



**Saskatchewan  
Securities  
Commission**

**UNIFORM TERMINATION NOTICE**

DATE OF TERMINATION: \_\_\_\_\_

NAME OF EMPLOYEE: \_\_\_\_\_

NAME OF EMPLOYER: \_\_\_\_\_  
(if sub-branch, so state)

ADDRESS WHERE EMPLOYED: \_\_\_\_\_  
\_\_\_\_\_

RESIDENTIAL ADDRESS: \_\_\_\_\_  
\_\_\_\_\_

TELEPHONE NUMBER: \_\_\_\_\_

PARTICULARS OF DISCONTINUANCE:

VOLUNTARY	_____	Unsolicited	DISMISSED FOR CAUSE	_____
	_____	Solicited by Member	OTHER	_____

1. State reasons for discontinuance: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

2.(a) To the best of the Firm's knowledge have there been any changes in the information given in questions 15 through 18 of the Uniform Application for Registration/Approval previously filed? \_\_\_\_\_  
\_\_\_\_\_

(i) any offences under the law? \_\_\_\_\_  
\_\_\_\_\_

(ii) any civil proceedings? \_\_\_\_\_  
\_\_\_\_\_

(iii) any action in bankruptcy or insolvency? \_\_\_\_\_  
\_\_\_\_\_

(iv) any judgments, garnishments or out-of-court settlements with clients in excess of \$5,000.00? \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

(v) any investigation, disciplinary action or proceeding? \_\_\_\_\_  
\_\_\_\_\_

2(b) Is the employee now, or during your employ, ever been the subject of:

(i) unresolved client complaints? \_\_\_\_\_  
\_\_\_\_\_

(ii) internal discipline or restrictions for violation of regulatory requirements? \_\_\_\_\_  
\_\_\_\_\_

2(c) Is the firm in possession of any information which would suggest that the employee has engaged in any conduct which contravenes regulatory requirements or is inconsistent with just and equitable principles of trade? \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

2(d) If "yes" to any of the above, give full particulars: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

3(a) Are employee's accounts, or those controlled by employee, fully secured, margined or paid? \_\_\_\_\_  
\_\_\_\_\_

3(b) Are clients' accounts fully margined, secured or paid? \_\_\_\_\_

(i) If "No", indicate total number of undermargined or bad debt accounts in excess of \$5,000.00 and amounts (including those written off or charged to RR in past 12 months): \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

(ii) In the opinion of the firm, were undermargined or unsecured client accounts the result of bad business or credit practies on the part of the employee? \_\_\_\_\_  
\_\_\_\_\_

Provide particulars: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

4(a) Has the employee seen the Uniform Termination Notice? \_\_\_\_\_  
\_\_\_\_\_

4(b) If employee's signature not obtained, state reasons: \_\_\_\_\_

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I am satisfied that the information contained in this Uniform Termination Notice reflects the knowledge of the employee's supervisors and the firm's management.

Date \_\_\_\_\_

Signature of Authorized Person \_\_\_\_\_

Position Held \_\_\_\_\_

Name of Authorized Person **(Please Print)** \_\_\_\_\_

I have reviewed this Uniform Termination Notice and do/do not agree with the information contained therein.

Provide particulars : \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Date \_\_\_\_\_

Signature of Employee \_\_\_\_\_