F4 in NRD format for

- (a) 5 percent of those individuals by the end of April 2004;
- (b) 10 percent of those individuals by the end of May 2004;
- (c) 15 percent of those individuals by the end of June 2004;
- (d) 20 percent of those individuals by the end of July 2004;
- (e) 25 percent of those individuals by the end of August 2004;
- (f) 30 percent of those individuals by the end of September 2004;
- (g) 35 percent of those individuals by the end of October 2004;
- (h) 40 percent of those individuals by the end of November 2004;
- (i) 45 percent of those individuals by the end of December 2004;
- (j) 50 percent of those individuals by the end of March 2005;
- (k) 55 percent of those individuals by the end of April 2005;

- (l) 60 percent of those individuals by the end of May 2005;
- (m) 65 percent of those individuals by the end of June 2005;
- (n) 70 percent of those individuals by the end of July 2005;
- (o) 75 percent of those individuals by the end of August 2005;
- (p) 80 percent of those individuals by the end of September 2005;
- (q) 85 percent of those individuals by the end of October 2005;
- (r) 90 percent of those individuals by the end of November 2005;
- (s) 95 percent of those individuals by the end of December 2005; and
- (t) all of those individuals by the end of March 2006.

(2) Despite subsection (1), a transition firm is not required to submit a completed Form 33-109F4 in respect of an individual if another firm has submitted a completed Form 33-109F4 in respect of the individual.

(3) A transition firm that is exempt under subsection (2) from the requirement to submit a completed Form 33-109F4 in respect of an individual must submit the individual's employment location information in NRD format by the end of March 2006.

“7.6 Individuals not Included in the Data Transfer

(1) Except as provided in subsection (2), a transition firm must submit a completed Form 33-109F4 in NRD format within 30 business days of the NRD access date for each individual who was not recorded on NRD on the NRD access date as a registered or non-registered individual of the firm and for whom the transition firm was the sponsoring firm on the NRD access date.

(2) Despite subsection (1), a transition firm is not required to submit a completed Form 33-109F4 in respect of an individual if another firm has submitted a completed Form 33-109F4 in respect of the individual.

(3) A transition firm that is exempt under subsection (2) from the requirement to submit a completed Form 33-109F4 in respect of an individual must submit the individual's employment location information in NRD format within 30 business days of the NRD access date.

“7.7 Changes to Form 4 Information - Registered Individuals - A registered individual who has submitted a completed Form 33-109F5 under section 8.5 of MI 33-109, must submit a completed Form 33-109F4 in NRD format by the later of 15 business days after:

- (a) the NRD access date of the individual's sponsoring firm; and
- (b) the date that the individual submitted the Form 33-109F5.

“7.8 Changes to Form 4 Information - Non-registered Individuals

(1) Except as provided in subsection (2), a transition firm that has submitted a completed Form 33-109F5 for a non-registered individual under section 8.7 of MI 33-109, must submit a completed Form 33-109F4 for the individual in NRD format by the later of 15 business days after:

- (a) the NRD access date; and
- (b) the date that the firm submitted the Form 33-109F5.

(2) Despite subsection (1), a transition firm is not required to submit a completed Form 33-109F4 in respect of an individual if another firm has submitted a completed Form 33-109F4 in respect of the individual.

(3) A transition firm that is exempt under subsection (2) from the requirement to submit a completed Form 33-109F4 in respect of an individual must submit the individual's employment location information in NRD format by the later of 15 business days after:

- (a) the NRD access date; and
- (b) the date that the firm submitted the Form 33-109F5.

“7.9 Pending Application to Change Individual's Registration Category

(1) If an individual submitted an application in paper format to change his or her category of registration and the category of registration applied for is not recorded with the individual's record on NRD on the NRD access date, the individual must:

- (a) submit a completed Form 33-109F4 in NRD format within 30 business days after the NRD access date of his or her sponsoring firm; and
- (b) resubmit the application to change his or her category of registration by submitting a completed Form 33-109F2 in NRD format within one business day of submitting the Form 33-109F4 under paragraph (a).

(2) Despite section 7.10, a Form 33-109F4 submitted under subsection (1) must contain the individual's categories of registration as they were recorded on NRD on the NRD access date.

“7.10 Currency of Form 33-109F4 - For greater certainty, except as provided under subsection 7.9(2), a completed Form 33-109F4 that is submitted under this Part must be current on the date that it is submitted despite any prior submission in paper format.

“7.11 Termination of Relationship - Despite a requirement under this Part to submit a completed Form 33-109F4, a transition firm is not required to submit a Form 33-109F4 in respect of an individual if the firm has submitted a completed Form 33-109F1 in respect of the individual in paper format before the firm's NRD access date or in NRD format after the firm's NRD access date.

“PART 8 EFFECTIVE DATE**“8.1 Effective Date**

- (1) Part 1, section 7.1 and section 7.2 come into force on February 3, 2003.
- (2) Except for Part 1, section 7.1 and section 7.2, this Instrument comes into force on March 31, 2003”.

(2) The following Part is added after Part XXVII of the Appendix:

“Part XXVIII
“[*clause 2(bb)*]

**“MULTILATERAL INSTRUMENT 33-109
“REGISTRATION INFORMATION**

“PART 1 DEFINITIONS**“1.1 Definitions**

- (1) In this Instrument:

‘Form 3’ means the required form for an application for registration as a dealer, adviser, or underwriter in the local jurisdiction;

‘Form 4’ means the form that was required for an application for registration for an individual in the local jurisdiction before February 21, 2003;

‘MI 31-102’ means Multilateral Instrument 31-102 National Registration Database;

‘non-registered individual’ means, for a registered firm or for a person or company that is applying for registration, an individual who is not registered to trade or advise on behalf of the firm and who:

- (a) is a director, partner, officer, or branch manager of the firm; or
- (b) in Alberta, British Columbia, and Ontario:
 - (i) is a director, partner, officer, or branch manager of the firm; or
 - (ii) beneficially owns, directly or indirectly, or exercises control or direction over, 10 percent or more of the voting securities of the firm;

‘NRD submission number’ means the unique number generated by NRD to identify each NRD submission;

‘registered firm’ means a person or company that is registered as a dealer, adviser, or underwriter;

‘registered individual’ means, for a registered firm, an individual who is registered to trade or advise on behalf of the registered firm;

'sponsoring firm' means:

- (a) for a registered individual, the registered firm on whose behalf the individual trades or advises,
- (b) for an individual applying for registration, the registered firm, or the person or company applying to become a registered firm, on whose behalf the individual proposes to trade or advise,
- (c) for a non-registered individual of a registered firm, the registered firm, or
- (d) for a non-registered individual of a person or company that is applying for registration, the person or company that is applying for registration.

"1.2 Interpretation - Terms defined in MI 31-102 and used in this Instrument have the respective meanings ascribed to those terms in MI 31-102.

"PART 2 APPLICATION FOR REGISTRATION

"2.1 Dealer, Adviser and Underwriter Registration - Except as provided in subsection 2.3(1), an applicant for registration as a dealer, adviser, or underwriter must submit to the regulator:

- (a) in paper format, a completed Form 3;
- (b) in accordance with MI 31-102, a completed Form 33-109F3 for each business location of the applicant, other than the applicant's head office; and
- (c) in accordance with MI 31-102, a completed Form 33-109F4 for each non-registered individual of the applicant who has not applied to become a registered individual with the applicant under subsection 2.2(1).

"2.2 Individual Registration

- (1) Except as provided in subsection (2) and subsection 2.3(2), an individual who applies for registration under securities legislation must make the application by submitting to the regulator in accordance with MI 31-102 a completed Form 33-109F4.
- (2) Despite subsection (1), a non-registered individual of a registered firm who applies to become a registered individual with the firm must make the application by submitting to the regulator in accordance with MI 31-102 a completed Form 33-109F2.

"2.3 Commodity Futures Act Registrants

- (1) In Manitoba and Ontario, if an applicant for registration under section 2.1 is registered under the *Commodity Futures Act*, the applicant:
 - (a) is not required to submit a completed Form 33-109F3 under subsection 2.1(b) for any business location of the applicant that is recorded on NRD; and
 - (b) is not required to submit a completed Form 33-109F4 under subsection 2.1(c) for a non-registered individual if the applicant submits to the regulator, in accordance with MI 31-102, a completed Form 33-109F2 for the individual.

(2) In Manitoba and Ontario, despite subsection 2.2(1), if an individual applies for registration under securities legislation and is recorded on NRD with his or her sponsoring firm as registered under the *Commodity Futures Act*, the individual must make the application by submitting to the regulator, in accordance with MI 31-102, a completed Form 33-109F2.

“PART 3 CHANGES TO REGISTERED FIRM INFORMATION

“3.1 Changes to Form 3 Information

(1) A registered firm must notify the regulator of a change to any information previously submitted in Form 3, or under this subsection, within five business days of the change.

(2) Except as provided in subsection (3), for the purposes of subsection (1), a notice of change must be made by submitting a completed Form 33-109F5 in paper format.

(3) Despite subsection (2), a notice of change under this section is not required to be in Form 33-109F5 if the change relates to:

(a) the addition of an officer, partner, or director to the registered firm, and if a completed Form 33-109F4 in respect of the officer, partner, or director is submitted under section 2.2 or 3.3;

(b) the resignation or termination of an officer, partner or director of the registered firm, and if a completed Form 33-109F1 is submitted under section 4.3 or 5.2; or

(c) a business location other than head office, and if a completed Form 33-109F3 is submitted under section 3.2.

“3.2 Changes to Business Locations

(1) A registered firm must notify the regulator of the opening of a business location, other than a new head office, by submitting in accordance with MI 31-102 a completed Form 33-109F3 within five business days of the opening.

(2) A registered firm must notify the regulator of a change to any information previously submitted in Form 33-109F3 by submitting in accordance with MI 31-102 a completed Form 33-109F3 within five business days of the change.

“3.3 Addition of Non-registered Individuals - A registered firm must submit to the regulator in accordance with MI 31-102 a completed Form 33-109F4 for a non-registered individual within five business days of the individual becoming a non-registered individual of the registered firm.

“PART 4 CHANGES TO REGISTERED INDIVIDUAL INFORMATION**“4.1 Changes to Form 33-109F4 Information**

(1) Except as provided in subsection (2), a registered individual must notify the regulator in accordance with MI 31-102 of a change to any information previously submitted in Form 33-109F4, or under this subsection, within five business days of the change.

(2) Despite subsection (1), a registered individual must notify the regulator in accordance with MI 31-102 of a change to information previously submitted in Item 3 or Item 8 of Form 33-109F4, or under this subsection, within one year of the change.

“4.2 Application to Change or Surrender Individual Registration Categories -

A registered individual of a registered firm who applies to change or surrender his or her registration category with the firm must make the application by submitting to the regulator in accordance with MI 31-102 a completed Form 33-109F2.

“4.3 Termination of Relationship - A registered firm must, within five business days of a termination of an employment, partner, or agency relationship with a registered individual, notify the regulator of the termination of the relationship by submitting in accordance with MI 31-102 a completed Form 33-109F1.

“PART 5 CHANGES TO NON-REGISTERED INDIVIDUAL INFORMATION**“5.1 Changes to Form 33-109F4 Information**

(1) Except as provided in subsections (2), (3), and (4), a registered firm must notify the regulator in accordance with MI 31-102 of a change to any information previously submitted in Form 33-109F4, or under this subsection, for a non-registered individual within five business days of the change.

(2) Despite subsection (1) and except as provided in subsection (4), a registered firm must notify the regulator in accordance with MI 31-102 of a change to information previously submitted in Item 3 of Form 33-109F4, or under this subsection, for a non-registered individual within one year of the change.

(3) Despite subsection (1) and except as provided in subsection (4), a registered firm must notify the regulator of a change to any information regarding a category of non-registered individual listed in Item 6 of Form 33-109F4 for a non-registered individual by submitting in accordance with MI 31-102 a completed Form 33-109F2 within five business days of the change.

(4) Despite subsections (1), (2), and (3), a registered firm is not required to notify the regulator of a change to information if another firm has notified the regulator of the change in accordance with MI 31-102 and within the required time.

“5.2 Termination of Relationship - A registered firm must, within five business days of an individual ceasing to be a non-registered individual of the registered firm, notify the regulator in accordance with MI 31-102 of the termination of the relationship by submitting a completed Form 33-109F1.

“PART 6 DUE DILIGENCE AND RECORD-KEEPING**“6.1 Sponsoring Firm Obligations**

- (1) A sponsoring firm must make reasonable efforts to ensure that information submitted by:
 - (a) the firm for a non-registered individual; or
 - (b) a registered individual, or an individual applying for registration, for whom the firm is the sponsoring firm, is true and complete.
- (2) A sponsoring firm must retain all documents used by the firm to satisfy its obligation under subsection (1):
 - (a) in the case of a non-registered individual, for a period of seven years after the individual ceases to be a non-registered individual; or
 - (b) in the case of a registered individual, or an individual applying for registration, for a period of seven years after the individual ceases to be a registered individual with the firm.
- (3) Without limiting the generality of subsection (2), if a registered individual, or an individual applying for registration, appoints an agent for service, the sponsoring firm must keep the original Appointment of Agent for Service executed by the individual for the period of time set out in clause (2)(b).
- (4) A sponsoring firm that retains a document under subsection (2) or (3) in respect of an NRD submission must record the NRD submission number on the document.

“PART 7 EXEMPTION**“7.1 Exemption**

- (1) The regulator or the securities regulatory authority may grant an exemption from this Instrument, in whole or in part, subject to such conditions or restrictions as may be imposed in the exemption.
- (2) Despite subsection (1), in Ontario only the regulator may grant such an exemption.

“PART 8 TRANSITION TO NRD**“8.1 Definitions**

- (1) In this Part:
 - ‘NRD access date’** means, for an NRD firm filer, the date the NRD firm filer receives notice that it has access to NRD to make NRD submissions; and
 - ‘NRD freeze period’** means the period that begins on the day specified in a notice of the securities regulatory authority and ends on the day that is five business days after the NRD access date.

“8.2 Changes to Form 3 Information - A notice of change under section 3.1 is not required during the NRD freeze period if the change relates to:

- (a) the addition of an officer, partner, or director to the registered firm, and if a completed Form 33-109F4 in respect of the officer, partner, or director is submitted in accordance with MI 31-102 within 30 business days of the NRD access date;
- (b) the resignation or termination of an officer, partner or director of the registered firm, and if a completed Form 33-109F1 is submitted in accordance with MI 31-102 within 30 business days of the NRD access date; or
- (c) a business location other than head office, and if a completed Form 33-109F3 is submitted in accordance with MI 31-102 within 30 business days of the NRD access date.

“8.3 Changes to Business Location - A registered firm is exempt from the requirement to make a submission under section 3.2 during the NRD freeze period, if the firm makes the submission in accordance with MI 31-102 within 30 business days of the NRD access date.

“8.4 Addition of Non-registered Individuals - A registered firm is exempt from the requirement to make a submission under section 3.3 during the NRD freeze period, if the firm makes the submission in accordance with MI 31-102 within 30 business days of the NRD access date.

“8.5 Changes to Form 4 Information - Registered Individuals

- (1) This section applies to a registered individual who has not submitted in accordance with MI 31-102 a completed Form 33-109F4.
- (2) A registered individual must notify the regulator of a change to any information previously submitted in Form 4, or under this subsection, by submitting a completed Form 33-109F5 in paper format within five business days of the change.
- (3) A registered individual who has submitted a completed Form 33-109F5 under subsection (2), must submit in accordance with section 7.7 of MI 31-102 a completed Form 33-109F4.

“8.6 Termination of Relationship - Registered Individuals - A registered firm is exempt from the requirement to make a submission under section 4.3 during the NRD freeze period, if the firm makes the submission in accordance with MI 31-102 within 30 business days of the NRD access date.

“8.7 Changes to Form 4 Information - Non-registered Individuals

- (1) This section applies to a registered firm that has not submitted in accordance with MI 31-102 a completed Form 33-109F4 for a non-registered individual.
- (2) A registered firm must notify the regulator of a change to any information previously submitted in Form 4 for a non-registered individual, or under this subsection, by submitting a completed Form 33-109F5 in paper format within five business days of the change.

(3) A registered firm that has submitted a completed Form 33-109F5 for a non-registered individual under subsection (2), must submit in accordance with section 7.8 of MI 31-102 a completed Form 33-109F4 for the non-registered individual.

“8.8 Termination of Relationship - Non-registered Individuals - A registered firm is exempt from the requirement to make a submission under section 5.2 during the NRD freeze period, if the firm makes the submission in accordance with MI 31-102 within 30 business days of the NRD access date.

“PART 9 EFFECTIVE DATE

“9.1 Effective Date - This Instrument comes into force on February 21, 2003.

“MULTILATERAL INSTRUMENT 33-109

“FORM 33-109F1

“NOTICE OF TERMINATION

Enter the following information using the online version of this submission at the NRD web site (www.nrd.ca). If the NRD filer is relying on the temporary hardship exemption in MI 31-102 this form is required to be delivered to the regulator in paper format.

1. Individual

Name of individual: _____

NRD number of individual: _____

2. Business location

Address of business location: _____

NRD number of business location: _____

3. Termination

Effective date of termination: _____

Indicate whether the individual: _____

- was dismissed for cause _____
- was dismissed in good standing _____
- resigned in good standing _____
- is deceased _____

Include details regarding any:

- unresolved client complaints:
- internal discipline matters:
- restrictions for violation of regulatory requirements:
- financial obligations the individual has to clients:

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 the administration and enforcement of certain provisions of the securities legislation in British Columbia, Alberta, Saskatchewan, Manitoba, Ontario, Nova Scotia, New Brunswick, Prince Edward Island, Newfoundland, Northwest Territories, Yukon Territory and Nunavut.

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 provided in Schedule "A".

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 NRD filer. By checking this box I certify that all statements of fact in this submission were provided to me by the NRD filer.

The following certification is 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 the notice 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 authorized officer or partner

Date

Firm name

SCHEDULE "A"	
Notice and collection and use of personal information	
<p>Alberta Alberta Securities Commission, 4th Floor, 300 B 5th Avenue S.W. Calgary, AB T2P 3C4 Attention: Information Officer Telephone: (403) 297-6454</p>	<p>British Columbia British Columbia Securities Commission P.O. 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>
<p>Manitoba The Manitoba Securities Commission 1130 - 405 Broadway Winnipeg, MB R3C 3L6 Attention: Director - Legal Telephone: (204) 945-4508</p>	<p>New Brunswick 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>
<p>Newfoundland and Labrador Securities Commission of Newfoundland and Labrador P.O. Box 8700, 2nd Floor, West Block Confederation Building St. John's, NF A1B 4J6 Attention: Director of Securities Telephone: (709) 729-4189</p>	<p>Nova Scotia Nova Scotia Securities Commission 2nd Floor, Joseph Howe Building 1690 Hollis Street P.O. Box 458 Halifax, NS B3J 3J9 Attention: Freedom of Information Officer Telephone: (902) 424-7768</p>
<p>Northwest Territories Government of the Northwest Territories P.O. Box 1320 Yellowknife, NWT X1A 2L9 Attention: Deputy Registrar of Securities Telephone: (867) 920-8984</p>	<p>Nunavut Legal Registries Division Department of Justice Government of Nunavut P.O. Box 1000 Station 570 Iqaluit, NU X0A 0H0 Attention: Deputy Registrar of Securities Telephone: (867) 975-6190</p>
<p>Ontario Ontario Securities Commission Suite 1903, Box 55 20 Queen Street West Toronto, ON M5H 3S8 Attention: FOI Coordinator Telephone: (416) 593-8314</p>	<p>Prince Edward Island Securities Registry Office of the Attorney General B Consumer, Corporate and Insurance Services Division P.O. Box 2000 Charlottetown, PE C1A 7N8 Attention: Deputy Registrar of Securities Telephone: (902) 368-4569</p>
<p>Québec Commission des valeurs mobilières du Québec Stock Exchange Tower P.O. Box 246, 22nd Floor 800 Victoria Square Montréal, PQ H4Z 1G3 Attention: Responsable de l'accès à l'information Telephone: (514) 940-2150 or (800) 361-5072 (in Québec)</p>	<p>Saskatchewan Saskatchewan Securities Commission 800 - 1920 Broad Street Regina, SK S4P 3V7 Attention: Director Telephone: (306) 787-5842</p>
<p>Yukon Department of Community Services Yukon P.O. Box 2703 Whitehorse, YU Y1A 2C6 Attention: Registrar of Securities Telephone: (867) 667-5225</p>	

“MULTILATERAL INSTRUMENT 33-109
“FORM 33-109F2
“CHANGE OR SURRENDER OF INDIVIDUAL CATEGORIES

Enter the following information using the online version of this submission at the NRD web site (www.nrd.ca). If the NRD filer is relying on the temporary hardship exemption in MI 31-102 this form is required to be delivered to the regulator in paper format.

1. Individual

Name of individual: _____

NRD number of individual: _____

2. Individual categories

Indicate the individual categories that the individual is adding or removing:

3. Details of surrender

If the individual is surrendering his or her registration include details regarding any:

- unresolved client complaints:
- internal discipline matters:
- restrictions for violation of regulatory requirements that occurred at any time during the individual's employment with the firm:
- financial obligations the individual has to clients:

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 the administration and enforcement of certain provisions of the securities legislation in British Columbia, Alberta, Saskatchewan, Manitoba, Ontario, Nova Scotia, New Brunswick, Prince Edward Island, Newfoundland, Northwest Territories, Yukon Territory and Nunavut.

By submitting this information you consent to the collection by the securities regulatory authority of the personal information provided above, 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 the information submitted above including your continued fitness for registration, if applicable, 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.

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 provided in Schedule "A".

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 non-registered 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 non-registered individual. I certify that I have, or a branch manager or another officer or partner has, discussed the questions set out in this form and I am satisfied that the individual fully understands the questions.

Signature of authorized officer or partner

Date

Firm name

SCHEDULE "A"	
Notice and collection and use of personal information	
<p>Alberta Alberta Securities Commission, 4th Floor, 300 B 5th Avenue S.W. Calgary, AB T2P 3C4 Attention: Information Officer Telephone: (403) 297-6454</p>	<p>British Columbia British Columbia Securities Commission P.O. 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>
<p>Manitoba The Manitoba Securities Commission 1130 - 405 Broadway Winnipeg, MB R3C 3L6 Attention: Director - Legal Telephone: (204) 945-4508</p>	<p>New Brunswick 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>
<p>Newfoundland and Labrador Securities Commission of Newfoundland and Labrador P.O. Box 8700, 2nd Floor, West Block Confederation Building St. John's, NF A1B 4J6 Attention: Director of Securities Telephone: (709) 729-4189</p>	<p>Nova Scotia Nova Scotia Securities Commission 2nd Floor, Joseph Howe Building 1690 Hollis Street P.O. Box 458 Halifax, NS B3J 3J9 Attention: Freedom of Information Officer Telephone: (902) 424-7768</p>
<p>Northwest Territories Government of the Northwest Territories P.O. Box 1320 Yellowknife, NWT X1A 2L9 Attention: Deputy Registrar of Securities Telephone: (867) 920-8984</p>	<p>Nunavut Legal Registries Division Department of Justice Government of Nunavut P.O. Box 1000 Station 570 Iqaluit, NU X0A 0H0 Attention: Deputy Registrar of Securities Telephone: (867) 975-6190</p>
<p>Ontario Ontario Securities Commission Suite 1903, Box 55 20 Queen Street West Toronto, ON M5H 3S8 Attention: FOI Coordinator Telephone: (416) 593-8314</p>	<p>Prince Edward Island Securities Registry Office of the Attorney General B Consumer, Corporate and Insurance Services Division P.O. Box 2000 Charlottetown, PE C1A 7N8 Attention: Deputy Registrar of Securities Telephone: (902) 368-4569</p>
<p>Québec Commission des valeurs mobilières du Québec Stock Exchange Tower P.O. Box 246, 22nd Floor 800 Victoria Square Montréal, PQ H4Z 1G3 Attention: Responsable de l'accès à l'information Telephone: (514) 940-2150 or (800) 361-5072 (in Québec)</p>	<p>Saskatchewan Saskatchewan Securities Commission 800 - 1920 Broad Street Regina, SK S4P 3V7 Attention: Director Telephone: (306) 787-5842</p>
<p>Yukon Department of Community Services Yukon P.O. Box 2703 Whitehorse, YU Y1A 2C6 Attention: Registrar of Securities Telephone: (867) 667-5225</p>	

**“MULTILATERAL INSTRUMENT 33-109
“FORM 33-109F3
“BUSINESS LOCATIONS OTHER THAN HEAD OFFICE**

Enter the following information using the online version of this submission at the NRD web site (www.nrd.ca). If the NRD filer is relying on the temporary hardship exemption in MI 31-102 this form is required to be delivered to the regulator in paper format.

Please select one box:

- This form is being submitted to notify the regulator of the opening of this business location. Complete the entire form.
- This form is being submitted to notify the regulator of the closing of this business location. Complete the entire form.
- This form is being submitted to notify the regulator of the change of information previously submitted in respect of this business location. Complete the entire form and describe the information that has changed (for example, “telephone number” or “type of business location”):

1. Type of business location

_____ branch
_____ sub-branch

2. Supervisor or branch manager

NRD number of the designated supervisor or branch manager: _____

Name of designated supervisor or branch manager: _____

3. Business location information

Business address: _____

Telephone number: () _____

Facsimile number: () _____

Mailing address (if different from business address): _____

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 the administration and enforcement of certain provisions of the securities legislation in British Columbia, Alberta, Saskatchewan, Manitoba, Ontario, Nova Scotia, New Brunswick, Prince Edward Island, Newfoundland, Northwest Territories, Yukon Territory and Nunavut.

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 provided in Schedule “A”.

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 NRD filer. By checking this box I certify that all statements of fact in this submission were provided to me by the NRD filer.

The following certification is 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 notice 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 authorized officer or partner

Date

Firm name

SCHEDULE "A"	
Notice and collection and use of personal information	
<p>Alberta Alberta Securities Commission, 4th Floor, 300 B 5th Avenue S.W. Calgary, AB T2P 3C4 Attention: Information Officer Telephone: (403) 297-6454</p>	<p>British Columbia British Columbia Securities Commission P.O. 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>
<p>Manitoba The Manitoba Securities Commission 1130 - 405 Broadway Winnipeg, MB R3C 3L6 Attention: Director - Legal Telephone: (204) 945-4508</p>	<p>New Brunswick 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>
<p>Newfoundland and Labrador Securities Commission of Newfoundland and Labrador P.O. Box 8700, 2nd Floor, West Block Confederation Building St. John's, NF A1B 4J6 Attention: Director of Securities Telephone: (709) 729-4189</p>	<p>Nova Scotia Nova Scotia Securities Commission 2nd Floor, Joseph Howe Building 1690 Hollis Street P.O. Box 458 Halifax, NS B3J 3J9 Attention: Freedom of Information Officer Telephone: (902) 424-7768</p>
<p>Northwest Territories Government of the Northwest Territories P.O. Box 1320 Yellowknife, NWT X1A 2L9 Attention: Deputy Registrar of Securities Telephone: (867) 920-8984</p>	<p>Nunavut Legal Registries Division Department of Justice Government of Nunavut P.O. Box 1000 Station 570 Iqaluit, NU X0A 0H0 Attention: Deputy Registrar of Securities Telephone: (867) 975-6190</p>
<p>Ontario Ontario Securities Commission Suite 1903, Box 55 20 Queen Street West Toronto, ON M5H 3S8 Attention: FOI Coordinator Telephone: (416) 593-8314</p>	<p>Prince Edward Island Securities Registry Office of the Attorney General B Consumer, Corporate and Insurance Services Division P.O. Box 2000 Charlottetown, PE C1A 7N8 Attention: Deputy Registrar of Securities Telephone: (902) 368-4569</p>
<p>Québec Commission des valeurs mobilières du Québec Stock Exchange Tower P.O. Box 246, 22nd Floor 800 Victoria Square Montréal, PQ H4Z 1G3 Attention: Responsable de l'accès à l'information Telephone: (514) 940-2150 or (800) 361-5072 (in Québec)</p>	<p>Saskatchewan Saskatchewan Securities Commission 800 - 1920 Broad Street Regina, SK S4P 3V7 Attention: Director Telephone: (306) 787-5842</p>
<p>Yukon Department of Community Services Yukon P.O. Box 2703 Whitehorse, YU Y1A 2C6 Attention: Registrar of Securities Telephone: (867) 667-5225</p>	

**“MULTILATERAL INSTRUMENT 33-109
“FORM 33-109F4
“REGISTRATION INFORMATION FOR AN INDIVIDUAL**

FORM 33-109F4 REGISTRATION INFORMATION FOR AN INDIVIDUAL
SUBMISSION TO NRD
<p>Enter the following information using the online version of this submission at the NRD web site (www.nrd.ca). If the NRD filer is relying on the temporary hardship exemption in MI 31-102 this form is required to be delivered to the regulator in paper format.</p> <p>INSTRUCTIONS FOR FILING IN PAPER FORMAT</p> <ol style="list-style-type: none"> 1. This form is to be used by every individual seeking registration from a securities regulatory authority or a self-regulatory organization or who is a non-registered individual with a registered firm or a firm seeking registration. 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. Failure to answer all applicable questions may cause delays in the processing of the application form. 4. This form must be legible. 5. To complete the application, individuals should seek advice from an authorized officer of the sponsoring firm or from a legal adviser. 6. The number of originally-signed copies of the form to be filed with the self-regulatory organization and/or securities regulatory authority or similar authority varies from province to province. If unsure of the procedure, please consult the Registration Department of the self-regulatory organization to which you are applying or the applicable securities regulatory authority, or similar authority.
Item 1 - Name
1. Legal name
<p>_____</p> <p align="center"><i>Last name</i> <i>First name</i> <i>Second name</i> <i>Third name</i> <i>(if applicable)</i> <i>(if applicable)</i></p>
2. Other names
<p>Are you currently, or have you previously been, known by a name other than the name provided above? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If “Yes”, complete Schedule “A”.</p>

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: _____ (YYYY/MM/DD)	Place of birth: _____ (city, province, territory or state, country)
Gender: <input type="checkbox"/> Female <input type="checkbox"/> Male	Colour of eyes: Colour of hair:
Height: imperial units: _____ OR _____ metric units:	
Weight: imperial units: _____ OR _____ metric units:	
Item 4 - Citizenship	
Citizenship information	
What is your citizenship?	
<input type="checkbox"/> Canadian <input type="checkbox"/> Other, specify: _____	
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.	
Passport number: _____	Country of citizenship: _____
Date of issue: _____ (YYYY/MM/DD)	
Place of issue: _____ (city, province, territory or state, country)	

Item 5 - Registration jurisdictions		
Jurisdictions		
Indicate, by checking the appropriate box, each province or territory to which you are submitting this form:		
<input type="checkbox"/> Alberta	<input type="checkbox"/> Northwest Territories	<input type="checkbox"/> Prince Edward Island
<input type="checkbox"/> British Columbia	<input type="checkbox"/> Nova Scotia	<input type="checkbox"/> Québec
<input type="checkbox"/> Manitoba	<input type="checkbox"/> Nunavut	<input type="checkbox"/> Saskatchewan
<input type="checkbox"/> New Brunswick	<input type="checkbox"/> Ontario	<input type="checkbox"/> Yukon Territory
<input type="checkbox"/> Newfoundland		
Item 6 - Individual categories		
Categories		
Indicate, by checking the appropriate box in Schedule "C", each registration category for which you are applying. If you are a non-registered individual and you are not applying for registration, indicate each category that describes your position with your sponsoring firm.		
Item 7 - Address and agent 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 non-registered individual. A post office box is not an acceptable address for service. Complete Schedule "D" for each additional address for service you are providing.		
Address for service: _____ (number, street, city, province or territory, postal code)		
Telephone number: () _____ Fax number: () _____		
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 any agent named below.		
Name of agent for service: _____		
Contact person: _____ <i>Last name</i> <i>First name</i>		

Item 8 - Proficiency
1. Course or examination information
Complete Schedule "E" to indicate each course and examination that you have successfully completed or for which you have received an exemption. 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.
2. Student numbers
If you have a student number with one of the following institutions, provide it below: Canadian Securities Institute (CSI): _____ Investment Funds Institute of Canada (IFIC): _____ Institute of Canadian Bankers (ICB): _____ Association for Investment Management and Research (AIMR): _____ Canadian Association of Insurance and Financial Advisors (CAIFA): _____
3. Exemption refusal
Has any securities regulatory authority or self-regulatory organization refused to grant you an exemption from a course, examination or experience requirement? <input type="checkbox"/> Yes <input type="checkbox"/> No If "Yes", complete Schedule "F".
Item 9 - 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: _____ <i>(number, street, city, province, territory or state, country, postal code)</i> Telephone number: () _____ Fax number: () _____ <input type="checkbox"/> Check here if the mailing address of the location is the same as the business address provided above. Otherwise, complete the following: Mailing address: _____ <i>(number, street, city, province, territory or state, country, postal code)</i>

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. <input type="checkbox"/> 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. <input type="checkbox"/> Check here if you are not required under securities legislation to provide this information. <input type="checkbox"/> Check here if the information required by this section has been provided in Item 10.
Item 12 - Resignations and terminations
Resignation and termination information
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? <input type="checkbox"/> Yes <input type="checkbox"/> No b) failed to supervise in connection with investment related statutes, regulations, rules or industry standards of conduct? <input type="checkbox"/> Yes <input type="checkbox"/> No c) committed fraud or the wrongful taking of property? <input type="checkbox"/> Yes <input type="checkbox"/> No If "Yes", to any of the above questions, complete Schedule "T".
Item 13 - Regulatory disclosure
1. Securities regulatory authorities
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? <input type="checkbox"/> Yes <input type="checkbox"/> No If "Yes", complete Schedule "J", section 1(a).

<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? <input type="checkbox"/> Yes <input type="checkbox"/> 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 any province, territory, state or country? <input type="checkbox"/> Yes <input type="checkbox"/> 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? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If "Yes", complete Schedule "J", section 1(d).</p>
<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? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If "Yes", complete Schedule "J", section 1(e).</p>

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 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 in 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 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

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).

<p>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? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If “Yes”, complete Schedule “K”, section (c).</p>
<p>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? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If “Yes”, complete Schedule “K”, section (d).</p>
<p>Item 15 - Civil disclosure</p>
<p>Current and past civil proceedings</p>
<p>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? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If “Yes”, complete Schedule “L”, section (a).</p>
<p>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? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If “Yes”, complete Schedule “L”, section (b).</p>

Item 16 - Financial 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? <input type="checkbox"/> Yes <input type="checkbox"/> No
b) made a proposal under any legislation relating to bankruptcy or insolvency? <input type="checkbox"/> Yes <input type="checkbox"/> No
c) been subject to proceedings under any legislation relating to the winding up, dissolution or companies' creditors arrangement? <input type="checkbox"/> Yes <input type="checkbox"/> No
d) 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)? <input type="checkbox"/> Yes <input type="checkbox"/> No
If "Yes" to any of the above questions, complete Schedule "M", section 1.
2. Debt obligations
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
If "Yes", complete Schedule "M", section 2.
3. Surety bond or fidelity bond
Have you ever applied for a surety or fidelity bond and been refused? <input type="checkbox"/> Yes <input type="checkbox"/> No
If "Yes", complete Schedule "M", section 3.
4. Garnishments, unsatisfied judgments or directions to pay
Are there currently, or have there been, outstanding against you any of the following:
a) garnishments;
b) unsatisfied judgments; or
c) directions to pay;
issued by a federal, provincial, territorial or state authority? <input type="checkbox"/> Yes <input type="checkbox"/> No
If "Yes", complete Schedule "M", section 4.

Item 17 - Related securities firms**Related securities firms and holdings**

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)? Yes No

If "Yes", complete Schedule "N".

AGENT FOR SERVICE

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.

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, 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.

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).

You certify that you have discussed the requirements of this application with an officer, partner or branch manager of your sponsoring member firm and, to your knowledge and belief, the officer, partner or branch manager is satisfied that you fully understand the requirements. You further certify that your business activities will be limited to those permitted by the category of your registration or approval.

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.

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 non-registered 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 non-registered 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 <input type="checkbox"/> 2	
Previous addresses	
A postal code (or ZIP code) and a telephone number are not required for any previous address.	
Residential address: _____ <i>(number, street, city, province, territory or state, country)</i>	
When did you live at this address?	From: _____ To: _____ <i>(YYYY/MM) (YYYY/MM)</i>
Residential address: _____ <i>(number, street, city, province, territory or state, country)</i>	
When did you live at this address?	From: _____ To: _____ <i>(YYYY/MM) (YYYY/MM)</i>
Residential address: _____ <i>(number, street, city, province, territory or state, country)</i>	
When did you live at this address?	From: _____ To: _____ <i>(YYYY/MM) (YYYY/MM)</i>
Residential address: _____ <i>(number, street, city, province, territory or state, country)</i>	
When did you live at this address?	From: _____ To: _____ <i>(YYYY/MM) (YYYY/MM)</i>
Residential address: _____ <i>(number, street, city, province, territory or state, country)</i>	
When did you live at this address?	From: _____ To: _____ <i>(YYYY/MM) (YYYY/MM)</i>

SCHEDULE "C"	
Individual categories	
Item <input type="checkbox"/> 6	
Categories	
Indicate, by checking the appropriate box, each category for which you are applying.	
Alberta	
<input type="checkbox"/> Salesperson <input type="checkbox"/> Officer (Trading) <input type="checkbox"/> Officer (Non-Trading) <input type="checkbox"/> Partner (Trading) <input type="checkbox"/> Partner (Non-Trading) <input type="checkbox"/> Director <input type="checkbox"/> Shareholder	<input type="checkbox"/> Branch Manager <input type="checkbox"/> Officer (Advising) <input type="checkbox"/> Officer (Non-Advising) <input type="checkbox"/> Junior Officer (Advising) <input type="checkbox"/> Partner (Advising) <input type="checkbox"/> Partner (Non-Advising)
British Columbia	
<input type="checkbox"/> Salesperson <input type="checkbox"/> Officer (Trading) <input type="checkbox"/> Officer (Non-Trading) <input type="checkbox"/> Partner (Trading) <input type="checkbox"/> Partner (Non-Trading) <input type="checkbox"/> Director (Trading) <input type="checkbox"/> Director (Non-Trading) <input type="checkbox"/> Compliance Officer <input type="checkbox"/> Shareholder	<input type="checkbox"/> Branch Manager <input type="checkbox"/> Officer (Advising) <input type="checkbox"/> Officer (Non-Advising) <input type="checkbox"/> Partner (Advising) <input type="checkbox"/> Partner (Non-Advising) <input type="checkbox"/> Director (Advising) <input type="checkbox"/> Director (Non-Advising) <input type="checkbox"/> Advising Employee
Manitoba	
<input type="checkbox"/> Salesperson <input type="checkbox"/> Officer (Trading) <input type="checkbox"/> Officer (Non-Trading) <input type="checkbox"/> Partner (Trading) <input type="checkbox"/> Partner (Non-Trading) <input type="checkbox"/> Director (Trading) <input type="checkbox"/> Director (Non-Trading) <input type="checkbox"/> Branch Manager <input type="checkbox"/> Advising Officer <input type="checkbox"/> Advising Partner <input type="checkbox"/> Advising Director <input type="checkbox"/> Non-Advising Officer <input type="checkbox"/> Non-Advising Partner <input type="checkbox"/> Non-Advising Director	<input type="checkbox"/> Advising Employee <input type="checkbox"/> Associate Advising Officer <input type="checkbox"/> Associate Advising Partner <input type="checkbox"/> Associate Advising Director <input type="checkbox"/> Associate Advising Employee <input type="checkbox"/> Non-trading <input type="checkbox"/> Officer <input type="checkbox"/> Partner <input type="checkbox"/> Futures Contract Portfolio Manager <input type="checkbox"/> Associate Futures Contracts Portfolio Manager <input type="checkbox"/> Floor Trader <input type="checkbox"/> Floor Broker <input type="checkbox"/> Local <input type="checkbox"/> Adviser
New Brunswick	
<input type="checkbox"/> Salesperson <input type="checkbox"/> Officer (Trading) <input type="checkbox"/> Officer (Non-Trading) <input type="checkbox"/> Partner (Trading) <input type="checkbox"/> Partner (Non-Trading) <input type="checkbox"/> Director	<input type="checkbox"/> Shareholder <input type="checkbox"/> Compliance Officer <input type="checkbox"/> Officer (Advising) <input type="checkbox"/> Officer (Non-Advising) <input type="checkbox"/> Junior Officer (Advising) <input type="checkbox"/> Partner (Advising) <input type="checkbox"/> Partner (Non-Advising)

Item <input type="checkbox"/> 6 (<i>continued</i>)	
Newfoundland	
<input type="checkbox"/> Salesperson <input type="checkbox"/> Officer (Trading) <input type="checkbox"/> Officer (Non-Trading) <input type="checkbox"/> Director <input type="checkbox"/> Shareholder <input type="checkbox"/> Partner (Trading) <input type="checkbox"/> Partner (Non-Trading) <input type="checkbox"/> Branch Manager	<input type="checkbox"/> Officer (Advising) <input type="checkbox"/> Officer (Non-Advising) <input type="checkbox"/> Director <input type="checkbox"/> Shareholder <input type="checkbox"/> Partner (Advising) <input type="checkbox"/> Partner (Non-Advising) <input type="checkbox"/> Branch Manager
Northwest Territories	
<input type="checkbox"/> Salesperson <input type="checkbox"/> Officer (Trading) <input type="checkbox"/> Officer (Non-Trading) <input type="checkbox"/> Director <input type="checkbox"/> Partner (Trading) <input type="checkbox"/> Partner (Non-Trading) <input type="checkbox"/> Sole Proprietor	<input type="checkbox"/> Shareholder <input type="checkbox"/> Branch Manager <input type="checkbox"/> Representative (Advising) <input type="checkbox"/> Officer (Advising) <input type="checkbox"/> Officer (Non-Advising) <input type="checkbox"/> Partner (Advising) <input type="checkbox"/> Partner (Non-Advising)
Nova Scotia	
<input type="checkbox"/> Salesperson <input type="checkbox"/> Officer (Trading) <input type="checkbox"/> Officer (Non-Trading) <input type="checkbox"/> Sole Proprietor (Trading) <input type="checkbox"/> Director <input type="checkbox"/> Partner (Trading)	<input type="checkbox"/> Partner (Non-Trading) <input type="checkbox"/> Officer (Advising) <input type="checkbox"/> Officer (Non-Advising) <input type="checkbox"/> Associate Partner <input type="checkbox"/> Partner (Advising) <input type="checkbox"/> Partner (Non-Advising) <input type="checkbox"/> Sole Proprietor (Advising)
Nunavut	
<input type="checkbox"/> Salesperson <input type="checkbox"/> Officer (Trading) <input type="checkbox"/> Officer (Non-Trading) <input type="checkbox"/> Director <input type="checkbox"/> Partner (Trading) <input type="checkbox"/> Partner (Non-Trading) <input type="checkbox"/> Sole Proprietor	<input type="checkbox"/> Shareholder <input type="checkbox"/> Branch Manager <input type="checkbox"/> Representative (Advising) <input type="checkbox"/> Officer (Advising) <input type="checkbox"/> Officer (Non-Advising) <input type="checkbox"/> Partner (Advising) <input type="checkbox"/> Partner (Non-Advising)

Item <input type="checkbox"/> 6 (<i>continued</i>)	
Ontario	
Except as indicated the following categories are available under the <i>Securities Act</i> and the <i>Commodity Futures Act</i> .	
<input type="checkbox"/> Floor Trader <input type="checkbox"/> Salesperson <input type="checkbox"/> Officer (Trading) <input type="checkbox"/> Officer (Non-Trading) <input type="checkbox"/> Partner (Trading) <input type="checkbox"/> Partner (Non-Trading) <input type="checkbox"/> Sole Proprietor (Trading) <input type="checkbox"/> Director <input type="checkbox"/> Advising Representative <input type="checkbox"/> Associate Advising Representative <i>(Securities Act category only)</i>	<input type="checkbox"/> Officer (Advising) <input type="checkbox"/> Officer (Non-Advising) <input type="checkbox"/> Associate Officer (<i>Securities Act</i> category only) <input type="checkbox"/> Partner (Advising) <input type="checkbox"/> Partner (Non-Advising) <input type="checkbox"/> Associate Partner (<i>Securities Act</i> category only) <input type="checkbox"/> Sole Proprietor (Advising) <input type="checkbox"/> Shareholder
Prince Edward Island	
<input type="checkbox"/> Salesperson <input type="checkbox"/> Officer (Trading) <input type="checkbox"/> Officer (Non-Trading) <input type="checkbox"/> Partner (Trading) <input type="checkbox"/> Partner (Non-Trading) <input type="checkbox"/> Director <input type="checkbox"/> Shareholder	<input type="checkbox"/> Branch Manager <input type="checkbox"/> Compliance Officer <input type="checkbox"/> Counselling Officer (Officer) <input type="checkbox"/> Counselling Officer (Partner) <input type="checkbox"/> Counselling Officer (Other) <input type="checkbox"/> Officer (Non-Advising) <input type="checkbox"/> Partner (Non-Advising)
Québec	
Dealer	Adviser
<input type="checkbox"/> Salesperson (representative) <input type="checkbox"/> Officer <input type="checkbox"/> Partner <input type="checkbox"/> Director <input type="checkbox"/> Director (Non-Industry) <input type="checkbox"/> Branch Manager	<input type="checkbox"/> Representative (Advising) <input type="checkbox"/> Officer <input type="checkbox"/> Partner <input type="checkbox"/> Director <input type="checkbox"/> Director (Non-Industry) <input type="checkbox"/> Branch Manager
Saskatchewan	
<input type="checkbox"/> Salesperson <input type="checkbox"/> Officer (Trading) <input type="checkbox"/> Officer (Non-Trading) <input type="checkbox"/> Partner (Trading) <input type="checkbox"/> Partner (Non-Trading)	<input type="checkbox"/> Director <input type="checkbox"/> Employee (Advising) <input type="checkbox"/> Officer (Advising) <input type="checkbox"/> Officer (Non-Advising) <input type="checkbox"/> Partner (Advising) <input type="checkbox"/> Partner (Non-Advising)
Yukon	
<input type="checkbox"/> Salesperson <input type="checkbox"/> Officer (Trading) <input type="checkbox"/> Officer (Non-Trading) <input type="checkbox"/> Partner (Trading) <input type="checkbox"/> Partner (Non-Trading) <input type="checkbox"/> Director <input type="checkbox"/> Sole Proprietor (Trading)	<input type="checkbox"/> Branch Manager <input type="checkbox"/> Shareholder <input type="checkbox"/> Officer (Advising) <input type="checkbox"/> Officer (Non-Advising) <input type="checkbox"/> Partner (Advising) <input type="checkbox"/> Partner (Non-Advising) <input type="checkbox"/> Sole Proprietor (Advising)

Item <input type="checkbox"/> 6 (<i>continued</i>)	
Investment Dealers Association of Canada	
<input type="checkbox"/> Partner (Industry)	<input type="checkbox"/> Investment Representative Options (Non-Retail)
<input type="checkbox"/> Partner (Non-Industry)	<input type="checkbox"/> Investment Futures Contract Representative Options (Retail)
<input type="checkbox"/> Director (Industry)	<input type="checkbox"/> Investment Futures Contract Representative Options (Non-Retail)
<input type="checkbox"/> Director (Non-Industry)	<input type="checkbox"/> Registered Representative (Mutual Funds)
<input type="checkbox"/> Officer (Trading)	<input type="checkbox"/> Registered Representative (Retail)
<input type="checkbox"/> Officer (Non-Trading)	<input type="checkbox"/> Registered Representative (Non-Retail)
<input type="checkbox"/> Industry Investor	<input type="checkbox"/> Registered Representative Options (Retail)
<input type="checkbox"/> Non-Industry Investor	<input type="checkbox"/> Registered Representative Options (Non-Retail)
<input type="checkbox"/> Chief Compliance Officer	<input type="checkbox"/> Registered Futures Contract Representative Options (Retail)
<input type="checkbox"/> Ultimate Designated Person	<input type="checkbox"/> Registered Futures Contract Representative Options (Non-Retail)
<input type="checkbox"/> Alternate Designated Person	<input type="checkbox"/> Trader – CATS
<input type="checkbox"/> Designated Registered Options Principal	<input type="checkbox"/> Trader – TradeCDNX
<input type="checkbox"/> Alternate Registered Options Principal	<input type="checkbox"/> Trader – Commodity Floor Trader
<input type="checkbox"/> Designated Registered Futures Options Principal	<input type="checkbox"/> Associate Portfolio Manager – Securities
<input type="checkbox"/> Alternate Registered Futures Options Principal	<input type="checkbox"/> Associate Portfolio Manager – Security Options
<input type="checkbox"/> Sales Manager	<input type="checkbox"/> Associate Portfolio Manager – Commodity Futures Options
<input type="checkbox"/> Branch Manager	<input type="checkbox"/> Portfolio Manager – Securities
<input type="checkbox"/> Co-Branch Manager	<input type="checkbox"/> Portfolio Manager – Security Options
<input type="checkbox"/> Assistant Branch Manager	<input type="checkbox"/> Portfolio Manager – Commodity Futures Options
<input type="checkbox"/> Futures Contract Options Supervisor	
<input type="checkbox"/> Investment Representative (Mutual Funds)	
<input type="checkbox"/> Investment Representative (Retail)	
<input type="checkbox"/> Investment Representative (Non-Retail)	
<input type="checkbox"/> Investment Representative Options (Retail)	

SCHEDULE "D"	
Address and Agent for Service	
Item <input type="checkbox"/> 7	
Address 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 non-registered individual. A post office box is not an acceptable address for service.</p> <p>Address for service: _____ <i>(number, street, city, province or territory, postal code)</i></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 the agent named below.</p> <p>Name of agent for service: _____ <i>(if applicable)</i></p> <p>Contact person: _____ <i>Last name</i> <i>First name</i></p>	

SCHEDULE "E"		
Proficiency		
Item <input type="checkbox"/> 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 (Quebec 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		

Item <input type="checkbox"/> 8 (continued)		
COURSE OR EXAMINATION	DATE COMPLETED	DATE EXEMPTED AND BY WHICH JURISDICTION OR REGULATOR (YYYY/MM/DD)
Certified Financial Planners Program		
Chartered Financial Analyst Charger		
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		

Item <input type="checkbox"/> 8 (continued)		
COURSE OR EXAMINATION	DATE COMPLETED	DATE EXEMPTED AND BY WHICH JURISDICTION OR REGULATOR (YYYY/MM/DD)
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 <input type="checkbox"/> 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 "H"	
Previous employment	
Item <input type="checkbox"/> 11	
Employment information	
<p>Provide the information requested for your previous business and employment activities for the ten-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.</p> <p>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.</p> <p><input type="checkbox"/> Unemployed</p> <p><input type="checkbox"/> Full-time student</p> <p><input type="checkbox"/> Employed or self-employed</p> <p>From: _____ To: _____ (YYYY/MM/DD) (YYYY/MM/DD)</p> <p>You are only required to fill in the following if you have indicated above that you are, or were, employed or self-employed.</p> <p>Name of business or employer: _____ _____</p> <p>Address of business or employer: _____ _____ (number, street, city, province, territory or state, country)</p> <p>Name and title of immediate supervisor: _____</p> <p>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):</p>	

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 <input type="checkbox"/> 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.

Item <input type="checkbox"/> 13 (<i>continued</i>)
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 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 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 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 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 <input type="checkbox"/> 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 <input type="checkbox"/> 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 judgments or directions to pay	
For each garnishment, unsatisfied judgment or direction to pay, indicate below (1) the amount that was owing at the time the garnishment, judgment 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 <input type="checkbox"/> 17	
Section 1 - Related securities firms and holdings	
Indicate below (a) the name of the firm and (b) your relationship to the firm.	
a) Firm name: _____	
b) Relationship to the firm and period of relationship:	
<input type="checkbox"/> Partner	From: _____ To: _____ (if applicable) (YYYY/MM) (YYYY/MM)
<input type="checkbox"/> Director	From: _____ To: _____ (if applicable) (YYYY/MM) (YYYY/MM)
<input type="checkbox"/> Officer	From: _____ To: _____ (if applicable) (YYYY/MM) (YYYY/MM)
<input type="checkbox"/> Holder of voting securities over 10 percent	From: _____ To: _____ (if applicable) (YYYY/MM) (YYYY/MM)
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:	

Item 17 (*continued*)

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, 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 (if applicable)	Third name (if applicable)
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j) Residential address: _____

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

k) Occupation:

SCHEDULE "O"	
Notice and collection and use of personal information	
<p>Alberta Alberta Securities Commission, 4th Floor, 300 B 5th Avenue S.W. Calgary, AB T2P 3C4 Attention: Information Officer Telephone: (403) 297-6454</p>	<p>British Columbia British Columbia Securities Commission P.O. 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>
<p>Manitoba The Manitoba Securities Commission 1130 - 405 Broadway Winnipeg, MB R3C 3L6 Attention: Director - Legal Telephone: (204) 945-4508</p>	<p>New Brunswick 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>
<p>Newfoundland and Labrador Securities Commission of Newfoundland and Labrador P.O. Box 8700, 2nd Floor, West Block Confederation Building St. John's, NF A1B 4J6 Attention: Director of Securities Telephone: (709) 729-4189</p>	<p>Nova Scotia Nova Scotia Securities Commission 2nd Floor, Joseph Howe Building 1690 Hollis Street P.O. Box 458 Halifax, NS B3J 3J9 Attention: Freedom of Information Officer Telephone: (902) 424-7768</p>
<p>Northwest Territories Government of the Northwest Territories P.O. Box 1320 Yellowknife, NWT X1A 2L9 Attention: Deputy Registrar of Securities Telephone: (867) 920-8984</p>	<p>Nunavut Legal Registries Division Department of Justice Government of Nunavut P.O. Box 1000 Station 570 Iqaluit, NU X0A 0H0 Attention: Deputy Registrar of Securities Telephone: (867) 975-6190</p>
<p>Ontario Ontario Securities Commission Suite 1903, Box 55 20 Queen Street West Toronto, ON M5H 3S8 Attention: FOI Coordinator Telephone: (416) 593-8314</p>	<p>Prince Edward Island Securities Registry Office of the Attorney General B Consumer, Corporate and Insurance Services Division P.O. Box 2000 Charlottetown, PE C1A 7N8 Attention: Deputy Registrar of Securities Telephone: (902) 368-4569</p>
<p>Québec Commission des valeurs mobilières du Québec Stock Exchange Tower P.O. Box 246, 22nd Floor 800 Victoria Square Montréal, PQ H4Z 1G3 Attention: Responsable de l'accès à l'information Telephone: (514) 940-2150 or (800) 361-5072 (in Québec)</p>	<p>Saskatchewan Saskatchewan Securities Commission 800 - 1920 Broad Street Regina, SK S4P 3V7 Attention: Director Telephone: (306) 787-5842</p>
<p>Yukon Department of Community Services Yukon P.O. Box 2703 Whitehorse, YU Y1A 2C6 Attention: Registrar of Securities Telephone: (867) 667-5225</p>	

**“MULTILATERAL INSTRUMENT
“FORM 33-109F5
“CHANGE OF REGISTRATION INFORMATION**

GENERAL INSTRUCTIONS

1. This notice must be submitted when notifying a regulator of changes to Form 3 or Form 4 information in accordance with MI 33-109.
2. If the NRD filer is relying on the temporary hardship exemption in MI 31-102, this form is required to be delivered to the regulator in paper format when notifying a regulator of changes to Form 33-109F4.
3. If this form is being submitted in respect of a change to a Form 3, Form 4 or Form 33-109F4 an authorized partner or officer of the firm must sign the form.

1. Type of form

Identify the part of the Form 3, Form 4, or Form 33-109F4 for which this notice is being provided. If this notice is being provided to update an individual's Form 4 or Form 33-109F4, provide the name of the individual.

- Form 3, Item(s) _____ ,
- Form 4, Item(s) _____ , name of individual _____ , or
- Form 33-109F4, Item(s) _____ , name of individual _____

2. Details of Change

Provide the details of the change for each item identified above:

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 the administration and enforcement of certain provisions of the securities legislation in British Columbia, Alberta, Saskatchewan, Manitoba, Ontario, Nova Scotia, New Brunswick, Prince Edward Island, Newfoundland, Northwest Territories, Yukon Territory and Nunavut.

By submitting this information you consent to the collection by the securities regulatory authority of the personal information provided above, 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 continued fitness for registration, if applicable, 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.

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 provided in Schedule “A”.

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

I, the undersigned, certify that I have read and that I understand the questions in this notice 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 or non-registered individual

Date

(No signature is required here if this form is being submitted in respect of a change to Form 3 information.)

If this form is being submitted in respect of a change to Form 3, I, the undersigned, certify that I understand the requirements and the Warning in this notice and that all statements of fact provided in this notice are true.

Signature of authorized officer or partner

Date

Firm name

SCHEDULE "A"	
Notice and collection and use of personal information	
<p>Alberta Alberta Securities Commission, 4th Floor, 300 B 5th Avenue S.W. Calgary, AB T2P 3C4 Attention: Information Officer Telephone: (403) 297-6454</p>	<p>British Columbia British Columbia Securities Commission P.O. 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>
<p>Manitoba The Manitoba Securities Commission 1130 - 405 Broadway Winnipeg, MB R3C 3L6 Attention: Director - Legal Telephone: (204) 945-4508</p>	<p>New Brunswick 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>
<p>Newfoundland and Labrador Securities Commission of Newfoundland and Labrador P.O. Box 8700, 2nd Floor, West Block Confederation Building St. John's, NF A1B 4J6 Attention: Director of Securities Telephone: (709) 729-4189</p>	<p>Nova Scotia Nova Scotia Securities Commission 2nd Floor, Joseph Howe Building 1690 Hollis Street P.O. Box 458 Halifax, NS B3J 3J9 Attention: Freedom of Information Officer Telephone: (902) 424-7768</p>
<p>Northwest Territories Government of the Northwest Territories P.O. Box 1320 Yellowknife, NWT X1A 2L9 Attention: Deputy Registrar of Securities Telephone: (867) 920-8984</p>	<p>Nunavut Legal Registries Division Department of Justice Government of Nunavut P.O. Box 1000 Station 570 Iqaluit, NU X0A 0H0 Attention: Deputy Registrar of Securities Telephone: (867) 975-6190</p>
<p>Ontario Ontario Securities Commission Suite 1903, Box 55 20 Queen Street West Toronto, ON M5H 3S8 Attention: FOI Coordinator Telephone: (416) 593-8314</p>	<p>Prince Edward Island Securities Registry Office of the Attorney General B Consumer, Corporate and Insurance Services Division P.O. Box 2000 Charlottetown, PE C1A 7N8 Attention: Deputy Registrar of Securities Telephone: (902) 368-4569</p>
<p>Québec Commission des valeurs mobilières du Québec Stock Exchange Tower P.O. Box 246, 22nd Floor 800 Victoria Square Montréal, PQ H4Z 1G3 Attention: Responsable de l'accès à l'information Telephone: (514) 940-2150 or (800) 361-5072 (in Québec)</p>	<p>Saskatchewan Saskatchewan Securities Commission 800 - 1920 Broad Street Regina, SK S4P 3V7 Attention: Director Telephone: (306) 787-5842</p>
<p>Yukon Department of Community Services Yukon P.O. Box 2703 Whitehorse, YU Y1A 2C6 Attention: Registrar of Securities Telephone: (867) 667-5225</p>	

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Coming into force

5(1) Subject to subsections (2) to (4), these regulations come into force on the day on which they are filed with the Registrar of Regulations.

(2) Subject to subsection (3), Multilateral Instrument 31-102, entitled National Registration Database, as being enacted by subsection 4(1) of these regulations comes into force on March 31, 2003.

(3) Subsection 3(1) of these regulations and Part 1 and sections 7.1 and 7.2 of Multilateral Instrument 31-102, entitled National Registration Database, as being enacted by subsection 4(1) of these regulations come into force on February 3, 2003.

(4) Subsections 3(2) of these regulations and Multilateral Instrument 31-109, entitled Registration Information, as being enacted by 4(2) of these regulations come into force on February 21, 2003.

SASKATCHEWAN REGULATIONS 10/2003

The Farm Financial Stability Act

Section 5

Order in Council 120/2003, dated February 19, 2003

(Filed February 20, 2003)

Title

1 These regulations may be cited as *The Drought Relief (Herd Retention) Program Amendment Regulations, 2003*.

R.R.S. c.F-8.001 Reg 21, Appendix amended

2 **Parts I and II of Table 2 of the Appendix to *The Drought Relief (Herd Retention) Program Regulations* are repealed and the following substituted:**

“PART I

Severe Drought Regions

[Clause 2(s)]

Rural Municipalities

The Rural Municipality of Oakdale No. 320

The Rural Municipality of Prairiedale No. 321

The Rural Municipality of Grandview No. 349

The Rural Municipality of Mariposa No. 350

The Rural Municipality of Progress No. 351

The Rural Municipality of Heart's Hill No. 352

The Rural Municipality of Bayne No. 371

The Rural Municipality of Grant No. 372

The Rural Municipality of Aberdeen No. 373

The Rural Municipality of Glenside No. 377

The Rural Municipality of Rosemount No. 378

The Rural Municipality of Reford No. 379

The Rural Municipality of Tramping Lake No. 380
The Rural Municipality of Grass Lake No. 381
The Rural Municipality of Eye Hill No. 382
The Rural Municipality of Fish Creek No. 402
The Rural Municipality of Buffalo No. 409
The Rural Municipality of Round Valley No. 410
The Rural Municipality of Senlac No. 411
The Rural Municipality of Flett's Springs No. 429
The Rural Municipality of Invergordon No. 430
The Rural Municipality of St. Louis No. 431
The Rural Municipality of Redberry No. 435
The Rural Municipality of North Battleford No. 437
The Rural Municipality of Battle River No. 438
The Rural Municipality of Cut Knife No. 439
The Rural Municipality of Hillsdale No. 440
The Rural Municipality of Manitou Lake No. 442
The Rural Municipality of Arborfield No. 456
The Rural Municipality of Connaught No. 457
The Rural Municipality of Willow Creek No. 458
The Rural Municipality of Kinistino No. 459
The Rural Municipality of Birch Hills No. 460
The Rural Municipality of Prince Albert No. 461
The Rural Municipality of Duck Lake No. 463
The Rural Municipality of Leask No. 464
The Rural Municipality of Meeting Lake No. 466
The Rural Municipality of Round Hill No. 467
The Rural Municipality of Meota No. 468
The Rural Municipality of Turtle River No. 469
The Rural Municipality of Paynton No. 470
The Rural Municipality of Eldon No. 471
The Rural Municipality of Wilton No. 472
The Rural Municipality of Nipawin No. 487
The Rural Municipality of Torch River No. 488
The Rural Municipality of Garden River No. 490
The Rural Municipality of Buckland No. 491
The Rural Municipality of Shellbrook No. 493
The Rural Municipality of Canwood No. 494
The Rural Municipality of Spiritwood No. 496
The Rural Municipality of Medstead No. 497
The Rural Municipality of Parkdale No. 498
The Rural Municipality of Mervin No. 499
The Rural Municipality of Frenchman Butte No. 501
The Rural Municipality of Britannia No. 502
The Rural Municipality of Paddockwood No. 520

The Rural Municipality of Lakeland No. 521
The Rural Municipality of Big River No. 555
The Rural Municipality of Loon Lake No. 561
The Rural Municipality of Meadow Lake No. 588
The Rural Municipality of Beaver River No. 622

Indian Reserves

Atahkakoop No. 104
Beardy's and Okemasis Indian Reserve 96 & 97-C
Beardy's No. 97 and Okemasis No. 96
Big River No. 118
Big River No. 118A
Bittern Lake No. 218
Chitek Lake No. 191
Cumberland No. 100A
Eagles Lake No. 165C
Flying Dust First Nation Reserve No. 105
Gladue Lake No. 105B
Grizzly Bear's Head 110 & Lean Man 111
James Smith No. 100
Kiskaciwan Indian Reserve No. 208
Little Pine Indian Reserve No. 116
Little Red River No. 106C
Little Red River No. 106D
Lucky Man
Makaoo No. 120
Makwa Lake No. 129
Makwa Lake No. 129A
Makwa Lake No. 129B
Makwa Lake No. 129C
Meadow Lake No. 105A
Meadow Lake No. 105C
Ministikwan No. 161
Ministikwan No. 161A
Mistawasis No. 103
Montreal Lake No. 106B
Moosomin No. 112A
Moosomin No. 112B
Moosomin No. 112E
Moosomin No. 112F
Mosquito No. 109

Muskeg Lake Cree Nation No. 102
Muskeg Lake Indian Reserve No. 102F
Muskoday First Nation
One Arrow Indian Reserve No. 95
Opawakoscikan
Poundmaker Indian Reserve No. 114-5A
Poundmaker Indian Reserve No. 114-5B
Poundmaker No. 114
Red Pheasant No. 108
Saulteaux Indian Reserve No. 159
Saulteaux Indian Reserve No. 159A
Saulteaux Indian Reserve No. 159B
Seekaskootch No. 119
Sturgeon Lake No. 101
Sturgeon Lake No. 101A
Sweet Grass No. 113
Sweet Grass No. 113A
Sweet Grass No. 113B
Thunderchild First Nation Indian Reserve No. 115B
Thunderchild First Nation Indian Reserve No. 115C
Thunderchild First Nation Indian Reserve No. 115D
Wahpaton No. 94A
Wahpaton No. 94B
Waterhen No. 130
Willow Cree
Witchehan Lake No. 117

“PART II

High Drought Regions

[Clause 2(i)]

Rural Municipalities

The Rural Municipality of Miry Creek No. 229
The Rural Municipality of Clinworth No. 230
The Rural Municipality of Happyland No. 231
The Rural Municipality of Deer Forks No. 232
The Rural Municipality of Monet No. 257
The Rural Municipality of Snipe Lake No. 259
The Rural Municipality of Newcombe No. 260
The Rural Municipality of Chesterfield No. 261
The Rural Municipality of Cote No. 271
The Rural Municipality of Fertile Valley No. 285
The Rural Municipality of Milden No. 286
The Rural Municipality of St. Andrews No. 287

The Rural Municipality of Pleasant Valley No. 288
The Rural Municipality of Kindersley No. 290
The Rural Municipality of Milton No. 292
The Rural Municipality of St. Philips No. 301
The Rural Municipality of Keys No. 303
The Rural Municipality of Buchanan No. 304
The Rural Municipality of Invermay No. 305
The Rural Municipality of Montrose No. 315
The Rural Municipality of Harris No. 316
The Rural Municipality of Marriott No. 317
The Rural Municipality of Mountain View No. 318
The Rural Municipality of Winslow No. 319
The Rural Municipality of Antelope Park No. 322
The Rural Municipality of Livingston No. 331
The Rural Municipality of Clayton No. 333
The Rural Municipality of Preeceville No. 334
The Rural Municipality of Hazel Dell No. 335
The Rural Municipality of Sasman No. 336
The Rural Municipality of Lakeview No. 337
The Rural Municipality of Lakeside No. 338
The Rural Municipality of Leroy No. 339
The Rural Municipality of Wolverine No. 340
The Rural Municipality of Viscount No. 341
The Rural Municipality of Colonsay No. 342
The Rural Municipality of Blucher No. 343
The Rural Municipality of Corman Park No. 344
The Rural Municipality of Vanscoy No. 345
The Rural Municipality of Perdue No. 346
The Rural Municipality of Biggar No. 347
The Rural Municipality of Kelvington No. 366
The Rural Municipality of Ponass Lake No. 367
The Rural Municipality of Spalding No. 368
The Rural Municipality of St. Peter No. 369
The Rural Municipality of Humboldt No. 370
The Rural Municipality of Eagle Creek No. 376
The Rural Municipality of Hudson Bay No. 394
The Rural Municipality of Porcupine No. 395
The Rural Municipality of Barrier Valley No. 397
The Rural Municipality of Pleasantdale No. 398
The Rural Municipality of Lake Lenore No. 399
The Rural Municipality of Three Lakes No. 400
The Rural Municipality of Hoodoo No. 401
The Rural Municipality of Rosthern No. 403
The Rural Municipality of Laird No. 404

The Rural Municipality of Great Bend No. 405
The Rural Municipality of Mayfield No. 406
The Rural Municipality of Bjorkdale No. 426
The Rural Municipality of Tisdale No. 427
The Rural Municipality of Star City No. 428
The Rural Municipality of Blaine Lake No. 434
The Rural Municipality of Douglas No. 436
The Rural Municipality of Moose Range No. 486

Indian Reserves

Asimakaniseekan Askiy I R No. 102A
Carrot River No. 29A
Cote No. 64
Fishing Lake No. 89
Keesekoose Indian Reserve No. 66-CA-05
Keesekoose Indian Reserve No. 66-CO-01
Keesekoose Indian Reserve No. 66-CO-02
Keesekoose Indian Reserve No. 66-KE-01
Keesekoose Indian Reserve No. 66-KE-03
Keesekoose Indian Reserve No. 66-KE-04
Keesekoose Indian Reserve No. 66-KE-05
Keesekoose Indian Reserve No. 66-ST-01
Keesekoose Indian Reserve No. 66-ST-02
Keesekoose Indian Reserve No. 66-ST-03
Keesekoose Indian Reserve No. KK 66-ST-04
Keesekoose No. 66
Keesekoose No. 66-KE-02
Keesekoose No. 66A
Kinistin No. 91
Kinistin No. 91A
Okanese Indian Reserve No. 82(J)
One Arrow Indian Reserve No. 95-1C
One Arrow Indian Reserve No. 95-1H
Red Earth No. 29
Shoal Lake No. 28A
The Key No. 65
Yellow Quill Indian Reserve No. 90-8
Yellowquill No. 90”.

Coming into force

3 These regulations come into force on the day on which they are filed with the Registrar of Regulations.

SASKATCHEWAN REGULATIONS 11/2003*The Milk Control Act, 1992*

Section 10

Board Order, dated February 20, 2003

(Filed February 21, 2003)

Title

1 These regulations may be cited as *The Milk Control Amendment Regulations, 2003 (No. 2)*.

R.R.S. c.M-15 Reg 1, Appendix amended

2 Subsection 3(1) of Part II of the Appendix to *The Milk Control Regulations* is amended:

(a) in subclause (a)(i) by striking out "\$52.01" and substituting "\$52.96";

(b) in subclause (b)(i) by striking out "\$52.01" and substituting "\$52.96";

(c) in subclause (c)(i) by striking out "\$52.01" and substituting "\$52.96"; and

(d) by repealing clauses (m) and (n) and substituting the following:

"(m) in the case of class 5a milk:

(i) \$4.0278 per kilogram of butterfat;

(ii) \$5.8314 per kilogram of protein; and

(iii) \$0.1189 per kilogram of other solids;

"(n) in the case of class 5b milk:

(i) \$4.0278 per kilogram of butterfat;

(ii) \$2.3125 per kilogram of protein; and

(iii) \$2.3125 per kilogram of other solids".

Coming into force

3 These regulations come into force on March 1, 2003.