

**CLOSE SUPERVISION REPORT  
Investment Representatives  
To be Filed with IIROC**

I hereby certify that close supervision for the month ending \_\_\_\_\_, 20\_\_ of the activities of \_\_\_\_\_ has been conducted and evidence to support the review has been retained. I further certify the following:

- All orders, both buy and sell of the Approved Person, have been reviewed by a qualified Supervisor by the next business day;
- A review of trading activity on a daily basis has been conducted by a qualified Supervisor relative to all trades the Investment Representative has received and/or entered;
- A review of trading activity on a daily basis has been conducted by a qualified Supervisor relative to the Approved Person's personal accounts and no regulatory issues or concerns have been identified;
- The Approved Person has not been granted a power of attorney over any client accounts;
- No client complaints of any nature have been received during the period covered. If there have been reportable complaints, identify the ComSet number(s) and any follow up action initiated by the firm if not disclosed on ComSet. If there have been service complaints, details have been provided below;
- If the activity that led to the supervision has reoccurred, details have been provided below; and
- Reasons for the inability to comply with any of the above and disclosure of any issues or concerns identified during the period under review have been provided below.

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature of Supervisor

\_\_\_\_\_  
Name of Supervisor  
(please print)

\_\_\_\_\_  
Employing Dealer Member