

CONFIDENT	IAL
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**Revised November 8, 2001** 

## **Monthly Report - United Nations Suppression of Terrorism Regulations**

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

Instructions: Monthly reports must be filed no later than the fifteenth (15<sup>th</sup>) day of each calendar month. If such day falls on a Saturday, Sunday or statutory holiday, the Report is due on the next business day. 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 the Report. Every Registrant with a Saskatchewan head office must file the Report with the Commission by by fax: (306) 787-5899.

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ager				
ip Plan Dealer				
Commodity Trading Counsel Investment Dealer Securities Adviser				
Commodity Trading Manager Limited Market Dealer Securities Dealer				
Futures Commission Merchant Mutual Fund Dealer				
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.				

- "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. This refers to the compilation of Listed Persons as posted at the Office of the Superintendent of Financial Institutions website: www.osfibsif.gc.ca.
- "Property" has the meaning assigned to it in the Regulations, and includes assets under administration (both discretionary and non-discretionary).
- "Entity" means a body corporate, trust, partnership or fund, or an unincorporated association or organization.

## SUMMARY OF PROPERTY (see Note 3)

Type of Property	Number of Accounts (see Note 2)	Property Value (Canadian \$) (see Note 2)
Cash and term deposits		
Securities (bonds, debentures, commercial paper, mutual fund units, scholarship plan units, 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?	Yes No
Have you frozen the property as required under section 4 of the Regulations?	Yes 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, that any Property or Asset summarized in this Report has been frozen and that the relevant account details have been reported to the Royal Canadian Mounted Police and the Canadian Security Intelligence Service and, in respect of any foreign operations, to foreign law enforcement officials, as the case may be.

Name	Signature	Title	Telephone	Date of this Report:

Note:

1. The information required in this report is required pursuant to the United Nations Suppression of Terrorism Regulations, SOR/2001-360, as amended (the "Regulations") (see http://www.osfibsif.gc.ca), made under the United Nations Act. Pursuant to section 7 of the Regulations, the Report must be filed by every Canadian financial institution, which includes an entity that is incorporated or formed by an Act of Parliament or of the legislature of a province and that is primarily engaged in dealing in securities, including portfolio management and investment counselling.

2. All reports 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. The Report is cumulative, therefore, you must continue to include information reported in a previous Report, provided that the information remains unchanged.

3. Include information from any branches located outside Canada.

Reminder: Section 8 of the Regulations requires every person in Canada and every Canadian outside Canada to disclose forthwith to the Royal Canadian Mounted Police and the Canadian Security Intelligence Services (a) the existence of property in their possession or control that they have reason to believe is owned or controlled by or on behalf of a Listed Person, and (b) information about a transaction in respect of property in their possession or control that they have reason to believe is owned or controlled by or on controlled by or on behalf of a Listed Person.