

## STRICT SUPERVISION REPORT

I hereby certify that strict supervision has been conducted for the month of \_\_\_\_\_

on \_\_\_\_\_

by the undersigned, including the following. (Check each item that has been complied with or explain at the end if you have been unable to comply. Any planned deviation from any of these procedures or prohibitions must have the prior approval of IIROC's Sales Compliance Department.)

- All orders, both buy and sell, have been initialled by myself or a senior officer before entry;
- All client accounts of the approved person have been reviewed on a daily and monthly basis based on the standards established for the Minimum Industry Standards for Account Supervision;
- A review of trading activity on a daily basis has been conducted relative to the approved person's own accounts;
- No transactions have been made in any new account until the full and correct documentation is in place;
- Any client complaints received during the period covered have been reported to the Registration Department of the IIROC;
- Any client account generating in excess of \$1,500.00 per month in commissions has been reviewed;
- There has been no handling of client's securities and payment by the approved person and no issuance of cheques to clients without management approval;
- Any transfer of securities between clients accounts have been authorized by the client and reviewed and approved by myself or a senior officer;

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

\_\_\_\_\_  
Date

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

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

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