



Information Sheet re: Continuing Obligations for Registered Firms<sup>1</sup>  
under  
The Securities Industry Act, 1999

<b>RENEWAL OF LICENCE</b>		
• Fees	Payment Annually – by January 31	Regulations 20(3) & 34
• Annual Information Update Form	File Annually	Section 26
<b>FINANCIAL REPORTING</b>		
• Audited Financial Statements	Within 120 days of fiscal year end	Regulation 50
• Interim Financial Statements (Financial and Operational Reports)	File by the 10 <sup>th</sup> day of each month	Regulation 49
• Capital Requirement	Ongoing	Regulation 55
<b>INDEMNITY INSURANCE</b>		
	Ongoing	Section 57
<b>MATERIAL CHANGE REPORTING</b>		
• Resignation, Termination or Retirement of a Registered Personnel	Immediately	Regulation 47
• Change of Name	Immediately	Section 26
• Change in Application Details (e.g. address, contact information)	Immediately	Sections 26
• Change in Directorship	Immediately	Section 26
• Change in Ownership		Section 26
• Change or Alteration of Constitutive Documents	14 Days prior to alteration	Section 25
• Change in Auditor	Immediately	Section 26
• Occurrence of any disciplinary, legal or criminal matter	Within 5 days	Regulation 48
• Notification of Loss Certificate (of Registration)	Immediately	Section 26
• Notification of Liquidation	Immediately	Section 26
• Any Other Material Change or Event	Immediately	Section 26
<b>SURRENDER OF REGISTRATION</b>		
	Immediately	Regulations 24 & 36

<sup>1</sup> Registered Firm is defined as a Broker-Dealer or Securities Investment Advisor