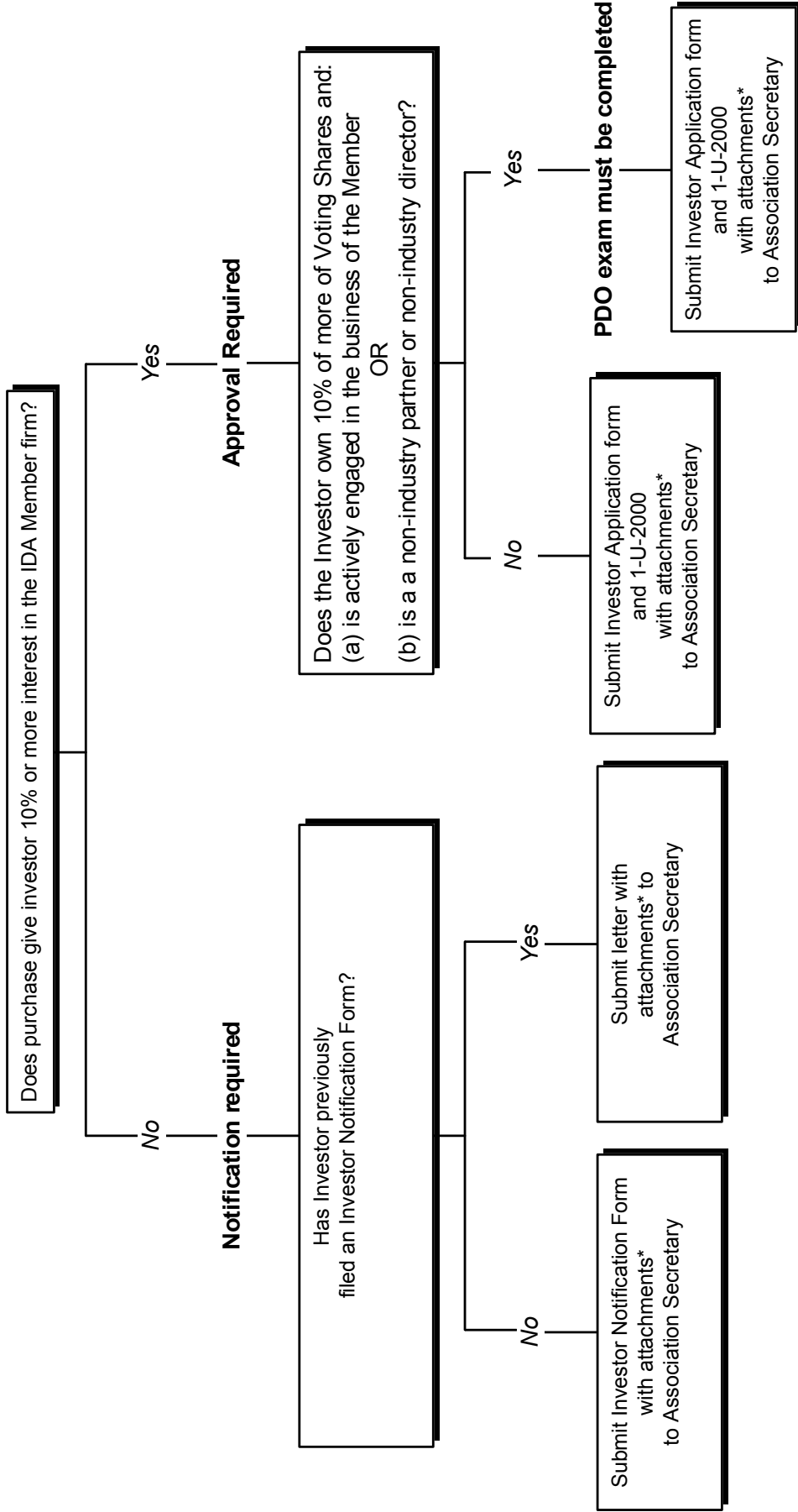


Shareholder filing requirement - Decision Tree Diagram



* Attachments consist of a schedule of shareholders and a list of their holdings (with percentages) upon the opening and closing of each transaction.

NOTIFICATION - INVESTORS HOLDINGS LESS THAN 10% OF AN IDA MEMBER FIRM

This form is to be completed by all investors purchasing shares of a non-public IDA member firm whose accumulated holdings are less than 10%.

1 NAME OF MEMBER FIRM: _____

2 INVESTOR INFORMATION – Complete the following section if the investor is an individual:

(a) Full Legal Name of Investor: _____

(b) Date of Birth _____

(c) Residential Address: _____

(d) Employer and Occupation : _____

3 INVESTOR INFORMATION – Complete the following if the investor is other than an individual.

(a) Full Legal Name: _____

(b) Brief description and nature of business _____

(c) Attach list of names of Partners, Directors, Officers of the investor.

(d) Attach list of names of Trustees, or Trust Administrators, if the shares are held indirectly or in trust.

(e) Attach list of names of each individual beneficial owner directly or indirectly, of more than 20% of the Investor.

(f) For indirect holdings, attach a corporate organizational chart

4 INVOLVEMENT IN THE BUSINESS

(a) Applying As Industry Investor * Non-Industry Investor

Refer to IDA By-law 1.1 for a definition of Industry investor

* If applicable, indicate name of full-time employee of Member through whom the applicant qualifies as an industry investor: _____

5 DESCRIPTION OF HOLDINGS

(a) Is the Applicant the beneficial owner of the securities?

Yes No If "No", attach details of the manner in which the securities are held (e.g. In Trust) and provide the name(s) and address of the beneficial owner(s), including their relationship to the Applicant.

(b) Securities To Be Held Class: _____
 Percentage of Class: _____ % Number: _____

(c) Source Of Securities: Treasury Transfer

(d) Value Of Share Capital, if from Treasury: _____ (\$ _____ per share)

(e) Does the investor own directly or indirectly, shares in another IDA member?
 (Holdings in publicly traded companies need not be disclosed) Yes No

If yes, provide names and percentage held (attach additional page if required)

_____ %
 _____ %
 _____ %
 _____ %

(f) Does an affiliate, or holding company of the investor own directly or indirectly, shares in another IDA member?.

(Holdings in publicly traded companies need not be disclosed) Yes No

If yes, provide names and percentage held (attach additional page if required)

_____ %
 _____ %
 _____ %
 _____ %

 DATE:

 Signature of Applicant

 (PLEASE PRINT) Name of Partner, Director or
 Officer of Member/Holding Company of Member

 Signature of Partner, Director or
 Officer of Member/Holding Company of Member

APPLICATION FOR INVESTORS HOLDING 10% OR MORE OF AN IDA MEMBER FIRM

This form is to be completed by all investors purchasing shares of a non-public IDA Member firm whose accumulated holdings are 10% or more.

All individual investors holding 10% or more of a Member firm, who are not already registered or approved by the IDA, must also attach a completed 1-U-2000.

1 NAME OF MEMBER FIRM: _____

2 INVESTOR INFORMATION – Complete the following section if the investor is an individual:

(a) Full Legal Name of Investor: _____

3 INVESTOR INFORMATION – Complete the following if the investor is other than an individual.

(a) Full Legal Name:: _____

(b) Brief description and nature of business _____

(c) Attach list of names of Partners, Directors, Officers of the investor.

(d) Attach list of names of Trustees, or Trust Administrators, if the shares are held indirectly or in trust.

(e) Attach list of names of each individual beneficial owner directly or indirectly, of more than 20% of the Investor.

(f) For indirect holdings, attach a corporate organizational chart

4 INVOLVEMENT IN THE BUSINESS

(a) Applying As Industry Investor * Non-Industry Investor *Refer to IDA By-law 1.1 for a definition of Industry investor*

** If applicable, indicate name of full-time employee of Member through whom the applicant qualifies as an industry investor: _____*

(b) Are you actively engaged in the business of the Member identified in (1) above and own 10% or more of the voting shares of the Member?

Yes No

(c) Are you a Non-Industry Partner or Non-Industry Director of the Member identified in (1) above and own 10% or more of the voting shares of the Member?

Yes No

(d) If 4(b) or (c) is answered "Yes", have you completed the CSI-sponsored Partners, Directors and Senior Officers Qualifying Exam?

Yes No Date completed: _____

5 DESCRIPTION OF HOLDINGS

(a) Is the Applicant the beneficial owner of the securities?

Yes No If "No" attach details of the manner in which the securities are held (e.g. In Trust) and provide the name(s) and address of the beneficial owner(s), including their relationship to the Applicant.

(b) Securities To Be Held Class: _____
 Percentage of Class: _____ % Number: _____

(c) Source Of Securities: Treasury Transfer

(d) Value Of Share Capital, if from Treasury: _____ (\$ _____ per share)

(e) Does the investor own directly or indirectly, shares in another IDA member?
 (Holdings in publicly traded companies need not be disclosed) Yes No

If yes, provide names and percentage held (attach additional page if required)

_____	_____ %
_____	_____ %
_____	_____ %
_____	_____ %

(f) Does an affiliate, or holding company of the investor own directly or indirectly, shares in another IDA member?
 (Holdings in publicly traded companies need not be disclosed) Yes No

If yes, provide names and percentage held (attach additional page if required)

_____	_____ %
_____	_____ %
_____	_____ %
_____	_____ %

6 UNDERTAKING LIMITING RESALE OF SECURITIES

The undertaking below must be completed by:

- i) The applicant, if the investor is an individual; or*
- ii) the Chief Executive Officer of the entity owning shares directly in the Member firm, if investor is other than an individual; or*
- iii) the Trustee, Trust Administrator or Director with proxy voting rights, if the shares are held on behalf of beneficiaries.*

TO: INVESTMENT DEALERS ASSOCIATION OF CANADA ("IDA")

The undersigned has subscribed for and agreed to purchase, as principal, the securities described in this form.

The undersigned hereby undertakes not to sell, assign, transfer, encumber or otherwise dispose of any of the said securities, including those acquired through subsequent purchases, and any securities derived therefrom without the prior written approval of the applicable District Council of the Association.

The undersigned parties also acknowledge that they have reviewed and understand the terms "associates", "affiliates" and "industry investor", as these are defined in the By-laws of the Association. The parties hereby certify that the above information is correct and agree to comply with the By-laws and Regulations the Association in respect of the ownership of the securities of the Member or the holding companies of Members.

Undersigned is (check one):

- The applicant, if the investor is an individual*
- the Chief Executive Officer of the entity owning shares directly in the Member firm, if investor is other than an individual*
- the Trustee, Trust Administrator or Director with proxy voting rights, if the shares are held on behalf of beneficiaries.*

DATE: _____

Signature of Applicant

(PLEASE PRINT) Name of Partner, Director or
Officer of Member/Holding Company of Member

Signature of Partner, Director or
Officer of Member/Holding Company of Member