



Financial Institutions Commission of BC

Ministry of Finance
Financial Institutions Commission
Registrar of Mortgage Brokers
1200 - 13450 - 102nd Avenue
Surrey BC V3T5X3
Telephone: 604 953-5300
Facsimile: 604 953-5301

For Office Use Only	
Approved by:	Date of Approval:
Restrictions:	

Application for Mortgage Broker Registration Form 1 – Corporation, Partnership, or Sole Proprietorship

Please refer to "Instructions for Completing Form 1" for guidance in completing this form.

THIS FORM: is a new application
 is an application for a branch office

1. APPLICANT

(a) Full Legal Name: _____

(b) Registered Trade Name: _____

(c) Applicant is a: Corporation Sole Proprietorship Partnership

(d) Financial Year-End: _____ / _____ / _____
Month Day Year

(e) Business Address: _____
Number Street City, Province Postal Code

(f) Address for Service: _____
Number Street City, Province Postal Code

(g) Telephone Number: _____ (h) Fax Number: _____

(i) Email Address: _____ (j) Website Address: _____

2. DIRECTORS, OFFICERS, PARTNERS

Provide the full name and office held by every director, officer, and partner of the Applicant.
(If more space is required, attach a separate sheet.)

Full Legal Name: _____ Office Held: _____

3. OWNERS, SHAREHOLDERS

If the Applicant is a corporation, list the names and addresses of every person who beneficially owns, directly or indirectly, equity shares of the corporation carrying more than 10% of the voting rights of the corporation.
(If more space is required, attach a separate sheet.)

Full Legal Name: _____ Address: _____

4. SIGNIFICANT ACTIVITIES OF THE MORTGAGE BROKER

The Applicant's mortgage broker activities will involve:

Mortgage Origination Mortgage Lending, and if so: Syndicated Mortgages
 Mortgage Administration Lender is a Mortgage Reverse Mortgages
 Handling Trust Funds Investment Corporation

5. The following person will act as the Applicant's Designated Individual:

6. PRIOR LICENSING OR REGISTRATION

(a) Has the Applicant ever been licensed, registered or authorized in any capacity, under any of the following Acts or under similar legislation in British Columbia or elsewhere?

- | | | | | | |
|---------------------------------|------------------------------|-----------------------------|-----------------------|------------------------------|-----------------------------|
| (i) Financial Institutions Act: | <input type="checkbox"/> YES | <input type="checkbox"/> NO | (iv) Real Estate Act: | <input type="checkbox"/> YES | <input type="checkbox"/> NO |
| (ii) Mortgage Brokers Act: | <input type="checkbox"/> YES | <input type="checkbox"/> NO | (v) Securities Act: | <input type="checkbox"/> YES | <input type="checkbox"/> NO |
| (iii) Real Estate Services Act: | <input type="checkbox"/> YES | <input type="checkbox"/> NO | (vi) Other: _____ | | |

(b) Has the Applicant ever been refused a license or registration, or has it ever been disciplined or had its license or registration suspended or cancelled under any of the Acts in Question 6(a) or under any other legislation in British Columbia or elsewhere? YES NO

7. BANKRUPTCY, JUDGMENTS, PENDING PROCEEDINGS

(a) Has the Applicant ever been subject to bankruptcy proceedings? YES NO
If yes, has the Applicant been discharged? YES NO

(b) Has any judgment been rendered against the Applicant in any civil court in British Columbia, or elsewhere, for any reason whatsoever, within the last 5 years? YES NO
If yes, has the judgment been satisfied? YES NO

(c) Are there any pending legal proceedings against the Applicant? YES NO

(d) To your knowledge, is the Applicant currently the subject of an investigation by any law enforcement or regulatory agency in British Columbia or elsewhere? YES NO

For any of the above questions which you have answered "Yes" to, or where otherwise requested, please attach complete details as an exhibit using the same numbering as on this application.

WARNING

ANY APPLICATION CONTAINING A FALSE STATEMENT MAY RESULT IN THE REFUSAL, SUSPENSION OR CANCELLATION OF ANY REGISTRATION.

8. Attached hereto and marked as exhibits are PERSONAL applications in Form 2 from each director or partner of the Applicant.

9. I, the undersigned, certify that:

I am the Designated Individual of the Applicant herein for registration and the statements of fact made by me in this application and in the attachments, if any, are true and complete.

Dated _____, 200____

Signature

Print Name

Attach fees in the amount of \$ _____ Paid by: Cheque Credit Card Cash

NOTE THAT ONCE SUBMITTED, THE FEE IS NOT REFUNDABLE.