

APPLICATION FOR

TRANSFER :

CHANGE OF STATUS :

NAME OF APPLICANT: _____ SIN: _____

RESIDENTIAL ADDRESS (include postal code and telephone no.): _____

NAME OF EMPLOYER: _____

ADDRESS WHERE THE APPLICANT WILL BE WORKING (include postal code): _____

ADDRESS FOR SERVICE IN THE PROVINCE OF QUEBEC (include postal code): _____

APPLYING AS: _____

HAVE THERE BEEN ANY CHANGES IN THE INFORMATION GIVEN IN QUESTIONS 11 THROUGH 20 OF THE UNIFORM APPLICATION FOR REGISTRATION/APPROVAL PREVIOUSLY FILED BY YOU AND APPROVED? IF "YES", ATTACH FULL PARTICULARS.

THE FOLLOWING AREAS ARE ADDRESSED IN THE UNIFORM APPLICATION AND CONSTITUTE QUESTIONS 11 THROUGH 20 RESPECTIVELY:

- | | |
|---|---------------------------------|
| - CHANGE OF NAME | - CIVIL PROCEEDINGS |
| - PRIOR REGISTRATION OR LICENSING | - BANKRUPTCY |
| - REFUSAL, SUSPENSION CANCELLATION OR DISCIPLINARY MEASURES | - JUDGEMENT OR GARNISHMENT |
| - SELF-REGULATORY ORGANIZATIONS | - SURETY BONDS OR FIDELITY BOND |
| - OFFENCES UNDER THE LAW | - BUSINESS ACTIVITIES |

TRANSFER :

Name of Previous Employer: _____

Date of Termination: _____ Date of Transfer: _____

Anniversary Date of Registration under Securities Act/Commodity Futures Act: _____

Province: _____

CHANGE OF STATUS :

Present Position in the Firm: _____

Applicable Examination Written / Date Passed (attach proof of passing): _____

The undersigned hereby certify that the foregoing statements are true and correct to the best of our knowledge, information and belief (after having seen the Uniform Application for Registration/Approval and all subsequent Applications for Change of Status or Transfer previously filed by the applicant) and we hereby undertake to notify the self-regulatory body having audit jurisdiction over the approved participant, in writing, of any material change therein within the period prescribed by any by-law or rule of the respective self-regulatory organizations.

Date : _____

Signature of Applicant

Name of Partner, Director or Officer of the firm

Signature of Partner, Director or Officer of the firm