

**MULTILATERAL INSTRUMENT 33-107  
PROFICIENCY REQUIREMENTS FOR REGISTRANTS HOLDING THEMSELVES OUT AS  
PROVIDING  
FINANCIAL PLANNING ADVICE  
FORM 33-107F1**

**NOTICE BY INDIVIDUAL REGISTRANT**

**This Form is in effect until , 2004.**

This is notice that I intend to hold myself out in the manner described in subsection 2.1(1) of Multilateral Instrument 33-107 or to provide documents referred to as financial plans.

Name:

Date of birth:

Name of registrant firm:

**1. Education**

*Complete one of A or B below:*

A. I have passed the Financial Planning Proficiency Examination. *[Attach evidence of passing]*

OR

B. I am exempt from having to pass the Financial Planning Proficiency Examination because: *[Check one and attach evidence. Refer to section 3.1 of the Multilateral Instrument for the relevant timing requirements in each case.]*

1. I passed the Professional Proficiency Examination administered by the Financial Planners Standards Council on or before .
2. I held the designation of Personal Financial Planner administered by The Institute of Canadian Bankers on .
3. I passed the Professional Financial Planning Course and examination offered by the Canadian Securities Institute on or before .
4. I completed the comprehensive financial planning program offered by The Canadian Institute of Financial Planning and passed the associated examinations on or before .
5. I passed the Registered Financial Planner examination on or before and held the designation of Registered Financial Planner administered by the Canadian Association of Financial Planners on that date.
6. I passed the courses and examinations in the Chartered Financial Consultant program administered by the Canadian Association of Insurance and Financial Advisors on or before and held the designation of Chartered Financial Consultant on that date.
7. I held the designation of Specialist in Financial Counselling administered by The Institute of Canadian Bankers on or before and passed its Insurance and Estate Planning Course and Taxation and Investment Course on or before .
8. I was enrolled in a course of study of the Specialist in Financial Counselling of The Institute of Canadian Bankers on , passed its Insurance and Estate Planning Course and Taxation and Investment Course on or before and held its designation of Specialist in Financial Counselling on .

9. I was enrolled in a course of study approved by the Financial Planners Standards Council on and passed its certified financial planning examination on or before .
10. I was enrolled in a course of study of the Personal Financial Planning Program of The Institute of Canadian Bankers on and obtained its designation of Personal Financial Planner on or before .
11. I received a diploma from the Bureau des services financiers and was authorized by it to use the title of financial planner on or before .

## **2. Experience**

*[Delete any portion that does not apply] I have been [registered under securities legislation] and/or [licensed under insurance legislation] for at least two of the previous five years in the following province: [Provide evidence of registration if this notice is sent to a different regulatory authority than that of past registration/licensing]*

## **3. Continuing Education**

I [am subject to]/[undertake to comply with] the continuing education regime established for financial planning by the following organization:

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The personal information requested on this form is collected under the authority and used for the purposes of administering provincial and territorial securities and insurance legislation. I consent to the disclosure of any information contained on this form other than my date of birth.

In British Columbia, if you have any questions about how the freedom of information legislation applies to the personal information collected on this form, call the Manager, Public Information and Records (Securities) at [telephone number] or write the Manager, [address] or call the Manager, Public Information and Records (Insurance) at [telephone number] or write the Manager, [address]. In Alberta, if you have any questions about how the freedom of information legislation applies to the personal information collected on this form, call the Information Officer (Securities) at [telephone number] or write the Information Officer, [address] or call the Information Officer (Insurance) at [telephone number] or write the Information Officer, [address].

Dated:

**This date may not be later than, 2004.**

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Signature

**MULTILATERAL INSTRUMENT 33-107  
PROFICIENCY REQUIREMENTS FOR REGISTRANTS HOLDING THEMSELVES OUT  
AS PROVIDING FINANCIAL PLANNING ADVICE  
FORM 33-107F2**

**NOTICE BY INDIVIDUAL REGISTRANT**

**This Form is in effect after, 2004.**

This is notice that I intend to hold myself out in the manner described in subsection 2.1(1) of Multilateral Instrument 33-107 or to provide documents referred to as financial plans.

Name:

Date of birth:

Name of registrant firm:

**1. Education**

I have passed the Financial Planning Proficiency Examination. *[Attach evidence of passing]*

**2. Experience**

*[Delete any portion that does not apply]* I have been [registered under securities legislation] and/or [licensed under insurance legislation] for at least two of the previous five years in the following province: *[Provide evidence of registration if this notice is sent to a different regulatory authority than that of past registration/licensing]*

**3. Continuing Education**

I [am subject to]/[undertake to comply with] the continuing education regime established for financial planning by the following organization:

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The personal information requested on this form is collected under the authority and used for the purposes of administering provincial and territorial securities and insurance legislation. I consent to the disclosure of any information contained on this form other than my date of birth.

In British Columbia, if you have any questions about how the freedom of information legislation applies to the personal information collected on this form, call the Manager, Public Information and Records (Securities) at [telephone number] or write the Manager, [address] or call the Manager, Public Information and Records (Insurance) at [telephone number] or write the Manager, [address]. In Alberta, if you have any questions about how the freedom of information legislation applies to the personal information collected on this form, call the Information Officer (Securities) at [telephone number] or write the Information Officer, [address] or call the Information Officer (Insurance) at [telephone number] or write the Information Officer, [address].

Dated:

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Signature

**AS PROVIDING FINANCIAL PLANNING ADVICE  
FORM 33-107F3**

**NOTICE BY REGISTRANT FIRM**

This is notice that the firm intends to hold itself out or hold out individuals who are registered to trade or advise on its behalf in the manner described in subsection 1.1(2), (3) or (4) of Multilateral Instrument 33-107 or to provide documents referred to as financial plans.

Name of registrant firm:

Head office business address:

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Dated:

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Signature