

**FORM 33-109F4 REGISTRATION INFORMATION FOR AN INDIVIDUAL**

**SUBMISSION TO NRD**

A Form 33-109F4 submitted in NRD format shall contain the information prescribed below. The information shall be entered using the online version of this form accessible by NRD filers at the NRD web site ([www.nrd.ca](http://www.nrd.ca)).

**INSTRUCTIONS FOR FILING IN PAPER FORMAT**

1. This form is to be used by every individual seeking registration or approval from a securities regulatory authority or a self-regulatory organization.
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. All applicable questions must be answered. Failure to do so may cause delays in the processing of the application form.
4. This form and all attachments added thereto must be legible.
5. All attachments pertaining to any question must be made exhibits to the form and each one must be so marked. All signatures must be originals.
6. To complete the application, individuals should seek advice from an authorized officer of the sponsoring firm or from a legal adviser.
7. 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 through which you are applying or the applicable securities regulatory authority, or similar authority.

**Item 1 - Name**

**1. Legal name**

_____	_____	_____	_____
Last name	First name	Second name <i>(if applicable)</i>	Third name <i>(if applicable)</i>

**2. Other names**

Are you currently, or have you previously been, known by a name other than the name mentioned above? ..... " Yes " No

If "Yes", complete Schedule "A".

**Item 2 - Residential address**

**Current and previous addresses**

Provide all residential addresses, including any foreign residential addresses, for the past 10 years.

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".

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**Item 3 - Personal information**

**Personal description**

Date of birth: _____ (YYYY/MM/DD)		Place of birth: _____ (city, province, territory or state, country)	
Gender: " Female " Male	Colour of eyes:	Colour of hair:	
Height: imperial units: _____ OR metric units: _____			
Weight: imperial units: _____ OR metric units: _____			

**Item 4 - Citizenship**

**Citizenship information**

What is your citizenship?

" Canadian  
 " 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 issuance: \_\_\_\_\_  
(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 applying:

- |                    |                         |                        |
|--------------------|-------------------------|------------------------|
| " Alberta          | " Northwest Territories | " Prince Edward Island |
| " British Columbia | " Nova Scotia           | " Québec               |
| " Manitoba         | " Nunavut               | " Saskatchewan         |
| " New Brunswick    | " Ontario               | " Yukon Territory      |
| " Newfoundland     |                         |                        |

**Item 6 - Individual categories**

**Categories**

Indicate, by checking the appropriate box in Schedule "C", each category for which you are applying.

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**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.

Address for service: \_\_\_\_\_  
(number, street, city, province or territory, postal code)

Telephone number: ( ) \_\_\_\_\_ Fax number: ( ) \_\_\_\_\_

E-mail address: \_\_\_\_\_

**2. Agent for service**

If you name an agent for service, the address for service provided above must be the address of the agent.

Name of agent for service: \_\_\_\_\_  
(if applicable)

Contact person: \_\_\_\_\_  
Last name First name

**Item 8 - Proficiency**

**1. Course or examination information**

Complete Schedule "D" to indicate each course and examination that you have successfully completed or for which you have received an exemption.

" Check here if you are not required under securities legislation to provide proficiency information. For example, if you are a non-registered individual, you are not required to complete this Item.

**2. Student numbers**

Provide your student numbers 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? ..... " Yes " No

If "Yes", complete Schedule "E".

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**Item 9 - Location of employment**

**Location of employment**

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

NRD number: \_\_\_\_\_

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

Telephone number: ( ) \_\_\_\_\_ Fax number: ( ) \_\_\_\_\_

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

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

**Item 10 - Current employment**

**Employment information**

On Schedule "F", provide full disclosure of your current business and employment activities, including those with your sponsoring firm.

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

**Item 11 - Previous employment**

**Employment information**

On Schedule "G", provide full disclosure of 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 full disclosure 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.

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

" Check here if all disclosure required by this section has been made in response to Item 10.

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**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? . . . . " Yes " No
- b) failed to supervise in connection with investment related statutes, regulations, rules or industry standards of conduct? . . . . . " Yes " No
- c) committed fraud or the wrongful taking of property? . . . . . " Yes " No

If you have answered "Yes" to any of the above questions provide, for each resignation or termination, (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).

**Item 13 - Regulatory disclosure**

**1. Securities regulatory authorities**

- a) Other than a current registration with a securities regulatory authority that is participating in Multilateral Instrument 31-102, are you now, or have you ever been, registered or licensed to trade in or advise on securities or exchange contracts (including commodity futures contracts and commodity futures options) in any province, territory, state or country? . . . . . " Yes " No

If "Yes", complete Schedule "H", section 1(a).

- 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, (except as an issuer if you are or were a shareholder) 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 "H", section 1(b).

- c) Have you, or has any firm, 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? . . . . . " Yes " No

If "Yes", complete Schedule "H", section 1(c).

- d) Have you, or has any firm, when you were a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities of that firm, been denied the benefit of any exemption from registration provided by securities legislation or legislation governing exchange contracts (including commodity futures contracts and commodity futures options) in any province, territory, state or country? . . . . . " Yes " No

If "Yes", complete Schedule "H", section 1(d).

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e) Have you, or has any firm, when you were a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities of that firm, been subject to a cease trade order, a cease distribution order, a suspension or termination order, any disciplinary proceedings or any order resulting from disciplinary proceedings pursuant to securities legislation or legislation governing exchange contracts (including commodity futures contracts and commodity futures options) in any province, territory, state or country? ..... " Yes " No

If "Yes", complete Schedule "H", section 1(e).

**2. Self-regulatory organizations**

a) Have you, or has any firm, 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, the Investment Dealers Association of Canada, the Mutual Fund Dealers Association of Canada, or other self-regulatory organization, in any province, territory, state or country? ..... " Yes " No

If "Yes", complete Schedule "H", section 2(a).

b) Have you, or has any firm, 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, the Investment Dealers Association of Canada, the Mutual Fund Dealers Association of Canada, or other self-regulatory organization, in any province, territory, state or country? ..... " Yes " No

If "Yes", complete Schedule "H", section 2(b).

c) Have you, or has any firm, 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, the Investment Dealers Association of Canada, the Mutual Fund Dealers Association of Canada, or other self-regulatory organization, in any province, territory, state or country? ..... " Yes " No

If "Yes", complete Schedule "H", section 2(c).

**3. Non-securities regulation**

a) Have you, or has any firm, 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 "H", section 3(a).

b) Have you, or has any firm, when you were a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities of that firm, been refused registration or a license under any legislation which requires registration or licensing to deal with the public in any capacity other than to trade in or advise on securities or exchange contracts (including commodity futures contracts and commodity futures options) in any province, territory, state or country? ..... " Yes " No

If "Yes", complete Schedule "H", section 3(b).

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c) Have you, or has any firm, 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 "H", 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, such offence must be reported even if you have been granted an absolute or conditional discharge 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.

a) Is there currently an outstanding charge against you alleging an offence that was committed in Canada, or had it been committed in Canada, constitutes or would constitute an offence under the laws of Canada? . . . . . " Yes " No

If "Yes", complete Schedule "I", 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 Canada, or had it been committed in Canada constituted or would constitute an offence under the laws of Canada? . . . . . " Yes " No

If "Yes", complete Schedule "I", section (b).

c) Have charges been laid, alleging an offence that was committed in Canada, or had it been committed in Canada, constitutes or would constitute an offence under the laws of Canada, against any firm in which you are or were at the time of such event a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities? . . . . . " Yes " No

If "Yes", complete Schedule "I", section (c).

d) Has any firm, 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 Canada, or had it been committed in Canada, constitutes or would constitute an offence under the laws of Canada? . . . . . " Yes " No

If "Yes", complete Schedule "I", section (d).

**Item 15 - Civil disclosure**

**Current and past civil proceedings**

a) Have you, or has any firm, 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 any jurisdiction in which fraud, theft, deceit, misrepresentation, or similar conduct is, or was, alleged? . . . . . " Yes " No

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

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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 that is or was a defendant or respondent in any civil proceeding in any jurisdiction in which fraud, theft, deceit, misrepresentation, or similar conduct is or was alleged? ..... " Yes " No

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

**Item 16 - Financial disclosure**

**1. Bankruptcy**

Under the law of any province, territory, state, or country have you, or has any firm, when you were a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities of that firm:

- a) had a petition in bankruptcy issued against you or the firm or made a voluntary assignment in bankruptcy? ..... " Yes " No
- b) made a proposal under any legislation relating to bankruptcy or insolvency? ..... " Yes " No
- c) been subject to proceedings under any legislation relating to the winding up, dissolution or companies' creditors arrangement? ..... " Yes " No
- d) been subject to or instituted any proceedings, arrangement or compromise with creditors (including having a receiver, receiver-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)? ..... " Yes " No

If "Yes" to any of the above questions, complete Schedule "K", section 1.

**2. Solvency**

Have you ever been unable to meet your financial obligations as they came due, or has any firm, 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 unable to meet its financial obligations as they came due? ..... " Yes " No

If "Yes", complete Schedule "K", section 2.

**3. Surety bond or fidelity bond**

Have you ever applied for a surety or fidelity bond and been refused?. ..... " Yes " No

If "Yes", complete Schedule "K", 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? ..... " Yes " No

If "Yes", complete Schedule "K", section 4.



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**Item 17 - Related securities firms**

**Related securities firms and holdings**

a) Other than with your sponsoring firm, are you a partner, director, or officer of a firm having as its principal business that of trading in or advising on securities or exchange contracts (including commodity futures contracts and commodity futures options)? ..... " Yes " No

If "Yes", complete Schedule "L".

b) Are you a holder of 10 percent or more of the voting securities of any firm (including your sponsoring firm) having as its principal business that of trading in or advising on securities or exchange contracts (including commodity futures contracts and commodity futures options)? ..... " Yes " No

If "Yes", complete Schedule "L".

**AGENT FOR SERVICE AND SUBMISSION TO JURISDICTION**

**Agent for service**

If you have named an agent for service in this application, you designate and appoint that agent for service (the "Agent for Service") at the address of the Agent for Service upon whom may be served a notice, pleading, subpoena, summons or other process 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 for which the Agent for Service is designated and appointed (the "Local Jurisdiction").

This appointment of an agent for service of process is governed and construed in accordance with the laws of the Local Jurisdiction.

By filing this application, you confirm that the Agent for Service has accepted the appointment as agent for service of process for you pursuant to the above terms and conditions and has agreed to advise the securities regulatory authority of the Local Jurisdiction immediately if the Agent for Service is unable to deliver to you a copy of a document served on the Agent for Service.

By filing this application, you confirm that until the earlier of (i) the termination of your position with your sponsoring firm and (ii) six years after the sponsoring firm ceases to be a registrant under the securities legislation of the Local Jurisdiction, you shall:

- a) file a notice appointing a new agent for service of process at least 30 days prior to termination for any reason of the appointment of the Agent for Service and immediately after the death or incapacity of the Agent for Service or the Agent for Service ceasing to carrying on business; and
- b) file a notice amending the name or address of the Agent for Service at least 30 days before any change in the name or address of the Agent for Service as set forth in this application.

**Submission to jurisdiction**

By submitting this application you confirm that 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 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.

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### Self-Regulatory Organizations

The undersigned hereby undertake to notify the self-regulatory organization in writing of any material change herein as prescribed by any by-law or rule of the respective self-regulatory organizations.

We agree that we are conversant with the by-laws, rulings, rules and regulations of the applicable self-regulatory organizations. We agree to be bound by and to observe and comply with them as they are from time to time amended or supplemented, and we agree to keep ourselves fully informed about them as so amended and supplemented.

We submit to the jurisdiction of the self-regulatory organizations and, wherever applicable, the Governors, Directors and committees thereof, and we agree that any approval granted pursuant to this application may be revoked, terminated or suspended at any time in accordance with the then applicable by-laws, rulings, rules and regulations. In the event of any such revocation or termination, the undersigned applicant agrees forthwith to terminate his or her association with the undersigned sponsoring firm and hereafter not to accept employment with or perform services of any kind for any member or member house of the self-regulatory organizations or any approved affiliated company or other affiliate of any such member or member house, in each case if and to the extent provided in the then applicable by-laws, rulings, rules and regulations of the self-regulatory organizations. Our obligations above are joint and several.

We agree to the transfer of this application form, without amendment, to another self-regulatory organization in the event that at some time in the future the undersigned applicant applies to such other self-regulatory organization.

The undersigned applicant has discussed the questions in this application with an officer or branch manager of this firm. The undersigned authorized officer is satisfied that the applicant fully understands the questions, and further certifies on behalf of the sponsoring firm that the applicant will be engaged as registered or approved.

The undersigned applicant acknowledges and consents that any of the self-regulatory organizations may obtain any information whatsoever from any source, as permitted by law in any jurisdiction in Canada or elsewhere.

### 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 below. 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](http://www.cai.gouv.qc.ca)).

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

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**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 the form in paper format:**

I, the undersigned applicant, certify that I have read and that I understand the questions in this application form 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

\_\_\_\_\_  
Date

**CERTIFICATION OF OFFICER OR PARTNER:** I, the undersigned authorized officer or partner, certify on behalf of the sponsoring firm that the applicant will be engaged by the sponsoring firm as registered or approved. I certify that I have discussed the questions set out in this application with the applicant or where the applicant has applied through one of our branch offices the branch manager or another officer has so done and I am satisfied that the applicant fully understands the questions.

\_\_\_\_\_  
Signature of authorized officer or partner

\_\_\_\_\_  
Date

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

**Q** By checking this box, I certify that all statements of fact made in this submission were provided to me by the NRD filer for whom this submission is being submitted and that this submission is being made at the request of the NRD filer, and if applicable, his or her sponsoring firm.