



CONFIDENTIAL

NOVA SCOTIA SECURITIES
COMMISSION

Monthly Report - United Nations Suppression of Terrorism Regulations

(All provincially regulated entities dealing in securities, including portfolio management and investment counselling, must file this report-see *Note 1*)

Instructions: The initial report must be filed **no later than October 26, 2001**. Subsequent monthly reports must be **filed no later than the fifteenth (15th) day of each calendar month**. You must review your records on a continuing basis for any dealings with Listed Persons. You must consult the **updated** schedule of Listed Persons before filing this report. All Registrants with their head office in Nova Scotia must file this report with the Registrant Regulation Section by fax: (902) 424-4625.

Name of Registrant:	Date of filing of this report: _____ (dd / mm / yy)
Address:	Monthly period covered in this report: (see Note 2) _____ (dd / mm / yy) to _____ (dd / mm / yy)
Type of Registration: <i>(check all applicable categories):</i>	<input type="checkbox"/> Broker <input type="checkbox"/> International Broker <input type="checkbox"/> Portfolio Manager <input type="checkbox"/> Commodity Trading Adviser <input type="checkbox"/> Investment Counsel <input type="checkbox"/> Scholarship Plan Dealer <input type="checkbox"/> Commodity Trading Counsel <input type="checkbox"/> Investment Dealer <input type="checkbox"/> Securities Adviser <input type="checkbox"/> Commodity Trading Manager <input type="checkbox"/> Limited Market Dealer <input type="checkbox"/> Securities Dealer <input type="checkbox"/> Futures Commission Merchant <input type="checkbox"/> Mutual Fund Dealer <input type="checkbox"/> International Adviser <input type="checkbox"/> Other
Are you in possession of, or in control of, any property as defined in the Regulations that is owned or controlled by or on behalf of a Listed Person?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If the response to the above question is No, complete the certificate at the end of this form.	
If the response to the above question is Yes, complete the table below and the certificate at the end of this form.	

Definitions:

- ? *“Number of accounts” means the number of persons, accounts, policies or contracts in whose name(s) the property is held.*
- ? *“Listed Person” has the meaning assigned to it in the Regulations, and refers to the persons listed as of the end of the month prior to the date of the report. For purposes of the initial report and subsequent reports this refers to the compilation of Listed Persons as posted at the Office of the Superintendent of Financial Institutions website: www.osfi-bsif.gc.ca.*
- ? *“Property” includes assets held in trust, both discretionary and non-discretionary*
- ? *“Entity” means a body corporate, trust, partnership or fund, or an incorporated association or organization.*

SUMMARY OF PROPERTY (see Note 3)

Type of Property	Number of Accounts (see Note 2)	Property Value (\$'s) (see Note 2)
Cash and term deposits		
Securities (bonds, debentures, commercial paper, common and preferred shares and derivatives)		
Loans (including overdrafts, credit card balances, term loans and lines of credit)		
Annuities (cash surrender value)		
Life insurance policies (face value)		
Property & casualty insurance policies (policy limit)		
Other property, including real estate		
Totals		

Have you reported the details of these holdings to the RCMP and CSIS as required under section 8 of the Regulations?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Have you frozen the property as required under section 4 of the Regulations?	<input type="checkbox"/> Yes <input type="checkbox"/> No

Certificate

The Undersigned certifies that, to the best of his/her knowledge, and after having made reasonable enquiries, the information contained in this Report is correct.

Name	Signature	Title	Telephone	Date of this Report:
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- Note:**
- The information required in this report is required pursuant to the United Nations Suppression of Terrorism Regulations, SOR/2001-360 (see <http://www.osfi-bsif.gc.ca>), made under the *United Nations Act*.
 - All reports after the initial report, must cover continuous dates and there must be no gaps in the reporting periods starting with the first day of each month and ending with the last day.
 - Include information from any branches located outside Canada.