

THE COMMODITY FUTURES ACT

Application for Amendment of Registration as a Dealer or Adviser



THE MANITOBA  
SECURITIES  
COMMISSION

Note: Should space for your answers be insufficient, statements may be attached and marked as exhibits cross-referencing each attachment to the item to which it pertains, provided it is initialled by applicant and the Commissioner for Oaths taking the affidavit of execution.

Application is made for amendment to our existing registration as a \_\_\_\_\_  
under *The Commodity Futures Act*.

The following statements of fact are made in this application:

1. Name \_\_\_\_\_
2. Business address (including postal code) \_\_\_\_\_
3. Business e-mail address \_\_\_\_\_
4. Telephone number ( ) \_\_\_\_\_ - \_\_\_\_\_
5. Fax number ( ) \_\_\_\_\_ - \_\_\_\_\_
6. Address for service in Manitoba \_\_\_\_\_
7. Has there been any material change in the information required under Form 5 or 6 (as applicable) since your last application for registration, amendment or renewal of registration made under *The Commodity Futures Act* and the rules and regulations under the *Act*? Answer yes or no \_\_\_\_\_
8. If the answer to statement 7 is yes, give full particulars of every change, using the same numbering for each item of change as it appears in the application form in which the information was contained.  
\_\_\_\_\_

Dated \_\_\_\_\_, 20 \_\_\_\_.

\_\_\_\_\_  
(name of applicant)

\_\_\_\_\_  
(print name of partner or authorized officer)

\_\_\_\_\_  
(signature of applicant, partner or authorized officer)

\_\_\_\_\_  
(capacity)

**AFFIDAVIT OF EXECUTION**  
IN THE MATTER OF *THE COMMODITY FUTURES ACT*

Province of Manitoba ) I, \_\_\_\_\_,  
 )  
 ) of the \_\_\_\_\_ of \_\_\_\_\_,  
 )  
 ) in the Province of Manitoba,  
 ) MAKE OATH AND SAY:

1. I am the applicant (or a partner or officer of the applicant) and I signed the application.
2. The statements of fact made in the application are true.

SWORN before me at the \_\_\_\_\_ of \_\_\_\_\_,  
 \_\_\_\_\_, in the \_\_\_\_\_ of \_\_\_\_\_,  
 \_\_\_\_\_, \_\_\_\_\_, 20 \_\_\_\_.

\_\_\_\_\_  
(A Commissioner for Oaths or Notary Public)

\_\_\_\_\_  
(signature of deponent)