

MORTGAGE BROKER 2019 ANNUAL RETURN

Legislative Requirements

Section 48 of *The Mortgage Brokerages and Mortgage Administrators Act* (the “Act”) requires every licensee to provide the Superintendent of Financial Institutions (the “Superintendent”) with an annual return no later than June 30 of each year.

The reporting period is from June 1 of the preceding year to May 31 of the current year. If an individual is licensed during the year the reporting period is from the date they are licensed to May 31.

Completion of the attached annual return will result in a licensee providing the information required by section 43 of *The Mortgage Brokerages and Mortgage Administrators Regulations* (the “Regulations”). In particular, subsection 43(2) states that the annual return must contain the following information each reporting period.

- Any changes in the information provided to the Superintendent in the licence application form submitted by the mortgage broker or in their previous annual return submitted;
- confirmation that all of the other information provided to the Superintendent in the licence application form submitted by the mortgage broker or in their previous annual return is accurate;
- confirmation that the mortgage broker has complied with the Act in the period since they were issued a licence or since submission of their previous annual return to the Superintendent; and
- any other information required by the Superintendent.

Subsection 13(2) of the Regulations states that every licensee shall provide an updated criminal record check within every five years after the date the previous criminal record check was provided. If your license was issued in the 2014 calendar year, you are required to submit an updated criminal record check before December 31, 2019.

General Instructions

Complete the attached annual return form and submit by mail, email or fax to the address below no later than June 30 each year. Our contact information is as follows:

Financial and Consumer Affairs Authority Consumer Credit Division
Suite 601, 1919 Saskatchewan Drive
Regina, SK S4P 4H2
E-mail: fid@gov.sk.ca
Fax (306) 787-9006

Mortgage Brokers are required to pay a \$400 annual fee by June 30 each year. Please submit cheques payable to the Minister of Finance to the address above.

Mortgage Brokers that fail to submit their annual return and annual fees within the required time period are in violation of the Act, and are subject to regulatory action.

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

**MORTGAGE BROKER
2019 ANNUAL RETURN**

Reporting Period: _____ to May 31, 2019

1. Broker Data

Legal name of the broker: _____

Licence number: _____

Mailing address: _____

Business address: Same as Mailing Address above, or

Address for service: Same as Mailing Address above, or

Telephone number: _____

Fax number: _____

Email address: _____

Mortgage Brokerage acting on behalf of: _____

Are you the Brokerage's Principal Broker? Yes No

Did you broker mortgages during the reporting period? Yes No

Is mortgage brokering your primary business? Yes No

If no, what was your primary business? _____

Did you broker mortgages in any other Canadian provinces during the reporting period? Yes No

If yes, what provinces? _____

2. Reporting Changes

During the reporting period, have you:

		If yes, was it reported to the Superintendent?
Changed Mortgage Brokerages	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>
Had a civil action or administrative proceeding brought against you alleging fraud, breach of trust, deceit or misrepresentation?	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>
Been charged with an offense pursuant to any law of any jurisdiction, excluding traffic offenses?	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>
Been convicted of a criminal offence?	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>
Been convicted of violating any securities, insurance, trust and loan, mortgage brokers, loan brokers, real estate or consumer protection legislation?	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>
Made an assignment for the benefit of creditors, or become legally insolvent, or been adjudged bankrupt or filed a petition in bankruptcy?	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>
Had a licence or registration refused, suspended, conditioned, or cancelled under the laws of any province, territory, state or country?	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>
Been the subject of disciplinary action by any licensing regulatory authority under the laws of any province, territory, state or country?	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>

During the reporting period, have you been a partner, director, officer or substantial shareholder (10% or more) of a firm or corporation that has:

		If yes, was it reported to the Superintendent?
Had a civil action or administrative proceeding brought against it alleging fraud, breach of trust, deceit or misrepresentation?	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>
Been charged with an offense pursuant to any law of any jurisdiction, excluding traffic offenses?	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>
Been convicted of a criminal offence?	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>
Been convicted of violating any securities, insurance, trust and loan, mortgage brokers, loan brokers, real estate or consumer protection legislation?	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>
Made an assignment for the benefit of creditors, or become legally insolvent, or been adjudged bankrupt or filed a petition in bankruptcy?	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>
Had a licence or registration refused, suspended, conditioned, or cancelled under the laws of any province, territory, state or country?	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>
Been the subject of disciplinary action by any licensing regulatory authority under the laws of any province, territory, state or country?	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>

Attestation by the Broker

I am aware that it is an offence to make a false or misleading statement to the Superintendent under *The Mortgage Brokerages and Mortgage Administrators Act* (the "Act").

All information provided in this annual return is true and reflects any changes in the reporting period from that previously reported in the licence application or preceding annual return submitted by me. All other information provided to the Superintendent in the licence application or preceding annual return remains accurate.

I have complied with the Act in the reporting period.

Signature of broker _____

Date signed _____
(mm/ dd/ yyyy)