

**Close Supervision Report  
Investment Representatives  
To be filed with IROC**

I hereby certify that supervision has been conducted for the month of \_\_\_\_\_, 20\_\_\_\_  
on \_\_\_\_\_ by the undersigned. The following are the  
principal areas that have come under particular scrutiny.

1. A review of trading activity on a daily basis has been conducted relative to the Investment Representative's personal accounts.
2. A review of trading activity on a daily basis has been conducted relative to all trades the Investment Representative has received and entered.
3. A review of trading activity on a daily basis has been conducted relative to any accounts over which the Investment Representative has Power of Attorney, Trading Authorization and/or in which the Investment Representative has a beneficial interest.
4. Any evidence of customer complaints of trading or sales practice violations have been reported to IROC.
5. If the activity that led to the supervision was securities-related, has the activity recurred?  
Please document these issues

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

6. Comment by supervisor on reasons for inability to comply with any of the above:

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature of Director / Senior Officer / Branch Manager

\_\_\_\_\_  
Name of Director / Senior Officer / Branch Manager

\_\_\_\_\_  
Employing Member Firm