

JOINT REGULATORY FINANCIAL QUESTIONNAIRE AND REPORT

YEAR 2000 MANAGEMENT CERTIFICATE

In accordance with regulatory requirements, a copy of this filing will be forwarded to the OSC or any other designated regulator for disclosure to the public by the regulator.

(Firm Name)

(Head office address)

(Filing Date)

(Answer Yes or No unless otherwise indicated)

1. What is your registration category or categories in each jurisdiction?

Jurisdiction	Category
British Columbia	_____.
Alberta	_____.
Saskatchewan	_____.
Manitoba	_____.
Ontario	_____.
Quebec	_____.
Nova Scotia	_____.
New Brunswick	_____.
Prince Edward Island	_____.
Newfoundland	_____.
Northwest Territories	_____.
Yukon	_____.

Organization wide impact

- 2. Has an assessment been made of the impact of the Year 2000 Problem across the entire organization?..... _____
- 3. Was the assessment designed to identify all computer hardware and software and devices with embedded chips that contain date-dependent code? _____
- 4. Did the assessment address the importance of the systems that employ those resources in terms of the impact on the organization if they were to fail? _____
- 5. Did the assessment address other sources of risk such as dependence on suppliers and interconnectivity? _____

Project Plan

- 6. Has a project team been established and assigned to address your firm's Year 2000 Problem?..... _____
- 7. Has a project plan been established to ensure that mission critical systems throughout the whole organization will be remediated in time to avoid the negative consequences resulting from the Year 2000 Problem?..... _____
- 8. Is the project plan in writing?..... _____
- 9. Has an assessment phase been performed to measure the scope and risk of the Year 2000 problem at your firm? _____
- 10. Has the board of directors (or similar body) of your firm approved the project plan?..... _____
- 11. Are the following items contained in the written project plan:
 - a) Assessment of the problem. _____
 - b) Correction of systems. _____
 - c) Replacement of systems. _____
 - d) Internal testing. _____
 - e) Point to point testing (interface testing with other registrants, custodians, transfer agents, clearing organizations, financial institutions, customers, other service providers, etc.) _____
 - f) Training. _____
 - g) Industry wide testing. _____
 - h) Implementation of contingency plans. _____
 - i) Other (specify). _____
- 12. Has a budget allocation for the project plan been made and approved for:
 - 1998..... _____
 - 1999..... _____
 - 2000..... _____
- 13. Have sufficient financial resources been provided to carry out the project plan? _____
- 14. Does your firm have access to resources to carry out the project plan, including technical personnel and appropriate facilities (e.g. computer hardware, etc.)? _____
- 15. Has your firm contracted the expertise of consultants to review preparations for the Year 2000 Problem? _____

Progress against plan

- 16. Is there time to properly test new or amended systems? _____
- 17. When did / will your firm begin internal testing? **(insert date)** _____
- 18. When will internal testing be completed? **(insert date)** _____
- 19. Did testing of internal systems result in material exceptions that remain unresolved as of this filing? _____
- 20. Does your firm plan to participate in point to point or external interface testing? _____
- 21. When did / will your firm begin point to point testing (including testing with other registrants, custodians, transfer agents, clearing organizations, financial institutions, customers, other service providers, etc.)? **(insert date)** _____
- 22. When will point to point testing be completed? **(insert date)** _____
- 23. Did point to point testing result in material exceptions that remain unresolved as of this filing? _____
- 24. What is the current completion status (expressed as a percentage) of your internal mission critical systems with respect to the following phases:
 - a) Assessment..... _____
 - b) Remediation / replacement..... _____%
 - c) Testing..... _____%
 - d) Implementation _____%
- 25. What is the current completion status (expressed as a percentage) of the project plan? _____%
- 26. What is the planned completion date of the project plan? **(insert date)** _____

Contingency planning

- 27. Are there contingency plans to deal promptly with unforeseen issues that arise relating to the Year 2000 Problem? _____

Reporting

- 28. Is the Board of Directors (or similar body) receiving regular reports on addressing the broad impacts of the Year 2000 Problem and related issues on a timely basis? _____
- 29. What is the level of management responsible for addressing problems caused by the Year 2000 Problem? _____

Other

30. Identify third parties upon whom you rely for mission critical systems:

- _____
- _____
- _____
- _____
- _____

31. Has any third party upon whom you rely for mission critical systems declined or failed to provide you with assurances that it is taking the necessary steps to prepare for the Year 2000 Problem? _____

32. Provide any additional comments or material information that will assist in understanding the preparations of your firm for the Year 2000 Problem.

Name and Title - Please Type

Signature

Chief Executive Officer

Chief Financial Officer

Designated Year 2000 person responsible

Chairman of Year 2000 Board Committee
(if any) or Chairman of the Board

[date]

Filing instructions

This form will be required to be prepared and filed with the primary audit jurisdiction SRO as of the following prescribed dates:

September 30, 1998 (filed no later than October 31, 1998)

December 31, 1998 (filed no later than January 31, 1999)

March 31, 1999 (filed no later than April 30, 1999)

June 30, 1999 (filed no later than July 31, 1999)

September 30, 1999 (filed no later than October 31, 1999)