FORM 32-501F3

[Clause 9(b)]

SALESPERSONS AND OFFICIALS APPLICATION FOR REGISTRATION

Instructions:

- 1. Use this form to apply for registration as an official or salesperson of a deposit agent.
- 2. Answer all of the questions. If you do not, there will be delays in processing your application.
- 3. Give details of your answers on Schedule A to this Form.

1.	Apı	olic	ant
	110		ullu

Last Name:	First, Second and Third Names:
Residential address including posta	l code: Telephone: () -
Address for service in Saskatchewa	n: Social insurance number:
Present position with the Deposit A	gent: Commenced employment on: dd/mm/yy
2. Deposit Agent	
Name	Telephone: () -
	E-mail address:
Address where applicant will be wo	rking (street, city, province, postal code)
3A. Personal Information about	Applicant
Date of birth: dd/mm/yy	Gender:
Place of birth:	
City Province	Country
Citizenship: If not	t a Canadian citizen, answer question 3B below.

3B. Residency

Are you a permanent resident?		Number	of years of continuous	residence in Canada?
			PASSPORT	
Country	Place of issue	е	Date of issue	Number

4. Education

Instruction: State the last school attended at each level

	Degree or Diploma	Date Obtained
High School or Secondary Level		
Post-secondary, College or University		
Professional Education		
Other		

TT71 , 1	1 . •		1 .	1	1 , 10
What other	courses relating	o to tinanci	al services	have von co	mnleted?
Willau Oulici	courses relating	s oo mmanci	ai bui vicub	mave you co	mipicuca.

State the date on which the course was completed	vas completed	was	course	the	which	on	date	the	State	S
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5. Employment History

Disclose your business activities for the 10 years just before the date of this application. Include periods of self-employment and unemployment. Exclude summer employment while a full-time student. Include all financial services employment during and prior to the ten-year period.

Name and address of employer	Name and title of immediate supervisor	Name of employment and duties of applicant	Reasons for leaving	Fromo.	om yr.	mo.	'o yr.
Present:							
Past:							

	ve you ever been discharged by an employer for cause? ves, give particulars on Schedule A.	\Box yes	\square no	
Ins	struction:			
	swer "Yes" or "No" to questions 6 to 14 inclusive. If you answer "Ye nplete details on Schedule A.	es" to any	of the questic	ons, g
Ha	Change of Name ve you ever been known under any name other than e name mentioned in Question 1 of this form?			
На	ve you ever used or operated under any name?	yes yes	$ \begin{array}{c} no \\ \square \\ no \end{array} $	
	res, list name changes. Include those resulting from marriage, orce, court order or other processes, and include dates.			
7. A.	Prior Registration or Licensing Are you now or have you ever been registered or applied for registration in any capacity under any legislation regulating trading in securities of any province, territory, state or country?	□ yes	\bigcap_{no}	
an	res, list all authorities with whom you were registered of the dates of registration. State whether the registration currently in effect.			
В.	Are you now or have you ever been a partner, shareholder, director or officer of a company or partnership which has been registered, or is now registered under any legislation regulating trading in securities?	□ yes	\bigcap_{no}	
C.	Are you now or have you ever been registered or licensed, or applied for registration, under any legislation that requires registration to deal with the public in any capacity in any province, territory, state or country?	□ yes	\bigcap_{no}	
8. A.	Refusal, Suspension, Cancellation or Disciplinary Measure Have you ever been refused registration, or has your registration been suspended or canceled under any legislation which regulates trading in securities			
В.	of any province, territory, state or country? Are you now or have you ever been a partner,	yes	no	
-•	shareholder, director, or officer of a company or of a partnership which has, during the time of your association with it, been refused registration or whose registration has been suspended or canceled under any legislation which regulates trading in securities of any province, territory, state or country?	□ yes	\bigcap_{no}	
C.	Have you every been refused registration, or has your registration been suspended or canceled, under any legislation which requires registration or licensing to deal with the public in any capacity other than trading in securities in any province, territory, state or country?			
	territory, state or country?	\Box yes	\bigcap no	

D.	Have you been denied the benefit of any exemption from registration provided by any legislation regulating trading in securities of any province, territory, state or country?	□ yes	\square no
E.	Has any prior or current registration to trade in securities held by you or any partnership or company of which you were at the time of such event a partner, officer or director or holder of voting securities carrying more than 5% of the votes carried by all outstanding voting securities ever been the subject of disciplinary		
	action undertaken by any securities regulatory authority?	yes	no
Act fine plee	Offences Under the Law truction: Offences under federal statutes like the Income Tax Act (Can (Canada) constitute criminal offences, and must be disclosed when answ lings of guilt for impaired driving are Criminal Code matters and must be aded guilty or been found guilty of an offence, you must report that of an absolute or conditional discharge.	ering the	is question. Pleas or sed. Where you have
Haw law rela or b	Past Offences Involving Securities we you ever pleaded guilty or been found guilty under any of any province, territory, state or country of any offence ating to trading in securities, or with any related offence, seen a party to any proceedings taken on account of fraud heft arising out of any trade in or advice in respect thereof?	□ yes	\square no
Har of a	Past Offences Involving Other Criminal Offences or Contraventions we you ever pleaded guilty or been found guilty under law ny province, territory, state or country for contraventions other criminal offences not noted in A. above?	□ yes	\bigcap_{no}
Are und con	Current Charges or Indictments you currently the subject of a charge or indictment, ler any law of any province, territory, state or country for traventions, criminal offences or other conduct of the type cribed in this part?	□ yes	\square no
Has at t hole vote ples or o uno for	Partnership or Company Offences or Current Charges or Indictments any partnership or company of which you are or were he time of such event a partner, officer, director or a der of voting securities carrying more than 5% of the escarried by all outstanding voting securities, ever aded guilty or been found guilty, or is any such partnership ompany currently the subject of a charge of indictment, ler any law of any province, territory, state or country contraventions, criminal offences or other conduct of type described in this part?		
	Parties and the parties of the parti	yes	no

is c	ounal in any province, territory, state or country which or was based in whole or in part on fraud, theft, deceit, srepresentation or similar conduct:		
A.	against you?	\Box yes	\bigcap no
В.	against any partnership or company of which you are or were at the time of such event, or at the time such 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?	□ yes	\bigcap_{no}
	Bankruptcy Under the law of any province, territory, state or country have you	ever:	
	(a) been declared bankrupt or made a voluntary assignment in bankruptcy?	□ yes	\bigcap no
	(b) made a proposal under any legislation relating to bankruptcy or insolvency?	□ yes	\bigcap_{no}
	(c) been subject to or instituted any proceedings, arrangement or compromise with creditors or had a receiver and/or manager appointed to hold your assets?	$_{yes}^{\square}$	\bigcap no
	(d) been subject to or instituted any proceedings, arrangement or compromise with creditors or had a receiver and/or manger appointed to hold its assets?	□ yes	\bigcap no
If y	ves, and if applicable, attach copy of any discharge, release or docum	ent with si	milar effect
aga aga	s any judgment or garnishment ever been rendered ainst you or is any judgment or garnishment outstanding ainst you, in any civil court in any province, territory,		
	te or country for damages or other relief in respect of raud or for any reason whatsoever?	□ yes	\bigcap no
13. A.	Surety bond or Fidelity Bond Have you ever applied for a surety bond or fidelity bond and been refused?		
	ves, attach name and address of bonding company, and then and why the bond was refused.	yes	no
	Are you presently bonded?		

yes

no

10. Civil Proceedings
Has any claim been made successfully or is any claim
pending in any civil proceedings before a court or other

	Business Activities 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?	□ yes	no
В.	Are you engaged in any other business or do you have any other employment for gain except your occupation with the firm with which you are now applying?	□ yes	\square no
С.	Are you a partner, director, officer, shareholder or other contributor of capital of a partnership or of a company having as its principal business that of a dealer or adviser in securities other than the firm with which you are now applying? If yes, attach full details.	□ yes	\bigcap_{no}
	Certificate		
	ereby certify that the foregoing statements are true and correct to ormation and belief.	the best	of my knowledge
Confrost cre rev	submitting this application I consent to the collection by the Saskat mmission ("SFSC") of the personal information contained in the applicant other government or non-governmental regulatory authorities or selection of the cords and employment records about me as may be necessary for item of my application or continued fitness for registration in accordance SFSC for the duration of the period for which I remain registered. Stact include government and private bodies or agencies, individual anizations.	tion, pol lf-regula r the SF e with th The sour	ice records, records tory organizations FSC to complete its te legal authority of the SFSC may
Da	ted at, this day of		, 20
	(Signature of applicant)		

"AFFIDAVIT

PROVINCE OF SASKATCHEWAN

	I,	
		(name in full)
	of the	
		(municipality)
	in the	
		(jurisdiction)
MA	AKE OATH AND SAY:	
1.	I, the undersigned applicant, do dep this application form as well as my	pose and say that I have read and understand the questions is answers to those questions.
2.	The statements of fact that I made i	in the application and in the attachments, if any, are true.
SW	VORN before me at	
in	the	
thi	is day of 2	20
	Commissioner for Oaths in and for thounce of Saskatchewan, or	
Му	y commission expires	·
SW	VORN before me at	
in	the	
of_		
thi	is day of 2	20
	Notary Public in and for the Province	
Му	y commission expires	·

If swearing an affidavit outside Saskatchewan, you must be a Notary Public.

It is an offence under Saskatchewan securities laws to file an application that contains a statement that, at the time and in the light of the circumstances in which it is made, is false or misleading, or fails to state a material fact.

Schedule A to Form 32-501F3 Application for Registration as an Official or Salesperson

Applicant	's Name:
Date:	
Instructio	ons:
Use	this Schedule to report details of answers to questions on Form 32-501F3:
(a)	mark it as an exhibit;
<i>(b)</i>	cross-reference each statement on this Schedule to the item on this form to which it pertains; and
(c)	have both the applicant and the Commissioner taking the affidavit initial it.
Item of F	orm Answer