





**Section C – Directorship / Ownership Details**

**Names of Directors:**


**Shareholders:**


**Section D – General Information**

**Assets Under Management:**

**Assets Under Custody:**

**Fiscal Year End:**

**Number of Employees:**

**Name of Insurance Provider:**

**\*Indemnity Coverage Period:**

**From:**

**To:**

**Amount:**

Please indicate any additional changes with respect to the company that the registrant considers important or appropriate.


**Declaration:**

I declare that the information given herein is complete and correct to the best of my knowledge as at the date of this form.

Signature: \_\_\_\_\_

Name (Chief Executive Officer): \_\_\_\_\_

[Print]

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

\*Applicable to Broker –Dealers only.



### Guidance Notes

1. For the intent and purposes of the Securities Industry Act, 1999, this Form should be completed by such authorized person upon being satisfied that the information contained therein reflects:
  - a. Current information related to the registration or licensing details of the Firm and any other material changes regarding the affairs of the company; and
  - b. Current information related to those persons licensed or registered with the Firm and any other material changes requiring an amendment to the initial application. This would also include information relating to the termination, resignation or retirement of any registered or licensed individual employed with the Firm, as the case may be.
2. The Form must be submitted at the time annual fees for the current period are received, or shortly thereafter.
3. Where the registered firm is a Broker-Dealer, evidence must be provided for the purposes of satisfying the Commission that the appropriate indemnity coverage has been maintained.
4. This Form must be signed personally by the chief executive officer or managing officer (as applicable), to be true and complete.