

**APPENDIX B**  
**to Local Instrument 32-501 Deposit Agents**  
[Clause 18(e)]

**UNDERTAKING TO PROVIDE INFORMATION**

1. Name of applicant or deposit agent (the "Deposit Agent"): \_\_\_\_\_
2. Jurisdiction of incorporation of Deposit Agent: \_\_\_\_\_
3. The Deposit Agent hereby undertakes:
  - (a) to inform the Director of the Securities Division as soon as it becomes aware that:
    - (i) its registration or the registration of any of its salespersons or officials in any other jurisdiction in Canada is revoked by the securities regulatory authority in that jurisdiction or is suspended for cause other than lapse, transfer or resignation; or
    - (ii) an investigation order or notice hearing has been issued by any Canadian securities regulatory authority with respect to it or any of its salespersons or officials;
  - (b) that it will, on the request of the Commission, a person appointed by the Commission to make an investigation under the Act relating to the Deposit Agent's activities in Saskatchewan, or the Director:
    - (i) immediately produce to the person making the request at the Deposit Agent's expense all books, papers, documents, records and correspondence, relating to the Deposit Agent's activities in Saskatchewan that are in the possession control or power of the Deposit Agent, subject to the laws of the jurisdiction that are otherwise applicable to the production of those books, papers, documents, records and correspondence, and if the laws of the other jurisdiction prohibit production of the books, papers, documents, records or correspondence without the relevant client's consent, the Deposit Agent shall use its best efforts to obtain the client's consent; and
    - (ii) immediately produce in Saskatchewan at the Deposit Agent's expense appropriate persons in its employ as witnesses to give evidence on oath or otherwise. If the appropriate persons are not in its employ, it will use its best efforts to immediately produce in Saskatchewan at the Deposit Agent's expense those persons to give evidence on oath or otherwise, subject to the laws of the jurisdiction that are otherwise applicable to the giving of such evidence. If the laws of the other jurisdiction prohibit the giving of the evidence without the relevant client's consent, the Deposit Agent shall use its best efforts to obtain the client's consent;
  - (c) to permit the Commission, the staff of the Commission or an agent of the Commission to inspect and examine, from time to time, the Deposit Agent's books and records in its home jurisdiction;
  - (d) to reimburse the Commission for all costs and expenses incurred in conducting the inspection and examination mentioned in clause (c) above which the Commission would not have incurred had the books and records been maintained in Regina, Saskatchewan; and
  - (e) not to object to any hearing before the Commission on the basis that it was not present or represented if it has received a notice to appear from the Commission.

Dated: \_\_\_\_\_

\_\_\_\_\_  
(Signature of Deposit Agent or authorized signatory)

\_\_\_\_\_  
(Name and title of authorized signatory)