



The Ontario Gazette

La Gazette de l'Ontario

Vol. 136-7
Saturday, 15th February 2003

Toronto

ISSN 0030-2937
Le samedi 15 février 2003

Criminal Code Code criminel

DESIGNATION OF QUALIFIED TECHNICIANS (BREATH SAMPLES)

NOTICE IS HEREBY GIVEN that pursuant to subsection 254(1) of the Criminal Code (Canada), the Honourable Robert Runciman, Minister of Public Safety and Security of Ontario, on the 28th day of October, 2002, designated the following persons as being qualified to operate the approved instruments known as the Intoxilyzer® 5000C.

L'AVIS PRESENT est donné qu'en vertu du paragraphe 254(1) du Code Criminel du Canada, l'honorable Robert Runciman, Ministre de la Sûreté et de la Sécurité publique de l'Ontario, le 28 octobre 2002, désigna les personnes suivantes comme étant qualifiées pour manipuler les alcootest approuvé connu sous de nom de Intoxilyzer® 5000C.

Michael Arntfield	London Police Service
Jason G. Bennett	Canadian Armed Forces
Chris Carne	London Police Service
Rick Carr	London Police Service
Jon Carson	Sault Ste. Marie Police Service
Priscilla Craik	London Police Service
Andrew Cole	London Police Service
Colin Coleiro	London Police Service
Randall Curr	Cobourg Police Service
Paul Devlin	London Police Service
Scott Dugdale	London Police Service
James Fast	St. Thomas Police Service
Greg D. Handford	Orangeville Police Service
Sean Harding	London Police Service
Michelle Johnson	Sault Ste. Marie Police Service
Paul Kapshey	Halton Regional Police Service
Peter Kolkman	Stratford Police Service
Rick Letourneau	London Police Service
Alex Martin	London Police Service
Trish McIntyre	London Police Service
Joelle Middleton	London Police Service
Ryan Million	London Police Service
Jon Orchard	London Police Service
Jeff Ordronneau	London Police Service
Tania Paavola	London Police Service
David Periard	Cobourg Police Service
John Renaud	London Police Service

Tiffany A. Richard
Cory Rowsell
Sean Michael Scott
Alan Skinner
Terrence Teno
John Townsend

Steve VanBerkel
Dan Bailey
Jeffrey Barker
Kim Bowes
Ann DeBrouwer
Carolle Dionne
Jason Folz
Dennis G. Hill
Sherri McGregor
Brendan M.M. Mullen
Brian E. Patterson
Trevor B. Pitts
Doug Stewart
Chris Tucker
Aaron Turpin
Matt Watson
Jennifer Wilks

(6742) 07

Canada Customs and Revenue Agency
London Police Service
Canada Customs and Revenue Agency
London Police Service
Port Hope Police Service
Peterborough Lakefield Community
Police Service
London Police Service
Ontario Provincial Police
Ontario Provincial Police
Ontario Provincial Police
Ontario Provincial Police
Ontario Provincial Police
Ontario Provincial Police
Ontario Provincial Police
Ontario Provincial Police
Ontario Provincial Police
Ontario Provincial Police
Ontario Provincial Police
Ontario Provincial Police
Ontario Provincial Police
Ontario Provincial Police
Ontario Provincial Police

Proclamations

(Great Seal of Ontario)

JAMES K. BARTLEMAN

PROVINCE OF ONTARIO

ELIZABETH THE SECOND, by the Grace of God of the United Kingdom, Canada and Her other Realms and Territories, Queen, Head of the Commonwealth, Defender of the Faith.

PROCLAMATION

ENERGY COMPETITION ACT, 1998

We, by and with the advice of the Executive Council of Ontario, name March 31, 2003 as the day on which section 46 of Schedule E to the

Published by Ministry of Consumer and Business Services
Publié par Ministère des Services aux consommateurs
et aux entreprises



© Queen's Printer for Ontario, 2003
© Imprimeur de la Reine pour l'Ontario, 2003

433



Energy Competition Act, 1998, c. 15 (which amends the Schedule to the *Safety and Consumer Statutes Administration Act, 1996*), comes into force.

WITNESS:

THE HONOURABLE
JAMES K. BARTLEMAN

LIEUTENANT GOVERNOR OF OUR
PROVINCE OF ONTARIO

GIVEN at Toronto, Ontario, on February 3, 2003.

BY COMMAND

DAVID H. TSUBOUCHI
Chair of the Management Board of Cabinet

(Great Seal of Ontario)

JAMES K. BARTLEMAN

PROVINCE DE L'ONTARIO

ELIZABETH DEUX, par la grâce de Dieu, Reine du Royaume-Uni, du Canada et de ses autres royaumes et territoires, Chef du Commonwealth, Défenseur de la Foi.

PROCLAMATION

LOI DE 1998 SUR LA CONCURRENCE DANS LE SECTEUR DE L'ÉNERGIE

Sur l'avis du Conseil exécutif de l'Ontario, nous désignons le 31 mars 2003 comme le jour où entre en vigueur l'article 46 de l'annexe E de la *Loi de 1998 sur la concurrence dans le secteur de l'énergie*, chap. 15 (qui modifie l'annexe de la *Loi de 1996 sur l'application de certaines lois traitant de sécurité et de services aux consommateurs*).

TÉMOIN :

L'HONORABLE
JAMES K. BARTLEMAN

LIEUTENANT-GOUVERNEUR DE NOTRE
PROVINCE DE L'ONTARIO

FAIT à Toronto (Ontario) le 3 février 2003.

PAR ORDRE

DAVID H. TSUBOUCHI
Président du Conseil de gestion du gouvernement

(6737) 07

(Great Seal of Ontario)

JAMES K. BARTLEMAN

PROVINCE OF ONTARIO

ELIZABETH THE SECOND, by the Grace of God of the United Kingdom, Canada and Her other Realms and Territories, Queen, Head of the Commonwealth, Defender of the Faith.

PROCLAMATION

GOVERNMENT EFFICIENCY ACT, 2002

We, by and with the advice of the Executive Council of Ontario, name February 14, 2003 as the day on which the following provisions of Schedule P of the *Government Efficiency Act, 2002*, c. 18 come into force:

1. Sections 22 and 29.

WITNESS:

THE HONOURABLE
JAMES K. BARTLEMAN

LIEUTENANT GOVERNOR OF OUR
PROVINCE OF ONTARIO

GIVEN at Toronto, Ontario, on February 3, 2003.

BY COMMAND

DAVID H. TSUBOUCHI
Chair of the Management Board of Cabinet

(Great Seal of Ontario)

JAMES K. BARTLEMAN

PROVINCE DE L'ONTARIO

ELIZABETH DEUX, par la grâce de Dieu, Reine du Royaume-Uni, du Canada et de ses autres royaumes et territoires, Chef du Commonwealth, Défenseur de la Foi.

PROCLAMATION

LOI DE 2002 SUR L'EFFICIENCE DU GOUVERNEMENT

Sur l'avis du Conseil exécutif de l'Ontario, nous désignons le 14 février 2003 comme le jour où entrent en vigueur les dispositions suivantes de l'annexe P de la *Loi de 2002 sur l'efficacité du gouvernement*, chap. 18 :

1. Les articles 22 et 29.

TÉMOIN :

L'HONORABLE
JAMES K. BARTLEMAN

LIEUTENANT-GOUVERNEUR DE NOTRE
PROVINCE DE L'ONTARIO

FAIT à Toronto (Ontario) le 3 février 2003.

PAR ORDRE

DAVID H. TSUBOUCHI
Président du Conseil de gestion du gouvernement

(6738) 07

(Great Seal of Ontario)

JAMES K. BARTLEMAN

PROVINCE OF ONTARIO

ELIZABETH THE SECOND, by the Grace of God of the United Kingdom, Canada and Her other Realms and Territories, Queen, Head of the Commonwealth, Defender of the Faith.

PROCLAMATION

GOVERNMENT EFFICIENCY ACT, 2002

We, by and with the advice of the Executive Council of Ontario, name February 28, 2003 as the day on which the following provisions of the *Government Efficiency Act, 2002*, c. 18 come into force:

1. Section 1 of Schedule E, which amends the *Alcohol and Gaming Regulation and Public Protection Act, 1996*.

2. Section 4 of Schedule E, which amends the *Gaming Control Act, 1992*.

3. Section 7 of Schedule E, which amends the *Liquor Licence Act*.

WITNESS:

THE HONOURABLE
JAMES K. BARTLEMAN

LIEUTENANT GOVERNOR OF OUR
PROVINCE OF ONTARIO

GIVEN at Toronto, Ontario, on February 3, 2003.

BY COMMAND

DAVID H. TSUBOUCHI
Chair of the Management Board of Cabinet

(Great Seal of Ontario)

JAMES K. BARTLEMAN

PROVINCE DE L'ONTARIO

ELIZABETH DEUX, par la grâce de Dieu, Reine du Royaume-Uni, du Canada et de ses autres royaumes et territoires, Chef du Commonwealth, Défenseur de la Foi.

PROCLAMATION

LOI DE 2002 SUR L'EFFICIENCE DU GOUVERNEMENT

Sur l'avis du Conseil exécutif de l'Ontario, nous désignons le 28 février 2003 comme le jour où entrent en vigueur les dispositions suivantes de la *Loi de 2002 sur l'efficacité du gouvernement*, chap. 18 :

1. L'article 1 de l'annexe E, qui modifie la *Loi de 1996 sur la réglementation des alcools et des jeux et la protection du public*.
2. L'article 4 de l'annexe E, qui modifie la *Loi de 1992 sur la réglementation des jeux*.
3. L'article 7 de l'annexe E, qui modifie la *Loi sur les permis d'alcool*.

TÉMOIN :

L'HONORABLE
JAMES K. BARTLEMAN

LIEUTENANT-GOUVERNEUR DE NOTRE
PROVINCE DE L'ONTARIO

FAIT à Toronto (Ontario) le 3 février 2003.

PAR ORDRE

DAVID H. TSUBOUCHI
Président du Conseil de gestion du gouvernement

(6739) 07

(Great Seal of Ontario)

JAMES K. BARTLEMAN

PROVINCE OF ONTARIO

ELIZABETH THE SECOND, by the Grace of God of the United Kingdom, Canada and Her other Realms and Territories, Queen, Head of the Commonwealth, Defender of the Faith.

PROCLAMATION

HIGHWAY TRAFFIC AMENDMENT ACT, 2000

We, by and with the advice of the Executive Council of Ontario, name March 31, 2003 as the day on which section 2 of the *Highway Traffic Amendment Act, 2000*, c. 15 comes into force.

WITNESS:

THE HONOURABLE
JAMES K. BARTLEMAN

LIEUTENANT GOVERNOR OF OUR
PROVINCE OF ONTARIO

GIVEN at Toronto, Ontario, on February 3, 2003.

BY COMMAND

DAVID H. TSUBOUCHI
Chair of the Management Board of Cabinet

(Great Seal of Ontario)

JAMES K. BARTLEMAN

PROVINCE DE L'ONTARIO

ELIZABETH DEUX, par la grâce de Dieu, Reine du Royaume-Uni, du Canada et de ses autres royaumes et territoires, Chef du Commonwealth, Défenseur de la Foi.

PROCLAMATION

LOI DE 2000 MODIFIANT LE CODE DE LA ROUTE

Sur l'avis du Conseil exécutif de l'Ontario, nous désignons le 31 mars 2003 comme le jour où entre en vigueur l'article 2 de la *Loi de 2000 modifiant le Code de la route*, chap. 15.

TÉMOIN :

L'HONORABLE
JAMES K. BARTLEMAN

LIEUTENANT-GOUVERNEUR DE NOTRE
PROVINCE DE L'ONTARIO

FAIT à Toronto (Ontario) le 3 février 2003.

PAR ORDRE

DAVID H. TSUBOUCHI
Président du Conseil de gestion du gouvernement

(6740) 07

(Great Seal of Ontario)

JAMES K. BARTLEMAN

PROVINCE OF ONTARIO

ELIZABETH THE SECOND, by the Grace of God of the United Kingdom, Canada and Her other Realms and Territories, Queen, Head of the Commonwealth, Defender of the Faith.

PROCLAMATION

MORE TAX CUTS FOR JOBS, GROWTH AND PROSPERITY ACT, 1999

We, by and with the advice of the Executive Council of Ontario, name February 21, 2003 as the day on which the following provisions of the *More Tax Cuts for Jobs, Growth and Prosperity Act, 1999*, c. 9 come into force:

1. Sections 34 and 202

WITNESS:

THE HONOURABLE
JAMES K. BARTLEMAN

LIEUTENANT GOVERNOR OF OUR
PROVINCE OF ONTARIO

GIVEN at Toronto, Ontario, on February 3, 2003.

BY COMMAND

DAVID H. TSUBOUCHI
Chair of the Management Board of Cabinet

(Great Seal of Ontario)

JAMES K. BARTLEMAN

PROVINCE DE L'ONTARIO

ELIZABETH DEUX, par la grâce de Dieu, Reine du Royaume-Uni, du Canada et de ses autres royaumes et territoires, Chef du Commonwealth, Défenseur de la Foi.

PROCLAMATION

LOI DE 1999 RÉDUISANT DE NOUVEAU LES IMPÔTS POUR STIMULER L'EMPLOI, LA CROISSANCE ET LA PROSPÉRITÉ

Sur l'avis du Conseil exécutif de l'Ontario, nous désignons le 21 février 2003 comme le jour où entrent en vigueur les dispositions suivantes de la *Loi de 1999 réduisant de nouveau les impôts pour stimuler l'emploi, la croissance et la prospérité*, chap. 9 :

1. Les articles 34 et 202

TÉMOIN :

L'HONORABLE
JAMES K. BARTLEMAN

LIEUTENANT-GOUVERNEUR DE NOTRE
PROVINCE DE L'ONTARIO

FAIT à Toronto (Ontario) le 3 février 2003.

PAR ORDRE

DAVID H. TSUBOUCHI
Président du Conseil de gestion du gouvernement

(6741) 07

Motor Vehicle Transport Act/Truck Transportation Act Loi sur les transports routiers/Loi sur le camionnage

The following are applications for operating licences under the *Truck Transportation Act*, R.S.O. 1990, Chapter T.22, and/or the *Motor Vehicle Transport Act, 1987*, Chapter 35. The applicants have met the fitness requirements pursuant to Section 6 of the *Truck Transportation Act* and/or Section 8(2) of the *Motor Vehicle Transport Act, 1987* and the provincial transport board and/or the Registrar of Motor Vehicles proposes to issue the licences if no written objection is served on the applicant and filed with the Registrar of Motor Vehicles, within thirty days of this publication.

The following applicants have applied for Authority to offer a transportation service for the carriage of Goods:

On trouvera ci-après la liste des demandes de permis d'exploitation présentées en vertu de la *Loi sur le camionnage, L.R.O. 1990, chapitre T.22, et/ou la Loi de 1987 sur les transports routiers, L.C. 1987, chapitre 35*. On a jugé que les personnes ayant présenté ces demandes se conformaient aux critères d'aptitude prévus au paragraphe 8(2) de la *Loi de 1987 sur les transports routiers* et l'office des transports de l'Ontario et/ou le registraire des véhicules automobiles dans les trente jours suivant la publication des présentes.

Les personnes suivantes ont demandé l'autorisation d'offrir des services de transport de marchandises à destination.

LOWELL C. HAGEN TRUCKING INC.
ELKHORN, WI

07/03

J. Greig Beatty
Manager/
Chef de Service

Ontario Highway Transport Board

NOTICE

Periodically, temporary applications are filed with the Board. Details of these applications can be made available at anytime to any interested parties by calling (416) 326-6732.

The following are applications for extra-provincial and public vehicle operating licenses filed under the *Motor Vehicle Transport Act, 1987*, and the *Public Vehicles Act*. All information pertaining to the applicant i.e. business plan, supporting evidence, etc. is on file at the Board and is available upon request.

Any interested person who has an economic interest in the outcome of these applications may serve and file an objection within 29 days of this publication. The objector shall:

1. complete a Notice of Objection Form,
2. serve the applicant with the objection,
3. file a copy of the objection and provide proof of service of the objection on the applicant with the Board,
4. pay the appropriate fee.

Serving and filing an objection may be effected by hand delivery, mail, courier or facsimile. Serving means the date received by a party and filing means the date received by the Board.

LES LIBELLÉS DES DEMANDES PUBLIÉES CI-DESSOUS SONT
AUSSI DISPONIBLES EN FRANÇAIS SUR DEMANDE.

Route Express Inc. 46141 & A
221-333 Riverside Drive West, Windsor, ON, N9A 5K4

Applies for the approval of the transfer of extra-provincial operating licence no X-3345 and public vehicle operating licence no PV-5254 now in the name of Derege Lemma (o/a "Route Express"), 1409-120 Caron Street, Windsor, Ontario, N9A 5K4.

Tokmakjian Inc.
221 Caldari Road, Concord, ON, L4K 3Z9

46142 & A

Applies for the approval of the transfer of extra-provincial operating licence no. X-1405 and public vehicle operating licence no. PV-2920 now in the name of Tokmakjian Limited, 221 Caldari Road, Concord, ON, L4K 3Z9.

Felix D'Mello
Board Secretary/
Secrétaire de la Commission

07/03

Government Notices Respecting Corporations Avis du gouvernement relatifs aux compagnies

Certificates of Dissolution Certificats de dissolution

NOTICE IS HEREBY GIVEN that a certificate of dissolution under the *Business Corporations Act*, has been endorsed. The effective date of dissolution precedes the corporation listings.

AVIS EST DONNÉ PAR LA PRÉSENTE que, conformément à la *Loi sur les compagnies*, un certificat de dissolution a été inscrit pour les compagnies suivantes : la date d'entrée en vigueur précède la liste des compagnies visées.

Name of Corporation: Dénomination sociale de la compagnie :	Ontario Corporation Number Numéro de la compagnie en Ontario
---	--

2002-12-16	
ABERDON HOLDINGS LIMITED	134183
ALONZI REALTY INC.	1073453
FERGIE'S FOOD MART INC.	1307739
INTERVEST MANAGEMENT CONSULTING INC.	715518
J. W. LEWIS LIMITED	407770
NATURAL HEALTH CENTRE INC.	469503
THE HOME DETECTIVE INC.	1230274
WHITE CEDAR ESTATES LIMITED	451660
WOHALL CONSULTING INC.	1151089
1026034 ONTARIO LTD.	1026034
1130438 ONTARIO INC.	1130438
1228268 ONTARIO LIMITED	1228268
279775 ONTARIO LIMITED	279775
968247 ONTARIO LTD.	968247
2002-12-17	
COMMERCIAL LINE MARKING INC.	1275315
KIMBOL SERVICE COMPANY LIMITED	661467
KOUMEH INC.	1461593
PAJEANT LUBRICATION COMPANY INC.	750797
2002-12-23	
J. D. HUBBERT & ASSOCIATES LIMITED	250756
J. KEITH RITCHIE MARKETING SERVICES INC.	567806
2002-12-30	
ALLEN WINDOWS AND DOORS INC.	702405
BMC COMMUNICATIONS INC.	1434194
BUSCH MOTORS LTD.	707109
MCKAGUE ENTERPRISES INC.	1166458
PETER WAXER & ASSOCIATES LTD.	2012013
WOLFF ENTERPRISES INC.	1210263
1029600 ONTARIO LTD.	1029600
1084883 ONTARIO INC.	1084883
1243462 ONTARIO LTD.	1243462
1345633 ONTARIO INC.	1345633
595932 ONTARIO LTD.	595932
2002-12-31	
WATER MANAGEMENT SYSTEMS INC.	1034744
1109203 ONTARIO INC.	1109203

Name of Corporation: Dénomination sociale de la compagnie :	Ontario Corporation Number Numéro de la compagnie en Ontario
---	--

2003-01-02	
ALDAR INC.	518555
DONNA MARIE ARTS INCORPORATED	613037
GARRY R. SMITH ENTERPRISES INC.	1355954
PWK BROADCAST TECHNICAL SERVICES INC.	884220
1051866 ONTARIO LTD.	1051866
781365 ONTARIO LIMITED	781365
916368 ONTARIO LIMITED	916368
2003-01-03	
CAST IRON WELDING SERVICES (CANADA) LTD. ...	1322942
JOHN M. DEN BROEDER GENERAL CONTRACTOR LTD.	449994
PROMINENT TRADING CO. LTD.	1414327
RICOANTHONY LTD.	1204276
WATERLILY MANAGEMENT INC.	1027394
1311453 ONTARIO INC.	1311453
781435 ONTARIO INC.	781435
2003-01-06	
AUTO ACCIDENT BENEFITS ADVISORY INC.	1063482
GRANDVIEW (CAMBRIDGE) LIMITED	971619
JAMES B. GREENIS LTD.	369081
MACROGIL INVESTMENTS LIMITED	488744
MPDC ENTERPRISES INC.	1455154
NEW WORLD GARMENT INC.	1195507
RECUMBENT TECHNOLOGIES INC.	1310074
SKELTON PERIODICALS INC.	1157224
THERMALFORCE COATINGS INC.	1485393
1131142 ONTARIO LTD.	1131142
2017792 ONTARIO INC.	2017792
481152 ONTARIO LIMITED	481152
501424 ONTARIO LIMITED	501424
769013 ONTARIO INC.	769013
968574 ONTARIO INC.	968574
2003-01-07	
AVL ALL VEHICLE LEASING LTD.	800864
F. CALAMIA FRANCHISE LTD.	311823
MR. KAM'S GOURMET KITCHEN LTD.	1146593
1020032 ONTARIO LTD.	1020032
1072990 ONTARIO LTD.	1072990
2003-01-08	
CASS PRINTING COMPANY LTD.	518171
CATION & ASSOCIATES INSURANCE BROKERS LTD. ...	401621
CHATHAM DENTAL MANAGEMENT INC.	527674
CNC COMMUNITY NEUROCARE INC.	1204039
DANSON PLUMBING AND HEATING LIMITED	659617
F.M. PLUMBING LTD.	940823
HIGMAN'S HIWAY MARKET LIMITED	830958
SPANISH BUSINESS SERVICES INC.	1366267
THE CANADIAN AUTOMATIC CONFECTIONS LIMITED	76224

Name of Corporation: Dénomination sociale de la compagnie :	Ontario Corporation Number Numéro de la compagnie en Ontario
1228129 ONTARIO INC.	1228129
1238233 ONTARIO INC.	1238233
2003-01-10	
B. & M. MANUFACTURING (CHATHAM) LIMITED	130098
2003-01-14	
AARDVARK ELECTRIC (1983) LIMITED	569487
2003-01-15	
1002048 ONTARIO INC.	1002048
2003-01-17	
919492 ONTARIO INC.	919492
2003-01-20	
WILLIAM AU ASSOCIATE ARCHITECT INC.	708966
454263 ONTARIO INC.	454263
2003-01-21	
GLS PRODUCTS LTD.	1221555
MILES MACHINE TOOL LIMITED	276258
2003-01-22	
CAMERA SHOP PLUS LTD.	291394
2003-01-24	
FERREIRA MANAGEMENT SERVICES LIMITED	339860
PLANET INVESTMENTS COMPANY LIMITED	500704
VALDEN INVESTMENTS LIMITED	141524
823398 ONTARIO LIMITED	823398
2003-01-26	
1284348 ONTARIO LIMITED	1284348
2003-01-27	
A CRANE RENTAL INC.	1150747
B. & H. WOODWORKERS (CANADA) LIMITED	1181571
BRUSSELS AUTO SALES & SERVICE LTD.	738196
DAC INSTALLATIONS LIMITED	1118342
PROCESS LOGICS INC.	1127437
RUBY'S BUCKET PRODUCTIONS LIMITED	1435069
S.W. SHERMAN INSURANCE BROKERS LIMITED	264561
SEALCOVE INVESTMENTS INC.	363220
SNOW IN AUGUST PRODUCTIONS LIMITED	1433609
V.I. MANAGEMENT LTD.	521134
1285196 ONTARIO INC.	1285196
975603 ONTARIO LTD.	975603
2003-01-28	
BRAMPTON CHICK HATCHERY (1998) INC.	1285197
CARO MOTORS INC.	1293275
CO. & CO. CONCEPT AND DESIGN LIMITED	957638
DOG-CATCHER COMMUNICATIONS INC.	1088930
DOWNSVIEW PACKAGING LTD.	742377
DYSTEEL INC.	1179612
FSM PROPERTIES LTD.	698250
J. DOUGLAS WILSON ASSOCIATES LIMITED	152987
ONTARIO DUST CONTROL LIMITED	361806
780134 ONTARIO INC.	780134
960755 ONTARIO INC.	960755
2003-01-29	
BONNATEX LIMITED	1175719
CSK COMPUTER SERVICES (CANADA), LTD.	923859
DAVID GULA LIMITED	200901
DEL NIN BROTHERS MASONRY LIMITED	218224
ENVIROGUARD INTERNATIONAL INC.	1404292
HIGH RUN PETROCHEMICAL CORPORATION LIMITED	1372288
JBC CANADA INC.	939857
KENNEDY GARDEN RESTAURANT LTD.	1331507
MGA CONSULTING SERVICES LIMITED	1431330
R. D. TRIST TRUCKING LTD.	495287
REDCASTLE INVESTMENTS LTD.	672413
1403668 ONTARIO INC.	1403668
2003-01-30	
AMUSIA TRADING INC.	1503519
ANCORA CUSTOMS BROKERAGE LIMITED	234753
CANADASIA LINKS INC.	1349453
CHEQUEMATE CASHING INC.	1487797
HSIANG-WET CANADA LTD.	1256344
IRWIN INVESTMENTS INC.	1041105
NORFORD INVESTMENTS LIMITED	138836

Name of Corporation: Dénomination sociale de la compagnie :	Ontario Corporation Number Numéro de la compagnie en Ontario
SEA DRAGON DEVELOPMENT COMPANY LTD.	836664
SINTRA ONT. INC.	1030164
THE OBJECT GROUP INC.	1196299
1128069 ONTARIO INC.	1128069
1230621 ONTARIO LIMITED	1230621
286062 ONTARIO LIMITED	286062
812254 ONTARIO LIMITED	812254

07/03

B. G. HAWTON,
Director, Companies and Personal Property
Security Branch
Directrice, Direction des compagnies et des
sûretés mobilières

Notice of Default in Complying with the Corporations Information Act Avis de non-observation de la loi sur les renseignements exigés des compagnies et des associations

NOTICE IS HEREBY GIVEN under subsection 241 (3) of the *Business Corporations Act* that unless the corporations listed hereunder comply with the filing requirements under the *Corporations Information Act* within 90 days of this notice orders dissolving the corporation(s) will be issued. The effective date precedes the corporation listings.

AVIS EST DONNÉ PAR LA PRÉSENTE que, conformément au paragraphe 241 (3) de la *Loi sur les sociétés par actions*, si les compagnies mentionnées ci-dessous ne se conforment pas aux exigences de dépôt requises par la *Loi sur les renseignements exigés des compagnies et des associations* dans un délai de 90 jours suivant la réception du présent avis, des ordonnances de dissolution seront délivrées contre lesdites compagnies. La date d'entrée en vigueur précède la liste des compagnies visées.

Name of Corporation: Dénomination sociale de la compagnie :	Ontario Corporation Number Numéro de la compagnie en Ontario
---	--

2003-02-05
FRANCIS ENGINEERING LIMITED
 266652 |

07/03

B. G. HAWTON,
Director, Companies and Personal Property
Security Branch
Directrice, Direction des compagnies et des
sûretés mobilières

Co-operative Corporations Act (Certificate of Incorporation Issued) Loi sur les Sociétés Coopératives (Certificat de constitution délivré)

NOTICE IS HEREBY GIVEN that, under the *Co-operative Corporations Act*, a certificate of Incorporation has been issued to:

AVIS EST PAR LES PRÉSENTES DONNÉ qu'en vertu de la *Loi sur les Sociétés Coopératives* un certificat de constitution a été délivré à :

Name of Corporation and Head Office:
Nom de la compagnie et siège social :

2003-01-29

Island Breeder Co-operative Inc., Tehkummah.

JOHN M. HARPER,
Director, Compliance Branch, Licensing and
Compliance Division by delegated authority
from the Superintendent of Financial Services
Directeur, Observation des lois et des règlements
Division de la délivrance des permis et de
l'observation des lois et des règlements
en vertu des pouvoirs délégués par le
surintendant des services financiers

07/03

**Co-operative Corporations Act
(Certificate of Dissolution Issued)
Loi sur les Sociétés Coopératives
(Certificat de dissolution)**

NOTICE IS HEREBY GIVEN that, under the *Co-operative Corporations Act*, a Certificate of Dissolution has been issued to:

AVIS EST PAR LES PRÉSENTES DONNÉ qu'en vertu de la *Loi sur les sociétés coopératives* un certificat de dissolution a été délivré à:

Name of Corporation: Effective Date
Nom de la compagnie : Date d'entrée vigueur

1977-06-10

Thornview Pre-school Co-operative
Incorporated..... January 21, 2003

JOHN M. HARPER,
Director, Compliance Branch, Licensing and
Compliance Division by delegated authority
from the Superintendent of Financial Services
Directeur, Observation des lois et des règlements
Division de la délivrance des permis et de
l'observation des lois et des règlements
en vertu des pouvoirs délégués par le
surintendant des services financiers

07/03

**Credit Unions and Caisses
Populaires Act, 1994
(Certificate of Incorporation Issued)
Loi sur les caisses populaires et les
credit unions, 1994
(Certificat de constitution délivré)**

NOTICE IS HEREBY GIVEN that, under the *Credit Unions and Caisses Populaires Act, 1994*, a certificate of Incorporation has been issued to:

AVIS EST PAR LES PRÉSENTES DONNÉ qu'en vertu de la *Loi sur les Caisses Populaires et les Credit Unions, 1994*, un certificat a été délivré à :

Name of Corporation and Head Office:
Nom de la compagnie et siège social :

2002-11-27

Desjardins Credit Union Inc., Toronto.

GRANT SWANSON,
Director/Directeur
Licensing and Compliance Division
Financial Services Commission of Ontario/
Division de la délivrance des permis et de
l'observation des lois et des règlements
Commission des services financiers de l'Ontario

07/03

**Public Guardian and Trustee
Tuteur et curateur public**

**CERTIFICATE OF THE PUBLIC GUARDIAN
AND TRUSTEE**

(pursuant to s. 13.1 of the *Public Guardian and Trustee Act*,
R.S.O. 1990, c. P.51, as amended)

1. Effective February 1, 2003, interest shall be computed from the day on which the money was received by the Public Guardian and Trustee to the day before the date on which the money is available for payment to the person or trust entitled thereto and be added to each account and compounded at the end of each month;
 - (a) subject to subparagraphs (b) and (c) and paragraph 2 of this Certificate, on funds managed under the *Mental Health Act*, *Substitute Decisions Act*, *Trustee Act*, *Victims' Right to Proceeds of Crime Act*, *Ontario Disability Support Program Act*, *Powers of Attorney Act*, *Canada Pension Plan Act* or other trust accepted by the Public Guardian and Trustee, at the rate of 5% per annum payable monthly and calculated on the closing daily balance;
 - (b) on funds managed under the *Crown Administration of Estates Act*, at the rate of 5% per annum payable monthly and calculated on the closing daily balance;
 - (c) on funds managed under the *Cemeteries Act*, at the rate of 5% per annum, payable monthly and calculated on the closing daily balance.
2. Effective February 1, 2003, funds managed by the Public Guardian and Trustee pursuant to the *Escheats Act* and funds transferred to the Unadministered Estates Account of the Public Guardian and Trustee shall bear interest at the rate of 0%.
3. (a) Effective February 1, 2003, interest shall be computed from the day on which money was received by the Accountant of the Superior Court of Justice to the day before the date on which the money is available for payment to the person entitled thereto and be added to each account and compounded at the end of each month.
 - (b) Money paid or transferred to the Accountant of the Superior Court of Justice bears interest on the closing daily balance,
 - (i) in the case of money required to be held in United States currency, at the rate of 1.25%;
 - (ii) in the case of money deposited for the benefit of minors and parties under disability, at the rate of 5% per annum, payable monthly; and
 - (iii) in the case of all other money, including litigants, at the rate of 5% per annum, payable monthly.

Dated this 31st day of January, 2003.

PUBLIC GUARDIAN AND TRUSTEE,
LOUISE STRATFORD

Approved by the Investment Advisory Committee pursuant to section 13.1 of the *Public Guardian and Trustee Act*, on January 31, 2003.

(6743) 07

ROBERT KAY,
Investment Advisory Committee.

FEES OF THE PUBLIC GUARDIAN AND TRUSTEE
*(pursuant to s. 8(2) of the Public Guardian and Trustee Act,
 R.S.O. 1990, c. P.51, as amended)*

I, LOUISE STRATFORD, HEREBY ESTABLISH THE FEES OF

THE PUBLIC GUARDIAN AND TRUSTEE AS FOLLOWS, EFFECTIVE FEBRUARY 1, 2003:

A. SERVICES TO INCAPABLE CLIENTS AND ABSENTEES

1. Compensation: Notwithstanding the *Ontario Disability Support Program Act*, compensation at the rate of:
 3.0% on capital and income receipts;
 and
 3.0% on capital and income disbursements,
 payable monthly by the client.

2. Care and Management Fee: Notwithstanding the *Ontario Disability Support Program Act*, a care and management fee of 3/5 of 1% per annum on the average annual value of the assets under management, payable monthly by the client.

3. Client Overdrafts: A fee equivalent to the interest rate from time to time under s. 1(a) of the Certificate of the Public Guardian and Trustee, pursuant to s. 13.1(1) of the *Public Guardian and Trustee Act*, to be calculated on the daily balance and payable monthly by the client.

4. Investigations: For any investigation relating to a client, including preparation of reports, a fee of \$100./hr, payable by the client.

5. Client Legal Services:
 - (a) Consultation and Advice: To clients, Client Representatives or other employees of the Public Guardian and Trustee, at the hourly rate of legal counsel providing the service, payable by the client.

- (b) Clients' Interests in Estates:
- (i) For collection of bequests to clients and reviewing accounts of estate trustees where no passing of accounts is scheduled, at the hourly rate of legal counsel and staff providing the service, payable by the client.
 - (ii) For passings of accounts without a hearing, costs to be requested in accordance with Tariff C of the Rules of Civil Procedure, to be paid by the estate or by the client if not ordered to be paid out of the estate.
 - (iii) For contested passings of accounts, or where the costs exceed the amount of costs allowed by Tariff C, costs to be requested at the hourly rate of legal counsel and staff providing the service, to be paid by the estate or by the client if not ordered to be paid out of the estate.
- (c) Family Law: For consultation, advice, negotiation of a separation agreement, domestic contract, support, division of property, election under the *Family Law Act* or any other proceedings under the *Family Law Act* or *Divorce Act*, at the hourly rate of legal counsel and staff providing the service, payable by the client.
- (d) Sale or Purchase of Real Estate: For all legal services rendered in relation to the sale of real property:
- (i) On a sale price of less than \$75,000, a minimum fee of \$500.;
 - (ii) On a sale price between \$75,001. and \$250,000. a fee of not less than \$500. and not more than \$750.;
 - (iii) On a sale price between \$250,000. and \$500,000., a fee of not less than \$750. and not more than \$1,000.;
 - (iv) On a sale price over \$500,000, a fee of not less than \$1,000. and not more than \$1,500.;

in addition to disbursements, payable by the client.

- (e) Transmission Application: \$150. per application or Document General, or Registration of Interest payable by the client upon registration. on Title (or Removal):
- (f) Discharge of Mortgage: \$175. each, payable by the mortgagor.
- (g) Other Legal Services: For any other legal service rendered to a client, at the hourly rate of legal counsel providing the service, payable by the client.
6. Review Fee for Applications to replace the Public Guardian and Trustee as statutory guardian under the *Substitute Decisions Act*: \$382., payable upon issuance of the Certificate of the Public Guardian and Trustee.

B. INCOME TAX PREPARATION FEES:

7. (a) T1 Fees, payable by clients:

Taxable income of \$0 to \$10,000.	\$15.
Taxable income of \$10,001. to \$30,000.	\$100./hr. with 30 min. minimum
Taxable income of \$30,001. to \$60,000.	\$100./hr. with 45 min. minimum
Taxable income of \$60,001. and over	\$100./hr. with 60 min. minimum

- (b) T3 Fees, payable by estates:

Taxable Income of \$0 to \$10,000.	\$100./hr. with 1 hr. minimum
Taxable Income of \$10,001. to \$15,000.	\$100./hr. with 1.5 hr. minimum
Taxable Income of \$15,001. and over	\$100./hr. with 2 hr. minimum

- (c) Terminal Returns and New Estates: \$100./hr. with 2 hr. minimum

- (d) Beneficiaries of estates, payable by estates:

T3 supplementary for resident of Canada:	\$20.
T3 supplementary for non-resident of Canada	\$40.

C. ADMINISTRATION OF ESTATES, TRUSTS AND SPECIALIZED PROPERTY

8. (a) Compensation for the administration of estates or trusts pursuant to the *Crown Administration of Estates Act* or the *Estates Act*: 3.0% on capital and income receipts; and 3.0% on capital and income disbursements; payable monthly by the estate or trust.
- (b) Compensation for the administration of trusts under the *Trustee Act* or the *Victims' Right to Proceeds of Crime Act, 1994*: 3.0% on capital and income receipts; and 3.0% on capital and income disbursements, payable monthly by the trust.
9. Compensation for the administration and management of perpetual care funds under the *Cemeteries Act*: 3.0% on capital and income receipts; and 3.0% on capital and income disbursements; 0.0% on the distribution of annual net income of the trust for the perpetual care of cemeteries, payable monthly by the trust.
10. Care and Management Fee for estates or trusts under the *Estates Act* or *Crown Administration of Estates Act* or trust assets managed under the *Trustee Act* or *Victims' Right to Proceeds of Crime Act, 1994* or the *Cemeteries Act*: 3/5 of 1% per annum of the average annual value of the assets under management payable monthly by the estate or trust.
11. Overdrafts: A fee equivalent to the interest rate from time to time under s. 1(a) of the Certificate of the Public Guardian and Trustee, pursuant to s. 13.1(1) of the *Public Guardian and Trustee Act*, to be calculated on the daily balance and payable monthly by the estate or trust.
12. Consent to the Revival of a Corporation: \$150.00, payable by the applicant.
13. Mortgagee's Letters: For preparation of a requested letter confirming that the Public Guardian and Trustee does not have an interest or object to the sale of real property of a dissolved corporation under power of sale, a fee of \$100. per dissolved corporation, payable by the applicant.

14. Taking possession or acquiring property or estates under the *Escheats Act*: A fee of 10% of the total value of the property or estates, to be deducted from the property or estate.
15. Legal Services:
- (a) Registration of Cautions on real property under the *Estates Administration Act* or preparation of a Withdrawal of Caution: \$150., payable by the estate upon registration of a Caution on title; and \$150. payable by the estate or applicant for preparation of a Withdrawal of Caution.
- (b) Preparation of a Discharge of Mortgage: \$175., payable by the mortgagor.
- (c) Preparation and execution of a Transfer, Release or Assignment of a corporate or Crown interest in property, not requiring an Order-in-Council: Fee at the hourly rate of legal counsel and staff providing the service, with a minimum fee of \$400., payable by the applicant.
- (d) Claims against Estates of Deceased Persons: Fee at the hourly rate of legal counsel and staff providing the service, payable by the estate.
- (e) Redemption of shares of Dissolved Corporations: \$50./hr. for each hour, payable by the applicant or shareholder.
- (f) Preparation of Agreements relating to Corporations: At the hourly rate of legal counsel and staff providing the service, payable by the corporation.
- (g) Sale of Real Property:
- (i) On a sale price of less than \$75,000, a minimum fee of \$500.;
 - (ii) On a sale price between \$75,001. and \$250,000. a fee of not less than \$500. and not more than \$750.;
 - (iii) On a sale price between \$250,000. and \$500,000., a fee of not less than \$750. and not more than \$1,000.;
 - (iv) On a sale price over \$500,000, a fee of not less than \$1,000. and not more than \$1,500.;

in addition to disbursements, payable by the estate, trust or corporation.

- (h) Review of Proof of Identity Affidavit in the Estate of a Deceased Person: \$50. per affidavit, payable by the estate.
- (i) Services relating to an Order-in-Council: In the estate of a deceased person, at the hourly rate of legal counsel and staff providing the service, with a minimum fee of \$300., payable by the estate.

Relating to a dissolved corporation, at the hourly rate of legal counsel providing the service, with a minimum fee of \$800., payable by the applicant.
- (i) Review of documents required to establish heirship to the estate of a deceased person: At the hourly rate of legal counsel providing the service, payable by the estate.
- (j) Legal Services relating to the administration of a deceased person's estate: Based on the value of the estate, with a minimum fee of \$500.
(i) On the first \$10,000.: 3%
(ii) On the next \$90,000. 2%
(iii) On the next \$200,000. 1.25%
(iv) On the next \$400,000. .5%,
(v) On an estate value exceeding \$700,000., a maximum of .2% on the amount over \$700,000., payable by the estate.
- (k) Other Legal Services relating to estates of deceased persons, trusts or dissolved corporations: At the hourly rate of legal counsel or staff providing the service, to be paid by the estate, trust or corporation.
- (l) Any legal service relating to the *Victims' Right to Proceeds of Crime Act, 1994*: At the hourly rate of legal counsel or staff providing the service, to be paid out of the trust or proceeds of crime.

D. CHARITABLE PROPERTY SERVICES

16. Reviewing an application to continue an Ontario or extra-provincial corporation under the *Corporations Act*; to transfer an Ontario corporation to another jurisdiction or to *Ontario Cooperative Corporations Act*; or to surrender a corporation's charter and terminate its existence: \$150. payable by the applicant at the time of delivery to the Public Guardian and Trustee.

17. Reviewing an application to incorporate a charitable corporation; for amalgamation, payable for each amalgamating corporation; for revival; for an amendment to an incorporating, amending or previously approved document: \$150. payable by the applicant at the time of delivery to the Public Guardian and Trustee.
18. Legal Services relating to Charitable Property:
- (a) Concerning the administration of interests subject to compliance with the *Charitable Gifts Act*: At the hourly rate of legal counsel and staff providing the service, payable by the estate trustee, trustee or corporation.
- (b) Concerning the administration of charities, estates and charitable interests, under the *Charities Accounting Act*: At the hourly rate of legal counsel and staff providing the service, payable by the estate trustee, trustee or corporation.
- (c) Passings of Accounts: Where no attendance is required at a hearing for the passing of accounts, costs in accordance with Tariff C of the Rules of Civil Procedure, payable by the applicant, estate trustee, trustee or corporation;
- Where the hourly rate exceeds Tariff C on a passing where no attendance or hearing is required, solicitor-client costs on the basis of time spent by legal counsel and staff providing the service, payable by the applicant, estate trustee, trustee or corporation.
- Where the passing of accounts is contested, at the hourly rate of legal counsel and staff providing the service, payable by the applicant, estate trustee, trustee or corporation.
- (d) Reviewing an application for an order under s. 13 of the *Charities Accounting Act*: \$500., payable by the applicant at the time of delivery of the application to the Public Guardian and Trustee.

- | | |
|--|--|
| (e) Responding to or initiating cy-pres applications and all other legal services: | At the hourly rate of legal counsel and staff providing the service, payable by the applicant, estate trustee, trustee or corporation. |
|--|--|

NOTE: G.S.T. is not payable on any service rendered under Section D of this Fee Schedule relating to Charitable Property.

E. LITIGATION SERVICES

- | | |
|---|--|
| 19. Passings of Accounts: | Where no attendance is required at a hearing for the passing of accounts, costs in accordance with Tariff C of the Rules of Civil Procedure, payable by the estate, trust or incapable person; |
| | Where the passing of accounts is contested, or where the costs exceed the amount allowed under Tariff C, solicitor-client costs at the hourly rate of legal counsel and staff providing the service, payable by the estate, trust or incapable person. |
| 20. For all other litigious matters, including but not limited to applications under the <i>Substitute Decisions Act</i> , family law, estate litigation or other civil litigation: | At the hourly rate of legal counsel and staff providing the service, payable by the opposing party, where possible, or, in the alternative, by the client or estate. |
| 21. For litigation services rendered to clients for whom the Public Guardian and Trustee acts as litigation guardian or legal representative under any rule of Court or by court Order: | At the hourly rate of legal counsel or staff providing the service, payable by the opposing party, where possible, or, in the alternative, by the client or estate. |

F. OTHER LEGAL SERVICES

- | | |
|---|--|
| 22. For any legal service provided by the Public Guardian and Trustee not specifically listed in this Schedule: | At the hourly rate of legal counsel and staff providing the service. |
|---|--|

23. The hourly rates of legal counsel and staff are as follows:

Counsel:

<i>No. of Years of Experience</i>	<i>Rate per Hour</i>
0 to 2 years	\$100.
3 to 5 years	\$125.
6 to 8 years	\$150.
9 to 10 years	\$175.
Over 10 years	\$200.

Accountant: \$ 80.

Articling Students: \$ 50.

Law Clerks and Paralegals: \$ 40.

The Public Guardian and Trustee may designate counsel in the Office of the Public Guardian and Trustee who may charge up to an additional \$50.00 per hour for specialized legal services. **[No counsel have been so designated as of February 1, 2003.]**

G. ACCOUNTANT OF THE SUPERIOR COURT OF JUSTICE

- | | | |
|-----|---|---|
| 24. | Compensation on trusts held for minors, incapable adults under a mental disability person and absentees: | 3.0% on capital and income receipts; and 3.0% on capital and income disbursements, payable monthly by the minor, incapable or trust. |
| 25. | Care and Management Fee on Trusts managed for minors, Incapable adults under a mental Disability and absentees: | 3/5 of 1% per annum on the average annual value of the trust under management, payable monthly by the minor, incapable person, trust or absentee. |
| 26. | Care and Management Fee on money paid into Court by or on behalf of a party to litigation (who are not minors or mentally incapable adults), whether on Consent or pursuant to a Court Order: | 3/5 of 1% per annum on the average annual value of the funds under management payable monthly out of the funds held in Court. |
| 27. | Fee for the taking of an Affidavit or Declaration by a Commissioner for taking Oaths: | \$10., payable by the affiant. |

28. Any other fee to the Accountant Of the Superior Court of Justice, as provided by a Statute, regulation or any rule of court: As provided by the statute, regulation or rule.

H. MISCELLANEOUS FEES

29. Reviewing applications under the *Substitute Decisions Act* for a court-appointed guardian of property or guardian for personal care, or an application to vary a Management plan, Guardianship plan, sale of real estate or proceeding for directions, by a proposed or existing guardian or attorney under a continuing power of attorney: \$250. per application, payable by the incapable person or applicant at the time of service upon the Public Guardian and Trustee.
30. Review and approval of an amendment to a Guardianship plan or Management plan by a *Guardian*: \$50., payable by the guardian, out of the estate of the incapable person.
31. Investigations under ss. 27 or 62 of the *Substitute Decisions Act*, as amended: \$100. per hour, including preparation of reports, payable by the incapable person.
32. Mediation Services under section 88 of the *Substitute Decisions Act*, or on consent of the parties: \$100. per hour, including pre-mediation preparation and preparation of reports.
33. Policy Manuals: A fee of \$100. for a copy of any existing policy or procedural manual of the Office of the Public Guardian and Trustee.
34. Disbursements:
(a) Travel: Within the geographical limits defined by the Ministry of the Attorney General as Southern Ontario: \$.30 per km. Within the geographical limits defined by the Ministry of the Attorney General as Northern Ontario: \$.30.5 per km.

- | | | |
|-----|----------------------------------|---|
| (b) | Long distance telephone charges: | For telephone calls outside Ontario, at the rate charged by the service provider. |
| (c) | Fax transmissions: | \$.50 per page within Ontario. Outside Ontario, \$.50 per page in addition to long distance telephone charges. |
| (d) | Photocopying: | \$.20 per page. |
| (e) | Agents and Service Providers: | For any service or agent's fee payable to an agent or or service provider to the Office of the Public Guardian and Trustee, as invoiced by the agent or service provider, payable by the Incapable client, estate or trust. |
| (f) | G.S.T. | Payable on all services rendered by the Public Guardian and Trustee, except for those services listed in Section D relating to Charitable Property. |
35. Waiver of Fees: The Public Guardian and Trustee may waive any fees under this Schedule in her absolute discretion, in cases of hardship or otherwise.

THIS SCHEDULE PREVAILS OVER FEES OF THE PUBLIC GUARDIAN AND TRUSTEE UNDER ANY OTHER ACT, EXCEPT s. 40(3) OF THE SUBSTITUTE DECISIONS ACT, IN ACCORDANCE WITH s. 8(4) OF THE PUBLIC GUARDIAN AND TRUSTEE ACT, R.S.O. 1990, c. P. 51, as amended.

“Louise A. Stratford”
LOUISE A. STRATFORD,
PUBLIC GUARDIAN AND TRUSTEE

APPROVED BY THE ATTORNEY GENERAL, pursuant to s. 8(2) of the Public Guardian and Trustee Act.

DATE: January 31, 2003

“David S. Young”
DAVID S. YOUNG,
ATTORNEY GENERAL

OPGTFees2002.doc

**Ontario Securities Commission
Commission des valeurs mobilières de l'Ontario**

MULTILATERAL INSTRUMENT 31-102

NATIONAL REGISTRATION DATABASE

TABLE OF CONTENTS

PART TITLE

PART 1 DEFINITIONS AND INTERPRETATION

- 1.1 Definitions
- 1.2 Interpretation

PART 2 INFORMATION TO BE SUBMITTED IN NRD FORMAT

- 2.1 Registration Information

PART 3 MAKING NRD SUBMISSIONS

- 3.1 NRD Submissions
- 3.2 Ongoing Firm Filer Requirements

PART 4 PAYMENT OF FEES THROUGH NRD

- 4.1 Payment of Submission Fees
- 4.2 Payment of Annual Registration Fees
- 4.3 Payment of NRD User Fees - Annual

PART 5 TEMPORARY HARDSHIP EXEMPTION

- 5.1 Temporary Hardship Exemption

PART 6 EXEMPTION

- 6.1 Exemption

PART 7 TRANSITION

- 7.1 Definitions
- 7.2 NRD Enrolment for Transition Firms
- 7.3 NRD Submissions before NRD Access Date
- 7.4 Accuracy of Business Location Information
- 7.5 Individuals Included in the Data Transfer
- 7.6 Individuals not Included in the Data Transfer
- 7.7 Changes to Form 4 Information - Registered Individuals
- 7.8 Changes to Form 4 Information - Non-registered Individuals
- 7.9 Pending Application to Change Individual's Registration Category
- 7.10 Currency of Form 33-109F4
- 7.11 Termination or Cessation of Relationship

PART 8 EFFECTIVE DATE

- 8.1 Effective Date

**MULTILATERAL INSTRUMENT 31-102
NATIONAL REGISTRATION DATABASE**

PART 1 DEFINITIONS AND INTERPRETATION

1.1 Definitions - In this Instrument

“authorized firm representative” or “AFR” means, for a firm filer, an individual with his or her own NRD user ID and who is authorized by the firm filer to submit information in NRD format for that firm filer and individual filers with respect to whom the firm filer is the sponsoring firm;

“chief AFR” means, for a firm filer, an individual who is an AFR and has accepted an appointment as a chief AFR by the firm filer;

“firm filer” means a person or company that is required under securities legislation to make an NRD submission in accordance with this Instrument and that is registered as, or has applied for registration as, a dealer, adviser, or underwriter;

“individual filer” means an individual that is required under securities legislation to make an NRD submission in accordance with this Instrument;

“MI 33-109” means Multilateral Instrument 33-109 Registration Information;

“National Registration Database” or “NRD” means the online electronic database of registration information regarding NRD filers and includes the computer system providing for the transmission, receipt, review and dissemination of that registration information by electronic means;

“NRD account” means an account with a member of the Canadian Payments Association from which fees may be paid with respect to NRD by electronic pre-authorized debit;

“NRD administrator” means CDS INC. or a successor appointed by the securities regulatory authority to operate NRD;

“NRD filer” means an individual filer or a firm filer;

“NRD format” means the electronic format for submitting information through the NRD website;

“NRD number” means the unique number first generated by NRD to identify an NRD filer, a non-registered individual, or a business location;

“NRD submission” means information that is submitted under securities legislation or securities directions in NRD format, or the act of submitting information under securities legislation or securities directions in NRD format, as the context requires;

“NRD website” means the website operated by the NRD administrator for the NRD submissions;

1.2 Interpretation - Terms defined in MI 33-109 and used in this Instrument have the respective meanings ascribed to those terms in MI 33-109.

PART 2 INFORMATION TO BE SUBMITTED IN NRD FORMAT

2.1 Registration Information - A person or company that is required to submit any of the following to the securities regulatory authority or regulator must make the submission in NRD format:

1. Form 33-109F1;
2. Form 33-109F2;
3. Form 33-109F3;
4. Form 33-109F4 or a change to any information previously submitted in respect of Form 33-109F4.

PART 3 MAKING NRD SUBMISSIONS**3.1 NRD Submissions**

- (1) An NRD filer that is required under securities legislation to submit information in NRD format must make that NRD submission
 - (a) through the NRD website,
 - (b) using the NRD number of the NRD filer, non-registered individual, or business location, and
 - (c) in accordance with this Instrument.
- (2) A requirement in securities legislation relating to the format in which a document or other information to be submitted must be printed, or specifying the number of copies of a document that must be submitted, does not apply to an NRD submission required to be made in accordance with this Instrument.
- (3) An NRD filer making an NRD submission must make the NRD submission through an AFR.

3.2 Ongoing Firm Filer Requirements – A firm filer must

- (a) be enrolled with the NRD administrator to use NRD;
- (b) have one and no more than one chief AFR enrolled with the NRD administrator;
- (c) maintain one and no more than one NRD account;
- (d) notify the NRD administrator of the appointment of a chief AFR within 5 business days of the appointment;
- (e) notify the NRD administrator of any change in the name of the firm's chief AFR within 5 business days of the change; and
- (f) submit any change in the name of an AFR, other than the firm's chief AFR, in NRD format within 5 business days of the change.

PART 4 PAYMENT OF FEES THROUGH NRD**4.1 Payment of Submission Fees**

- (1) If a fee is required with respect to an NRD submission, a firm filer must pay the required fee by electronic pre-authorized debit through NRD.
- (2) A payment under subsection (1) must be made from the firm filer's NRD account.

4.2 Payment of Annual Registration Fees

- (1) If a firm filer is required to pay an annual registration fee, the firm filer must pay the required fee by electronic pre-authorized debit through NRD.
- (2) A payment under subsection (1) must be made from the firm filer's NRD account.

4.3 Payment of NRD User Fees - Annual

- (1) If a firm filer is required to pay an annual NRD user fee, the firm filer must pay the required fee by electronic pre-authorized debit through NRD.
- (2) A payment under subsection (1) must be made from the firm filer's NRD account.

PART 5 TEMPORARY HARDSHIP EXEMPTION**5.1 Temporary Hardship Exemption**

- (1) If unanticipated technical difficulties prevent an NRD filer from making a submission in NRD format within the time required under securities legislation, the NRD filer is exempt from the requirement to make the submission within the required time period, if the NRD filer makes the submission in paper format or NRD format no later than 5 business days after the day on which the information was required to be submitted.
- (2) Form 33-109F5 is the paper format for submitting a notice of a change to Form 33-109F4 information.
- (3) If unanticipated technical difficulties prevent an individual filer from submitting an application in NRD format, the individual filer may submit the application in paper format.
- (4) If an NRD filer makes a paper format submission under this section, the NRD filer must include the following legend in capital letters at the top of the first page of the submission:

IN ACCORDANCE WITH SECTION 5.1 OF MULTILATERAL INSTRUMENT 31-102 NATIONAL REGISTRATION DATABASE (NRD), THIS [SPECIFY DOCUMENT] IS BEING SUBMITTED IN PAPER FORMAT UNDER A TEMPORARY HARDSHIP EXEMPTION.
- (5) If an NRD filer makes a paper format submission under this section, the NRD filer must resubmit the information in NRD format as soon as practicable and in any event within 10 business days after the unanticipated technical difficulties have been resolved.

PART 6 EXEMPTION**6.1 Exemption**

- (1) The regulator or the securities regulatory authority may grant an exemption from this Instrument, in whole or in part, subject to such conditions or restrictions as may be imposed in the exemption.
- (2) Despite subsection (1), in Ontario only the regulator may grant such an exemption.

PART 7 TRANSITION**7.1 Definitions - In this Part**

“NRD access date” means, for an NRD firm filer, the date the NRD firm filer receives notice that it has access to NRD to make NRD submissions; and

“transition firm” means every dealer, adviser and underwriter that

- (a) is a registered firm on February 3, 2003, or
- (b) is not a registered firm on February 3, 2003 and has applied for registration before March 31, 2003.

7.2 NRD Enrolment For Transition Firms - A transition firm must enroll to use NRD by the later of

- (a) February 7, 2003, and
- (b) the date that the firm has applied for registration.

7.3 NRD Submissions before NRD Access Date - Despite any requirement in this Instrument to submit information in NRD format, a transition firm may submit information in paper format before the NRD access date.**7.4 Accuracy of Business Location Information - If the information recorded on NRD for a business location of a transition firm is missing or inaccurate on the NRD access date, the transition firm must submit a completed Form 33-109F3 in NRD format in respect of that business location within 30 business days of the NRD access date.**

7.5 Individuals Included in the Data Transfer

- (1) Except as provided in subsection (2), in respect of individuals who were recorded on NRD as registered or non-registered individuals of a transition firm on the NRD access date, the transition firm must submit completed Forms 33-109F4 in NRD format for
 - (a) 5 percent of those individuals by the end of April 2004,
 - (b) 10 percent of those individuals by the end of May 2004,
 - (c) 15 percent of those individuals by the end of June 2004,
 - (d) 20 percent of those individuals by the end of July 2004,
 - (e) 25 percent of those individuals by the end of August 2004,
 - (f) 30 percent of those individuals by the end of September 2004,
 - (g) 35 percent of those individuals by the end of October 2004,
 - (h) 40 percent of those individuals by the end of November 2004,
 - (i) 45 percent of those individuals by the end of December 2004,
 - (j) 50 percent of those individuals by the end of March 2005,
 - (k) 55 percent of those individuals by the end of April 2005,
 - (l) 60 percent of those individuals by the end of May 2005,
 - (m) 65 percent of those individuals by the end of June 2005,
 - (n) 70 percent of those individuals by the end of July 2005,
 - (o) 75 percent of those individuals by the end of August 2005,
 - (p) 80 percent of those individuals by the end of September 2005,
 - (q) 85 percent of those individuals by the end of October 2005,
 - (r) 90 percent of those individuals by the end of November 2005,
 - (s) 95 percent of those individuals by the end of December 2005, and
 - (t) all of those individuals by the end of March 2006.
- (2) Despite subsection (1), a transition firm is not required to submit a completed Form 33-109F4 in respect of an individual if another firm has submitted a completed Form 33-109F4 in respect of the individual.
- (3) A transition firm that is exempt under subsection (2) from the requirement to submit a completed Form 33-109F4 in respect of an individual must submit the individual's employment location information in NRD format by the end of March 2006.

7.6 Individuals not Included in the Data Transfer

- (1) Except as provided in subsection (2), a transition firm must submit a completed Form 33-109F4 in NRD format within 30 business days of the NRD access date for each individual who was not recorded on NRD on the NRD access date as a registered or non-registered individual of the firm and for whom the transition firm was the sponsoring firm on the NRD access date.

- (2) Despite subsection (1), a transition firm is not required to submit a completed Form 33-109F4 in respect of an individual if another firm has submitted a completed Form 33-109F4 in respect of the individual.
- (3) A transition firm that is exempt under subsection (2) from the requirement to submit a completed Form 33-109F4 in respect of an individual must submit the individual's employment location information in NRD format within 30 business days of the NRD access date.

7.7 Changes to Form 4 Information - Registered Individuals - A registered individual who has submitted a completed Form 33-109F5 under section 8.5 of MI 33-109, must submit a completed Form 33-109F4 in NRD format by the later of 15 business days after

- (a) the NRD access date of the individual's sponsoring firm, and
- (b) the date that the individual submitted the Form 33-109F5.

7.8 Changes to Form 4 Information - Non-registered Individuals

(1) Except as provided in subsection (2), a transition firm that has submitted a completed Form 33-109F5 for a non-registered individual under section 8.7 of MI 33-109, must submit a completed Form 33-109F4 for the individual in NRD format by the later of 15 business days after

- (a) the NRD access date, and
- (b) the date that the firm submitted the Form 33-109F5.

(2) Despite subsection (1), a transition firm is not required to submit a completed Form 33-109F4 in respect of an individual if another firm has submitted a completed Form 33-109F4 in respect of the individual.

(3) A transition firm that is exempt under subsection (2) from the requirement to submit a completed Form 33-109F4 in respect of an individual must submit the individual's employment location information in NRD format by the later of 15 business days after

- (a) the NRD access date, and
- (b) the date that the firm submitted the Form 33-109F5.

7.9 Pending Application to Change Individual's Registration Category

(1) If an individual submitted an application in paper format to change his or her category of registration and the category of registration applied for is not recorded with the individual's record on NRD on the NRD access date, the individual must

- (a) submit a completed Form 33-109F4 in NRD format within 30 business days after the NRD access date of his or her sponsoring firm, and
- (b) resubmit the application to change his or her category of registration by submitting a completed Form 33-109F2 in NRD format within 1 business day of submitting the Form 33-109F4 under paragraph (a).

(2) Despite section 7.10, a Form 33-109F4 submitted under subsection (1) must contain the individual's categories of registration as they were recorded on NRD on the NRD access date.

7.10 Currency of Form 33-109F4 - For greater certainty, except as provided under subsection 7.9(2), a completed Form 33-109F4 that is submitted under this Part must be current on the date that it is submitted despite any prior submission in paper format.

7.11 Termination of Relationship - Despite a requirement under this Part to submit a completed Form 33-109F4, a transition firm is not required to submit a Form 33-109F4 in respect of an individual if the firm has submitted a completed Form 33-109F1 in respect of the individual in paper format before the firm's NRD access date or in NRD format after the firm's NRD access date.

PART 8 EFFECTIVE DATE**8.1 Effective Date**

- (1) Part 1, section 7.1 and section 7.2 come into force on February 3, 2003.
- (2) Except for Part 1, section 7.1 and section 7.2, this Instrument comes into force on March 31, 2003.

(6736) 07

MULTILATERAL INSTRUMENT 33-109**REGISTRATION INFORMATION****TABLE OF CONTENTS****PART TITLE****PART 1 DEFINITIONS**

- 1.1 Definitions
1.2 Interpretation

PART 2 APPLICATION FOR REGISTRATION

- 2.1 Dealer, Adviser and Underwriter Registration
2.2 Individual Registration
2.3 *Commodity Futures Act* Registrants

PART 3 CHANGES TO REGISTERED FIRM INFORMATION

- 3.1 Changes to Form 3 Information
3.2 Changes to Business Locations
3.3 Addition of Non-registered Individuals

PART 4 CHANGES TO REGISTERED INDIVIDUAL INFORMATION

- 4.1 Changes to Form 33-109F4 Information
4.2 Application to Change or Surrender Individual Registration Categories
4.3 Termination of Relationship

PART 5 CHANGES TO NON-REGISTERED INDIVIDUAL INFORMATION

- 5.1 Changes to Form 33-109F4 Information
5.2 Termination of Relationship

PART 6 DUE DILIGENCE AND RECORD-KEEPING

- 6.1 Sponsoring Firm Obligations

PART 7 EXEMPTION

- 7.1 Exemption

PART 8 TRANSITION TO NRD

- 8.1 Definitions
8.2 Changes to Form 3 Information
8.3 Changes to Business Location
8.4 Addition of Non-registered Individuals
8.5 Changes to Form 4 Information – Registered Individuals
8.6 Termination of Relationship – Registered Individuals
8.7 Changes to Form 4 Information - Non-registered Individuals
8.8 Termination of Relationship - Non-Registered Individuals

PART 9 EFFECTIVE DATE

- 9.1 Effective Date

FORM 33-109F1 NOTICE OF TERMINATION**FORM 33-109F2 CHANGE OR SURRENDER OF INDIVIDUAL CATEGORIES****FORM 33-109F3 BUSINESS LOCATIONS OTHER THAN HEAD OFFICE****FORM 33-109F4 REGISTRATION INFORMATION FOR AN INDIVIDUAL****FORM 33-109F5 CHANGE OF REGISTRATION INFORMATION**

**MULTILATERAL INSTRUMENT 33-109
REGISTRATION INFORMATION****PART 1 DEFINITIONS****1.1 Definitions** - In this Instrument

"Form 3" means the required form for an application for registration as dealer, adviser, or underwriter in the local jurisdiction;

"Form 4" means the form that was required for an application for registration for an individual in the local jurisdiction before February 21, 2003.

"non-registered individual" means, for a registered firm or for a person or company that is applying for registration, an individual who is not registered to trade or advise on behalf of the firm and who

- (a) is a director, partner, officer, or branch manager of the firm, or
- (b) in Alberta, British Columbia, and Ontario,
 - (i) is a director, partner, officer, or branch manager of the firm, or
 - (ii) beneficially owns, directly or indirectly, or exercises control or direction over, 10 percent or more of the voting securities of the firm;

"MI 31-102" means Multilateral Instrument 31-102 National Registration Database;

"NRD submission number" means the unique number generated by NRD to identify each NRD submission;

"registered firm" means a person or company that is registered as a dealer, adviser, or underwriter;

"registered individual" means, for a registered firm, an individual who is registered to trade or advise on behalf of the registered firm;

"sponsoring firm" means,

- (a) for a registered individual, the registered firm on whose behalf the individual trades or advises,
- (b) for an individual applying for registration, the registered firm, or the person or company applying to become a registered firm, on whose behalf the individual proposes to trade or advise,
- (c) for a non-registered individual of a registered firm, the registered firm, or
- (d) for a non-registered individual of a person or company that is applying for registration, the person or company that is applying for registration.

1.2 Interpretation - Terms defined in MI 31-102 and used in this Instrument have the respective meanings ascribed to those terms in MI 31-102.**PART 2 APPLICATION FOR REGISTRATION****2.1 Dealer, Adviser and Underwriter Registration** - Except as provided in subsection 2.3(1), an applicant for registration as a dealer, adviser, or underwriter must submit to the regulator,

- (a) in paper format, a completed Form 3;
- (b) in accordance with MI 31-102, a completed Form 33-109F3 for each business location of the applicant, other than the applicant's head office; and
- (c) in accordance with MI 31-102, a completed Form 33-109F4 for each non-registered individual of the applicant who has not applied to become a registered individual with the applicant under subsection 2.2(1).

2.2 Individual Registration

- (1) Except as provided in subsection (2) and subsection 2.3(2), an individual who applies for registration under securities legislation must make the application by submitting to the regulator in accordance with MI 31-102 a completed Form 33-109F4.
- (2) Despite subsection (1), a non-registered individual of a registered firm who applies to become a registered individual with the firm must make the application by submitting to the regulator in accordance with MI 31-102 a completed Form 33-109F2.

2.3 Commodity Futures Act Registrants

- (1) In Manitoba and Ontario, if an applicant for registration under section 2.1 is registered under the *Commodity Futures Act*, the applicant
 - (a) is not required to submit a completed Form 33-109F3 under subsection 2.1(b) for any business location of the applicant that is recorded on NRD; and
 - (b) is not required to submit a completed Form 33-109F4 under subsection 2.1(c) for a non-registered individual if the applicant submits to the regulator, in accordance with MI 31-102, a completed Form 33-109F2 for the individual.
- (2) In Manitoba and Ontario, despite subsection 2.2(1), if an individual applies for registration under securities legislation and is recorded on NRD with his or her sponsoring firm as registered under the *Commodity Futures Act*, the individual must make the application by submitting to the regulator, in accordance with MI 31-102, a completed Form 33-109F2.

PART 3 CHANGES TO REGISTERED FIRM INFORMATION

3.1 Changes to Form 3 Information

- (1) A registered firm must notify the regulator of a change to any information previously submitted in Form 3, or under this subsection, within 5 business days of the change.
- (2) Except as provided in subsection (3), for the purposes of subsection (1), a notice of change must be made by submitting a completed Form 33-109F5 in paper format.
- (3) Despite subsection (2), a notice of change under this section is not required to be in Form 33-109F5 if the change relates to
 - (a) the addition of an officer, partner, or director to the registered firm, and if a completed Form 33-109F4 in respect of the officer, partner, or director is submitted under section 2.2 or 3.3;
 - (b) the resignation or termination of an officer, partner or director of the registered firm, and if a completed Form 33-109F1 is submitted under section 4.3 or 5.2; or
 - (c) a business location other than head office, and if a completed Form 33-109F3 is submitted under section 3.2.

3.2 Changes to Business Locations

- (1) A registered firm must notify the regulator of the opening of a business location, other than a new head office, by submitting in accordance with MI 31-102 a completed Form 33-109F3 within 5 business days of the opening.
- (2) A registered firm must notify the regulator of a change to any information previously submitted in Form 33-109F3 by submitting in accordance with MI 31-102 a completed Form 33-109F3 within 5 business days of the change.

- 3.3 **Addition of Non-registered Individuals** - A registered firm must submit to the regulator in accordance with MI 31-102 a completed Form 33-109F4 for a non-registered individual within 5 business days of the individual becoming a non-registered individual of the registered firm.

PART 4 CHANGES TO REGISTERED INDIVIDUAL INFORMATION**4.1 Changes to Form 33-109F4 Information**

- (1) Except as provided in subsection (2), a registered individual must notify the regulator in accordance with MI 31-102 of a change to any information previously submitted in Form 33-109F4, or under this subsection, within 5 business days of the change.
- (2) Despite subsection (1), a registered individual must notify the regulator in accordance with MI 31-102 of a change to information previously submitted in Item 3 or Item 8 of Form 33-109F4, or under this subsection, within 1 year of the change.

4.2 Application to Change or Surrender Individual Registration Categories - A registered individual of a registered firm who applies to change or surrender his or her registration category with the firm must make the application by submitting to the regulator in accordance with MI 31-102 a completed Form 33-109F2.

4.3 Termination of Relationship - A registered firm must, within 5 business days of a termination of an employment, partner, or agency relationship with a registered individual, notify the regulator of the termination of the relationship by submitting in accordance with MI 31-102 a completed Form 33-109F1.

PART 5 CHANGES TO NON-REGISTERED INDIVIDUAL INFORMATION**5.1 Changes to Form 33-109F4 Information**

- (1) Except as provided in subsections (2), (3), and (4), a registered firm must notify the regulator in accordance with MI 31-102 of a change to any information previously submitted in Form 33-109F4, or under this subsection, for a non-registered individual within 5 business days of the change.
- (2) Despite subsection (1) and except as provided in subsection (4), a registered firm must notify the regulator in accordance with MI 31-102 of a change to information previously submitted in Item 3 of Form 33-109F4, or under this subsection, for a non-registered individual within 1 year of the change.
- (3) Despite subsection (1) and except as provided in subsection (4), a registered firm must notify the regulator of a change to any information regarding a category of non-registered individual listed in Item 6 of Form 33-109F4 for a non-registered individual by submitting in accordance with MI 31-102 a completed Form 33-109F2 within 5 business days of the change.
- (4) Despite subsections (1), (2), and (3), a registered firm is not required to notify the regulator of a change to information if another firm has notified the regulator of the change in accordance with MI 31-102 and within the required time.

5.2 Termination of Relationship - A registered firm must, within 5 business days of an individual ceasing to be a non-registered individual of the registered firm, notify the regulator in accordance with MI 31-102 of the termination of the relationship by submitting a completed Form 33-109F1.

PART 6 DUE DILIGENCE AND RECORD-KEEPING**6.1 Sponsoring Firm Obligations**

- (1) A sponsoring firm must make reasonable efforts to ensure that information submitted by
 - (a) the firm for a non-registered individual; or
 - (b) a registered individual, or an individual applying for registration, for whom the firm is the sponsoring firm,is true and complete.
- (2) A sponsoring firm must retain all documents used by the firm to satisfy its obligation under subsection (1),
 - (a) in the case of a non-registered individual, for a period of 7 years after the individual ceases to be a non-registered individual; or
 - (b) in the case of a registered individual, or an individual applying for registration, for a period of 7 years after the individual ceases to be a registered individual with the firm.

- (3) Without limiting the generality of subsection (2), if a registered individual, or an individual applying for registration, appoints an agent for service, the sponsoring firm must keep the original Appointment of Agent for Service executed by the individual for the period of time set out in paragraph (2)(b).
- (4) A sponsoring firm that retains a document under subsection (2) or (3) in respect of an NRD submission must record the NRD submission number on the document.

PART 7 EXEMPTION

7.1 Exemption

- (1) The regulator or the securities regulatory authority may grant an exemption from this Instrument, in whole or in part, subject to such conditions or restrictions as may be imposed in the exemption.
- (2) Despite subsection (1), in Ontario only the regulator may grant such an exemption.

PART 8 TRANSITION TO NRD

8.1 Definitions - In this Part

"NRD access date" means, for an NRD firm filer, the date the NRD firm filer receives notice that it has access to NRD to make NRD submissions; and

"NRD freeze period" means the period that begins on the day specified in a notice of the securities regulatory authority and ends on the day that is 5 business days after the NRD access date.

8.2 Changes to Form 3 Information - A notice of change under section 3.1 is not required during the NRD freeze period if the change relates to

- (a) the addition of an officer, partner, or director to the registered firm, and if a completed Form 33-109F4 in respect of the officer, partner, or director is submitted in accordance with MI 31-102 within 30 business days of the NRD access date;
- (b) the resignation or termination of an officer, partner or director of the registered firm, and if a completed Form 33-109F1 is submitted in accordance with MI 31-102 within 30 business days of the NRD access date; or
- (c) a business location other than head office, and if a completed Form 33-109F3 is submitted in accordance with MI 31-102 within 30 business days of the NRD access date.

8.3 Changes to Business Location - A registered firm is exempt from the requirement to make a submission under section 3.2 during the NRD freeze period, if the firm makes the submission in accordance with MI 31-102 within 30 business days of the NRD access date.

8.4 Addition of Non-registered Individuals - A registered firm is exempt from the requirement to make a submission under section 3.3 during the NRD freeze period, if the firm makes the submission in accordance with MI 31-102 within 30 business days of the NRD access date.

8.5 Changes to Form 4 Information - Registered Individuals

- (1) This section applies to a registered individual who has not submitted in accordance with MI 31-102 a completed Form 33-109F4.
- (2) A registered individual must notify the regulator of a change to any information previously submitted in Form 4, or under this subsection, by submitting a completed Form 33-109F5 in paper format within 5 business days of the change.
- (3) A registered individual who has submitted a completed Form 33-109F5 under subsection (2), must submit in accordance with section 7.7 of MI 31-102 a completed Form 33-109F4.

8.6 Termination of Relationship - Registered Individuals - A registered firm is exempt from the requirement to make a submission under section 4.3 during the NRD freeze period, if the firm makes the submission in accordance with MI 31-102 within 30 business days of the NRD access date.

8.7 Changes to Form 4 Information - Non-registered Individuals

- (1) This section applies to a registered firm that has not submitted in accordance with MI 31-102 a completed Form 33-109F4 for a non-registered individual.
- (2) A registered firm must notify the regulator of a change to any information previously submitted in Form 4 for a non-registered individual, or under this subsection, by submitting a completed Form 33-109F5 in paper format within 5 business days of the change.
- (3) A registered firm that has submitted a completed Form 33-109F5 for a non-registered individual under subsection (2), must submit in accordance with section 7.8 of MI 31-102 a completed Form 33-109F4 for the non-registered individual.

8.8 Termination of Relationship - Non-registered Individuals - A registered firm is exempt from the requirement to make a submission under section 5.2 during the NRD freeze period, if the firm makes the submission in accordance with MI 31-102 within 30 business days of the NRD access date.

PART 9 EFFECTIVE DATE

9.1 Effective Date - This Instrument comes into force on February 21, 2003.

FORM 33-109F1**NOTICE OF TERMINATION**

Enter the following information using the online version of this submission at the NRD web site (www.nrd.ca). If the NRD filer is relying on the temporary hardship exemption in MI 31-102 this form is required to be delivered to the regulator in paper format.

1. Individual

Name of individual: _____

NRD number of individual: _____

2. Business location

Address of business location: _____

NRD number of business location: _____

3. 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 details regarding any:

- unresolved client complaints:
- internal discipline matters:
- restrictions for violation of regulatory requirements:
- financial obligations the individual has 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 set out below for 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 and Labrador, 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 provided in Schedule "A".

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 NRD format:

- I am making this submission as agent for the NRD filer. By checking this box I certify that all statements of fact in this submission were provided to me by the NRD filer.

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

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.

Signature of authorized officer or partner

Date

Firm name

SCHEDULE "A"	
Notice and collection and use of personal information	
Contact Information	
<p>Alberta</p> <p>Alberta Securities Commission, 4th Floor, 300 B 5th Avenue S.W. Calgary, AB T2P 3C4 Attention: Information Officer Telephone: (403) 297-6454</p>	<p>British Columbia</p> <p>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)</p>
<p>Manitoba</p> <p>The Manitoba Securities Commission 1130-405 Broadway Winnipeg, MB R3C 3L6 Attention: Director - Legal Telephone: (204) 945-4508</p>	<p>New Brunswick</p> <p>Securities Administration Branch PO Box 5001 606, 133 Prince William Street Saint John, NB E2L 4Y9 Attention: Deputy Administrator, Capital Markets Telephone: (506) 658-3021</p>
<p>Newfoundland and Labrador</p> <p>Securities Commission of Newfoundland and Labrador P.O. Box 8700, 2nd Floor, West Block Confederation Building St. John's, NF A1B 4J6 Attention: Director of Securities Tel: (709) 729-4189</p>	<p>Nova Scotia</p> <p>Nova Scotia Securities Commission 2nd Floor, Joseph Howe Building 1690 Hollis Street P.O. Box 458 Halifax, NS B3J 3J9 Attention: FOI Officer Telephone: (902) 424-7768</p>
<p>Northwest Territories</p> <p>Government of the Northwest Territories P.O. Box 1320 Yellowknife, NWT X1A 2L9 Attention: Deputy Registrar of Securities Telephone: (867) 920-8984</p>	<p>Nunavut</p> <p>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) 975-6190</p>
<p>Ontario</p> <p>Ontario Securities Commission Suite 1903, Box 55 20 Queen Street West Toronto, ON M5H 3S8 Attention: FOI Coordinator Telephone: (416) 593-8314</p>	<p>Prince Edward Island</p> <p>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) 368-4569</p>
<p>Québec</p> <p>Commission des valeurs mobilières du Québec Stock Exchange Tower P.O. Box 246, 22nd Floor 800 Victoria Square Montréal, PQ H4Z 1G3 Attention: Responsable de l'accès à l'information Telephone: (514) 940-2150 or (800) 361-5072 (in Québec)</p>	<p>Saskatchewan</p> <p>Saskatchewan Securities Commission 800 B1920 Broad Street Regina, SK S4P 3V7 Attention: Director Telephone: (306) 787-5842</p>
<p>Yukon</p> <p>Department of Community Services Yukon P.O. Box 2703 Whitehorse, YU Y1A 2C6 Attention: Registrar of Securities Telephone: (867) 667-5225</p>	

FORM 33-109F2**CHANGE OR SURRENDER OF INDIVIDUAL CATEGORIES**

Enter the following information using the online version of this submission at the NRD web site (www.nrd.ca). If the NRD filer is relying on the temporary hardship exemption in MI 31-102 this form is required to be delivered to the regulator in paper format.

1. Individual

Name of individual: _____

NRD number of individual: _____

2. Individual categories

Indicate the individual categories that the individual is adding or removing:

3. Details of surrender

If the individual is surrendering his or her registration include details regarding any:

- unresolved client complaints:
- internal discipline matters:
- restrictions for violation of regulatory requirements that occurred at any time during the individual's employment with the firm:
- financial obligations the individual has 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 set out below for 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 and Labrador, Northwest Territories, Yukon Territory, and Nunavut.

By submitting this information you consent to the collection by the securities regulatory authority of the personal information provided above, 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 the information submitted above including your continued fitness for registration, if applicable, 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.

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 provided in Schedule "A".

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 NRD format:

- I am making this submission as agent for the individual to whom this submission relates. By checking this box I certify that all statements of fact in this submission were provided to me by the individual.

Both of the following certifications are to be used when submitting this form in paper format:

I, the undersigned, certify that I have read and that I understand the questions in this form and the Warning set out above. I also certify that all statements of fact provided in this application are true.

Signature of applicant or non-registered individual

Date

I, the undersigned, certify on behalf of the sponsoring firm that the individual will be engaged by the sponsoring firm as a registered individual or a non-registered individual. I certify that I have, or a branch manager or another officer or partner has, discussed the questions set out in this form and I am satisfied that the individual fully understands the questions.

Signature of authorized officer or partner

Date

Firm name

SCHEDULE "A" Notice and collection and use of personal information	
Contact Information	
<p>Alberta</p> <p>Alberta Securities Commission, 4th Floor, 300 B 5th Avenue S.W. Calgary, AB T2P 3C4 Attention: Information Officer Telephone: (403) 297-6454</p>	<p>British Columbia</p> <p>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)</p>
<p>Manitoba</p> <p>The Manitoba Securities Commission 1130-405 Broadway Winnipeg, MB R3C 3L6 Attention: Director - Legal Telephone: (204) 945-4508</p>	<p>New Brunswick</p> <p>Securities Administration Branch PO Box 5001 606, 133 Prince William Street Saint John, NB E2L 4Y9 Attention: Deputy Administrator, Capital Markets Telephone: (506) 658-3021</p>
<p>Newfoundland and Labrador</p> <p>Securities Commission of Newfoundland and Labrador P.O. Box 8700, 2nd Floor, West Block Confederation Building St. John's, NF A1B 4J6 Attention: Director of Securities Tel: (709) 729-4189</p>	<p>Nova Scotia</p> <p>Nova Scotia Securities Commission 2nd Floor, Joseph Howe Building 1690 Hollis Street P.O. Box 458 Halifax, NS B3J 3J9 Attention: FOI Officer Telephone: (902) 424-7768</p>
<p>Northwest Territories</p> <p>Government of the Northwest Territories P.O. Box 1320 Yellowknife, NWT X1A 2L9 Attention: Deputy Registrar of Securities Telephone: (867) 920-8984</p>	<p>Nunavut</p> <p>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) 975-6190</p>
<p>Ontario</p> <p>Ontario Securities Commission Suite 1903, Box 55 20 Queen Street West Toronto, ON M5H 3S8 Attention: FOI Coordinator Telephone: (416) 593-8314</p>	<p>Prince Edward Island</p> <p>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) 368-4569</p>
<p>Québec</p> <p>Commission des valeurs mobilières du Québec Stock Exchange Tower P.O. Box 246, 22nd Floor 800 Victoria Square Montréal, PQ H4Z 1G3 Attention: Responsable de l'accès à l'information Telephone: (514) 940-2150 or (800) 361-5072 (in Québec)</p>	<p>Saskatchewan</p> <p>Saskatchewan Securities Commission 800 B1920 Broad Street Regina, SK S4P 3V7 Attention: Director Telephone: (306) 787-5842</p>
<p>Yukon</p> <p>Department of Community Services Yukon P.O. Box 2703 Whitehorse, YU Y1A 2C6 Attention: Registrar of Securities Telephone: (867) 667-5225</p>	

FORM 33-109F3

BUSINESS LOCATIONS OTHER THAN HEAD OFFICE

Enter the following information using the online version of this submission at the NRD web site (www.nrd.ca). If the NRD filer is relying on the temporary hardship exemption in MI 31-102 this form is required to be delivered to the regulator in paper format.

Please select one box:

- This form is being submitted to notify the regulator of the opening of this business location. Complete the entire form.
- This form is being submitted to notify the regulator of the closing of this business location. Complete the entire form.
- This form is being submitted to notify the regulator of the change of information previously submitted in respect of this business location. Complete the entire form and describe the information that has changed (for example, "telephone number" or "type of business location"): _____

1. Type of business location

_____ branch

_____ sub-branch

2. Supervisor or branch manager

NRD number of the designated supervisor or branch manager: _____

Name of designated supervisor or branch manager: _____

3. Business location information

Business address: _____

Telephone number: () _____

Facsimile number: () _____

Mailing address (if different from business address): _____

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 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 and Labrador, 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 provided in Schedule "A".

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 NRD format:**

- I am making this submission as agent for the NRD filer. By checking this box I certify that all statements of fact in this submission were provided to me by the NRD filer.

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

I, the undersigned, certify that I have read and that I understand the questions in this notice 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 authorized officer or partner

Date

Firm name

SCHEDULE "A"	
Notice and collection and use of personal information	
Contact Information	
<p>Alberta</p> <p>Alberta Securities Commission, 4th Floor, 300 B 5th Avenue S.W. Calgary, AB T2P 3C4 Attention: Information Officer Telephone: (403) 297-6454</p>	<p>British Columbia</p> <p>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)</p>
<p>Manitoba</p> <p>The Manitoba Securities Commission 1130-405 Broadway Winnipeg, MB R3C 3L6 Attention: Director - Legal Telephone: (204) 945-4508</p>	<p>New Brunswick</p> <p>Securities Administration Branch PO Box 5001 606, 133 Prince William Street Saint John, NB E2L 4Y9 Attention: Deputy Administrator, Capital Markets Telephone: (506) 658-3021</p>
<p>Newfoundland and Labrador</p> <p>Securities Commission of Newfoundland and Labrador P.O. Box 8700, 2nd Floor, West Block Confederation Building St. John's, NF A1B 4J6 Attention: Director of Securities Tel: (709) 729-4189</p>	<p>Nova Scotia</p> <p>Nova Scotia Securities Commission 2nd Floor, Joseph Howe Building 1690 Hollis Street P.O. Box 458 Halifax, NS B3J 3J9 Attention: FOI Officer Telephone: (902) 424-7768</p>
<p>Northwest Territories</p> <p>Government of the Northwest Territories P.O. Box 1320 Yellowknife, NWT X1A 2L9 Attention: Deputy Registrar of Securities Telephone: (867) 920-8984</p>	<p>Nunavut</p> <p>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) 975-6190</p>
<p>Ontario</p> <p>Ontario Securities Commission Suite 1903, Box 55 20 Queen Street West Toronto, ON M5H 3S8 Attention: FOI Coordinator Telephone: (416) 593-8314</p>	<p>Prince Edward Island</p> <p>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) 368-4569</p>
<p>Québec</p> <p>Commission des valeurs mobilières du Québec Stock Exchange Tower P.O. Box 246, 22nd Floor 800 Victoria Square Montréal, PQ H4Z 1G3 Attention: Responsable de l'accès à l'information Telephone: (514) 940-2150 or (800) 361-5072 (in Québec)</p>	<p>Saskatchewan</p> <p>Saskatchewan Securities Commission 800 B1920 Broad Street Regina, SK S4P 3V7 Attention: Director Telephone: (306) 787-5842</p>
<p>Yukon</p> <p>Department of Community Services Yukon P.O. Box 2703 Whitehorse, YU Y1A 2C6 Attention: Registrar of Securities Telephone: (867) 667-5225</p>	

FORM 33-109F4 REGISTRATION INFORMATION FOR AN INDIVIDUAL**SUBMISSION TO NRD**

Enter the following information using the online version of this submission at the NRD web site (www.nrd.ca). If the NRD filer is relying on the temporary hardship exemption in MI 31-102 this form is required to be delivered to the regulator in paper format.

INSTRUCTIONS FOR FILING IN PAPER FORMAT

1. This form is to be used by every individual seeking registration from a securities regulatory authority or a self-regulatory organization or who is a non-registered individual with a registered firm or a firm seeking registration.
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. Failure to answer all applicable questions may cause delays in the processing of the application form.
4. This form must be legible.
5. To complete the application, individuals should seek advice from an authorized officer of the sponsoring firm or from a legal adviser.
6. 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 to 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 provided above?.... ? Yes ? No

If "Yes", complete Schedule "A".

Item 2 - Residential address**Current address**

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

Current 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".

FORM 33-109F4 REGISTRATION INFORMATION FOR AN INDIVIDUAL			
Item 3 – Personal information			
Personal description			
Date of birth: _____ (YYYY/MM/DD)		Place of birth: _____ (city, province, territory or state, country)	
Gender: <input type="checkbox"/> Female <input type="checkbox"/> 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?			
<input type="checkbox"/> Canadian <input type="checkbox"/> 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 issue: _____ (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 submitting this form:			
<input type="checkbox"/> Alberta	<input type="checkbox"/> Northwest Territories	<input type="checkbox"/> Prince Edward Island	
<input type="checkbox"/> British Columbia	<input type="checkbox"/> Nova Scotia	<input type="checkbox"/> Québec	
<input type="checkbox"/> Manitoba	<input type="checkbox"/> Nunavut	<input type="checkbox"/> Saskatchewan	
<input type="checkbox"/> New Brunswick	<input type="checkbox"/> Ontario	<input type="checkbox"/> Yukon Territory	
<input type="checkbox"/> Newfoundland and Labrador			
Item 6 - Individual categories			
Categories			
Indicate, by checking the appropriate box in Schedule "C", each registration category for which you are applying. If you are a non-registered individual and you are not applying for registration, indicate each category that describes your position with your sponsoring firm.			

FORM 33-109F4 REGISTRATION INFORMATION FOR AN INDIVIDUAL

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. Complete Schedule "D" for each additional address for service you are providing.

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

Telephone number: () _____ Fax number: () _____

E-mail address: _____

2. Agent for service

If you have appointed an agent for service, provide the following information for the agent. The address for service provided above must be the address of any agent named below.

Name of agent for service: _____

Contact person: _____
 Last name First name

Item 8 – Proficiency

1. Course or examination information

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

If you are not required under securities legislation or the rules of a self-regulatory organization to satisfy any course or examination requirements you are not required to complete this item.

2. Student numbers

If you have a student number with one of the following institutions, provide it 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 "F".

FORM 33-109F4 REGISTRATION INFORMATION FOR AN INDIVIDUAL	
Item 9 – Location of employment	
Location of employment	<p>Provide the following information for the location of the sponsoring firm at which you will be working. If you 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.</p> <p>NRD number: _____</p> <p>Business address: _____ (number, street, city, province, territory or state, country, postal code)</p> <p>Telephone number: () _____ Fax number: () _____</p> <p><input type="checkbox"/> Check here if the mailing address of the location is the same as the business address provided above. Otherwise, complete the following:</p> <p>Mailing address: _____ (number, street, city, province, territory or state, country, postal code)</p>
Item 10 - Current employment	
Employment information	<p>On Schedule “G”, provide the information requested for your current business and employment activities, including those with your sponsoring firm.</p> <p><input type="checkbox"/> Check here if you are not required under securities legislation to provide this information.</p>
Item 11 - Previous employment	
Employment information	<p>On Schedule “H”, provide the information requested for 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.</p> <p>In addition, provide the information requested for 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.</p> <p><input type="checkbox"/> Check here if you are not required under securities legislation to provide this information.</p> <p><input type="checkbox"/> Check here if the information required by this section has been provided in Item 10.</p>
Item 12 - Resignations and terminations	
Resignation and termination information	<p>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:</p> <p>a) violated investment related statutes, regulations, rules or industry standards of conduct? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>b) failed to supervise in connection with investment related statutes, regulations, rules or industry standards of conduct? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>c) committed fraud or the wrongful taking of property? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If “Yes”, to any of the above questions, complete Schedule “I”.</p>

FORM 33-109F4 REGISTRATION INFORMATION FOR AN INDIVIDUAL

Item 13 – Regulatory disclosure

1. Securities regulatory authorities

a) Other than a registration that has been recorded on NRD under the NRD number you are using to make this submission, 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 "J", 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, 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 "J", section 1(b).

c) Have you, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), 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

"Yes", complete Schedule "J", section 1(c).

d) Have you, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), 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 "J", section 1(d).

e) Have you, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), 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 "J", section 1(e).

2. Self-regulatory organizations

a) Have you, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), 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 or other self-regulatory organization in any province, territory, state or country? Yes No

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

b) Have you, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), 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 or other self-regulatory organization in any province, territory, state or country? Yes No

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

c) Have you, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), 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 or other self-regulatory organization in any province, territory, state or country? Yes No

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

FORM 33-109F4 REGISTRATION INFORMATION FOR AN INDIVIDUAL

3. Non-securities regulation

a) Have you, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), 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 "J", section 3(a).

b) Have you, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), 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 licence 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 "J", section 3(b).

c) Have you, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), 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 "J", 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, that offence must be reported even if an absolute or conditional discharge has been granted 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. You are not required to disclose speeding or parking violations.

a) Is there currently an outstanding charge against you alleging an offence that was committed in any province, territory, state, or country? Yes No

If "Yes", complete Schedule "K", 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 any province, territory, state, or country? Yes No

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

c) Have charges been laid, alleging an offence that was committed in any province, territory, state, or country against any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)) in which you are or were at the time of that 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 "K", section (c).

d) Has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), 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 any province, territory, state, or country? Yes No

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

FORM 33-109F4 REGISTRATION INFORMATION FOR AN INDIVIDUAL

Item 15 - Civil disclosure

Current and past civil proceedings

a) Have you, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), 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 which fraud, theft, deceit, misrepresentation, or similar conduct is, or was, alleged? Yes No

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

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 (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)) that is or was a defendant or respondent in any civil proceeding in which fraud, theft, deceit, misrepresentation, or similar conduct is or was alleged? Yes No

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

Item 16 – Financial disclosure

1. Bankruptcy

Under the law of any province, territory, state, or country have you, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), 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 "M", section 1.

2. Debt Obligations

Have you ever failed to meet a financial obligation of \$500 or more as it came due, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), 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, failed to meet a financial obligation as it came due? Yes No

If "Yes", complete Schedule "M", 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 "M", section 3.

FORM 33-109F4 REGISTRATION INFORMATION FOR AN INDIVIDUAL

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 "M", section 4.

Item 17 - Related securities firms

Related securities firms and holdings

Are you a partner, director, or officer of a firm (other than your sponsoring firm) whose principal business is trading in or advising on securities or exchange contracts (including commodity futures contracts and commodity futures options) or are you a holder of 10 percent or more of the voting securities of any firm (including your sponsoring firm) whose principal business is trading in or advising on securities or exchange contracts (including commodity futures contracts and commodity futures options)? Yes No

If "Yes", complete Schedule "N".

Agent for Service

By submitting this form you certify that in each jurisdiction in which you have appointed an agent for service you have properly executed the appointment of agent for service required by the regulator or the securities legislation of that jurisdiction.

Submission to Jurisdiction

By submitting this application 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 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, and irrevocably waive any right to raise as a defence in any Proceeding any alleged lack of jurisdiction to bring that Proceeding.

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 and Labrador, 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.

FORM 33-109F4 REGISTRATION INFORMATION FOR AN INDIVIDUAL

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 in Schedule "O". 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).

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 NRD format:

- I am making this submission as agent for the individual to whom this submission relates. By checking this box I certify that all statements of fact in this submission were provided to me by the individual.

Both of the following certifications are to be used when submitting this form in paper format:

I, the undersigned, certify that I have read and that I understand the questions in this form and the Warning set out above. I also certify that all statements of fact provided in this application are true.

Signature of applicant or non-registered individual

Date

I, the undersigned, certify on behalf of the sponsoring firm that the individual will be engaged by the sponsoring firm as a registered individual or a non-registered individual. I certify that I have, or a branch manager or another officer or partner has, discussed the questions set out in this form with the individual and I am satisfied that the individual fully understands the questions.

Signature of authorized officer or partner

Date

Firm name

SCHEDULE "A" Name			
Item <input type="checkbox"/> 1			
Other names			
Last name	First name	Second name <i>(if applicable)</i>	Third name <i>(if applicable)</i>
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: _____ <i>(YYYY/MM)</i>	To: _____ <i>(YYYY/MM)</i>	
Last name	First name	Second name <i>(if applicable)</i>	Third name <i>(if applicable)</i>
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: _____ <i>(YYYY/MM)</i>	To: _____ <i>(YYYY/MM)</i>	
Last name	First name	Second name <i>(if applicable)</i>	Third name <i>(if applicable)</i>
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: _____ <i>(YYYY/MM)</i>	To: _____ <i>(YYYY/MM)</i>	

SCHEDULE "B" Residential address	
Item <input type="checkbox"/> 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 <input type="checkbox"/> 6	
Categories	
Indicate, by checking the appropriate box, each category for which you are applying.	
Alberta	
<input type="checkbox"/> Salesperson <input type="checkbox"/> Officer (Trading) <input type="checkbox"/> Officer (Non-Trading) <input type="checkbox"/> Partner (Trading) <input type="checkbox"/> Partner (Non-Trading) <input type="checkbox"/> Director	<input type="checkbox"/> Shareholder <input type="checkbox"/> Branch Manager <input type="checkbox"/> Officer (Advising) <input type="checkbox"/> Officer (Non-Advising) <input type="checkbox"/> Junior Officer (Advising) <input type="checkbox"/> Partner (Advising) <input type="checkbox"/> Partner (Non-Advising)
British Columbia	
<input type="checkbox"/> Salesperson <input type="checkbox"/> Officer (Trading) <input type="checkbox"/> Officer (Non-Trading) <input type="checkbox"/> Partner (Trading) <input type="checkbox"/> Partner (Non-Trading) <input type="checkbox"/> Director (Trading) <input type="checkbox"/> Director (Non-Trading) <input type="checkbox"/> Compliance Officer <input type="checkbox"/> Shareholder <input type="checkbox"/> Branch Manager	<input type="checkbox"/> Officer (Advising) <input type="checkbox"/> Officer (Non-Advising) <input type="checkbox"/> Partner (Advising) <input type="checkbox"/> Partner (Non-Advising) <input type="checkbox"/> Director (Advising) <input type="checkbox"/> Director (Non-Advising) <input type="checkbox"/> Advising Employee
Manitoba	
<input type="checkbox"/> Salesperson <input type="checkbox"/> Officer (Trading) <input type="checkbox"/> Officer (Non-Trading) <input type="checkbox"/> Partner (Trading) <input type="checkbox"/> Partner (Non-Trading) <input type="checkbox"/> Director (Trading) <input type="checkbox"/> Director (Non-Trading) <input type="checkbox"/> Branch Manager <input type="checkbox"/> Advising Officer <input type="checkbox"/> Advising Partner <input type="checkbox"/> Advising Director <input type="checkbox"/> Non-Advising Officer <input type="checkbox"/> Non-Advising Partner <input type="checkbox"/> Non-Advising Director <input type="checkbox"/> Advising Employee	<input type="checkbox"/> Associate Advising Officer <input type="checkbox"/> Associate Advising Partner <input type="checkbox"/> Associate Advising Director <input type="checkbox"/> Associate Advising Employee <input type="checkbox"/> Non-trading <input type="checkbox"/> Officer <input type="checkbox"/> Partner <input type="checkbox"/> Futures Contract Portfolio Manager <input type="checkbox"/> Associate Futures Contracts Portfolio Manager <input type="checkbox"/> Floor Trader <input type="checkbox"/> Floor Broker <input type="checkbox"/> Local <input type="checkbox"/> Adviser
New Brunswick	
<input type="checkbox"/> Salesperson <input type="checkbox"/> Officer (Trading) <input type="checkbox"/> Officer (Non-Trading) <input type="checkbox"/> Partner (Trading) <input type="checkbox"/> Partner (Non-Trading) <input type="checkbox"/> Director <input type="checkbox"/> Shareholder	<input type="checkbox"/> Compliance Officer <input type="checkbox"/> Officer (Advising) <input type="checkbox"/> Officer (Non-Advising) <input type="checkbox"/> Junior Officer (Advising) <input type="checkbox"/> Partner (Advising) <input type="checkbox"/> Partner (Non-Advising)

SCHEDULE "C" Individual categories	
Item <input type="checkbox"/> 6	
Categories	
Newfoundland and Labrador	
<input type="checkbox"/> Salesperson <input type="checkbox"/> Officer (Trading) <input type="checkbox"/> Officer (Non-Trading) <input type="checkbox"/> Director <input type="checkbox"/> Shareholder <input type="checkbox"/> Partner (Trading) <input type="checkbox"/> Partner (Non-Trading) <input type="checkbox"/> Branch Manager	<input type="checkbox"/> Officer (Advising) <input type="checkbox"/> Officer (Non-Advising) <input type="checkbox"/> Director <input type="checkbox"/> Shareholder <input type="checkbox"/> Partner (Advising) <input type="checkbox"/> Partner (Non-Advising) <input type="checkbox"/> Branch Manager
Northwest Territories	
<input type="checkbox"/> Salesperson <input type="checkbox"/> Officer (Trading) <input type="checkbox"/> Officer (Non-Trading) <input type="checkbox"/> Director <input type="checkbox"/> Partner (Trading) <input type="checkbox"/> Partner (Non-Trading) <input type="checkbox"/> Sole Proprietor	<input type="checkbox"/> Shareholder <input type="checkbox"/> Branch Manager <input type="checkbox"/> Representative (Advising) <input type="checkbox"/> Officer (Advising) <input type="checkbox"/> Officer (Non-Advising) <input type="checkbox"/> Partner (Advising) <input type="checkbox"/> Partner (Non-Advising)
Nova Scotia	
<input type="checkbox"/> Salesperson <input type="checkbox"/> Officer (Trading) <input type="checkbox"/> Officer (Non-Trading) <input type="checkbox"/> Sole Proprietor (Trading) <input type="checkbox"/> Director <input type="checkbox"/> Partner (Trading) <input type="checkbox"/> Partner (Non- Trading)	<input type="checkbox"/> Officer (Advising) <input type="checkbox"/> Officer (Non-Advising) <input type="checkbox"/> Associate Partner <input type="checkbox"/> Partner (Advising) <input type="checkbox"/> Partner (Non-Advising) <input type="checkbox"/> Sole Proprietor (Advising)
Nunavut	
<input type="checkbox"/> Salesperson <input type="checkbox"/> Officer (Trading) <input type="checkbox"/> Officer (Non-Trading) <input type="checkbox"/> Director <input type="checkbox"/> Partner (Trading) <input type="checkbox"/> Partner (Non-Trading) <input type="checkbox"/> Sole Proprietor	<input type="checkbox"/> Shareholder <input type="checkbox"/> Branch Manager <input type="checkbox"/> Representative (Advising) <input type="checkbox"/> Officer (Advising) <input type="checkbox"/> Officer (Non-Advising) <input type="checkbox"/> Partner (Advising) <input type="checkbox"/> Partner (Non-Advising)
Ontario	
Except as indicated the following categories are available under the <i>Securities Act</i> and the <i>Commodity Futures Act</i> .	
<input type="checkbox"/> Floor Trader <input type="checkbox"/> Salesperson <input type="checkbox"/> Officer (Trading) <input type="checkbox"/> Officer (Non-Trading) <input type="checkbox"/> Partner (Trading) <input type="checkbox"/> Partner (Non-Trading) <input type="checkbox"/> Sole Proprietor (Trading) <input type="checkbox"/> Director <input type="checkbox"/> Advising Representative	<input type="checkbox"/> Associate Advising Representative (<i>Securities Act</i> category only) <input type="checkbox"/> Officer (Advising) <input type="checkbox"/> Officer (Non-Advising) <input type="checkbox"/> Associate Officer (<i>Securities Act</i> category only) <input type="checkbox"/> Partner (Advising) <input type="checkbox"/> Partner (Non-Advising) <input type="checkbox"/> Associate Partner (<i>Securities Act</i> category only) <input type="checkbox"/> Sole Proprietor (Advising) <input type="checkbox"/> Shareholder

SCHEDULE "C" Individual categories	
Item <input type="checkbox"/> 6	
Categories	
Prince Edward Island	
<input type="checkbox"/> Salesperson <input type="checkbox"/> Officer (Trading) <input type="checkbox"/> Officer (Non-Trading) <input type="checkbox"/> Partner (Trading) <input type="checkbox"/> Partner (Non-Trading) <input type="checkbox"/> Director <input type="checkbox"/> Shareholder	<input type="checkbox"/> Branch Manager <input type="checkbox"/> Compliance Officer <input type="checkbox"/> Counselling Officer (Officer) <input type="checkbox"/> Counselling Officer (Partner) <input type="checkbox"/> Counselling Officer (Other) <input type="checkbox"/> Officer (Non-Advising) <input type="checkbox"/> Partner (Non-Advising)
Québec	
Dealer	Adviser
<input type="checkbox"/> Salesperson (representative) <input type="checkbox"/> Officer <input type="checkbox"/> Partner <input type="checkbox"/> Director <input type="checkbox"/> Director (Non-Industry) <input type="checkbox"/> Branch Manager	<input type="checkbox"/> Representative (Advising) <input type="checkbox"/> Officer <input type="checkbox"/> Partner <input type="checkbox"/> Director <input type="checkbox"/> Director (Non-Industry) <input type="checkbox"/> Branch Manager
Saskatchewan	
<input type="checkbox"/> Salesperson <input type="checkbox"/> Officer (Trading) <input type="checkbox"/> Officer (Non-Trading) <input type="checkbox"/> Partner (Trading) <input type="checkbox"/> Partner (Non-Trading) <input type="checkbox"/> Director	<input type="checkbox"/> Employee (Advising) <input type="checkbox"/> Officer (Advising) <input type="checkbox"/> Officer (Non-Advising) <input type="checkbox"/> Partner (Advising) <input type="checkbox"/> Partner (Non-Advising)
Yukon	
<input type="checkbox"/> Salesperson <input type="checkbox"/> Officer (Trading) <input type="checkbox"/> Officer (Non-Trading) <input type="checkbox"/> Partner (Trading) <input type="checkbox"/> Partner (Non-Trading) <input type="checkbox"/> Director <input type="checkbox"/> Sole Proprietor (Trading) <input type="checkbox"/> Branch Manager	<input type="checkbox"/> Shareholder <input type="checkbox"/> Officer (Advising) <input type="checkbox"/> Officer (Non-Advising) <input type="checkbox"/> Partner (Advising) <input type="checkbox"/> Partner (Non-Advising) <input type="checkbox"/> Sole Proprietor (Advising)

SCHEDULE "C" Individual categories	
Item <input type="checkbox"/> 6	
Categories	
Investment Dealers Association of Canada	
<ul style="list-style-type: none"> <input type="checkbox"/> Partner (Industry) <input type="checkbox"/> Partner (Non-Industry) <input type="checkbox"/> Director (Industry) <input type="checkbox"/> Director (Non-Industry) <input type="checkbox"/> Officer (Trading) <input type="checkbox"/> Officer (Non-Trading) <input type="checkbox"/> Industry Investor <input type="checkbox"/> Non-Industry Investor <input type="checkbox"/> Chief Compliance Officer <input type="checkbox"/> Ultimate Designated Person <input type="checkbox"/> Alternate Designated Person <input type="checkbox"/> Designated Registered Options Principal <input type="checkbox"/> Alternate Registered Options Principal <input type="checkbox"/> Designated Registered Futures Options Principal <input type="checkbox"/> Alternate Registered Futures Options Principal <input type="checkbox"/> Sales Manager <input type="checkbox"/> Branch Manager <input type="checkbox"/> Co-Branch Manager <input type="checkbox"/> Assistant Branch Manager <input type="checkbox"/> Futures Contract Options Supervisor <input type="checkbox"/> Investment Representative (Mutual Funds) <input type="checkbox"/> Investment Representative (Retail) <input type="checkbox"/> Investment Representative (Non-Retail) <input type="checkbox"/> Investment Representative Options (Retail) <input type="checkbox"/> Investment Representative Options (Non-Retail) <input type="checkbox"/> Investment Futures Contract Representative Options (Retail) <input type="checkbox"/> Investment Futures Contract Representative Options (Non-Retail) 	<ul style="list-style-type: none"> <input type="checkbox"/> Registered Representative (Mutual Funds) <input type="checkbox"/> Registered Representative (Retail) <input type="checkbox"/> Registered Representative (Non-Retail) <input type="checkbox"/> Registered Representative Options (Retail) <input type="checkbox"/> Registered Representative Options (Non-Retail) <input type="checkbox"/> Registered Futures Contract Representative Options (Retail) <input type="checkbox"/> Registered Futures Contract Representative Options (Non-Retail) <input type="checkbox"/> Trader - CATS <input type="checkbox"/> Trader - TradeCDNX <input type="checkbox"/> Trader - Commodity Floor Trader <input type="checkbox"/> Associate Portfolio Manager - Securities <input type="checkbox"/> Associate Portfolio Manager - Security Options <input type="checkbox"/> Associate Portfolio Manager - Commodity Futures Options <input type="checkbox"/> Portfolio Manager - Securities <input type="checkbox"/> Portfolio Manager - Security Options <input type="checkbox"/> Portfolio Manager - Commodity Futures Options

SCHEDULE "D" Address and Agent for Service	
Item <input type="checkbox"/> 7	
Address for Service	
<p>1. Address for service</p> <p>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.</p> <p>Address for service: _____ (number, street, city, province or territory, postal code)</p> <p>Telephone number: () _____ Fax number: () _____</p> <p>E-mail address: _____</p>	
<p>2. Agent for service</p> <p>If you have appointed an agent for service, provide the following information for the agent. The address for service provided above must be the address of the agent named below.</p> <p>Name of agent for service: _____ (if applicable)</p> <p>Contact person: _____ Last name First name </p>	

SCHEDULE "E" Proficiency			
Item <input type="checkbox"/> 8			
Course or examination information			
Indicate each course and examination that you have successfully completed or for which you have received an exemption.			
	DATE COMPLETED	DATE EXEMPTED AND BY WHICH JURISDICTION OR REGULATOR (YYYY/MM/DD)	
30-day Training Program			
90-day Training Program			
ACE Trader Exam			
Agricultural Markets – Risk Management Course (ARM)			
Branch Compliance Officers Course			
Branch Manager's Examination Course (formerly the Canadian Branch Managers Qualifying Examination)			
Canadian Commodity Futures Examination			
Canadian Commodity Supervisors Examination			
Canadian Funds Course (Quebec only)			
Canadian Futures Exam (Part 1)			
Canadian Futures Exam (Part 2)			
Canadian Investment Finance Course Part I			
Canadian Investment Finance Course Part II			
Canadian Investment Funds Course			
Canadian Investment Management Program (Part 1)			
Canadian Investment Management Program (Parts 2)			
Canadian Options Course			
Canadian Securities Course			
CATS Examination-Oral			
CATS Examination-Written			
Certified Financial Planners Program			
Chartered Financial Analyst Charter			
Chartered Financial Analyst Course (Level I)			
Chartered Financial Analyst Course (Level II)			
Chartered Financial Analyst Course (Level III)			
Commodity Futures Exam (Part 1)			
Commodity Futures Exam (Part 2)			
Conduct and Practices Handbook Course			
Derivatives Fundamentals Course			
Derivatives Operational Management Course			
Effective Management Seminar			
Energy Markets - Risk Management Course			
Ensis Growth Fund Understanding Labour Sponsored Investment Funds (Full Course)			
Examination based on Manual for Registered Representatives (RR Exam)			
Fellow of the Canadian Securities Institute			

SCHEDULE "E" Proficiency		
Financial Markets Risk Management Course		
Examination based on Manual for Registered Representatives (RR Exam)		
Futures Floor Trader Examination (Winnipeg Stock Exchange)		
Futures Licensing Course		
General Securities Representative Examination (Series 7)		
In-House Scholarship Training Program		
Investment Funds Course		
Investment Management Techniques		
Labour Sponsored Investment Funds Course		
National Commodity Futures Examination		
New Entrants Examination		
Officers' Partners' and Directors' Course		
Operations Course		
Options Licensing Course		
Options Strategies Course		
Options Supervisors Course		
Partners, Directors and Senior Officers Qualifying Examination		
Personal Financial Planning Diploma		
Portfolio Management Techniques		
Principles of Mutual Funds Investment Course		
Professional Financial Planning Course		
Professional Options Trader Examination		
Real Estate Agent's Pre-Licensing Course		
Registered Options Principal's Qualifying Examination		
Technical Analysis Course (TAC)		
Trader Training Course		
VCT Trader Exam		
Wealth Management Techniques		
Other, specify:		
Other, specify:		
Other, specify:		
Other, specify:		

SCHEDULE "F"
ProficiencyItem 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 "G"
Current employment

Item 10

Employment information

Provide the information requested for 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: _____

If the business or employment described above is with the sponsoring firm and if you are working less than 30 hours per week for the firm, explain why you are working less than 30 hours per week for the firm:

SCHEDULE "G" Current employment	
	<p>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):</p>

SCHEDULE "H" Previous employment	
Item <input type="checkbox"/> 11	
Employment information	
	<p>Provide the information requested for 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.</p> <p>In addition, provide the information requested in respect 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.</p> <p><input type="checkbox"/> Unemployed</p> <p><input type="checkbox"/> Full-time student</p> <p><input type="checkbox"/> Employed or self-employed</p> <p>From: _____ To: _____ (YYYY/MM/DD) (YYYY/MM/DD)</p> <p>You are only required to fill in the following if you have indicated above that you are, or were, employed or self-employed.</p> <p>Name of business or employer: _____</p> <p>Address of business or employer: _____ (number, street, city, province, territory or state, country)</p> <p>Name and title of immediate supervisor: _____</p> <p>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):</p>

SCHEDULE "I"
Resignations and terminationsItem 12**Resignation and Termination information**

For each resignation or termination indicate below, (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).

SCHEDULE "J"
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 dates between which you held the registration or licence.
- 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 dates between which you held the registration or licence.
- 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 information that you think is relevant or that is requested by the regulator.
- 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 information that you think is relevant or that is requested by the regulator.

SCHEDULE "J"
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 dates between which the party was a member or participating organization.
- 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 information that you think is relevant or that is requested by the regulator.

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 dates between which the party held the registration or licence.
- 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 information that you think is relevant or that is requested by the regulator.

SCHEDULE "K"
Criminal disclosureItem 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 (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 (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 "L"
Civil disclosureItem 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, (3) whether the proceeding is pending, on appeal or final, (4) the jurisdiction in which the action is being, or was, pursued, and (5) a summary 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) a summary of any disposition or settlement. (Disclosure must include those actions settled without admission of liability.)

SCHEDULE "M" Financial Disclosure	
Item <input type="checkbox"/> 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) a summary of any disposition or settlement, and (6) any other information that you think is relevant or that is requested by the regulator.
2. Solvency	For each event, indicate below (1) the party that failed to meet its financial obligation, (2) the amount that was owing at the time the party failed to meet its financial obligation, (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), (5) any amounts currently owing, and (6) any other information that you think is relevant or that is requested by the regulator.
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), (4) any amounts currently owing, and (5) any other information that you think is relevant or that is requested by the regulator.

SCHEDULE "N"
Related securities firms

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", identify the party and state the relationship between you and that party:

g) Have you either directly or indirectly given up any rights with respect to such securities or partnership interest, or do you, on approval of this application, intend to give up any such rights (including by hypothecation, pledging or depositing as collateral the securities or partnership interest with any institution or person)? ? Yes ? No

If "Yes", identify the party, state the relationship between you and that party and describe the rights that have been or will be given up:

h) Is a person other than you the beneficial owner of the shares, bonds, debentures, partnership units or other notes held by you? ? Yes ? No

If "Yes", complete (i), (j) and (k).

i) Name of beneficial owner:

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

j) Residential address:

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

k) Occupation:

SCHEDULE "O" Notice and collection and use of personal information	
Contact Information	
Alberta	British Columbia
Alberta Securities Commission, 4th Floor, 300 B 5th Avenue S.W. Calgary, AB T2P 3C4 Attention: Information Officer Telephone: (403) 297-6454	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	New Brunswick
The Manitoba Securities Commission 1130-405 Broadway Winnipeg, MB R3C 3L6 Attention: Director – Legal Telephone: (204) 945-4508	Securities Administration Branch PO Box 5001 606, 133 Prince William Street Saint John, NB E2L 4Y9 Attention: Deputy Administrator, Capital Markets Telephone: (506) 658-3021
Newfoundland and Labrador	Nova Scotia
Securities Commission of Newfoundland and Labrador P.O. Box 8700, 2nd Floor, West Block Confederation Building St. John's, NF A1B 4J6 Attention: Director of Securities Tel: (709) 729-4189	Nova Scotia Securities Commission 2nd Floor, Joseph Howe Building 1690 Hollis Street P.O. Box 458 Halifax, NS B3J 3J9 Attention: FOI Officer Telephone: (902) 424-7768
Northwest Territories	Nunavut
Government of the Northwest Territories P.O. Box 1320 Yellowknife, NWT X1A 2L9 Attention: Deputy Registrar of Securities Telephone: (867) 920-8984	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) 975-6190
Ontario	Prince Edward Island
Ontario Securities Commission Suite 1903, Box 55 20 Queen Street West Toronto, ON M5H 3S8 Attention: FOI Coordinator Telephone: (416) 593-8314	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) 368-4569
Québec	Saskatchewan
Commission des valeurs mobilières du Québec Stock Exchange Tower P.O. Box 246, 22nd Floor 800 Victoria Square Montréal, PQ H4Z 1G3 Attention: Responsable de l'accès à l'information Telephone: (514) 940-2150 or (800) 361-5072 (in Québec)	Saskatchewan Securities Commission 800 B1920 Broad Street Regina, SK S4P 3V7 Attention: Director Telephone: (306) 787-5842
Yukon	
Department of Community Services Yukon P.O. Box 2703 Whitehorse, YU Y1A 2C6 Attention: Registrar of Securities Telephone: (867) 667-5225	

FORM 33-109F5**CHANGE OF REGISTRATION INFORMATION****GENERAL INSTRUCTIONS**

1. This notice must be submitted when notifying a regulator of changes to Form 3 or Form 4 information in accordance with MI 33-109.
2. If the NRD filer is relying on the temporary hardship exemption in MI 31-102, this form is required to be delivered to the regulator in paper format when notifying a regulator of changes to Form 33-109F4.
3. If this form is being submitted in respect of a change to a Form 3, Form 4 or Form 33-109F4 an authorized partner or officer of the firm must sign the form.

1. Type of form

Identify the part of the Form 3, Form 4, or Form 33-109F4 for which this notice is being provided. If this notice is being provided to update an individual's Form 4 or Form 33-109F4, provide the name of the individual.

- Form 3, Item(s) _____,
- Form 4, Item(s) _____, name of individual _____, or
- Form 33-109F4, Item(s) _____, name of individual _____

2. Details of Change

Provide the details of the change for each item identified above:

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 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 and Labrador, Northwest Territories, Yukon Territory, and Nunavut.

By submitting this information you consent to the collection by the securities regulatory authority of the personal information provided above, 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 continued fitness for registration, if applicable, 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.

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 provided in Schedule "A".

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

I, the undersigned, certify that I have read and that I understand the questions in this notice 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 registered or non-registered individual

Date

(No signature is required here if this form is being submitted in respect of a change to Form 3 information.)

If this form is being submitted in respect of a change to Form 3, I, the undersigned, certify that I understand the requirements and the Warning in this notice and that all statements of fact provided in this notice are true.

Signature of authorized officer or partner

Date

Firm name

SCHEDULE "A" Notice and collection and use of personal information	
Contact Information	
<p>Alberta</p> <p>Alberta Securities Commission, 4th Floor, 300 B 5th Avenue S.W. Calgary, AB T2P 3C4 Attention: Information Officer Telephone: (403) 297-6454</p>	<p>British Columbia</p> <p>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)</p>
<p>Manitoba</p> <p>The Manitoba Securities Commission 1130-405 Broadway Winnipeg, MB R3C 3L6 Attention: Director - Legal Telephone: (204) 945-4508</p>	<p>New Brunswick</p> <p>Securities Administration Branch PO Box 5001 606, 133 Prince William Street Saint John, NB E2L 4Y9 Attention: Deputy Administrator, Capital Markets Telephone: (506) 658-3021</p>
<p>Newfoundland and Labrador</p> <p>Securities Commission of Newfoundland and Labrador P.O. Box 8700, 2nd Floor, West Block Confederation Building St. John's, NF A1B 4J6 Attention: Director of Securities Tel: (709) 729-4189</p>	<p>Nova Scotia</p> <p>Nova Scotia Securities Commission 2nd Floor, Joseph Howe Building 1690 Hollis Street P.O. Box 458 Halifax, NS B3J 3J9 Attention: FOI Officer Telephone: (902) 424-7768</p>
<p>Northwest Territories</p> <p>Government of the Northwest Territories P.O. Box 1320 Yellowknife, NWT X1A 2L9 Attention: Deputy Registrar of Securities Telephone: (867) 920-8984</p>	<p>Nunavut</p> <p>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) 975-6190</p>
<p>Ontario</p> <p>Ontario Securities Commission Suite 1903, Box 55 20 Queen Street West Toronto, ON M5H 3S8 Attention: FOI Coordinator Telephone: (416) 593-8314</p>	<p>Prince Edward Island</p> <p>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) 368-4569</p>
<p>Québec</p> <p>Commission des valeurs mobilières du Québec Stock Exchange Tower P.O. Box 246, 22nd Floor 800 Victoria Square Montréal, PQ H4Z 1G3 Attention: Responsable de l'accès à l'information Telephone: (514) 940-2150 or (800) 361-5072 (in Québec)</p>	<p>Saskatchewan</p> <p>Saskatchewan Securities Commission 800 B1920 Broad Street Regina, SK S4P 3V7 Attention: Director Telephone: (306) 787-5842</p>
<p>Yukon</p> <p>Department of Community Services Yukon P.O. Box 2703 Whitehorse, YU Y1A 2C6 Attention: Registrar of Securities Telephone: (867) 667-5225</p>	

ONTARIO SECURITIES COMMISSION RULE 33-506 (COMMODITY FUTURES ACT)**REGISTRATION INFORMATION****TABLE OF CONTENTS****PART TITLE****PART 1 DEFINITIONS**

- 1.1 Definitions
- 1.2 Interpretation

PART 2 APPLICATION FOR REGISTRATION

- 2.1 Dealer and Adviser
- 2.2 Individual Registration
- 2.3 *Securities Act* Registrants

PART 3 CHANGES TO REGISTERED FIRM INFORMATION

- 3.1 Changes to Form 5 Information
- 3.2 Changes to Business Locations
- 3.3 Addition of Non-registered Individuals

PART 4 CHANGES TO REGISTERED INDIVIDUAL INFORMATION

- 4.1 Changes to Form 33-506F4 Information
- 4.2 Application to Change or Surrender Individual Registration Categories
- 4.3 Termination of Relationship

PART 5 CHANGES TO NON-REGISTERED INDIVIDUAL INFORMATION

- 5.1 Changes to Form 33-506F4 Information
- 5.2 Termination of Relationship

PART 6 DUE DILIGENCE AND RECORD-KEEPING

- 6.1 Sponsoring Firm Obligations

PART 7 EXEMPTION

- 7.1 Exemption

PART 8 TRANSITION TO NRD

- 8.1 Definitions
- 8.2 Changes to Form 5 Information
- 8.3 Changes to Business Location
- 8.4 Addition of Non-registered Individuals
- 8.5 Changes to Form 7 Information – Registered Individuals
- 8.6 Termination of Relationship – Registered Individuals
- 8.7 Changes to Form 7 Information - Non-registered Individuals
- 8.8 Termination of Relationship - Non-Registered Individuals

PART 9 EFFECTIVE DATE

- 9.1 Effective Date

FORM 33-506F1 NOTICE OF TERMINATION**FORM 33-506F2 CHANGE OR SURRENDER OF INDIVIDUAL CATEGORIES****FORM 33-506F3 BUSINESS LOCATIONS OTHER THAN HEAD OFFICE****FORM 33-506F4 REGISTRATION INFORMATION FOR AN INDIVIDUAL****FORM 33-506F5 CHANGE OF REGISTRATION INFORMATION**

**ONTARIO SECURITIES COMMISSION RULE 33-506
REGISTRATION INFORMATION****PART 1 DEFINITIONS****1.1 Definitions - In this Rule**

"Form 5" means Form 5 to the regulations;

"Form 7" means the form that was required for a application for registration for an individual before February 21, 2003;

"non-registered individual" means, for a registered firm or for a person or company that is applying for registration, an individual who is not registered to trade or advise on behalf of the firm and who

- (a) is a director, partner or officer of the firm, or
- (b) beneficially owns, directly or indirectly, or exercises control or direction over, 10 percent or more of the voting securities of the firm;

"NRD submission number" means the unique number generated by NRD to identify each NRD submission;

"registered firm" means a person or company that is registered as a dealer or adviser;

"registered individual" means, for a registered firm, an individual who is registered to trade or advise on behalf of the registered firm;

"Rule 31-509" means Ontario Securities Commission Rule 31-509 (*Commodity Futures Act*) National Registration Database'

"sponsoring firm" means,

- (a) for a registered individual, the registered firm on whose behalf the individual trades or advises,
- (b) for an individual applying for registration, the registered firm, or the person or company applying to become a registered firm, on whose behalf the individual proposes to trade or advise,
- (c) for a non-registered individual of a registered firm, the registered firm, or
- (d) for a non-registered individual of a person or company that is applying for registration, the person or company that is applying for registration.

1.2 Interpretation - Terms defined in Rule 31-509 and used in this Rule have the respective meanings ascribed to those terms in Rule 31-509.**PART 2 APPLICATION FOR REGISTRATION****2.1 Dealer and Adviser Registration - Except as provided in subsection 2.3(1), an applicant for registration as a dealer or adviser must submit to the Director,**

- (a) in paper format, a completed Form 5;
- (b) in accordance with Rule 31-509, a completed Form 33-506F3 for each business location of the applicant, other than the applicant's head office; and
- (c) in accordance with Rule 31-509, a completed Form 33-506F4 for each non-registered individual of the applicant who has not applied to become a registered individual with the applicant under subsection 2.2(1).

2.2 Individual Registration

- (1) Except as provided in subsection (2) and subsection 2.3(2), an individual who applies to become a registered individual must make the application by submitting to the Director in accordance with Rule 31-509 a completed Form 33-506F4.
- (2) Despite subsection (1), a non-registered individual of a registered firm who applies to become a registered individual with the firm must make the application by submitting to the Director in accordance with Rule 31-509 a completed Form 33-506F2.

2.3 **Securities Act Registrants**

- (1) If an applicant for registration under section 2.1 is registered under the *Securities Act*, the applicant
 - (a) is not required to submit a completed Form 33-506F3 under subsection 2.1(b) for any business location of the applicant that is recorded on NRD; and
 - (b) is not required to submit a completed Form 33-506F4 under subsection 2.1(c) for a non-registered individual if the applicant submits to the Director, in accordance with Rule 31-509, a completed Form 33-506F2 for the individual.
- (2) Despite subsection 2.2(1), if an individual applies to become a registered individual and is recorded on NRD with his or her sponsoring firm as registered under the *Securities Act*, the individual must make the application by submitting to the Director, in accordance with Rule 31-509, a completed Form 33-506F2.

PART 3 CHANGES TO REGISTERED FIRM INFORMATION

3.1 **Changes to Form 5 Information**

- (1) A registered firm must notify the Director of a change to any information previously submitted in Form 5, or under this subsection, within 5 business days of the change.
- (2) Except as provided in subsection (3), for the purposes of subsection (1), a notice of change must be made by submitting a completed Form 33-506F5 in paper format.
- (3) Despite subsection (2), a notice of change under this section is not required to be in Form 33-506F5 if the change relates to
 - (a) the addition of an officer, partner, or director to the registered firm, and if a completed Form 33-506F4 in respect of the officer, partner, or director is submitted under section 2.2 or 3.3;
 - (b) the resignation or termination of an officer, partner or director of the registered firm, and if a completed Form 33-506F1 is submitted under section 4.3 or 5.2; or
 - (c) a business location other than head office, and if a completed Form 33-506F3 is submitted under section 3.2.

3.2 **Changes to Business Locations**

- (1) A registered firm must notify the Director of the opening of a business location, other than a new head office, by submitting in accordance with Rule 31-509 a completed Form 33-506F3 within 5 business days of the opening.
- (2) A registered firm must notify the Director of a change to any information previously submitted in Form 33-506F3 by submitting in accordance with Rule 31-509 a completed Form 33-506F3 within 5 business days of the change.

- 3.3 Addition of Non-registered Individuals** - A registered firm must submit to the Director in accordance with Rule 31-509 a completed Form 33-506F4 for a non-registered individual within 5 business days of the individual becoming a non-registered individual of the registered firm.

PART 4 CHANGES TO REGISTERED INDIVIDUAL INFORMATION

4.1 **Changes to Form 33-506F4 Information**

- (1) Except as provided in subsection (2), a registered individual must notify the Director in accordance with Rule 31-509 of a change to any information previously submitted in Form 33-506F4, or under this subsection, within 5 business days of the change.
- (2) Despite subsection (1), a registered individual must notify the Director in accordance with Rule 31-509 of a change to information previously submitted in Item 3 or Item 8 of Form 33-506F4, or under this subsection, within 1 year of the change.

- 4.2 Application to Change or Surrender Individual Registration Categories** - A registered individual of a registered firm who applies to change or surrender his or her registration category with the firm must make the application by submitting to the Director in accordance with Rule 31-509 a completed Form 33-506F2.

- 4.3 Termination of Relationship** - A registered firm must, within 5 business days of a termination of an employment, partner, or agency relationship with a registered individual, notify the Director of the termination of the relationship by submitting in accordance with Rule 31-509 a completed Form 33-506F1.

PART 5 CHANGES TO NON-REGISTERED INDIVIDUAL INFORMATION

5.1 Changes to Form 33-506F4 Information

- (1) Except as provided in subsections (2), (3), and (4), a registered firm must notify the Director in accordance with Rule 31-509 of a change to any information previously submitted in Form 33-506F4, or under this subsection, for a non-registered individual within 5 business days of the change.
- (2) Despite subsection (1) and except as provided in subsection (4), a registered firm must notify the Director in accordance with Rule 31-509 of a change to information previously submitted in Item 3 of Form 33-506F4, or under this subsection, for a non-registered individual within 1 year of the change.
- (3) Despite subsection (1) and except as provided in subsection (4), a registered firm must notify the Director of a change to any information regarding a category of non-registered individual listed in Item 6 of Form 33-506F4 for a non-registered individual by submitting in accordance with Rule 31-509 a completed Form 33-506F2 within 5 business days of the change.
- (4) Despite subsections (1), (2), and (3), a registered firm is not required to notify the Director of a change to information if another firm has notified the Director of the change in accordance with Rule 31-509 and within the required time.

- 5.2 Termination of Relationship** - A registered firm must, within 5 business days of an individual ceasing to be a non-registered individual of the registered firm, notify the Director in accordance with Rule 31-509 of the termination of the relationship by submitting a completed Form 33-506F1.

PART 6 DUE DILIGENCE AND RECORD-KEEPING

6.1 Sponsoring Firm Obligations

- (1) A sponsoring firm must make reasonable efforts to ensure that information submitted by
 - (a) the firm for a non-registered individual; or
 - (b) a registered individual, or an individual applying for registration, for whom the firm is the sponsoring firm,is true and complete.
- (2) A sponsoring firm must retain all documents used by the firm to satisfy its obligation under subsection (1),
 - (a) in the case of a non-registered individual, for a period of 7 years after the individual ceases to be a non-registered individual; or
 - (b) in the case of a registered individual, or an individual applying for registration, for a period of 7 years after the individual ceases to be a registered individual with the firm.
- (3) Without limiting the generality of subsection (2), if a registered individual, or an individual applying for registration, appoints an agent for service, the sponsoring firm must keep the original Appointment of Agent for Service executed by the individual for the period of time set out in paragraph (2)(b).
- (4) A sponsoring firm that retains a document under subsection (2) or (3) in respect of an NRD submission must record the NRD submission number on the document.

PART 7 EXEMPTION

- 7.1 Exemption** - The Director may grant an exemption from this Rule, in whole or in part, subject to such conditions or restrictions as may be imposed in the exemption.

PART 8 TRANSITION TO NRD**8.1 Definitions - In this Part**

"NRD access date" means, for an NRD firm filer, the date the NRD firm filer receives notice that it has access to NRD to make NRD submissions; and

"NRD freeze period" means the period that begins on the day specified in a notice of the securities regulatory authority and ends on the day that is 5 business days after the NRD access date.

8.2 Changes to Form 5 Information - A notice of change under section 3.1 is not required during the NRD freeze period if the change relates to

- (a) the addition of an officer, partner, or director to the registered firm, and if a completed Form 33-506F4 in respect of the officer, partner, or director is submitted in accordance with Rule 31-509 within 30 business days of the NRD access date;
- (b) the resignation or termination of an officer, partner or director of the registered firm, and if a completed Form 33-506F1 is submitted in accordance with Rule 31-509 within 30 business days of the NRD access date; or
- (c) a business location other than head office, and if a completed Form 33-506F3 is submitted in accordance with Rule 31-509 within 30 business days of the NRD access date.

8.3 Changes to Business Location - A registered firm is exempt from the requirement to make a submission under section 3.2 during the NRD freeze period, if the firm makes the submission in accordance with Rule 31-509 within 30 business days of the NRD access date.**8.4 Addition of Non-registered Individuals - A registered firm is exempt from the requirement to make a submission under section 3.3 during the NRD freeze period, if the firm makes the submission in accordance with Rule 31-509 within 30 business days of the NRD access date.****8.5 Changes to Form 7 Information - Registered Individuals**

- (1) This section applies to a registered individual who has not submitted in accordance with Rule 31-509 a completed Form 33-506F4.
- (2) A registered individual must notify the Director of a change to any information previously submitted in Form 4, or under this subsection, by submitting a completed Form 33-506F5 in paper format within 5 business days of the change.
- (3) A registered individual who has submitted a completed Form 33-506F5 under subsection (2), must submit in accordance with section 7.7 of Rule 31-509 a completed Form 33-506F4.

8.6 Termination of Relationship - Registered Individuals - A registered firm is exempt from the requirement to make a submission under section 4.3 during the NRD freeze period, if the firm makes the submission in accordance with Rule 31-509 within 30 business days of the NRD access date.**8.7 Changes to Form 7 Information - Non-registered Individuals**

- (1) This section applies to a registered firm that has not submitted in accordance with Rule 31-509 a completed Form 33-506F4 for a non-registered individual.
- (2) A registered firm must notify the Director of a change to any information previously submitted in Form 7 for a non-registered individual, or under this subsection, by submitting a completed Form 33-506F5 in paper format within 5 business days of the change.
- (3) A registered firm that has submitted a completed Form 33-506F5 for a non-registered individual under subsection (2), must submit in accordance with section 7.8 of Rule 31-509 a completed Form 33-506F4 for the non-registered individual.

8.8 Termination of Relationship - Non-registered Individuals - A registered firm is exempt from the requirement to make a submission under section 5.2 during the NRD freeze period, if the firm makes the submission in accordance with Rule 31-509 within 30 business days of the NRD access date.**PART 9 EFFECTIVE DATE****9.1 Effective Date - This Rule comes into force on February 21, 2003.**

FORM 33-506F1

NOTICE OF TERMINATION

Enter the following information using the online version of this submission at the NRD web site (www.nrd.ca). If the NRD filer is relying on the temporary hardship exemption in Rule 31-509 this form is required to be delivered to the Director in paper format.

1. Individual

Name of individual: _____

NRD number of individual: _____

2. Business location

Address of business location: _____

NRD number of business location: _____

3. 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 details regarding any:

- unresolved client complaints:

- internal discipline matters:

- restrictions for violation of regulatory requirements:

- financial obligations the individual has 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 set out below for 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 and Labrador, 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 provided in Schedule "A".

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 NRD format:

- I am making this submission as agent for the NRD filer. By checking this box I certify that all statements of fact in this submission were provided to me by the NRD filer.

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

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.

Signature of authorized officer or partner

Date

Firm name

SCHEDULE "A"	
Notice and collection and use of personal information	
Contact Information	
<p>Alberta</p> <p>Alberta Securities Commission, 4th Floor, 300 B 5th Avenue S.W. Calgary, AB T2P 3C4 Attention: Information Officer Telephone: (403) 297-6454</p>	<p>British Columbia</p> <p>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)</p>
<p>Manitoba</p> <p>The Manitoba Securities Commission 1130-405 Broadway Winnipeg, MB R3C 3L6 Attention: Director - Legal Telephone: (204) 945-4508</p>	<p>New Brunswick</p> <p>Securities Administration Branch PO Box 5001 606, 133 Prince William Street Saint John, NB E2L 4Y9 Attention: Deputy Administrator, Capital Markets Telephone: (506) 658-3021</p>
<p>Newfoundland and Labrador</p> <p>Securities Commission of Newfoundland and Labrador P.O. Box 8700, 2nd Floor, West Block Confederation Building St. John's, NF A1B 4J6 Attention: Director of Securities Tel: (709) 729-4189</p>	<p>Nova Scotia</p> <p>Nova Scotia Securities Commission 2nd Floor, Joseph Howe Building 1690 Hollis Street P.O. Box 458 Halifax, NS B3J 3J9 Attention: FOI Officer Telephone: (902) 424-7768</p>
<p>Northwest Territories</p> <p>Government of the Northwest Territories P.O. Box 1320 Yellowknife, NWT X1A 2L9 Attention: Deputy Registrar of Securities Telephone: (867) 920-8984</p>	<p>Nunavut</p> <p>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) 975-6190</p>
<p>Ontario</p> <p>Ontario Securities Commission Suite 1903, Box 55 20 Queen Street West Toronto, ON M5H 3S8 Attention: FOI Coordinator Telephone: (416) 593-8314</p>	<p>Prince Edward Island</p> <p>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) 368-4569</p>
<p>Québec</p> <p>Commission des valeurs mobilières du Québec Stock Exchange Tower P.O. Box 246, 22nd Floor 800 Victoria Square Montréal, PQ H4Z 1G3 Attention: Responsable de l'accès à l'information Telephone: (514) 940-2150 or (800) 361-5072 (in Québec)</p>	<p>Saskatchewan</p> <p>Saskatchewan Securities Commission 800 B1920 Broad Street Regina, SK S4P 3V7 Attention: Director Telephone: (306) 787-5842</p>
<p>Yukon</p> <p>Department of Community Services Yukon P.O. Box 2703 Whitehorse, YU Y1A 2C6 Attention: Registrar of Securities Telephone: (867) 667-5225</p>	

FORM 33-506F2**CHANGE OR SURRENDER OF INDIVIDUAL CATEGORIES**

Enter the following information using the online version of this submission at the NRD web site (www.nrd.ca). If the NRD filer is relying on the temporary hardship exemption in Rule 31-509 this form is required to be delivered to the Director in paper format.

1. Individual

Name of individual: _____

NRD number of individual: _____

2. Individual categories

Indicate the individual categories that the individual is adding or removing:

3. Details of surrender

If the individual is surrendering his or her registration include details regarding any:

- unresolved client complaints:
- internal discipline matters:
- restrictions for violation of regulatory requirements that occurred at any time during the individual's employment with the firm:
- financial obligations the individual has 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 set out below for 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 and Labrador, Northwest Territories, Yukon Territory, and Nunavut.

By submitting this information you consent to the collection by the securities regulatory authority of the personal information provided above, 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 the information submitted above including your continued fitness for registration, if applicable, 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.

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 provided in Schedule "A".

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 NRD format:

- I am making this submission as agent for the individual to whom this submission relates. By checking this box I certify that all statements of fact in this submission were provided to me by the individual.

Both of the following certifications are to be used when submitting this form in paper format:

I, the undersigned, certify that I have read and that I understand the questions in this form and the Warning set out above. I also certify that all statements of fact provided in this application are true.

Signature of applicant or non-registered individual

Date

I, the undersigned, certify on behalf of the sponsoring firm that the individual will be engaged by the sponsoring firm as a registered individual or a non-registered individual. I certify that I have, or a branch manager or another officer or partner has, discussed the questions set out in this form and I am satisfied that the individual fully understands the questions.

Signature of authorized officer or partner

Date

Firm name

SCHEDULE "A"	
Notice and collection and use of personal information	
Contact Information	
<p>Alberta</p> <p>Alberta Securities Commission, 4th Floor, 300 B 5th Avenue S.W. Calgary, AB T2P 3C4 Attention: Information Officer Telephone: (403) 297-6454</p>	<p>British Columbia</p> <p>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)</p>
<p>Manitoba</p> <p>The Manitoba Securities Commission 1130-405 Broadway Winnipeg, MB R3C 3L6 Attention: Director - Legal Telephone: (204) 945-4508</p>	<p>New Brunswick</p> <p>Securities Administration Branch PO Box 5001 606, 133 Prince William Street Saint John, NB E2L 4Y9 Attention: Deputy Administrator, Capital Markets Telephone: (506) 658-3021</p>
<p>Newfoundland and Labrador</p> <p>Securities Commission of Newfoundland and Labrador P.O. Box 8700, 2nd Floor, West Block Confederation Building St. John's, NF A1B 4J6 Attention: Director of Securities Tel: (709) 729-4189</p>	<p>Nova Scotia</p> <p>Nova Scotia Securities Commission 2nd Floor, Joseph Howe Building 1690 Hollis Street P.O. Box 458 Halifax, NS B3J 3J9 Attention: FOI Officer Telephone: (902) 424-7768</p>
<p>Northwest Territories</p> <p>Government of the Northwest Territories P.O. Box 1320 Yellowknife, NWT X1A 2L9 Attention: Deputy Registrar of Securities Telephone: (867) 920-8984</p>	<p>Nunavut</p> <p>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) 975-6190</p>
<p>Ontario</p> <p>Ontario Securities Commission Suite 1903, Box 55 20 Queen Street West Toronto, ON M5H 3S8 Attention: FOI Coordinator Telephone: (416) 593-8314</p>	<p>Prince Edward Island</p> <p>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) 368-4569</p>
<p>Québec</p> <p>Commission des valeurs mobilières du Québec Stock Exchange Tower P.O. Box 246, 22nd Floor 800 Victoria Square Montréal, PQ H4Z 1G3 Attention: Responsable de l'accès à l'information Telephone: (514) 940-2150 or (800) 361-5072 (in Québec)</p>	<p>Saskatchewan</p> <p>Saskatchewan Securities Commission 800 B1920 Broad Street Regina, SK S4P 3V7 Attention: Director Telephone: (306) 787-5842</p>
<p>Yukon</p> <p>Department of Community Services Yukon P.O. Box 2703 Whitehorse, YU Y1A 2C6 Attention: Registrar of Securities Telephone: (867) 667-5225</p>	

FORM 33-506F3

BUSINESS LOCATIONS OTHER THAN HEAD OFFICE

Enter the following information using the online version of this submission at the NRD web site (www.nrd.ca). If the NRD filer is relying on the temporary hardship exemption in Rule 31-509 this form is required to be delivered to the Director in paper format.

Please select one box:

- This form is being submitted to notify the Director of the opening of this business location. Complete the entire form.
- This form is being submitted to notify the Director of the closing of this business location. Complete the entire form.
- This form is being submitted to notify the Director of the change of information previously submitted in respect of this business location. Complete the entire form and describe the information that has changed (for example, "telephone number" or "type of business location"): _____

1. Type of business location

_____ branch

_____ sub-branch

2. Supervisor or branch manager

NRD number of the designated supervisor or branch manager: _____

Name of designated supervisor or branch manager: _____

3. Business location information

Business address: _____

Telephone number: () _____

Facsimile number: () _____

Mailing address (if different from business address): _____

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 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 and Labrador, 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 provided in Schedule "A".

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 NRD format:

- I am making this submission as agent for the NRD filer. By checking this box I certify that all statements of fact in this submission were provided to me by the NRD filer.

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

I, the undersigned, certify that I have read and that I understand the questions in this notice 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 authorized officer or partner

Date

Firm name

SCHEDULE "A"	
Notice and collection and use of personal information	
Contact Information	
<p>Alberta</p> <p>Alberta Securities Commission, 4th Floor, 300 B 5th Avenue S.W. Calgary, AB T2P 3C4 Attention: Information Officer Telephone: (403) 297-6454</p>	<p>British Columbia</p> <p>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)</p>
<p>Manitoba</p> <p>The Manitoba Securities Commission 1130-405 Broadway Winnipeg, MB R3C 3L6 Attention: Director - Legal Telephone: (204) 945-4508</p>	<p>New Brunswick</p> <p>Securities Administration Branch PO Box 5001 606, 133 Prince William Street Saint John, NB E2L 4Y9 Attention: Deputy Administrator, Capital Markets Telephone: (506) 658-3021</p>
<p>Newfoundland and Labrador</p> <p>Securities Commission of Newfoundland and Labrador P.O. Box 8700, 2nd Floor, West Block Confederation Building St. John's, NF A1B 4J6 Attention: Director of Securities Tel: (709) 729-4189</p>	<p>Nova Scotia</p> <p>Nova Scotia Securities Commission 2nd Floor, Joseph Howe Building 1690 Hollis Street P.O. Box 458 Halifax, NS B3J 3J9 Attention: FOI Officer Telephone: (902) 424-7768</p>
<p>Northwest Territories</p> <p>Government of the Northwest Territories P.O. Box 1320 Yellowknife, NWT X1A 2L9 Attention: Deputy Registrar of Securities Telephone: (867) 920-8984</p>	<p>Nunavut</p> <p>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) 975-6190</p>
<p>Ontario</p> <p>Ontario Securities Commission Suite 1903, Box 55 20 Queen Street West Toronto, ON M5H 3S8 Attention: FOI Coordinator Telephone: (416) 593-8314</p>	<p>Prince Edward Island</p> <p>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) 368-4569</p>
<p>Québec</p> <p>Commission des valeurs mobilières du Québec Stock Exchange Tower P.O. Box 246, 22nd Floor 800 Victoria Square Montréal, PQ H4Z 1G3 Attention: Responsable de l'accès à l'information Telephone: (514) 940-2150 or (800) 361-5072 (in Québec)</p>	<p>Saskatchewan</p> <p>Saskatchewan Securities Commission 800 B1920 Broad Street Regina, SK S4P 3V7 Attention: Director Telephone: (306) 787-5842</p>
<p>Yukon</p> <p>Department of Community Services Yukon P.O. Box 2703 Whitehorse, YU Y1A 2C6 Attention: Registrar of Securities Telephone: (867) 667-5225</p>	

FORM 33-506F4 REGISTRATION INFORMATION FOR AN INDIVIDUAL

SUBMISSION TO NRD

Enter the following information using the online version of this submission at the NRD web site (www.nrd.ca). If the NRD filer is relying on the temporary hardship exemption in Rule 31-509 this form is required to be delivered to the Director in paper format.

INSTRUCTIONS FOR FILING IN PAPER FORMAT

1. This form is to be used by every individual seeking registration from a securities regulatory authority or a self-regulatory organization or who is a non-registered individual with a registered firm or a firm seeking registration.
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. Failure to answer all applicable questions may cause delays in the processing of the application form.
4. This form must be legible.
5. To complete the application, individuals should seek advice from an authorized officer of the sponsoring firm or from a legal adviser.
6. 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 to 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 provided above?... ? Yes ? No

If "Yes", complete Schedule "A".

Item 2 - Residential address

Current address

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

Current 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".

FORM 33-506F4 REGISTRATION INFORMATION FOR AN INDIVIDUAL**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 issue: _____
(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 submitting this form:

 Alberta

Northwest Territories

 Prince Edward Island British Columbia

Nova Scotia

 Québec Manitoba

Nunavut

 Saskatchewan New Brunswick

Ontario

 Yukon Territory Newfoundland and Labrador**Item 6 - Individual categories****Categories**

Indicate, by checking the appropriate box in Schedule "C", each registration category for which you are applying. If you are a non-registered individual and you are not applying for registration, indicate each category that describes your position with your sponsoring firm.

FORM 33-506F4 REGISTRATION INFORMATION FOR AN INDIVIDUAL

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. Complete Schedule "D" for each additional address for service you are providing.

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

Telephone number: () _____ Fax number: () _____

E-mail address: _____

2. Agent for service

If you have appointed an agent for service, provide the following information for the agent. The address for service provided above must be the address of any agent named below.

Name of agent for service: _____

Contact person: _____
 Last name First name

Item 8 – Proficiency

1. Course or examination information

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

If you are not required under securities legislation or the rules of a self-regulatory organization to satisfy any course or examination requirements you are not required to complete this item.

2. Student numbers

If you have a student number with one of the following institutions, provide it 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 "F".

FORM 33-506F4 REGISTRATION INFORMATION FOR AN INDIVIDUAL

Item 9 – Location of employment

Location of employment

Provide the following information for the location of the sponsoring firm at which you will be working. If you 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 “G”, provide the information requested for 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 “H”, provide the information requested for 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 the information requested for 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 the information required by this section has been provided in Item 10.

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 “Yes”, to any of the above questions, complete Schedule “I”.

FORM 33-506F4 REGISTRATION INFORMATION FOR AN INDIVIDUAL

Item 13 – Regulatory disclosure

1. Securities regulatory authorities

a) Other than a registration that has been recorded on NRD under the NRD number you are using to make this submission, 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 "J", 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, 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 "J", section 1(b).

c) Have you, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), 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

"Yes", complete Schedule "J", section 1(c).

d) Have you, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), 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 "J", section 1(d).

e) Have you, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), 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 "J", section 1(e).

2. Self-regulatory organizations

a) Have you, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), 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 or other self-regulatory organization in any province, territory, state or country? Yes No

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

b) Have you, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), 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 or other self-regulatory organization in any province, territory, state or country? Yes No

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

c) Have you, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), 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 or other self-regulatory organization in any province, territory, state or country? Yes No

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

FORM 33-506F4 REGISTRATION INFORMATION FOR AN INDIVIDUAL

3. Non-securities regulation

a) Have you, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), 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 "J", section 3(a).

b) Have you, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), 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 licence 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 "J", section 3(b).

c) Have you, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), 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 "J", 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, that offence must be reported even if an absolute or conditional discharge has been granted 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. You are not required to disclose speeding or parking violations.

a) Is there currently an outstanding charge against you alleging an offence that was committed in any province, territory, state, or country? Yes No

If "Yes", complete Schedule "K", 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 any province, territory, state, or country? Yes No

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

c) Have charges been laid, alleging an offence that was committed in any province, territory, state, or country against any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)) in which you are or were at the time of that 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 "K", section (c).

d) Has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), 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 any province, territory, state, or country? Yes No

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

FORM 33-506F4 REGISTRATION INFORMATION FOR AN INDIVIDUAL

Item 15 - Civil disclosure

Current and past civil proceedings

a) Have you, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), 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 which fraud, theft, deceit, misrepresentation, or similar conduct is, or was, alleged? Yes No

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

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 (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)) that is or was a defendant or respondent in any civil proceeding in which fraud, theft, deceit, misrepresentation, or similar conduct is or was alleged? Yes No

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

Item 16 – Financial disclosure

1. Bankruptcy

Under the law of any province, territory, state, or country have you, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), 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 "M", section 1.

2. Debt Obligations

Have you ever failed to meet a financial obligation of \$500 or more as it came due, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), 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, failed to meet a financial obligation as it came due? Yes No

If "Yes", complete Schedule "M", 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 "M", section 3.

FORM 33-506F4 REGISTRATION INFORMATION FOR AN INDIVIDUAL

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 "M", section 4.

Item 17 - Related securities firms

Related securities firms and holdings

Are you a partner, director, or officer of a firm (other than your sponsoring firm) whose principal business is trading in or advising on securities or exchange contracts (including commodity futures contracts and commodity futures options) or are you a holder of 10 percent or more of the voting securities of any firm (including your sponsoring firm) whose principal business is trading in or advising on securities or exchange contracts (including commodity futures contracts and commodity futures options)?..... Yes No

If "Yes", complete Schedule "N".

Agent for Service

By submitting this form you certify that in each jurisdiction in which you have appointed an agent for service you have properly executed the appointment of agent for service required by the regulator or the securities legislation of that jurisdiction.

Submission to Jurisdiction

By submitting this application 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 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, and irrevocably waive any right to raise as a defence in any Proceeding any alleged lack of jurisdiction to bring that Proceeding.

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 and Labrador, 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.

FORM 33-506F4 REGISTRATION INFORMATION FOR AN INDIVIDUAL

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 in Schedule "O". 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).

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 NRD format:

- I am making this submission as agent for the individual to whom this submission relates. By checking this box I certify that all statements of fact in this submission were provided to me by the individual.

Both of the following certifications are to be used when submitting this form in paper format:

I, the undersigned, certify that I have read and that I understand the questions in this form and the Warning set out above. I also certify that all statements of fact provided in this application are true.

Signature of applicant or non-registered individual

Date

I, the undersigned, certify on behalf of the sponsoring firm that the individual will be engaged by the sponsoring firm as a registered individual or a non-registered individual. I certify that I have, or a branch manager or another officer or partner has, discussed the questions set out in this form with the individual and I am satisfied that the individual fully understands the questions.

Signature of authorized officer or partner

Date

Firm name

SCHEDULE "A" Name			
Item <input type="checkbox"/> 1			
Other names			
Last name	First name	Second name <i>(if applicable)</i>	Third name <i>(if applicable)</i>
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: _____ <i>(YYYY/MM)</i>	To: _____ <i>(YYYY/MM)</i>	
Last name	First name	Second name <i>(if applicable)</i>	Third name <i>(if applicable)</i>
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: _____ <i>(YYYY/MM)</i>	To: _____ <i>(YYYY/MM)</i>	
Last name	First name	Second name <i>(if applicable)</i>	Third name <i>(if applicable)</i>
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: _____ <i>(YYYY/MM)</i>	To: _____ <i>(YYYY/MM)</i>	

SCHEDULE "B" Residential address	
Item <input type="checkbox"/> 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 <input type="checkbox"/> 6	
Categories	
Indicate, by checking the appropriate box, each category for which you are applying.	
Alberta	
<input type="checkbox"/> Salesperson <input type="checkbox"/> Officer (Trading) <input type="checkbox"/> Officer (Non-Trading) <input type="checkbox"/> Partner (Trading) <input type="checkbox"/> Partner (Non-Trading) <input type="checkbox"/> Director	<input type="checkbox"/> Shareholder <input type="checkbox"/> Branch Manager <input type="checkbox"/> Officer (Advising) <input type="checkbox"/> Officer (Non-Advising) <input type="checkbox"/> Junior Officer (Advising) <input type="checkbox"/> Partner (Advising) <input type="checkbox"/> Partner (Non-Advising)
British Columbia	
<input type="checkbox"/> Salesperson <input type="checkbox"/> Officer (Trading) <input type="checkbox"/> Officer (Non-Trading) <input type="checkbox"/> Partner (Trading) <input type="checkbox"/> Partner (Non-Trading) <input type="checkbox"/> Director (Trading) <input type="checkbox"/> Director (Non-Trading) <input type="checkbox"/> Compliance Officer <input type="checkbox"/> Shareholder <input type="checkbox"/> Branch Manager	<input type="checkbox"/> Officer (Advising) <input type="checkbox"/> Officer (Non-Advising) <input type="checkbox"/> Partner (Advising) <input type="checkbox"/> Partner (Non-Advising) <input type="checkbox"/> Director (Advising) <input type="checkbox"/> Director (Non-Advising) <input type="checkbox"/> Advising Employee
Manitoba	
<input type="checkbox"/> Salesperson <input type="checkbox"/> Officer (Trading) <input type="checkbox"/> Officer (Non-Trading) <input type="checkbox"/> Partner (Trading) <input type="checkbox"/> Partner (Non-Trading) <input type="checkbox"/> Director (Trading) <input type="checkbox"/> Director (Non-Trading) <input type="checkbox"/> Branch Manager <input type="checkbox"/> Advising Officer <input type="checkbox"/> Advising Partner <input type="checkbox"/> Advising Director <input type="checkbox"/> Non-Advising Officer <input type="checkbox"/> Non-Advising Partner <input type="checkbox"/> Non-Advising Director <input type="checkbox"/> Advising Employee	<input type="checkbox"/> Associate Advising Officer <input type="checkbox"/> Associate Advising Partner <input type="checkbox"/> Associate Advising Director <input type="checkbox"/> Associate Advising Employee <input type="checkbox"/> Non-trading <input type="checkbox"/> Officer <input type="checkbox"/> Partner <input type="checkbox"/> Futures Contract Portfolio Manager <input type="checkbox"/> Associate Futures Contracts Portfolio Manager <input type="checkbox"/> Floor Trader <input type="checkbox"/> Floor Broker <input type="checkbox"/> Local <input type="checkbox"/> Adviser
New Brunswick	
<input type="checkbox"/> Salesperson <input type="checkbox"/> Officer (Trading) <input type="checkbox"/> Officer (Non-Trading) <input type="checkbox"/> Partner (Trading) <input type="checkbox"/> Partner (Non-Trading) <input type="checkbox"/> Director <input type="checkbox"/> Shareholder	<input type="checkbox"/> Compliance Officer <input type="checkbox"/> Officer (Advising) <input type="checkbox"/> Officer (Non-Advising) <input type="checkbox"/> Junior Officer (Advising) <input type="checkbox"/> Partner (Advising) <input type="checkbox"/> Partner (Non-Advising)

SCHEDULE "C" Individual categories	
Item <input type="checkbox"/> 6	
Categories	
Newfoundland and Labrador	
<input type="checkbox"/> Salesperson <input type="checkbox"/> Officer (Trading) <input type="checkbox"/> Officer (Non-Trading) <input type="checkbox"/> Director <input type="checkbox"/> Shareholder <input type="checkbox"/> Partner (Trading) <input type="checkbox"/> Partner (Non-Trading) <input type="checkbox"/> Branch Manager	<input type="checkbox"/> Officer (Advising) <input type="checkbox"/> Officer (Non-Advising) <input type="checkbox"/> Director <input type="checkbox"/> Shareholder <input type="checkbox"/> Partner (Advising) <input type="checkbox"/> Partner (Non-Advising) <input type="checkbox"/> Branch Manager
Northwest Territories	
<input type="checkbox"/> Salesperson <input type="checkbox"/> Officer (Trading) <input type="checkbox"/> Officer (Non-Trading) <input type="checkbox"/> Director <input type="checkbox"/> Partner (Trading) <input type="checkbox"/> Partner (Non-Trading) <input type="checkbox"/> Sole Proprietor	<input type="checkbox"/> Shareholder <input type="checkbox"/> Branch Manager <input type="checkbox"/> Representative (Advising) <input type="checkbox"/> Officer (Advising) <input type="checkbox"/> Officer (Non-Advising) <input type="checkbox"/> Partner (Advising) <input type="checkbox"/> Partner (Non-Advising)
Nova Scotia	
<input type="checkbox"/> Salesperson <input type="checkbox"/> Officer (Trading) <input type="checkbox"/> Officer (Non-Trading) <input type="checkbox"/> Sole Proprietor (Trading) <input type="checkbox"/> Director <input type="checkbox"/> Partner (Trading) <input type="checkbox"/> Partner (Non-Trading)	<input type="checkbox"/> Officer (Advising) <input type="checkbox"/> Officer (Non-Advising) <input type="checkbox"/> Associate Partner <input type="checkbox"/> Partner (Advising) <input type="checkbox"/> Partner (Non-Advising) <input type="checkbox"/> Sole Proprietor (Advising)
Nunavut	
<input type="checkbox"/> Salesperson <input type="checkbox"/> Officer (Trading) <input type="checkbox"/> Officer (Non-Trading) <input type="checkbox"/> Director <input type="checkbox"/> Partner (Trading) <input type="checkbox"/> Partner (Non-Trading) <input type="checkbox"/> Sole Proprietor	<input type="checkbox"/> Shareholder <input type="checkbox"/> Branch Manager <input type="checkbox"/> Representative (Advising) <input type="checkbox"/> Officer (Advising) <input type="checkbox"/> Officer (Non-Advising) <input type="checkbox"/> Partner (Advising) <input type="checkbox"/> Partner (Non-Advising)
Ontario	
Except as indicated the following categories are available under the <i>Securities Act</i> and the <i>Commodity Futures Act</i> .	
<input type="checkbox"/> Floor Trader <input type="checkbox"/> Salesperson <input type="checkbox"/> Officer (Trading) <input type="checkbox"/> Officer (Non-Trading) <input type="checkbox"/> Partner (Trading) <input type="checkbox"/> Partner (Non-Trading) <input type="checkbox"/> Sole Proprietor (Trading) <input type="checkbox"/> Director <input type="checkbox"/> Advising Representative	<input type="checkbox"/> Associate Advising Representative (<i>Securities Act</i> category only) <input type="checkbox"/> Officer (Advising) <input type="checkbox"/> Officer (Non-Advising) <input type="checkbox"/> Associate Officer (<i>Securities Act</i> category only) <input type="checkbox"/> Partner (Advising) <input type="checkbox"/> Partner (Non-Advising) <input type="checkbox"/> Associate Partner (<i>Securities Act</i> category only) <input type="checkbox"/> Sole Proprietor (Advising) <input type="checkbox"/> Shareholder

SCHEDULE "C" Individual categories	
Item <input type="checkbox"/> 6	
Categories	
Prince Edward Island	
<input type="checkbox"/> Salesperson <input type="checkbox"/> Officer (Trading) <input type="checkbox"/> Officer (Non-Trading) <input type="checkbox"/> Partner (Trading) <input type="checkbox"/> Partner (Non-Trading) <input type="checkbox"/> Director <input type="checkbox"/> Shareholder	<input type="checkbox"/> Branch Manager <input type="checkbox"/> Compliance Officer <input type="checkbox"/> Counselling Officer (Officer) <input type="checkbox"/> Counselling Officer (Partner) <input type="checkbox"/> Counselling Officer (Other) <input type="checkbox"/> Officer (Non-Advising) <input type="checkbox"/> Partner (Non-Advising)
Québec	
Dealer	Adviser
<input type="checkbox"/> Salesperson (representative) <input type="checkbox"/> Officer <input type="checkbox"/> Partner <input type="checkbox"/> Director <input type="checkbox"/> Director (Non-Industry) <input type="checkbox"/> Branch Manager	<input type="checkbox"/> Representative (Advising) <input type="checkbox"/> Officer <input type="checkbox"/> Partner <input type="checkbox"/> Director <input type="checkbox"/> Director (Non-Industry) <input type="checkbox"/> Branch Manager
Saskatchewan	
<input type="checkbox"/> Salesperson <input type="checkbox"/> Officer (Trading) <input type="checkbox"/> Officer (Non-Trading) <input type="checkbox"/> Partner (Trading) <input type="checkbox"/> Partner (Non-Trading) <input type="checkbox"/> Director	<input type="checkbox"/> Employee (Advising) <input type="checkbox"/> Officer (Advising) <input type="checkbox"/> Officer (Non-Advising) <input type="checkbox"/> Partner (Advising) <input type="checkbox"/> Partner (Non-Advising)
Yukon	
<input type="checkbox"/> Salesperson <input type="checkbox"/> Officer (Trading) <input type="checkbox"/> Officer (Non-Trading) <input type="checkbox"/> Partner (Trading) <input type="checkbox"/> Partner (Non-Trading) <input type="checkbox"/> Director <input type="checkbox"/> Sole Proprietor (Trading) <input type="checkbox"/> Branch Manager	<input type="checkbox"/> Shareholder <input type="checkbox"/> Officer (Advising) <input type="checkbox"/> Officer (Non-Advising) <input type="checkbox"/> Partner (Advising) <input type="checkbox"/> Partner (Non-Advising) <input type="checkbox"/> Sole Proprietor (Advising)

SCHEDULE "C"
Individual categories

Item 6**Categories****Investment Dealers Association of Canada**

- | | |
|--|--|
| <input type="checkbox"/> Partner (Industry) | <input type="checkbox"/> Registered Representative (Mutual Funds) |
| <input type="checkbox"/> Partner (Non-Industry) | <input type="checkbox"/> Registered Representative (Retail) |
| <input type="checkbox"/> Director (Industry) | <input type="checkbox"/> Registered Representative (Non-Retail) |
| <input type="checkbox"/> Director (Non-Industry) | <input type="checkbox"/> Registered Representative Options (Retail) |
| <input type="checkbox"/> Officer (Trading) | <input type="checkbox"/> Registered Representative Options (Non-Retail) |
| <input type="checkbox"/> Officer (Non-Trading) | <input type="checkbox"/> Registered Futures Contract Representative Options (Retail) |
| <input type="checkbox"/> Industry Investor | <input type="checkbox"/> Registered Futures Contract Representative Options (Non-Retail) |
| <input type="checkbox"/> Non-Industry Investor | <input type="checkbox"/> Trader - CATS |
| <input type="checkbox"/> Chief Compliance Officer | <input type="checkbox"/> Trader - TradeCDNX |
| <input type="checkbox"/> Ultimate Designated Person | <input type="checkbox"/> Trader - Commodity Floor Trader |
| <input type="checkbox"/> Alternate Designated Person | <input type="checkbox"/> Associate Portfolio Manager - Securities |
| <input type="checkbox"/> Designated Registered Options Principal | <input type="checkbox"/> Associate Portfolio Manager - Security Options |
| <input type="checkbox"/> Alternate Registered Options Principal | <input type="checkbox"/> Associate Portfolio Manager - Commodity Futures Options |
| <input type="checkbox"/> Designated Registered Futures Options Principal | <input type="checkbox"/> Portfolio Manager - Securities |
| <input type="checkbox"/> Alternate Registered Futures Options Principal | <input type="checkbox"/> Portfolio Manager - Security Options |
| <input type="checkbox"/> Sales Manager | <input type="checkbox"/> Portfolio Manager - Commodity Futures Options |
| <input type="checkbox"/> Branch Manager | |
| <input type="checkbox"/> Co-Branch Manager | |
| <input type="checkbox"/> Assistant Branch Manager | |
| <input type="checkbox"/> Futures Contract Options Supervisor | |
| <input type="checkbox"/> Investment Representative (Mutual Funds) | |
| <input type="checkbox"/> Investment Representative (Retail) | |
| <input type="checkbox"/> Investment Representative (Non-Retail) | |
| <input type="checkbox"/> Investment Representative Options (Retail) | |
| <input type="checkbox"/> Investment Representative Options (Non-Retail) | |
| <input type="checkbox"/> Investment Futures Contract Representative Options (Retail) | |
| <input type="checkbox"/> Investment Futures Contract Representative Options (Non-Retail) | |

SCHEDULE "D" Address and Agent for Service	
Item <input type="checkbox"/> 7	
Address 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 have appointed an agent for service, provide the following information for the agent. The address for service provided above must be the address of the agent named below.	
Name of agent for service: _____ (if applicable)	
Contact person: _____	
Last name	First name

SCHEDULE "E"
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.

COURSE OR EXAMINATION	DATE COMPLETED	DATE EXEMPTED AND BY WHICH JURISDICTION OR REGULATOR (YYYY/MM/DD)
30-day Training Program		
90-day Training Program		
ACE Trader Exam		
Agricultural Markets – Risk Management Course (ARM)		
Branch Compliance Officers Course		
Branch Manager's Examination Course (formerly the Canadian Branch Managers Qualifying Examination)		
Canadian Commodity Futures Examination		
Canadian Commodity Supervisors Examination		
Canadian Funds Course (Quebec only)		
Canadian Futures Exam (Part 1)		
Canadian Futures Exam (Part 2)		
Canadian Investment Finance Course Part I		
Canadian Investment Finance Course Part II		
Canadian Investment Funds Course		
Canadian Investment Management Program (Part 1)		
Canadian Investment Management Program (Parts 2)		
Canadian Options Course		
Canadian Securities Course		
CATS Examination-Oral		
CATS Examination-Written		
Certified Financial Planners Program		
Chartered Financial Analyst Charter		
Chartered Financial Analyst Course (Level I)		
Chartered Financial Analyst Course (Level II)		
Chartered Financial Analyst Course (Level III)		
Commodity Futures Exam (Part 1)		
Commodity Futures Exam (Part 2)		
Conduct and Practices Handbook Course		
Derivatives Fundamentals Course		
Derivatives Operational Management Course		
Effective Management Seminar		
Energy Markets - Risk Management Course		
Ensis Growth Fund Understanding Labour Sponsored Investment Funds (Full Course)		
Examination based on Manual for Registered Representatives (RR Exam)		
Fellow of the Canadian Securities Institute		

SCHEDULE "E" Proficiency		
Financial Markets Risk Management Course		
Examination based on Manual for Registered Representatives (RR Exam)		
Futures Floor Trader Examination (Winnipeg Stock Exchange)		
Futures Licensing Course		
General Securities Representative Examination (Series 7)		
In-House Scholarship Training Program		
Investment Funds Course		
Investment Management Techniques		
Labour Sponsored Investment Funds Course		
National Commodity Futures Examination		
New Entrants Examination		
Officers' Partners' and Directors' Course		
Operations Course		
Options Licensing Course		
Options Strategies Course		
Options Supervisors Course		
Partners, Directors and Senior Officers Qualifying Examination		
Personal Financial Planning Diploma		
Portfolio Management Techniques		
Principles of Mutual Funds Investment Course		
Professional Financial Planning Course		
Professional Options Trader Examination		
Real Estate Agent's Pre-Licensing Course		
Registered Options Principal's Qualifying Examination		
Technical Analysis Course (TAC)		
Trader Training Course		
VCT Trader Exam		
Wealth Management Techniques		
Other, specify:		
Other, specify:		
Other, specify:		
Other, specify:		

SCHEDULE "F"
ProficiencyItem 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 "G"
Current employment

Item 10**Employment information**

Provide the information requested for 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: _____

If the business or employment described above is with the sponsoring firm and if you are working less than 30 hours per week for the firm, explain why you are working less than 30 hours per week for the firm:

SCHEDULE "G" Current employment	
	<p>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):</p>

SCHEDULE "H" Previous employment	
Item <input type="checkbox"/> 11	
Employment information	
	<p>Provide the information requested for 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.</p> <p>In addition, provide the information requested in respect 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.</p> <p><input type="checkbox"/> Unemployed</p> <p><input type="checkbox"/> Full-time student</p> <p><input type="checkbox"/> Employed or self-employed</p> <p>From: _____ To: _____ (YYYY/MM/DD) (YYYY/MM/DD)</p> <p>You are only required to fill in the following if you have indicated above that you are, or were, employed or self-employed.</p> <p>Name of business or employer: _____</p> <p>Address of business or employer: _____ (number, street, city, province, territory or state, country)</p> <p>Name and title of immediate supervisor: _____</p> <p>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):</p>

SCHEDULE "1" Resignations and terminations	
Item <input type="checkbox"/> 12	
Resignation and Termination information	
	<p>For each resignation or termination indicate below, (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).</p>

SCHEDULE "J"
Regulatory disclosureItem 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 dates between which you held the registration or licence.
- 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 dates between which you held the registration or licence.
- 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 information that you think is relevant or that is requested by the regulator.
- 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 information that you think is relevant or that is requested by the regulator.

SCHEDULE "J"
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 dates between which the party was a member or participating organization.
- 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 information that you think is relevant or that is requested by the regulator.

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 dates between which the party held the registration or licence.
- 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 information that you think is relevant or that is requested by the regulator.

SCHEDULE "K"
Criminal disclosureItem 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 (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 (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 "L"
Civil disclosureItem 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, (3) whether the proceeding is pending, on appeal or final, (4) the jurisdiction in which the action is being, or was, pursued, and (5) a summary 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) a summary of any disposition or settlement. (Disclosure must include those actions settled without admission of liability.)

SCHEDULE "M" Financial Disclosure	
Item <input type="checkbox"/> 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) a summary of any disposition or settlement, and (6) any other information that you think is relevant or that is requested by the regulator.
2. Solvency	For each event, indicate below (1) the party that failed to meet its financial obligation, (2) the amount that was owing at the time the party failed to meet its financial obligation, (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), (5) any amounts currently owing, and (6) any other information that you think is relevant or that is requested by the regulator.
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), (4) any amounts currently owing, and (5) any other information that you think is relevant or that is requested by the regulator.

SCHEDULE "N"
Related securities firms

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", identify the party and state the relationship between you and that party:

g) Have you either directly or indirectly given up any rights with respect to such securities or partnership interest, or do you, on approval of this application, intend to give up any such rights (including by hypothecation, pledging or depositing as collateral the securities or partnership interest with any institution or person)? ? Yes ? No

If "Yes", identify the party, state the relationship between you and that party and describe the rights that have been or will be given up:

h) Is a person other than you the beneficial owner of the shares, bonds, debentures, partnership units or other notes held by you? ? Yes ? No

If "Yes", complete (i), (j) and (k).

i) Name of beneficial owner:

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

j) Residential address:

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

k) Occupation:

SCHEDULE "O" Notice and collection and use of personal information	
Contact Information	
Alberta	British Columbia
Alberta Securities Commission, 4th Floor, 300 B 5th Avenue S.W. Calgary, AB T2P 3C4 Attention: Information Officer Telephone: (403) 297-6454	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	New Brunswick
The Manitoba Securities Commission 1130-405 Broadway Winnipeg, MB R3C 3L6 Attention: Director – Legal Telephone: (204) 945-4508	Securities Administration Branch PO Box 5001 606, 133 Prince William Street Saint John, NB E2L 4Y9 Attention: Deputy Administrator, Capital Markets Telephone: (506) 658-3021
Newfoundland and Labrador	Nova Scotia
Securities Commission of Newfoundland and Labrador P.O. Box 8700, 2nd Floor, West Block Confederation Building St. John's, NF A1B 4J6 Attention: Director of Securities Tel: (709) 729-4189	Nova Scotia Securities Commission 2nd Floor, Joseph Howe Building 1690 Hollis Street P.O. Box 458 Halifax, NS B3J 3J9 Attention: FOI Officer Telephone: (902) 424-7768
Northwest Territories	Nunavut
Government of the Northwest Territories P.O. Box 1320 Yellowknife, NWT X1A 2L9 Attention: Deputy Registrar of Securities Telephone: (867) 920-8984	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) 975-6190
Ontario	Prince Edward Island
Ontario Securities Commission Suite 1903, Box 55 20 Queen Street West Toronto, ON M5H 3S8 Attention: FOI Coordinator Telephone: (416) 593-8314	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) 368-4569
Québec	Saskatchewan
Commission des valeurs mobilières du Québec Stock Exchange Tower P.O. Box 246, 22nd Floor 800 Victoria Square Montréal, PQ H4Z 1G3 Attention: Responsable de l'accès à l'information Telephone: (514) 940-2150 or (800) 361-5072 (in Québec)	Saskatchewan Securities Commission 800 B1920 Broad Street Regina, SK S4P 3V7 Attention: Director Telephone: (306) 787-5842
Yukon	
Department of Community Services Yukon P.O. Box 2703 Whitehorse, YU Y1A 2C6 Attention: Registrar of Securities Telephone: (867) 667-5225	

FORM 33-506F5**CHANGE OF REGISTRATION INFORMATION****GENERAL INSTRUCTIONS**

1. This notice must be submitted when notifying a Director of changes to Form 3 or Form 4 information in accordance with Rule 33-506.
2. If the NRD filer is relying on the temporary hardship exemption in Rule 31-509, this form is required to be delivered to the Director in paper format when notifying a Director of changes to Form 33-506F4.
3. If this form is being submitted in respect of a change to a Form 3, Form 4 or Form 33-506F4 an authorized partner or officer of the firm must sign the form.

1. Type of form

Identify the part of the Form 3, Form 4, or Form 33-506F4 for which this notice is being provided. If this notice is being provided to update an individual's Form 4 or Form 33-506F4, provide the name of the individual.

- Form 3, Item(s) _____,
- Form 4, Item(s) _____, name of individual _____, or
- Form 33-506F4, Item(s) _____, name of individual _____

2. Details of Change

Provide the details of the change for each item identified above:

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 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 and Labrador, Northwest Territories, Yukon Territory, and Nunavut.

By submitting this information you consent to the collection by the securities regulatory authority of the personal information provided above, 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 continued fitness for registration, if applicable, 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.

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 provided in Schedule "A".

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

I, the undersigned, certify that I have read and that I understand the questions in this notice 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 registered or non-registered individual

Date

(No signature is required here if this form is being submitted in respect of a change to Form 3 information.)

If this form is being submitted in respect of a change to Form 3, I, the undersigned, certify that I understand the requirements and the Warning in this notice and that all statements of fact provided in this notice are true.

Signature of authorized officer or partner

Date

Firm name

SCHEDULE "A"	
Notice and collection and use of personal information	
Contact Information	
<p>Alberta</p> <p>Alberta Securities Commission, 4th Floor, 300 B 5th Avenue S.W. Calgary, AB T2P 3C4 Attention: Information Officer Telephone: (403) 297-6454</p>	<p>British Columbia</p> <p>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)</p>
<p>Manitoba</p> <p>The Manitoba Securities Commission 1130-405 Broadway Winnipeg, MB R3C 3L6 Attention: Director - Legal Telephone: (204) 945-4508</p>	<p>New Brunswick</p> <p>Securities Administration Branch PO Box 5001 606, 133 Prince William Street Saint John, NB E2L 4Y9 Attention: Deputy Administrator, Capital Markets Telephone: (506) 658-3021</p>
<p>Newfoundland and Labrador</p> <p>Securities Commission of Newfoundland and Labrador P.O. Box 8700, 2nd Floor, West Block Confederation Building St. John's, NF A1B 4J6 Attention: Director of Securities Tel: (709) 729-4189</p>	<p>Nova Scotia</p> <p>Nova Scotia Securities Commission 2nd Floor, Joseph Howe Building 1690 Hollis Street P.O. Box 458 Halifax, NS B3J 3J9 Attention: FOI Officer Telephone: (902) 424-7768</p>
<p>Northwest Territories</p> <p>Government of the Northwest Territories P.O. Box 1320 Yellowknife, NWT X1A 2L9 Attention: Deputy Registrar of Securities Telephone: (867) 920-8984</p>	<p>Nunavut</p> <p>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) 975-6190</p>
<p>Ontario</p> <p>Ontario Securities Commission Suite 1903, Box 55 20 Queen Street West Toronto, ON M5H 3S8 Attention: FOI Coordinator Telephone: (416) 593-8314</p>	<p>Prince Edward Island</p> <p>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) 368-4569</p>
<p>Québec</p> <p>Commission des valeurs mobilières du Québec Stock Exchange Tower P.O. Box 246, 22nd Floor 800 Victoria Square Montréal, PQ H4Z 1G3 Attention: Responsable de l'accès à l'information Telephone: (514) 940-2150 or (800) 361-5072 (in Québec)</p>	<p>Saskatchewan</p> <p>Saskatchewan Securities Commission 800 B1920 Broad Street Regina, SK S4P 3V7 Attention: Director Telephone: (306) 787-5842</p>
<p>Yukon</p> <p>Department of Community Services Yukon P.O. Box 2703 Whitehorse, YU Y1A 2C6 Attention: Registrar of Securities Telephone: (867) 667-5225</p>	

**AMENDMENT TO
ONTARIO SECURITIES COMMISSION RULE 31-504
APPLICATIONS FOR REGISTRATION**

PART 1 AMENDMENTS

- 1.1 Amendments** – Rule 31-504 Applications for Registration is amended by
- (a) changing the name of the rule to “Dealer and Adviser Applications for Registration”;
 - (b) deleting Part 1 and section 2.2 of Part 2;
 - (c) deleting the heading of section 2.1 and substituting for it
 “Dealer and Adviser Applications for Registration”;
 - (d) renumbering Part 2 as Part 1 and section 2.1 as section 1.1; and
 - (e) deleting Appendix B.

PART 2 EFFECTIVE DATE

- 2.1 Effective Date** – These amendments come into force on February 21, 2003.

**AMENDMENT TO
ONTARIO SECURITIES COMMISSION RULE 35-502
NON-RESIDENT ADVISERS**

PART 1 AMENDMENTS

1.1 Amendments – Rule 35-502 Non-resident Advisers is amended by

- (a) deleting the definitions of “Form 3” and “Form 4” in section 1.1 and substituting for those definitions
 - ““Form 3” means Form 3 to the Regulation;
 - “Form 33-109F4” means Form 33-109F4 to Multilateral Instrument 33-109;”;
- (b) deleting subsection 2.1(4) and substituting for that subsection
 - “(4) An international adviser applicant, in responding to item 9 of Form 3, need only list and provide information about its partners, officers or representatives who will be acting on its behalf in respect of the business of the international adviser applicant in Ontario.”
- (c) adding the following subsection to section 2.1
 - “(5) An international adviser applicant is exempt from section 2.1 of Multilateral Instrument 33-109 Registration Information.”
- (d) deleting section 2.2 and substituting for that subsection
 - “2.2 Completion of Form 33-109F4
 - (1) A person who seeks approval as a partner, officer, or representative and is listed in item 9 of the international adviser’s Form 3 shall complete and execute a Form 33-109F4, but, despite Multilateral Instrument 33-109, is not required to complete items 8, 10 and 11 of Form 33-109F4 and may answer “no” to item 17 of Form 33-109F4.
 - (2) Despite subsection 2.1(1) of Multilateral Instrument 33-109, a person who applies for registration as a partner, officer or representative of an international adviser is not required to complete items 8, 10 and 11 of Form 33-109F4 and may answer “no” to item 17 of Form 33-109F4.”
- (e) deleting section 3.2 and substituting for that section
 - “3.2 Acquisition of an Interest in Another Registrant - An international adviser is subject to the requirements of section 104 of the Regulation.”
- (f) deleting section 3.10 and substituting for that section
 - “3.10 Amendments to Registration - Section 135 of the Regulation applies to an international adviser and each of its registered partners, officers and representatives.”

(g) deleting sections 5.1, 5.2, and 5.3 and substituting for those sections

“5.1 Exemption from Multilateral Instrument 33-109 - Despite Multilateral Instrument 33-109 Registration Information, an international adviser that is not also registered in another category of registration is not required to notify the Director of a change relating to information that was not required to be furnished to the Director upon the filing of the adviser's application for registration.”

PART 2 EFFECTIVE DATE

2.1 **Effective Date** – These amendments come into force on February 21, 2003.

(6745) 07

Applications to Provincial Parliament — Private Bills Demandes au Parlement provincial — Projets de loi d'intérêt privé

PUBLIC NOTICE

The rules of procedure and the fees and costs related to applications for Private Bills are set out in the Standing Orders of the Legislative Assembly. Copies of the Standing Orders, and the guide “Procedures for Applying for Private Legislation”, may be obtained from the Legislative Assembly's Internet site at <http://www.ontla.on.ca> or from:

Committees Branch
Room 1405, Whitney Block, Queen's Park
Toronto, Ontario M7A 1A2

Telephone: 416/325-3500 (Collect calls will be accepted.)

Applicants should note that consideration of applications for Private Bills that are received after the first day of September in any calendar year may be postponed until the first regular Session in the next following calendar year.

(8699) T.F.N. CLAUDE L. DESROSIERS,
Clerk of the Legislative Assembly.

Applications to Provincial Parliament Demandes au Parlement provincial

THE CORPORATION OF THE COUNTY OF HALIBURTON

NOTICE IS HEREBY GIVEN on behalf of the Corporation of the County of Haliburton, that application will be made to the Legislative Assembly of the Province of Ontario for special legislation stating that the *Homes for the Aged and Rest Homes Act, R.S.O. 1990. c.H.13, as amended*, does not apply to the Corporation of the County of Haliburton.

The application will be considered by the Standing Committee on Regulations and Private Bills. Any person who has an interest in the application and who wishes to make submissions, for or against the application, to the Standing Committee on Regulations and Private Bills should notify, in writing, the Clerk of the Legislative Assembly, Legislative Building, Queen's Park, Toronto, Ontario, M7A 1A2

Dated at the County of Haliburton, this 3rd day of February, 2003

THE CORPORATION OF THE COUNTY
OF HALIBURTON
Chief Administrative Officer,
GARY KING

(4202) 07 to 10

Sheriff's Sales of Lands Ventes de terrains par le shérif

UNDER AND BY VIRTUE of a Writ of Seizure and Sale issued out of the Superior Court of Justice at Brampton, Ontario, dated September 12, 2001, Court File Number 01-BN-6694, to me directed, against the real and personal property of MICHAEL GLENN PARR also known as MIKE PARR, Defendant, at the suit of CANADIAN IMPERIAL BANK OF COMMERCE, Plaintiff, I have seized and taken in execution the undivided half share or interest and all other, right, title, interest and equity of redemption of MICHAEL GLENN PARR also known as MIKE PARR, Defendant, in and to:

Parcel WM-126-24-15-55R-600-01
City of Thunder Bay West Freehold
Portion of Lot 24, Plan WM-126
Parts 15 and 16, Plan 55R-600
City of Thunder Bay, District of Thunder Bay.
Municipally known as 108 Limbrick Street, Thunder Bay, Ontario.

The subject property is a 2 storey, semi-detached with brick front and stucco sides, fenced rear yard, asphalt shingles, front driveway, corner 28.5 × 104 lot.

All of which said undivided half share or interest and all other right, title, interest and equity of redemption of MICHAEL GLENN PARR also known as MIKE PARR, Defendant, in the said lands and tenements described above, I shall offer for sale by Public Auction subject to the conditions set out below at the Court House, 277 Camelot Street, Court Room #4, Thunder Bay, Ontario, on Wednesday, March 19, 2003 at 9:00 a.m.

CONDITIONS:

The purchaser to assume responsibility for all mortgages, charges, liens, outstanding taxes, and other encumbrances. No representation is made regarding the title of the land or any other matters relating to the interest to be sold. Responsibility for ascertaining these matters rests with the potential purchaser(s).

TERMS: Deposit 10% of bid price or \$1,000.00, whichever is greater
- Payable at the time of sale by successful bidder
- To be applied to purchase price
- Non-refundable
Ten business days from date of sale to arrange financing and pay balance in full at Court House, 277 Camelot St., Thunder Bay
All payments in cash or by certified cheque made payable to the Minister of Finance
Deed Poll provided by Sheriff only upon satisfactory payment in full of purchase price
Other conditions as announced

This sale is subject to cancellation by the Sheriff without further notice up to the time of sale.

NOTE: No Employee of the Ministry of the Attorney General may purchase any goods or chattels, lands or tenements exposed for sale by a Sheriff under legal process, either directly or indirectly.

Dated at Thunder Bay, this 17th day of January, 2003.

(4203) 07 DON JEWITT
Supervisor of Court Operations

**Sales of Lands for Tax Arrears
by Public Tender
Ventes de terrains par appel d'offres
pour arriéré d'impôt**

Municipal Act 2001
The Corporation of the Village of Oil Springs

ERRATUM

Vide Ontario Gazette, Vol. 136-6, Page 424, Dated February 8th, 2003.

NOTICE IS HEREBY GIVEN that the Sale of Land for Tax Arrears for 2608 Bruce Avenue has been cancelled.

Dated at Toronto, this 11th day of February, 2003.

(4206) 07 CARLITA R. HAWKE
The Ontario Gazette

MUNICIPAL ACT 2001
S.O. 2001, c. 25, s. 379 (2) (b), R.R.O. 1990 Reg. 824
(Formerly under the Municipal Tax Sales Act)

THE CORPORATION OF THE TOWN OF HAWKESBURY

TAKE NOTICE that tenders are invited for the purchase of the land(s) described below and will be received until 3:00 p.m. local time on March 7th, 2003, at; 600 Higginson St. Hawkesbury, Ontario.

The tenders will then be opened in public on the same day at 3:15 p.m. local time.

Description of Land(s)	Minimum Tender Amount (set out the cancellation price as of the first day of advertising)
1. Roll no. 02-08-010-002-00400 Parcel 241-1, Section M-3 Town of Hawkesbury, County of Prescott, being the whole of the said Parcel as described in Instrument #0047830 being 984 Lansdowne Street Registry	\$117,425.00
2. Roll no. 02-08-040-002-00400 Parcel 1-2, Section M-19 Town of Hawkesbury, County of Prescott, being the whole of the said Parcel as described in Instrument #0047658 being 229 Main Street West Registry	\$119,941.00
3. Roll no. 02-08-050-001-23900 Parcel 34-1, Section M-14 Town of Hawkesbury, County of Prescott, being the whole of the said Parcel as described in Instrument #0047871 being Cecile boulevard Registry	\$70,460.00

Tenders must be submitted in the prescribed form and must be accompanied by a deposit in the form of a money order or a bank draft or cheque certified by a bank, trust company or Province of Ontario Savings Office payable to the municipality (or board) and representing at least 20 per cent of the tender amount.

The municipality makes no representation regarding the title to or any other matters relating to the land to be sold. Responsibility for ascertaining these matters rests with the potential purchasers.

This sale is governed by the *Municipal Act 2001* and the Municipal Tax Sales Rules made under that Act. The successful purchaser will be required to pay the amount tendered plus the accumulated taxes and the relevant land transfer tax.

For further information regarding this sale and a copy of the prescribed form of tender, contact:

(4204) 07 NORMAND BEAULIEU,
Clerk-Treasurer
The Corporation of the Town of
Hawkesbury
600 Higginson Street
Hawkesbury, Ontario
K6A 1H1

MUNICIPAL ACT 2001
S.O. 2001, c. 25, s. 379 (2) (b), R.R.O. 1990 Reg. 824
(Formerly under the Municipal Tax Sales Act)

THE CORPORATION OF THE TOWNSHIP OF ATIKOKAN

TAKE NOTICE that tenders are invited for the purchase of the land(s) described below and will be received until 3:00 p.m. local time on February 24th, 2003, at The Corporation of the Township of Atikokan Municipal Office.

The tenders will then be opened in public on the same day at The Township of Atikokan Council Chambers.

Description of Land(s)	Minimum Tender Amount (set out the cancellation price as of the first day of advertising)
1. Parcel 6-1, Sec. SM 321, Goodwin Street	\$53,743.59
2. Parcel 17158, E pt. ML X867, Desg. RPRR 139, Part 6, 420 MacKenzie Ave. E.	\$19,868.72
3. Parcel 13640, Rainy River, MC FF 3697, South of Freeborn Township, 27.67 AC, West End	\$1,751.96
4. Parcel 13.2, Sec. SM 146, Lot 13, SM 146 117 White St.	\$1,509.33
5. Parcel 14262, E pt. ML X867, Parcel 13646, E pt. ML X867, 413 MacKenzie Ave. E.	\$26,557.28
6. Parcel 37-1, Sec. SM 177, Lot 37, SM 177, 103 Larson St.	\$1,289.10

Tenders must be submitted in the prescribed form and must be accompanied by a deposit in the form of a money order or a bank draft or cheque certified by a bank, trust company or Province of Ontario Savings Office payable to the municipality (or board) and representing at least 20 per cent of the tender amount.

The municipality makes no representation regarding the title to or any other matters relating to the land to be sold. Responsibility for ascertaining these matters rests with the potential purchasers.

This sale is governed by the *Municipal Act 2001* and the Municipal Tax Sales Rules made under that Act. The successful purchaser will be

required to pay the amount tendered plus the accumulated taxes and the relevant land transfer tax.

For further information regarding this sale and a copy of the prescribed form of tender, contact:

SUSAN BRYK,
Clerk-Treasurer
The Corporation of the Town of
Atikokan
P.O. Box 1330
120 Mark St.
Atikokan, Ont.
P0T 1C0

(4205) 07

INDEX 7**GOVERNMENT NOTICES/AVIS DU GOUVERNEMENT**

Criminal Code/Code criminel	433
Proclamations/Proclamations	433
Motor Vehicle Transport Act/Truck Transportation Act/Loi sur les transports routiers/Loi sur le camionnage	436
Ontario Highway Transport Board	436
Certificates of Dissolution/Certificats de dissolution	437
Notice of Default in Complying with the Corporations Information Act/Avis de non-observation de la loi sur les renseignements exigés des compagnies et des associations	438
Co-operative Corporations Act (Certificates of Incorporation Issued)/Loi sur les sociétés coopératives (Certificats de constitution délivrés)	438
Co-operative Corporations Act (Certificates of Dissolution Issued)/Loi sur les Sociétés Coopératives (Certificats de dissolution)	439
Credit Unions and Caisses Populaires Act, 1994 (Certificate of Incorporation Issued)/Loi sur les caisses populaires et les credit unions, 1994 (Certificat de constitution délivré)	439
Public Guardian and Trustee/Tuteur et curateur public	439
Ontario Securities Commission/Commission des valeurs mobilières de l'Ontario	451
Applications to Provincial Parliament—Private Bills/Demandes au Parlement provincial—Projets de loi d'intérêt privé	555
Applications to Provincial Parliament/Demandes au Parlement provincial	555
SHERIFF'S SALES OF LANDS/VENTES DE TERRAINS PAR LE SHÉRIF	555
SALES OF LANDS FOR TAX ARREARS BY PUBLIC TENDER/VENTES DE TERRAINS PAR APPEL	
D'OFFRES POUR ARRIÉRÉ D'IMPÔT	556



Information

THE ONTARIO GAZETTE is published each Saturday and **advertisements must be received no later than Thursday 4 p.m., 9 days before publication of the issue in which they should appear.**

Advertisements including the names of any signing officers must be typed or written legibly.

1. Advertising rates are for a first insertion per columnar space
 - i. up to 25mm is \$22.50
 - ii. from 25mm to 100mm per columnar space is \$5.60 for each 6mm
 - iii. from 100mm to 476mm per columnar space is \$5.50 for each 6mm
2. in each calendar year, after 476mm has been reached the rate is \$54.10 for each additional 119mm or part thereof.
3. for each multiple insertion ordered at the same time as the first insertion, one-half the rate payable under paragraph 1 or 2, as the case may be

Subscription rate is \$126.50 + 7% G.S.T. for 52 weekly issues and the single copy price of \$2.90 + 7% G.S.T. payable in advance. All rates are subject to increases without notice. ***For the correct rate, please contact us at (416) 326-3893 during normal business hours.***

Subscriptions may be paid by VISA, MasterCard or AMEX. Cheques or money orders should be made payable to THE MINISTER OF FINANCE and all correspondence, including address changes, should be mailed to:

THE ONTARIO GAZETTE
50 Grosvenor Street, Toronto, Ontario M7A 1N8
Telephone (416) 326-5310
Toll-Free 1-800-668-9938

Information

LA GAZETTE DE L'ONTARIO paraît chaque samedi, **et les annonces à y insérer doivent parvenir à ses bureaux le jeudi à 16 h au plus tard, soit au moins neuf jours avant la parution du numéro dans lequel elles figureront.**

Les annonces, ainsi que le nom des signataires autorisés, doivent être dactylographiées ou écrites lisiblement.

1. Tarifs publicitaires pour la première insertion, par espace-colonne
 - i. allant jusqu'à 25 mm : 22,50 \$
 - ii. allant de 25 mm à 100 mm, par espace-colonne : 5,60 \$ pour chaque tranche de 6 mm
 - iii. allant de 100 mm à 476 mm, par espace-colonne : 5,50 \$ pour chaque tranche de 6 mm
2. Dans chaque année civile, lorsque l'on a atteint 476 mm, le tarif est de 54,10 \$ pour chaque tranche ou partie de tranche supplémentaire de 119 mm.
3. Pour chaque insertion multiple commandée en même temps que l'insertion initiale, le tarif se calcule à raison de 50 % du tarif payable indiqué au paragraphe 1 ou 2, selon le cas.

Le tarif d'abonnement est de 126,50 \$ + 7% T.P.S. pour 52 numéros hebdomadaires, et le tarif au numéro, de 2,90 \$ + 7% T.P.S. (payable à l'avance). Tous les tarifs peuvent être augmentés sans préavis. ***Pour le tarif approprié, veuillez téléphoner (416) 326-3893 pendant les heures d'ouverture normales de bureau.***

Les paiements peuvent être effectués au moyen de la carte VISA, MasterCard ou AMEX. Les chèques ou mandats doivent être faits à l'ordre du MINISTRE DES FINANCES et toute correspondance, notamment les changements d'adresse, doit être adressée à :

LA GAZETTE DE L'ONTARIO
50, rue Grosvenor, Toronto, (Ontario) M7A 1N8
Téléphone (416) 326-5310
Appel sans frais 1-800-668-9938