

**Close Supervision Report
Investment Representatives
Retained by Firm**

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 IIROC.
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