

Monthly Report under section 83.11 of the Criminal Code and under section 7 of the *Regulations Implementing the United Nations Resolutions on the Suppression of Terrorism (RIUNRST)* and section 5.1 of the *United Nations Al-Qaida and Taliban Regulations (UNAQTR)*.

SHORT FORM VERSION

The **SHORT FORM** version can be used by registrants to file a **NIL REPORT** only. See "Instructions" and "Notes" on pages 2-3. To file a **POSITIVE REPORT**, please use the **LONG FORM** version.

NAME OF REGISTRANT:	Date of filing this report: _____/_____/_____ (dd/mm/yy)
ADDRESS:	Monthly period covered in this report ⁴ : _____/_____/_____ (dd/mm/yy) to _____/_____/_____ (dd/mm/yy)
Type of Registration: <i>(check all applicable categories)</i>	<input type="checkbox"/> Investment Dealer <input type="checkbox"/> Mutual Fund Dealer <input type="checkbox"/> Portfolio Manager <input type="checkbox"/> Securities Dealer (Exchange Contracts) <input type="checkbox"/> Investment Counsel <input type="checkbox"/> Other _____
<p>NO The above Registrant does not have an account in the name of a Designated Person*, or has contracts with a Designated Person, or possesses or controls property that is owned or controlled by or on behalf of a Designated Person. *Please refer to Note 2 for the definition of "Designated Person".</p>	
<p><i>Please complete the certificate on the following page..</i></p>	

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.

Name	Signature	Title	Telephone	Date (dd/mm/yyyy)
------	-----------	-------	-----------	-------------------

Instructions: This report must be filed by every entity that is authorized under provincial legislation to engage in the business of dealing in securities, or to provide portfolio management or investment counseling services ("Registrants") (see Note 1). The report must be filed with the Alberta Securities Commission Market Regulation by fax to (403) 297-4113 no later than the fifteenth (15th) 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. The reporting month is the month on which the report is based (e.g. for the report due December 15, the reporting month would be November). You must review your records on a continuing basis for any dealings with Designated Persons. You must consult the updated combined list of names posted on the website of the Office of the Superintendent of Financial Institutions (OSFI) before filing the report <http://www.osfi-bsif.gc.ca>.

Notes:

These Notes are provided as general information only. They do not constitute legal advice, and are not intended to replace the laws referred to in this report. You should refer to these laws for full details regarding your obligations.

1. The information required in this report is required pursuant to the *Criminal Code*, the Regulations Implementing the United Nations Resolutions on the Suppression of Terrorism, SOR/2001-360, as amended (the "RIUNRST") and the United Nations Al-Qaida and Taliban Regulations, SOR/99-444, as amended (the "UNAQTR"). Pursuant to section 83.11 of the *Criminal Code*, section 7 of the RIUNRST and section 5.1 of the UNAQTR, a report must be filed by all entities authorized under provincial legislation to engage in the business of dealing in securities or to provide portfolio management or investment counseling services. Members of the Investment Dealers Association of Canada (IDA) are requested to use the appropriate reporting form issued by, and to file that form with, the IDA.
2. The term "Designated Person" includes listed entities under the *Criminal Code*, listed persons under the RIUNRST and those persons and entities covered by the UNAQTR.
3. "Property" has the meaning assigned to it under the *Criminal Code*, the RIUNRST and the UNAQTR, and includes assets under administration (both discretionary and non-discretionary).
4. 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. **The long form report is only to be used where assets have been frozen AND reported to the RCMP.** If no assets are frozen, the short form report may be used to confirm this. This includes situations where you may be seeking clarification from the authorities about whether an account holder is in fact a Designated Person; in other words you may

make a simplified (short form) filing where you have not made a determination that you are dealing with a Designated Person. There is no need to report numbers of accounts where you are still seeking clarification from the authorities.

5. You must include information from any branches located outside Canada.

Reminder: Section 83.1 of the *Criminal Code*, and section 8 of the RIUNSTR and section 5.2 of the UNAQTR require every person in Canada and every Canadian outside Canada to disclose forthwith to the Commissioner of the Royal Canadian Mounted Police and the Director of the Canadian Security Intelligence Service (a) the existence of property in their possession or control that they know or have reason to believe is owned or controlled by or on behalf of a Designated Person, and (b) information about a transaction or proposed transaction in respect of property in their possession or control that they know or have reason to believe is owned or controlled by or on behalf of a Designated Person. In addition, under the *Proceeds of Crime (Money Laundering) and Terrorist Financing Act*, persons subject to Part 1 of that Act are also required to report to the Financial Transactions and Reports Analysis Centre of Canada (FINTRAC).