

4. Education

Instruction: State the last school attended at each level

	Degree or Diploma	Date Obtained
High School or Secondary Level		
Post-secondary, College or University		
Professional Education		
Other		

What other courses relating to financial services have you completed?
State the date on which the course was completed.

5. Employment History

Disclose your business activities for the 10 years just before the date of this application. Include periods of self-employment and unemployment. Exclude summer employment while a full-time student. Include all financial services employment during and prior to the ten-year period.

Name and address of employer	Name and title of immediate supervisor	Name of employment and duties of applicant	Reasons for leaving	From		To	
				mo.	yr.	mo.	yr.
Present:							
Past:							

Have you **ever** been discharged by an employer for cause?
If yes, give particulars on Schedule A.

yes no

Instruction:

Answer "Yes" or "No" to questions 6 to 14 inclusive. If you answer "Yes" to any of the questions, give complete details on Schedule A.

6. Change of Name

Have you **ever** been known under any name other than the name mentioned in Question 1 of this form?
yes no

Have you ever used or operated under any name?
yes no

If yes, list name changes. Include those resulting from marriage, divorce, court order or other processes, and include dates.

7. Prior Registration or Licensing

A. Are you now or have you ever been registered or applied for registration in any capacity under any legislation regulating trading in securities of any province, territory, state or country?
yes no

If yes, list all authorities with whom you were registered and the dates of registration. State whether the registration is currently in effect.

B. Are you now or have you **ever** been a partner, shareholder, director or officer of a company or partnership which has been registered, or is now registered under any legislation regulating trading in securities?
yes no

C. Are you now or have you **ever** been registered or licensed, or applied for registration, under any legislation that requires registration to deal with the public in any capacity in any province, territory, state or country?
yes no

8. Refusal, Suspension, Cancellation or Disciplinary Measure

A. Have you **ever** been refused registration, or has your registration been suspended or canceled under any legislation which regulates trading in securities of any province, territory, state or country?
yes no

B. Are you now or have you **ever** been a partner, shareholder, director, or officer of a company or of a partnership which has, during the time of your association with it, been refused registration or whose registration has been suspended or canceled under any legislation which regulates trading in securities of any province, territory, state or country?
yes no

C. Have you every been refused registration, or has your registration been suspended or canceled, under any legislation which requires registration or licensing to deal with the public in any capacity **other than trading in securities** in any province, territory, state or country?
yes no

D. Have you been denied the benefit of any exemption from registration provided by any legislation regulating trading in securities of any province, territory, state or country?
yes no

E. Has any prior or current registration to trade in securities held by you or any partnership or company of which you were at the time of such event a partner, officer or director or holder of voting securities carrying more than 5% of the votes carried by all outstanding voting securities **ever** been the subject of disciplinary action undertaken by any securities regulatory authority?
yes no

9. Offences Under the Law

Instruction: Offences under federal statutes like the Income Tax Act (Canada) and the Immigration Act (Canada) constitute criminal offences, and must be disclosed when answering this question. Pleas or findings of guilt for impaired driving are Criminal Code matters and must be disclosed. Where you have pleaded guilty or been found guilty of an offence, you must report that offence even though you were granted an absolute or conditional discharge.

A. Past Offences Involving Securities

Have you **ever** pleaded guilty or been found guilty under any law of any province, territory, state or country of any offence relating to trading in securities, or with any related offence, or been a party to any proceedings taken on account of fraud or theft arising out of any trade in or advice in respect thereof?

yes no

B. Past Offences Involving Other Criminal Offences or Contraventions

Have you **ever** pleaded guilty or been found guilty under law of any province, territory, state or country for contraventions or other criminal offences not noted in A. above?

yes no

C. Current Charges or Indictments

Are you **currently the subject of a charge or indictment**, under any law of any province, territory, state or country for contraventions, criminal offences or other conduct of the type described in this part?

yes no

D. Partnership or Company Offences or Current Charges or Indictments

Has any partnership or company of which you are or were at the time of such event a partner, officer, director or a holder of voting securities carrying more than 5% of the votes carried by all outstanding voting securities, **ever** pleaded guilty or been found guilty, or is any such partnership or company currently the subject of a **charge of indictment**, under any law of any province, territory, state or country for contraventions, criminal offences or other conduct of the type described in this part?

yes no

10. Civil Proceedings

Has any claim been made successfully or is any claim pending in any civil proceedings before a court or other tribunal in any province, territory, state or country which is or was based in whole or in part on fraud, theft, deceit, misrepresentation or similar conduct:

A. against you?

yes no

B. against any partnership or company of which you are or were at the time of such event, or at the time such proceedings were commenced, a partner, director officer or holder of voting securities carrying more than 5% of the votes carried by all outstanding voting securities?

yes no

11. Bankruptcy

A. Under the law of any province, territory, state or country have you **ever**:

(a) been declared bankrupt or made a voluntary assignment in bankruptcy?

yes no

(b) made a proposal under any legislation relating to bankruptcy or insolvency?

yes no

(c) been subject to or instituted any proceedings, arrangement or compromise with creditors or had a receiver and/or manager appointed to hold your assets?

yes no

(d) been subject to or instituted any proceedings, arrangement or compromise with creditors or had a receiver and/or manger appointed to hold its assets?

yes no

If yes, and if applicable, attach copy of any discharge, release or document with similar effect.

12. Judgment or Garnishment

Has any judgment or garnishment **ever** been rendered against you or is any judgment or garnishment outstanding against you, in any civil court in any province, territory, state or country for damages or other relief in respect of a fraud or for any reason whatsoever?

yes no

13. Surety bond or Fidelity Bond

A. Have you **ever** applied for a surety bond or fidelity bond and been refused?

no

yes

If yes, attach name and address of bonding company, and when and why the bond was refused.

B. Are you presently bonded?

yes no

14. Business Activities

A. Will you be actively engaged in the business of the firm with which you are now applying and devote the major portion of your time thereto?

yes no

B. Are you engaged in any other business or do you have any other employment for gain except your occupation with the firm with which you are now applying?

yes no

C. Are you a partner, director, officer, shareholder or other contributor of capital of a partnership or of a company having as its principal business that of a dealer or adviser in securities other than the firm with which you are now applying? If yes, **attach full details**.

yes no

“Certificate

I hereby certify that the foregoing statements are true and correct to the best of my knowledge, information and belief.

By submitting this application I consent to the collection by the Saskatchewan Financial Services Commission (“SFSC”) of the personal information contained in the application, police records, records from other government or non-governmental regulatory authorities or self-regulatory organizations, credit records and employment records about me as may be necessary for the SFSC to complete its review of my application or continued fitness for registration in accordance with the legal authority of the SFSC for the duration of the period for which I remain registered. The sources the SFSC may contact include government and private bodies or agencies, individuals, corporations and other organizations.

Dated this _____ day of _____, 20 _____.

(Signature of applicant)

“AFFIDAVIT

PROVINCE OF SASKATCHEWAN

I, _____
(name in full)

of the _____
(municipality)

in the _____
(jurisdiction)

MAKE OATH AND SAY:

1. I, the undersigned applicant, do depose and say that I have read and understand the questions in this application form as well as my answers to those questions.
2. The statements of fact that I made in the application and in the attachments, if any, 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.

“Schedule A to Form 32-501F3

“Application for Registration as an Official or Salesperson

Applicant’s Name: _____

Date: _____

Instructions:

Use this Schedule to report details of answers to questions on Form 32-501F3:

- (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
