

THE COMMODITY FUTURES ACT

Notice of Change - Termination Notice
(Subsection 32(1))



THE MANITOBA
SECURITIES
COMMISSION

Date of employee's termination of employment _____

Name of employee _____

Name of employer _____

Address where employee worked (if a branch, state the branch address) _____

Employee's residence address _____

Employee's residence telephone number () _____ - _____

Particulars of Termination

- | | | | | |
|---------------|-----------------------------|--------------------------|-------------------------|--------------------------|
| (1) Voluntary | (a) Unsolicited by employer | <input type="checkbox"/> | (2) Dismissed for Cause | <input type="checkbox"/> |
| | (b) Solicited by employer | <input type="checkbox"/> | (3) Other | <input type="checkbox"/> |

1. Reason(s) for termination:

2. To the best of the employer's knowledge have there been any material changes to the Uniform Application for Registration (Form 6) since it was last filed, particularly with respect to questions 15 through 18? The following areas are addressed in the Uniform Application for Registration (Form 6) and constitute questions 15 through 18 respectively: offences under the law; civil proceedings; bankruptcy; and judgment and garnishment. Read questions 15 through 18 of the Application and answer whether there are any:

(a) civil proceedings? _____

(b) actions in bankruptcy or insolvency? _____

(c) judgments, garnishments or out-of-court settlements with clients? _____

(d) investigations, disciplinary actions or proceedings? _____

If the answer to any of 2(a) through (d) is yes, attach full particulars.

3. Is the employee now, or during your employ, ever been the subject of:

(a) unresolved client complaints? _____

(b) internal discipline or restrictions for violation of regulatory requirements? _____

If the answer to 3(a) or (b) is yes, attach full particulars.

4. Is the firm in possession of any information that would suggest that the employee has engaged in conduct that contravenes regulatory requirements or is inconsistent with just and equitable principles of trade? _____
If the answer is yes, attach full particulars.

5. Are the employee's accounts, or those controlled by the employee, fully secured, margined or paid?

6. If the answer to question 5 is no, state the number of under-margined or bad debt accounts in excess of \$5,000: _____ Provide the dollar amounts (including those written off or charged to the employee in past 12 months) for each under-margined or bad debt account in excess of \$5,000: _____

7. Are clients' accounts fully margined, secured or paid? _____

8. If the answer to question 7 is no, in the opinion of the employer, were under-margined or unsecured client accounts the result of bad business or credit practices on the part of the employee? _____

9. Has the employee been provided with this termination notice? _____

10. If employee's signature is not on this termination notice, give reasons: _____

I am satisfied that the information contained in this termination notice reflects the knowledge of the employee's supervisors.

DATED _____, 20 _____. _____
(name of futures commission merchant)

(signature of futures commission merchant,
partner or officer)

(print name of partner or officer)

(capacity)

EMPLOYEE ACKNOWLEDGMENT OF REVIEW OF FORM 18 TERMINATION NOTICE:

I have reviewed this termination notice and do/do not agree with the information contained in it. (If I do not agree I will provide full particulars.)

DATED _____, 20 _____. _____
(signature of employee)