



**SCHEDULE "A"**  
**Name**

Last name

First name

Second name  
*(if applicable)*

Third name  
*(if applicable)*

Provide the reasons for the use of this name (for example, marriage, divorce, court order, commonly used name).

When did you use this name?

From: \_\_\_\_\_  
(YYYY/MM)

To: \_\_\_\_\_  
(YYYY/MM)

**SCHEDULE "B"**  
**Residential address**

Item " 2

**Previous addresses**

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

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

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

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

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

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

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

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

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

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

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

**SCHEDULE "C"**  
**Individual categories**

Item " 6

**Categories**

Indicate, by checking the appropriate box, each category for which you are applying.

*(In the final draft of the form a list of the registration categories of each jurisdiction will be included here.)*

**SCHEDULE "D"**  
**Proficiency**

Item " 8

**Course or examination information**

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

*(In the final draft of the form a list of courses and examinations will be included here. Further, spaces will be provided to set out dates of completion or exemption and the names of the exempting institutions)*

**SCHEDULE "E"**  
**Proficiency**

Item " 8

**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 "F"**  
**Current employment**

Item " 10

**Employment information**

Provide full disclosure of each of your current business and employment activities, including those with your sponsoring firm.

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

From: \_\_\_\_\_  
(YYYY/MM/DD)

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

Name of business or employer:

\_\_\_\_\_

Address of business or employer:

\_\_\_\_\_

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

Name and title of immediate supervisor: \_\_\_\_\_

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

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

Indicate the NRD number of the branch where you will be conducting the majority of your business or employment: \_\_\_\_\_

**SCHEDULE "F"**  
**Current employment**

If the business or employment described above is with the sponsoring firm and if you are not devoting the major portion of your time to the business of the sponsoring firm, explain why:

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

**SCHEDULE "G"**  
**Previous employment**

Item " 11

**Employment information**

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.

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

From: \_\_\_\_\_ To: \_\_\_\_\_  
(YYYY/MM/DD) (YYYY/MM/DD)

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

Name of business or employer:

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Address of business or employer:

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

Name and title of immediate supervisor: \_\_\_\_\_

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



**SCHEDULE "H"**  
**Regulatory disclosure**

Item " 13

**1. Securities regulatory authorities**

- a) For each registration or licence, indicate below (1) the securities regulatory authority with which you are, or were, registered or licensed, (2) the type or category of registration or licence, and (3) the period of registration or licensing.
- 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 period of registration or licensing.
- 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 relevant details.
- 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 relevant details.

**SCHEDULE "H"**  
**Regulatory disclosure**

**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 period of the membership or participation.
- 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 relevant details.

**3. Non-securities regulation**

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

**SCHEDULE "1"**  
**Criminal disclosure**

Item " 14

**Criminal, provincial and territorial offences**

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

b) For each conviction, indicate below the full details of the conviction including (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 the full details of the conviction including (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 "J"**  
**Civil disclosure**

Item 9 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, (2) whether the proceeding is pending, on appeal or final, (3) the jurisdiction in which the action is being, or was, pursued, and (4) the details 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) the details of any disposition or settlement. (Disclosure must include those actions settled without admission of liability.)

**SCHEDULE "K"**  
**Financial Disclosure**

Item 9 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) the details of any disposition or settlement, and (6) any other relevant details.

**2. Solvency**

For each event, indicate below (1) the party that is, or was, unable to meet its financial obligations, (2) the amount that was owing at the time the party could not meet its financial obligations, (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), and (5) any other relevant details including any amounts currently owing.

**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 judgement or direction to pay, indicate below (1) the amount that was owing at the time the garnishment, judgement or direction to pay was rendered, (2) the party to whom the amount is, or was, owing, (3) any relevant dates (for example, when payments are due or when final payment was made), and (4) any other relevant details including any amounts currently owing.

**SCHEDULE "L"**  
**Related securities firms**

Item " 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:

" Partner	From: _____ (YYYY/MM)	To: _____ (if applicable) (YYYY/MM)
" Director	From: _____ (YYYY/MM)	To: _____ (if applicable) (YYYY/MM)
" Officer	From: _____ (YYYY/MM)	To: _____ (if applicable) (YYYY/MM)
" Holder of voting securities over 10 percent	From: _____ (YYYY/MM)	To: _____ (if applicable) (YYYY/MM)

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

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) State the source of the funds you propose to invest in the firm and provide full details:

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", provide full details:

**SCHEDULE "L"**  
**Related securities firms**

g) Have you either directly or indirectly given up any rights with respect to such securities or the partnership interest, or do you, on approval of this application, intended to give up any including any hypothecation, pledging or deposit as collateral of the securities or amount of partnership interest with any bank, other institution or other person? ..... " Yes " No

If "Yes", provide full details:

If you are a holder of 10 percent or more of the voting securities of the firm, complete (h), (i) and (j) if you are not, or will not be, the beneficial owner of the shares, bonds, debentures, partnership units or other notes held by you.

h) Name of beneficial owner: \_\_\_\_\_  
Last name      First name      Second name      Third name  
*(if applicable)*      *(if applicable)*

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

j) Occupation: \_\_\_\_\_