

**FORM 33-109F1**

**NOTICE OF TERMINATION**

**NRD SUBMISSION**

A Form 33-109F1 submission in NRD format shall contain the information prescribed below. The information shall be entered using the online version of this submission accessible by a firm filer at the NRD web site ([www.nrd.ca](http://www.nrd.ca)).

**TEMPORARY HARDSHIP EXEMPTION**

This form is required to be delivered to the regulator if a firm filer is relying on the temporary hardship exemption in MI 31-102. In addition, all applicable questions must be answered and must be legible. All attachments pertaining to any question must be made exhibits to the form and each one must be so marked. All signatures must be original.

**1. Individual**

Name of individual: \_\_\_\_\_

NRD number of individual: \_\_\_\_\_

**2. Business location**

Name of firm: \_\_\_\_\_

Address of relevant business location: \_\_\_\_\_

NRD number of relevant business location: \_\_\_\_\_

**3. Individual categories**

Indicate the registration or non-registered category of the individual as of the last date of employment:

**4. 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 any details regarding all:

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

Indicate whether the individual has discharged all financial obligations 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 of 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 set out below.

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

**WARNING:**

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

**CERTIFICATION**

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

9 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.

**OR**

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

9 I certify that all statements of fact in this submission were provided to me by the firm for whom this submission is being made and that this submission is being made at the request of the firm.

Dated this \_\_\_\_\_ day of \_\_\_\_\_, 200\_\_\_\_ .

Name of firm: \_\_\_\_\_

Authorized signature: \_\_\_\_\_

Print name: \_\_\_\_\_

Title: \_\_\_\_\_