



## **BROKERS / ASSOCIATES**

### **NOTICE OF A CHANGE IN CIRCUMSTANCE**

#### **Legislative Requirements**

Subsection 14(1) of *The Mortgage Brokerages and Mortgage Administrators Regulations* (the “Regulations”) states that every licensee shall notify the Superintendent of Financial Institutions (the “Superintendent”) if any of the following changes occur:

- name;
- licence in another jurisdiction:
  - (i) suspended;
  - (ii) cancelled;
  - (iii) an imposition of terms and conditions or other restrictions; or
  - (iv) surrendered;
- charged with:
  - (i) an offence contrary to the *Criminal Code*; or
  - (ii) an offence against a law of any country, province or state, excluding traffic offences;
- a civil action or administrative proceeding alleging fraud, breach of trust, deceit or misrepresentation.

Section 20 of *The Mortgage Brokerages and Mortgage Administrators Act* (the “Act”) states that every licensee shall notify the Superintendent in writing within seven days after a change in circumstance has occurred.

A licensee that does not notify the Superintendent in writing of a change in circumstance within seven days can be subject to regulatory action.

#### **How to Submit the Form**

The attached form should be delivered to the office of the Superintendent by mail, email or fax to the address above within seven days of the change in circumstance.

If you have any questions, please contact the Consumer Credit Division of the Financial and Consumer Affairs Authority at (306) 787-6700.

# BROKERS / ASSOCIATES

## NOTICE OF CHANGE IN CIRCUMSTANCE

Name of Broker/Associate

Licence #

Please check yes or no for each area and provide any updated information. Please answer all questions.

Change in circumstance that has occurred:

Name has changed from that previously submitted to the Superintendent? If yes please provide the change below.	Yes <input type="checkbox"/> No <input type="checkbox"/>
Licence in another jurisdiction (please circle all that is applicable): <ul style="list-style-type: none"><li><input type="radio"/> suspended;</li><li><input type="radio"/> cancelled;</li><li><input type="radio"/> an imposition of terms and conditions or other restrictions; or</li><li><input type="radio"/> surrendered.</li></ul> If yes, please attach a detailed description.	Yes <input type="checkbox"/> No <input type="checkbox"/>
Charged with: <ul style="list-style-type: none"><li><input type="radio"/> an offence contrary to the <i>Criminal Code</i>; or</li><li><input type="radio"/> an offence against a law of any country, province or state, excluding traffic offences.</li></ul> If yes, please attach a detailed description.	Yes <input type="checkbox"/> No <input type="checkbox"/>
Civil action or administrative proceeding brought against me (please circle all that is applicable): <ul style="list-style-type: none"><li><input type="radio"/> alleging fraud;</li><li><input type="radio"/> breach of trust;</li><li><input type="radio"/> deceit; and/or</li><li><input type="radio"/> misrepresentation.</li></ul> If yes, please attach a detailed description.	Yes <input type="checkbox"/> No <input type="checkbox"/>

Signature of Broker/Associate

Date (mm/dd/yyyy)

(see information provided on page 1)