

**FORM 32-501F2**

**APPLICATION FOR REGISTRATION AS A DEPOSIT AGENT**

[Clause 9(a)]

*Instruction:*

*If you don't have room on this form for your answers, complete and attach Schedule A:*

- (a) mark Schedule A as an exhibit,*
- (b) cross-reference each statement on Schedule A to the item on this form to which it pertains, and*
- (c) have both the applicant and the Commissioner taking the affidavit initial it.*

1.(a) Legal name of applicant \_\_\_\_\_

(b) Name under which business is conducted, if different \_\_\_\_\_

(c) Head Office Business Address:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Telephone No: \_\_\_\_\_ Postal Code: \_\_\_\_\_

Fax No: \_\_\_\_\_ E-mail address: \_\_\_\_\_

(d) Address for service in Saskatchewan:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Telephone No: \_\_\_\_\_ Postal Code: \_\_\_\_\_

2. We have bank accounts at the following financial institutions and branches:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

2A. Do you have a trust account?    
*yes no*

If yes, state the name and branch of the financial institution.

\_\_\_\_\_

3. Do you have any branch offices?    
*yes no*

If yes, state addresses and names of branch managers responsible:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

4. Applicant is:
- a corporation
  - a partnership
  - other (specify)  \_\_\_\_\_

*Complete Schedule B showing owners and executive officers of the applicant.*

Date applicant was incorporated or formed:

Jurisdiction where applicant was incorporated or formed:

5. Does any person not named in Schedule B exercise or have the power to exercise control over the management or policies of the applicant?
- yes                  no*

*If yes, state the exact name of such person and describe the agreement or other basis through which such person has the power to exercise control on Schedule A.*

6. Name, address, telephone number and e-mail address of the official of the applicant who is responsible for discharging the obligations of the applicants under Local Instrument 32-501 – *Deposit Agents*:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

*Instruction: Answer “yes” or “no” to questions 9 to 19. If “yes”, give particulars on Schedule A.*

*Definitions:*

**“affiliate”** means an individual or firm that directly or indirectly controls the applicant, is under common control with the applicant, or is controlled by the applicant and includes any persons who exercise control over the applicant.

**“involved in”** means doing an act or aiding, abetting, counselling, commanding, inducing, conspiring with or failing to reasonably supervise another in doing an act.

7. Has the applicant, and has any affiliate of the applicant:
- (a) been registered in any capacity under *The Securities Act, 1988* or any previous *Securities Act*?
  - yes                  no*
  - (b) applied for registration, in any capacity, under *The Securities Act, 1988* or any previous *Securities Act*?
  - yes                  no*
8. Is the applicant or is any affiliate of the applicant, now, or has it been:
- (a) registered or licensed in any capacity in any other province, state or country that requires registration or licensing to deal or trade in securities?
  - yes                  no*
  - (b) registered or licensed in any other capacity in Saskatchewan or any other province, state or country under any legislation that requires registration or licensing to deal with the public in any capacity? (e.g. as an insurance agent, real estate agent, used car dealer, mortgage broker, etc.)
  - yes                  no*

- |  |  |                                       |
|--|--|---------------------------------------|
| (c) refused registration or a licence mentioned in clause (a) or (b) above or has any registration or licence been suspended or cancelled in any category mentioned in clause (a) or (b) above?  | <input type="checkbox"/><br><i>yes</i> | <input type="checkbox"/><br><i>no</i> |
| (d) denied the benefit of any exemption from registration provided by <i>The Securities Act, 1988</i> or any previous <i>Securities Act?</i> , or any similar exemption provided by securities legislation or regulations of any other province, state or country? | <input type="checkbox"/><br><i>yes</i> | <input type="checkbox"/><br><i>no</i> |
| 9. Has any securities regulatory authority or similar authority in any province, state or country:   |  |                                       |
| (a) found the applicant or an affiliate to have made a false statement or omission?  | <input type="checkbox"/><br><i>yes</i> | <input type="checkbox"/><br><i>no</i> |
| (b) found the applicant or an affiliate to have been involved in a violation of its regulations or statutes?   | <input type="checkbox"/><br><i>yes</i> | <input type="checkbox"/><br><i>no</i> |
| (c) found the applicant or an affiliate to have been the cause of an investment-related business having its authorization to do business denied, suspended, revoked or restricted?   | <input type="checkbox"/><br><i>yes</i> | <input type="checkbox"/><br><i>no</i> |
| (d) entered an order denying, suspending or revoking the applicant's or an affiliate's registration or otherwise disciplined it by restricting its activities?   | <input type="checkbox"/><br><i>yes</i> | <input type="checkbox"/><br><i>no</i> |
| (e) found the applicant or an affiliate to have been dishonest, unfair or unethical?   | <input type="checkbox"/><br><i>yes</i> | <input type="checkbox"/><br><i>no</i> |
| (f) ever found the applicant or an affiliate to have been involved in a violation of investment regulations or statutes?   | <input type="checkbox"/><br><i>yes</i> | <input type="checkbox"/><br><i>no</i> |
| (g) in the past 10 years entered an order against the applicant or an affiliate in connection with investment related activity?  | <input type="checkbox"/><br><i>yes</i> | <input type="checkbox"/><br><i>no</i> |
| 10. Is the applicant, or is any affiliate of the applicant, now, or has it been:   |  |                                       |
| (a) a member of any stock exchange, association of investment dealers, investment bankers, brokers, broker-dealers, or similar organization, in any province, state or country?  | <input type="checkbox"/><br><i>yes</i> | <input type="checkbox"/><br><i>no</i> |
| (b) refused membership in any stock exchange, association of investment dealers, investment bankers, brokers, broker-dealers, or similar organization, in any province, state or country?  | <input type="checkbox"/><br><i>yes</i> | <input type="checkbox"/><br><i>no</i> |
| (c) suspended as a member of any stock exchange, association of investment dealers, investment bankers, brokers, broker-dealers, or similar organization, in any province, state or country?   | <input type="checkbox"/><br><i>yes</i> | <input type="checkbox"/><br><i>no</i> |

11. Has any self-regulatory organization or commodities exchange ever:
- (a) found the applicant or an affiliate to have made a false statement or omission?    
*yes no*
- (b) found the applicant or an affiliate to have been involved in a violation of its rules?    
*yes no*
- (c) found the applicant or an affiliate to have been the cause of an investment related business having its authorization to do business denied, suspended, revoked or restricted?    
*yes no*
- (d) disciplined the applicant or an affiliate by expelling or suspending it from membership, by barring or suspending its association with other members, or by otherwise restricting its activities?    
*yes no*
12. Is the applicant or an affiliate now the subject of any proceeding that could result in a “yes” answer to questions 9 to 11?    
*yes no*
13. Has the applicant, or to the best of the applicant’s information and belief has any affiliate of the applicant, operated under, or carried on business under, any name other than the name shown in this application?    
*yes no*
14. Has the applicant, or to the best of the applicant’s information and belief, has any affiliate of the applicant:
- (a) ever been convicted under the law of any province, state or country, excepting minor traffic violations?    
*yes no*
- Is there currently an outstanding charge or indictment against the applicant or affiliate?    
*yes no*
- Instruction: Question (a) refers to all laws, e.g. criminal, immigration, customs, liquor, etc., of any province, state or country in any part of the world.*
- (b) ever been the defendant or respondent in any proceedings in any civil court in any jurisdiction in any part of the world wherein fraud was alleged?    
*yes no*
- (c) at any time declared bankruptcy, or made a voluntary assignment in bankruptcy?    
*yes no*
15. Has an insurance or bonding company denied, paid out on or revoked a financial institution bond or fidelity or surety bond for the applicant?    
*yes no*
16. Does the applicant have any unsatisfied judgments or liens against it?    
*yes no*

17. Does the applicant control, or is the applicant controlled by, any partnership, corporation or other organization engaged in securities or investment advisory business?    
yes no
18. Set out on Schedule C the name of and position held by each official of the applicant seeking or holding registration.
19. Does the applicant engage in any other non-securities business?    
*If answer is "yes", give particulars on Schedule A.* yes no

Dated at \_\_\_\_\_, this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_ .

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*(Name of applicant)*

By: \_\_\_\_\_  
*(Signature of official on behalf of applicant)*

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*(Official capacity)*

**Schedule A to Form 32-501F2**  
**Application for Registration as a Deposit Agent**

Applicant's Name: \_\_\_\_\_

Date: \_\_\_\_\_

Instructions:

*Use this Schedule to report details of affirmative answers to questions on Form 32-501F2:*

- (a) mark it as an exhibit;*
- (b) cross-reference each statement on this Schedule to the item on this form to which it pertains;  
and*
- (c) have both the applicant and the Commissioner taking the affidavit initial it.*

Item of Form	Answer
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**Schedule C to Form 32-501F2**  
**Application for Registration as a Deposit Agent**

Applicant's Name: \_\_\_\_\_

Date: \_\_\_\_\_

**Information in response to Item 18 of Form 32-501F2**

Set out in the space provided the name, address and position held by each officer or partner of the applicant seeking registration.

Full name of person who will act	Office held	Business address
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1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_
5. \_\_\_\_\_
6. \_\_\_\_\_
7. \_\_\_\_\_
8. \_\_\_\_\_
9. \_\_\_\_\_
10. \_\_\_\_\_



**AFFIDAVIT**

PROVINCE OF SASKATCHEWAN

I, \_\_\_\_\_  
*(name in full)*  
of the \_\_\_\_\_  
*(municipality)*  
in the \_\_\_\_\_  
*(jurisdiction)*

**MAKE OATH AND SAY:**

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

SWORN before me at \_\_\_\_\_  
in the \_\_\_\_\_  
of \_\_\_\_\_  
this \_\_\_\_ day of \_\_\_\_\_ 20 \_\_\_\_

\_\_\_\_\_  
*(A Commissioner for Oaths in and for the Province of Saskatchewan, or \_\_\_\_\_)*

My commission expires \_\_\_\_\_ .

SWORN before me at \_\_\_\_\_  
in the \_\_\_\_\_  
of \_\_\_\_\_  
this \_\_\_\_ day of \_\_\_\_\_ 20 \_\_\_\_

\_\_\_\_\_  
*A Notary Public in and for the Province of \_\_\_\_\_ , or \_\_\_\_\_*

My commission expires \_\_\_\_\_ .

**If swearing an affidavit outside Saskatchewan, you must be a Notary Public.**

**It is an offence under Saskatchewan securities laws to file an application that contains a statement that, at the time and in the light of the circumstances in which it is made, is false or misleading, or fails to state a material fact.**