

**FORM 33-109F5**  
**Change of Registration Information**  
**(sections 3.1 and 4.1 )**

**GENERAL INSTRUCTIONS**

Complete and submit this form to notify the relevant regulator(s) or, in Québec, the securities regulatory authority, or self-regulatory organization (SRO) of changes to information in the following forms:

1. Form 33-109F6, except for the changes set out in section 3.1 of National Instrument 33-109, or
2. Form 33-109F4.

**How to submit this form**

To report changes to information in a Form 33-109F4, submit this form at the National Registration Database website in NRD format at [www.nrd.ca](http://www.nrd.ca).

Submit this form in a format other than NRD format to report changes to information in a:

- a) Form 33-109F6, or
- b) Form 33-109F4, if the individual is relying on the temporary hardship exemption in section 5.1 of National Instrument 31-102 [*National Registration Database*].

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

Registration categories \_\_\_\_\_

NRD number (firm) \_\_\_\_\_

**Item 1 Type of form**

Check the form that is being updated:

Form 33-109F6

[If submitting changes to Form 33-109F6, please attach a blackline of the amended sections of the form.](#)

Form 33-109F4 Name of individual \_\_\_\_\_

**Item 2 Details of change**

Provide the item number and details for each change to the form selected above:

Item number \_\_\_\_\_ Details \_\_\_\_\_

Effective date of change \_\_\_\_\_  
(YYYY/MM/DD)

**Item 3 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 in the jurisdictions set out in Schedule A to administer and enforce certain provisions of their securities legislation or derivatives legislation or both.

The personal information required under this form is also collected by and used by the SROs set out in Schedule A to administer and enforce their respective by-laws, regulations, rules, rulings and policies.

By submitting this form, the individual consents to the collection by the securities regulatory authorities or applicable SRO of this personal information, and any police records, records from other government or non-governmental regulators or SROs, credit records and employment records about the individual that the

securities regulatory authorities or applicable SRO may need to complete their review of the information submitted in this form relating to the individual's continued fitness for registration or approval, if applicable, in accordance with the legal authority of the securities regulatory authorities while the individual is registered with or approved by it. Securities regulatory authorities or SROs may contact government and private bodies or agencies, individuals, corporations and other organizations for information about the individual.

If you have any questions about the collection and use of this information, contact the securities regulatory authorities or applicable SRO in any jurisdiction in which the required information is submitted. See Schedule A for details. In Québec, you can also contact the Commission d'accès à l'information at 1-888-528-7741 or visit its website at [www.cai.gouv.qc.ca](http://www.cai.gouv.qc.ca).

#### Item 4 Warning

**It is an offence under securities legislation and/or derivatives legislation, including commodity futures legislation to give false or misleading information on this form.**

#### Item 5 Certification

**1. Use the following certification when submitting this form in NRD format when making changes to Form 33-109F4**

I confirm I have discussed the questions in this form with an officer, branch manager or supervisor of my sponsoring firm. To the best of my knowledge and belief, the officer, branch manager or supervisor was satisfied that I fully understood the questions. I will limit my activities to those permitted by my category of registration.

I am making this submission as agent for the individual identified in this form. By checking this box, I certify that the individual provided me with all of the information on this form.

**2. Use the following certification when submitting this form in a format other than NRD format when making changes to Form 33-109F6**

By signing below I certify to each regulator or, in Québec, the securities regulatory authority, in each jurisdiction where I am submitting this form, either directly or through the principal regulator, that:

- I have read this form and understand the questions, and
- all of the information provided on this form is true, and complete.

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

Name of authorized signing officer or partner \_\_\_\_\_

Title of authorized signing officer or partner \_\_\_\_\_

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

Date signed \_\_\_\_\_  
(YYYY/MM/DD)

**3. Use the following certification when submitting this form in a format other than NRD format under the temporary hardship exemption in section 5.1 of NI 31-102 when making changes to Form 33-109F4**

By signing below, I certify to the regulator or, in Québec, the securities regulatory authority, in each jurisdiction where I am submitting this form, either directly or through the principal regulator, that:

- I have read this form and understand the questions; and
- all of the information provided on this form is true and complete.

Signature of individual \_\_\_\_\_

Date signed \_\_\_\_\_  
(YYYY/MM/DD)

**Schedule A**  
**Contact information for**  
**Notice of collection and use of personal information**

**Alberta**

Alberta Securities Commission,  
~~4th Floor, 300—~~[Suite 600, 250—5th Avenue St.](#) SW  
Calgary, AB T2P ~~3C0R4~~  
Attention: Information Officer  
Telephone: (403) 355-4151

**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)

**Manitoba**

The Manitoba Securities Commission  
500 - 400 St. Mary Avenue  
Winnipeg, MB R3C 4K5  
Attention: Director of Registrations  
Telephone (204) 945-2548  
Fax (204) 945-0330

**New Brunswick**

New Brunswick Securities Commission  
Suite 300, 85 Charlotte Street  
Saint John, NB E2L 2J2  
Attention: Director, Regulatory Affairs  
Telephone: (506) 658-3060

**Newfoundland and Labrador**

Securities NL  
Financial Services Regulation Division  
Department of Government Services  
P.O. Box 8700, 2nd Floor, West Block  
Confederation Building  
St. John's, NL A1B 4J6  
Attention: Manager of Registrations  
Tel: (709) 729-5661

**Nova Scotia**

Nova Scotia Securities Commission  
2nd Floor, Joseph Howe Building  
1690 Hollis Street  
P.O. Box 458  
Halifax, NS B3J 2P8  
Attention: Deputy Director, Capital Markets  
Telephone: (902) 424-7768

**Northwest Territories**

Government of the Northwest Territories  
P.O. Box 1320  
Yellowknife, NWT X1A 2L9  
Attention: Deputy Superintendent of Securities  
Telephone: (867) 920-8984

**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) 975-6590

**Ontario**

Ontario Securities Commission  
Suite 1903, Box 55  
20 Queen Street West  
Toronto, ON M5H 3S8  
Attention: ~~FOI—Coordinator~~[Compliance and Registrant Regulation](#)  
Telephone: (416) 593-8314  
[e-mail: registration@osc.gov.on.ca](mailto:registration@osc.gov.on.ca)

**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) 368-6288

**Québec**

Autorité des marchés financiers  
800, square Victoria, 22e étage  
C.P. 246, tour de la Bourse  
Montréal (Québec) H4Z 1G3  
Attention: Responsable de l'accès à l'information  
Telephone: (514) 395-0337 or (877) 525-0337 (in Québec)

**Saskatchewan**

Saskatchewan Financial Services Commission  
Suite 601, 1919 Saskatchewan Drive  
Regina, SK S4P 4H2  
Attention: Director  
Telephone: (306) 787-5842

**Yukon**

Yukon Securities Office  
Department of Community Services  
P.O. Box 2703 C-6  
Whitehorse, YT Y1A 2C6  
Attention: Superintendent of Securities  
Telephone: (867) 667-5225

**Self-regulatory organization**

Investment Industry Regulatory Organization of Canada  
121 King Street West, Suite 1600  
Toronto, Ontario M5H 3T9  
Attention: Privacy Officer  
Telephone: (416) 364-6133  
E-mail: [PrivacyOfficer@iiroc.ca](mailto:PrivacyOfficer@iiroc.ca)

