



FORM 4

The Securities Act

**UNIFORM APPLICATION FOR REGISTRATION/
APPROVAL**

**General Instructions for Preparing and Filing
Uniform Application for Registration/Approval**

1. This form is to be used by every individual seeking registration or approval from a Securities Commission in Canada and/or a self-regulatory body, or submitting an application for approval and authorization as a partner, officer or director of a broker or of an adviser with a Securities Commission in Canada
2. This form must also be used by an individual submitting an application for registration as a dealer or as an adviser with a Securities Commission in Canada.
3. All applicable questions must be answered. Failure to do so may cause delays in the processing of the application form.
4. This form and all attachments added to it must be typewritten. Any form or attachment completed by any other means may be considered not properly filed.
5. All attachments pertaining to any questions must be made exhibits to the form and each one must be so marked. All signatures must be originals; mechanical reproductions or photocopies of signatures will not be accepted. The Commissioner of Oaths before whom the application is sworn, as well as the applicant, is required to initial all attachments.
6. In completing the application, applicants should seek advice from an authorized officer of the sponsoring firm or from a legal adviser, if necessary.
7. One copy of the form shall be forwarded to the applicable Securities Commission in Canada. Members of the Investment Dealers Association of Canada and of the Alberta, Montreal, Toronto and Vancouver Stock Exchanges are require to file 2 signed copies of the application form with the self-regulatory body having audit jurisdiction over them.

FOR INTERNAL USE ONLY

Confirmation of question 7	Other Confirmation
Application approved by	Date

PART A

1. APPLICANT:

Surname	Given Names	Social Insurance Number
Residential Address (including postal code)		Telephone: Area Code:
Address for service in province of filing		
Present position in the firm		Commenced employment on Day Month Year

2. FIRM:

Name	Telephone: Area Code:
Address where applicant will be working (street, city, province, postal code)	

3. TYPE OF REGISTRATION OR APPROVAL REQUESTED:

Instruction: Check ALL applicable boxes to define the registration or approval requested. The "Types of Registration or Approval Requested" have the meaning attributed to them in each applicable securities act or regulation and in by-laws, rules and regulations to stock exchanges, the Investment Dealers Association of Canada and other bodies. Full registration means that the applicant will be permitted to trade in all types of securities in accordance with any regulations, rules or by-laws. Applicants filing for restricted registration should file under OTHER, specifying the nature of the restricted registration applied for.

CHECK APPLICABLE BOXES	
REGISTERED REPRESENTATIVE OR SALESPERSON REGISTRATION	OTHERS
G Securities	G Partner
G Commodity Futures	G Director
G Commodity Futures Options	G Officer (title) _____
G Options	— Trading G
G Mutual Funds	— Non-Trading G
G Floor Trader	— Counselling G
— Securities G	G Branch Manager
— Commodity Futures G	G Director, Investor, or Officer of approved affiliated company (delete designation not applicable)
G Individual Member	G Industry Investor
G Scholarship Plans	G Non-Industry Investor
G Other (specify) _____	G Portfolio Manager
	G Designated/Alternate Registered Options Principal
	G Designated/Alternate Registered Futures Principal
	G Designated/Alternate Registered Futures Option Principal
	G Other (specify) _____

4. APPLYING FOR REGISTRATION/APPROVAL FROM THE FOLLOWING:

Instruction: Check all appropriate boxes to indicate the Canadian securities commissions or self-regulatory bodies with which the applicant is seeking registration or approval.

SECURITIES COMMISSION OR SIMILAR AUTHORITY			
<input type="checkbox"/> Alberta	<input type="checkbox"/> New Brunswick	<input type="checkbox"/> Nova Scotia	<input type="checkbox"/> Quebec
<input type="checkbox"/> British Columbia	<input type="checkbox"/> Newfoundland	<input type="checkbox"/> Ontario	<input type="checkbox"/> Saskatchewan
<input type="checkbox"/> Manitoba	<input type="checkbox"/> Northwest Territories	<input type="checkbox"/> Prince Edward Island	<input type="checkbox"/> Yukon Territory
SELF-REGULATORY ORGANIZATION			
<input type="checkbox"/> Alberta Stock Exchange		<input type="checkbox"/> Vancouver Stock Exchange	
<input type="checkbox"/> Investment Dealers' Association of Canada		<input type="checkbox"/> Winnipeg Commodities Exchange	
<input type="checkbox"/> Montreal Exchange		<input type="checkbox"/> Winnipeg Stock Exchange	
<input type="checkbox"/> Toronto Stock Exchange		<input type="checkbox"/> Other (specify) _____	

PART B

5. PERSONAL DESCRIPTION OF APPLICANT:

Day	Date of Birth Month	Year	City	Place of Birth Province	Country	Sex
Height	Weight	Colour of eyes	Colour of Hair	Name of spouse and natures of his/her employment		
Citizenship				If not a Canadian Citizen answer question 5(B) below		

(B)

Are you a permanent resident?	Number of years of continuous residence in Canada	Passport			
		Country	Place of Issue	Date of Issue	Number

6. PHOTOGRAPH:

Instruction: Attach hereto 2 copies of a black and white photograph, full face, showing a true likeness of the applicant as the applicant now appears and taken within the last 6 months; they must measure 2" x 2" and bear on the back the date on which the photograph was taken and for identification purposes, the signature of the applicant and that of the Commissioner for Oaths or that of an officer, director, partner or branch manager of the sponsoring firm.

7. EDUCATION:

Instruction: State the last school attended in each level.

(A)

Name of Institution	Degree or Diploma	Date Obtained
High School or Secondary Level		
Post-Secondary, College or CEGEP		
University		

Professional Education				
Other				
Have you successfully completed:	Yes	No	Exempt*	Date Completed
Canadian Securities Course Examination Based on Manual for Registered Representatives	G	G	G	_____
Partners/Directors/Officers Qualifying Examination	G	G	G	_____
Canadian Investment Finance Course (course 2) Part I	G	G	G	_____
Part II	G	G	G	_____
F.C.S.I.	G	G	G	_____
Chartered Financial Analyst Course	G	G	G	_____
Qualifying Examination for Registered Options Principal	G	G	G	_____
Canadian Options Course	G	G	G	_____
Canadian Investment Funds Course	G	G	G	_____
National Commodities Futures Examination	G	G	G	_____
Canadian Commodities Futures Examination	G	G	G	_____
Canadian Futures Examination	G	G	G	_____
Commodity Supervisors Examination	G	G	G	_____
Branch Managers' Examination				_____
Other (specify) _____				
*If you have been granted an exemption, attach full particulars				

8. EMPLOYMENT HISTORY:

(1) The following information constitutes full disclosure of your business activities, including any periods of self-employment and unemployment, for 10 years immediately prior to the date of this application, excluding any summer employment while a full-time student, but including all securities or commodities industry employment during and prior to the 10-year period.

Name and address of employer	Name and title of immediate supervisor	Nature of employment and duties of applicant	Reasons for Leaving	FROM		TO	
				mo.	yr.	mo.	yr.
PRESENT:							
PREVIOUS:							

(2) Have you ever been discharged by an employer for cause?

Yes

No

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G

(If so, give particulars here or as an attachment.)

9. RESIDENTIAL HISTORY: (Give all home addresses for the past 10 years)

Includes street, city, province and postal code	FROM		TO	
	mo.	yr.	mo.	yr.
PRESENT:				
PREVIOUS:				

10. REFERENCES: Give at least 3 names as references, excluding relatives and person associated with the sponsoring firm. References must include a bank or trust company (give account number).

Name	Firm Name	Business Address & Telephone (area code)	Occupation

Account No. _____

PART C

Instruction

ANSWER "YES" OR "NO" TO EACH OF THE FOLLOWING QUESTIONS. IF THE ANSWER TO ANY OF THE FOLLOWING QUESTIONS IS "YES", COMPLETE DETAILS MUST BE ATTACHED BY WAY OF EXHIBIT.

Yes

No

11. CHANGE OF NAME:

Instruction: Name changes resulting from marriage, divorce, court order or any other process should be listed here giving appropriate dates.

Have you ever had, used, operated under, or carried on business under any name other than the name mentioned in Question 1 of this form, or have you ever been known under any other name?

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G

		Yes	No
12.	PRIOR REGISTRATION OR LICENSING:		
(1)	Are you now or have you ever been registered or licensed, or applied for registration or a licence in any capacity under any act or regulation, regulating trading in securities, commodities or commodity futures contracts in any province, territory, state or country? List all authorities with whom you were registered and the dates of registration. State whether the registration is currently in effect.	G	G
(2)	Are you now or have you ever been a partner, shareholder, director or officer of any company or partnership that has been registered or licensed, or is now registered or licensed (except as an issuer if you are or have been solely a shareholder) in any capacity under any act or regulation, regulating trading in securities, commodities or commodity futures contracts in any province, territory, state or country?	G	G
(3)	Are you now or have you ever been registered or licensed, or applied for registration or a licence, under any legislation that requires registration or licensing to deal with the public, in any capacity other than trading in securities, commodities or commodity futures contracts in any province, territory, state or country?	G	G

QUESTIONS 13 TO 18

Instruction: In answering Questions 13 to 18, and particularly Question 15 you may need assistance from an authorized officer of the sponsoring firm or from a legal adviser. Full details are required as attachments for any question to which the applicant answers "yes". These details must include the circumstances, the relevant dates, the names of the parties involved and the final determination if known.

13.	REFUSAL, SUSPENSION, CANCELLATION OR DISCIPLINARY MEASURE:		
(1)	Have you ever been refused registration or a licence, or has your registration or licence been suspended or cancelled, under any act or regulation, regulating trading in securities, commodities or commodity futures contracts in any province, territory, state or country?	G	G
(2)	Are you now or have you ever been a partner, shareholder, director or officer of a company or a partnership that has, during the time of your association with it, been refused registration (except a registration as an issuer if you are or have been solely a shareholder) or a licence, or whose registration has been suspended or cancelled under any Act or regulation, regulating trading in securities, commodities or commodity futures contracts in any province, territory, state or country?	G	G
(3)	Have you ever been refused registration or a licence, or has your registration or licence been suspended or cancelled, under any legislation that requires registration or licensing to deal with the public in any capacity other than trading in securities, commodities or commodity futures contracts in any province, territory, state or country?	G	G

	Yes	No
(4) Have you been denied the benefit of any exemption from registration or licensing provided by any act or regulation regulating trading in securities, commodities or any commodity futures contracts in any province, territory, state or country?	G	G
(5) Has any prior or actual registration or licensing to deal or trade in securities, commodities or commodity futures contracts held by you or any partnership or company of which you were at the time of event a partner, officer or director or holder of more than 5% of the voting shares ever been the subject of discipline undertaken by any authority regulating or supervising trading in securities, commodities or commodity futures contracts?	G	G

14. SELF-REGULATORY BODIES:

Have you or has any partnership or company of which you are or were at the time of event a partner, director, officer or holder of voting securities carrying more than 5% of the votes carried by all outstanding voting securities

(A) <u>Ever</u> been a member of any stock exchange, commodities exchange, commodity futures exchange, association of investment dealers, investment bankers, brokers, broker-dealers, mutual fund dealers, commodity futures dealers, investment counsel, other professional association or any similar organization in any province, territory, state or country?	G	G
(B) <u>Ever</u> been refused registration or licensing or approval for membership or approval in any other capacity by/in any of the institutions or associations described in clause A?	G	G
(C) <u>Ever</u> been the subject of discipline undertaken by any authority as described in clause A?	G	G

15. OFFENCES UNDER THE LAW:

Instructions: Offences under such federal statutes as the Income Tax Act (Canada) and the Immigration Act (Canada) constitute criminal offences and must be disclosed when answering this question. It should be noted that pleas or findings of guilt for impaired driving are Criminal Code (Canada) matters and must be disclosed. Where you have pleaded guilty or been found guilty of an offence, that offence must be reported even though an absolute or conditional discharge has been granted.

You are not required to disclose any offence for which a pardon has been granted under the Criminal Records Act (Canada) and the pardon has not been revoked. Under those circumstances, the appropriate response would be "NO".

If you are in doubt as to previous dealings you have had with law enforcement agencies and the applicability of this question with respect to those encounters, you should obtain the advice of an authorized officer of your sponsor or a legal adviser.

	Yes	No
(1) Past Offences Involving Securities or Commodities —		
Have you ever pleaded guilty or been found guilty under any law of any province, territory, state or country of any offence relating to trading in securities, commodities, commodity futures contracts or options or with the theft thereof, or with any related offence, or been a party to any proceedings taken on account of fraud arising out of any trade in or advice in respect thereof?	G	G
(2) Past Offences Involving Other Criminal Offences or Contraventions		
Have you ever pleaded guilty or been found guilty under any law of any province, territory, state or country for contraventions or other criminal offences not noted in subsection (1)?	G	G
(3) Current Charges or Indictments		
Are you currently the subject of a charge or indictment, under any law of any province, territory, state or country for contraventions, criminal offences or other conduct of the type described in subsection (1) or (2) (see also instructions above)?	G	G
(4) Partnership or Company Offences or Current Charges or Indictments		
Has any partnership or company of which you are or were at the time of the event a partners, officer, director or a holder of voting securities carrying more than 5% of the votes carried by all outstanding voting securities, ever pleaded guilty, or been found guilty, or is any such partnership or company currently the subject of a charge or indictment, under any law of any province, territory, state or country for contraventions, criminal offences or other conduct of the type described in subsection (1) or (2) (see also instructions above)?	G	G
16. CIVIL PROCEEDINGS:		
Has any claim been made successfully or, to your knowledge, is any claim pending in any civil proceedings before a court or other tribunal in any province, territory, state or country that was, or is, based in whole or in part on fraud, theft, deceit, misrepresentation or similar conduct:		
(A) Against you?	G	G
(B) Against any partnership or company of which you are or were at the time of the event, or at the time the proceedings were commenced, a partner, director, officer or holder of voting securities carrying more than 5% of the votes carried by all outstanding voting securities?	G	G
17. BANKRUPTCY:		
(1) Under the law of any province, territory, state or country have you ever:		
(a) been declared bankrupt or made a voluntary assignment in bankruptcy?	G	G
(b) made a proposal under any legislation relating to bankruptcy or insolvency?	G	G

		Yes	No
	(c) been subject to or instituted any proceedings, arrangement or compromise with creditors including, without limitation, produced a declaration under the Quebec Voluntary Deposit of Salary Wages Law or had a receiver and/or manager appointed to hold your assets?	G	G
(2)	If the answer to subsection (1) is yes, and if subsection (1) is applicable, attach a copy of any discharge, release or document with similar effect.		
(3)	Has any partnership or company of which you are or were at the time of the event a partner, director, officer or holder of voting securities carrying more than 5% of the votes carried by all outstanding voting securities ever		
(a)	been declared bankrupt or made a voluntary assignment in bankruptcy?	G	G
(b)	made a proposal under any legislation relating to bankruptcy or insolvency?	G	G
(c)	been subject to proceedings under any legislation relating to the winding up, dissolution or companies' creditors arrangements?	G	G
(d)	been subject to or instituted any proceedings, arrangement or compromise with creditors or had a receiver and/or manager appointed to hold its assets?	G	G
(4)	If the answer to subsection (3) is yes, and if subsection (3) is applicable, attach a copy of any discharge, release or document with similar effect.		
18	JUDGMENT OR GARNISHMENT: Has any judgment or garnishment ever been rendered against you or is any judgment or garnishment outstanding against you in any civil court in any province, state or country for damages or other relief in respect of a fraud or for any reason whatsoever?	G	G
19	SURETY BOND OR FIDELITY BOND:		
(1)	Have you ever applied for a surety bond or fidelity bond and been refused? If so, give name and address of bonding company, and when and why the bond was refused.	G	G
(2)	Are you presently bonded?	G	G
20	BUSINESS ACTIVITIES:		
(1)	Will you be actively engaged in the business of the firm with which you are now applying and devote the major portion of your time thereto?	G	G
(2)	Are you engaged in any other business or have you any other employment for gain except your occupation with the firm with which you are now applying?	G	G
(3)	If the answer to subsection (2) is yes, attach full details including the full name and address of the business, the nature of the business, your title or position and the amount of time you devote to the business.		

	Yes	No
(4) Are you a partner, director, officer, shareholder or other contributor of capital of a partnership or a company having as its principal business that of a broker, dealer or adviser in securities, commodities or commodity futures other than the firm with which you are now applying? If so, attach full details.	G	G

PART D

Instruction: IF APPLYING AS DIRECTOR OR PARTNER, PLEASE REPLY TO QUESTION 21 TO 26 INCLUSIVE. IF APPLYING AS A SHAREHOLDER, PLEASE REPLY TO QUESTIONS 22 TO 26 INCLUSIVE.

	Yes	No
21. If applicable, have you met or will you, on approval, meet the financial requirements of the self-regulatory bodies as prescribed by their respective rules or by-laws, (i.e. an investment equalling the lesser of \$10,000 or 5% of the sum of the aggregate book value of all partnership assets or of all shares, plus the amount of all outstanding subordinated loans of the firm)	G	G
22. (1) State the number, value, class and percentage of shares or the amount of partnership interest that you own or propose to acquire on approval. If acquiring shares on approval, state source, i.e. treasury shares, or if on transfer, state name of transferor.	G	G
(2) State the value of subordinated debentures or bonds of the firm to be held by you or any other subordinated loan to be made by you to the firm.	G	G
23. Are you or will you on approval be the beneficial owner of the shares, bonds, debentures, partnership interest or other notes held by you? If not, state name, residential address and occupation of the beneficial owner.	G	G
24. State the source of the funds you propose to invest in the firm. Give full particulars.	G	G
25. Are the funds to be invested (or proposed to be invested) guaranteed directly or indirectly by any person, partnership or company? If so, give full particulars.	G	G
26. Have you either directly or indirectly given up any rights with respect to such shares or amount of the partnership interest, or do you, on approval of this application, intend to give up any rights, including any hypothecation, pledging or deposit as collateral of the shares or amount of partnership interest with any bank, other institution or other person? If so, give full particulars.	G	G

(The remainder of this page is blank.)

CAUTION

FILING OF ANY FALSE INFORMATION OR FAILURE TO DISCLOSE FULL INFORMATION REQUIRED BY OR ON THIS APPLICATION MAY RESULT IN ITS REJECTION OR IN DISCIPLINARY ACTION TAKEN AGAINST THE APPLICANT AND/OR THE SPONSORING FIRM WITHIN THE PROVISIONS OF THE SECURITIES LEGISLATION, REGULATIONS AND POLICY STATEMENTS OF THE SECURITIES REGULATORY AUTHORITIES AND WITHIN THE TERMS OF THE BY-LAWS, RULINGS, RULES AND/OR REGULATIONS OF ANY ONE OF THE SELF-REGULATORY BODIES TO WHICH THIS APPLICATION IS SUBMITTED, OR MAY RESULT IN A REFUSAL TO REGISTER THE APPLICANT

I ACKNOWLEDGE THAT THIS IS A NOTICE THAT, AND CONSENT THAT, ANY OF THE SELF-REGULATORY BODIES IN ITS OR THEIR OWN DISCRETION MAY OBTAIN ANY INFORMATION WHATSOEVER (WHICH MAY INCLUDE PERSONAL, CREDIT OR OTHER INFORMATION.) FROM ANY SOURCE, AND MORE SPECIFICALLY FROM AN INVESTIGATIVE AGENCY OR A RETAIL CREDIT AGENCY AS PERMITTED BY LAW IN ANY JURISDICTION IN CANADA OR ELSEWHERE.

.....
Date

.....
Signature of Applicant

ALL ATTACHMENTS MUST BE INITIALLED BY THE APPLICANT AND BY THE COMMISSIONER FOR OATHS. ALL SIGNATURES MUST BE ORIGINALS.

CERTIFICATE AND AGREEMENT OF APPLICANT AND SPONSORING FIRM

(to be completed in the case of an application for registration or approval by a self-regulatory body)

The undersigned hereby certify that the foregoing statements are true and correct to the best of our knowledge, information and belief and hereby undertake to notify the self-regulatory body in writing of any material change therein within the delay prescribed by any by-law or rule of the respective self regulatory bodies.

We agree that we are conversant with the by-laws, rulings, rules and regulations of the self-regulatory bodies listed in question 4.

We agree to be bound by and to observe and comply with them as they are from time to time amended or supplemented, and we agree to keep ourselves fully informed about them as so amended and supplemented. We submit to the jurisdiction of the self-regulatory bodies and, wherever applicable, the Governors, Directors and committees thereof, and we agree that any approval granted pursuant to this application may be revoked, terminated or suspended at any time in accordance with the then applicable by-laws, rulings rules and regulations. In the event of any revocation or termination, the undersigned applicant agrees forthwith to terminate his association with the undersigned sponsoring firm and thereafter not to accept employment with or perform services of any kind for any member or member house of the self-regulatory bodies or any approved affiliated company or other affiliate of any member or member house, in each case if and to the extent provided in the then applicable by-laws, rulings, rules and regulations of the self-regulatory bodies. Our obligations above are joint and several.

We agree to the transfer of this application form, without amendment, to another of the self-regulatory bodies listed in Question 4 of this application form in the event that at some time in the future the undersigned applicant applies to such other self-regulatory body.

Dated at this day of,

.....
(Signature of Applicant)

.....
(Name of Sponsoring Firm)

By
(Partner or Authorized Officer)

AFFIDAVIT

I, the undersigned having been duly sworn do depose and say:

Name in full

1. I am the applicant herein for registration / approval;

Name in full

2. I have read and understand the questions in this application form as well as the answers made by myself thereto and the Caution set out in this application and I agree that statements of fact made therein and in the attachments, if any, are true.

And I have signed

(Signature of Deponent)

Sworn before me at the city of

(Commissioner for Oaths, etc.)

Province this day of

IT IS AN OFFENCE UNDER THE SECURITIES ACT AND THE SECURITIES REGULATIONS FOR A PERSON OR COMPANY TO FILE OR FURNISH AN APPLICATION CONTAINING A STATEMENT THAT, AT THE TIME AND IN LIGHT OF THE CIRCUMSTANCES IN WHICH IT IS MADE, IS A MISREPRESENTATION.

ANY FEE PAYABLE TO THE ALBERTA SECURITIES COMMISSION UNDER *THE SECURITIES ACT* AND *THE SECURITIES REGULATION* SHALL BE PAID TO THE PROVINCIAL TREASURER IN ACCORDANCE WITH THE REQUIREMENTS OF SCHEDULE 1 TO THE REGULATION AND ANY FAILURE TO ACCOMPANY A FORM OR APPLICATION WITH THE PRESCRIBED FEE SHALL RESULT IN THE RETURN OF THE FORM OR APPLICATION.

CERTIFICATE OF THE SPONSORING FIRM

I, on behalf of hereby certify that who is applying for the registration or approval mentioned above (Question 3) will be engaged as such if the registration or approval sought is granted.

I certify that I have discussed the questions set out in this application with the applicant, in particular question 15, or where the applicant has applied through one of our branch offices the branch manager or another officer has so done and I am satisfied that the applicant fully understands the questions.

I further certify that, to the best of my knowledge, the applicant has answered the questions correctly.

Dated at this day of

By for.....

(Signature of authorized officer or partner of the firm)

(Name of firm)

For purposes of the applicable Securities Act, on approval the code or symbol for identification of the applicant in a confirmation will be

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