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**UNIFORM APPLICATION FOR REGISTRATION/
APPROVAL (FORM 1-U-2000)**

DESCRIPTION

The Uniform Application for Registration/Approval is the standard application form for registration under the Securities Act and/or Commodity Futures Act. It is to be used when:

- the applicant has not been previously registered in the province;
- the applicant has not been previously registered with a recognised Self-Regulatory Organisation
- the applicant is re-applying for registration following a lapse of registration or the expiry of three months in Alberta or British Columbia, six months in all other provinces following termination from a securities firm which is a member of the Investment Dealers Association of Canada.

The information contained in the Uniform Application for Registration/Approval is the basis upon which the decision to grant registration approval will be based. Therefore, in order for a decision to be made as quickly as possible, it is important that:

- all questions be answered;
- supporting documentation be provided for all affirmative responses;
- the application is properly executed.

The Uniform Application for Registration/Approval is a legal document, therefore, full disclosure must be provided and all responses must be accurate and true to the best of the applicant's knowledge.

It is a serious offence to deliberately withhold or misrepresent facts and may result in the refusal to grant registration approval or

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the instigation of disciplinary action against the applicant and/or the sponsoring firm.

The following instructions must be followed in completing the Uniform Application for Registration/Approval:

- Hand-written forms are not acceptable
- all questions must be answered;
- attachments pertaining to any questions must be made exhibits to the form and marked as such. The commissioner for oaths before whom the application is sworn, and the applicant, are required to initial all attachments;
- all signatures must be originals.

Where there is doubt about the response to a question, the applicant should seek advice from an officer of the sponsoring firm or a legal advisor.

Guidelines for responding to each of the questions contained in the Uniform Application for Registration/Approval are set out below:

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Guidelines for responding to each of the questions contained in the Uniform Application for Registration/Approval are set out in this document

1. APPLICANT

NAME

Disclose applicant's name in full - initials are not acceptable for either the first or middle name of the applicant.

The full name of applicant should be disclosed in the first space provided. If the legal name of the applicant is different from the first space provided, the legal last name section must be provided. Disclosures for use of any business names must be reported under Question 11.

RESIDENTIAL ADDRESS

A complete residential address including number, street address and postal code must be provided. A PO Box number alone is insufficient.

ADDRESS FOR SERVICE

The address for service provided must be located in the province for which registration is requested.

An address for service must be indicated even for individuals residing in the province of registration.

Alberta:

- The address for service cannot be a residential address.
- Non-resident of non-resident dealers must also file the ASC's Submission to Jurisdiction form.

British Columbia:

- Non residents must also file the BCSC's Form 31-905

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Ontario:

- Non residents trading registrants requesting registration approval must also file the OSC's Submission to Jurisdiction form. Applicants requesting approval in a non-trading capacity need not file this form.

SOCIAL INSURANCE NUMBER

- The applicant's Social Insurance Number is optional for applications in Ontario.

PRESENT POSITION IN FIRM

- Do not indicate the registration category for which the applicant is applying.
- If applicant has no current position with the firm until registration approval is granted, an acceptable response is "Pending registration approval as a RR " (or other capacity where applicable).

COMMENCED EMPLOYMENT DATE

- Disclose the date the applicant started employment with the sponsoring firm.
- This date should correlate to the response in Question 8A

2. FIRM

Provide, in full, particulars of the applicant's sponsoring firm:

- full legal name of member firm;

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- address of the head office or branch/sub-branch office where the applicant will be working. This must be a registered location of the member or application for this location must be provided concurrently with the applicant's request for registration approval.
- telephone number including area code of the office where the applicant will be working is required.

**3. TYPE OF REGISTRATION OR APPROVAL
REQUESTED**

In Appendix A, indicate each category of registration for which the applicant is applying. In order to determine the Trading Status of any Officer, we ask that both sections of the form (Sales/Trading and Other) be completed which specifies the products the Trading Officer is seeking approval under.

- In order to qualify for the registration requested, the applicant must have completed the necessary proficiency requirements and the member must be approved to deal in those investment products.

- **Officer Titles**

If the applicant does not hold a title that is easily recognisable as an officer title, but will act in the capacity of an officer, then a corporate resolution passed by the member's board of directors creating the officer title, is required – if not previously filed for another applicant with the same title

Officers who use the title “Director”, “Managing Director”, “Executive Director”, etc who are not on firm’s board of Directors,

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must indicate their full title, which must include a qualifier – usually the name of their department (i.e. “Director – Equity Trading”). In these cases, the corporate resolution is only required to indicate the creation of the main title (e.g. “Managing Director”).

**4. APPLYING FOR REGISTRATION/APPROVAL
 FROM THE FOLLOWING**

Each **provincial securities commission**, from which the applicant is seeking registration approval, should be indicated.

Each **self-regulatory organisation**, to which the member firm employing the applicant belongs, should be indicated.

5. PERSONAL DESCRIPTION OF APPLICANT

Supply personal data regarding the applicant in 5(A). Each question must be answered or N/A indicated if not applicable.

If the applicant is not a Canadian citizen, particulars regarding residency in Canada and passport information must be provided in 5(B).

6. PHOTOGRAPHS

Two passport-size photographs must accompany each application for registration. These must be dated and signed by the applicant and either the commissioner for oaths or partner, director, officer or branch manager of the sponsoring firm.

- The photographs must have been taken within six months of the date of application for registration.
- Photographs are not required in Quebec.

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7. A) EDUCATION

Indicate each level of education attained. If a school was attended but a diploma was not obtained, this need not be reflected on the form.

Professional designations achieved should also be shown, and membership in the professional organisation, if applicable, must be included in 12C and 14A

7. B) INDUSTRY EXAMS (Appendix B)

In Appendix B, indicate each of the industry proficiency examinations which have been completed successfully with the date of completion.

Acceptable Proof of Completion must be included for all required courses. Acceptable Proof of Completion is:

- For courses passed after November 1999, the CSI's original blue watermarked Notice of Course
- For courses passed prior to this date, a photocopy of the Notice of Course Completion or the Official Transcript is acceptable, but must be signed by the applicant, and signed/notarized by a Commissioner of Oaths or Notary Public, to attest that the photocopy is identical to the original. This is pursuant to IDA MR Notice 088 dated August 9, 2001.
- Non-resident applications need not include the original proof of passing, if the original document is on file with the IDA Regional office of the applicant's province of residence
- When the applicant has disclosed that he/she had been exempted from a course, a copy of the exemption approval

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letter issued by the regulator must be included. This document is not required when filing with the same IDA Regional office that granted the exemption.

7. C) INDUSTRY EXAMS

Indicate particulars of any exemption request(s) which have been refused in 7(B) including:

- The name of the course, examination or experience requirement, that was refused.
- The name of the securities regulatory authority or self-regulatory organisation that refused to grant the exemption
- The reason for the refusal.

8 (A) EMPLOYMENT HISTORY

Supply applicant's employment and/or educational history for the 10 years immediately preceding the date of the application in 8(A). All employment in the securities industry must be disclosed, including employment prior to the past 10 years.

The full ten years must be accounted for. Gaps are not acceptable. Any gaps in employment must be included and identified as such (i.e. self-employed, unemployed, student, travelling, etc)

Provide full particulars of employment, including: name and address of employer, name and title of immediate supervisor, duties, reasons for leaving and dates of employment.

Ensure that names that the applicant has carried on business under are also disclosed under question 11(b) with relevant dates and whether these name are still in effect.

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8 (B) DISMISSAL FOR CAUSE

Provide full particulars of any dismissal by an employer in 8(B), including reason for dismissal. If more than one dismissal for cause is indicated in 8(A), please include names of employers. Full particulars would included the date of dismissal, the company name and the reason for the dismissal.

9. RESIDENTIAL HISTORY

Supply applicant's residential history for the 10 years immediately proceeding the date of the application.

- Postal Code is required for the present address only.
- Gaps are not acceptable in residential dates .

10. REFERENCES

Three references are required for each application for registration.

One reference must be the applicant's bank showing its address and the applicant's transit and account numbers. In lieu of the transit and account number, the applicant may submit an original bank reference letter, on bank letterhead, dated within three months of the date of the application for registration.

The other two references should be individuals who can speak to the applicant's character, excluding relatives and persons associated with the applicant's sponsoring firm.

The name, employer, business address, business telephone and occupation are required for each reference.

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11. (A) CHANGES OF NAME

Disclose formal change of name due to marriage, divorce or court order. For name changes other than those arising from marriage, supporting documentation must be provided;

For all names, start and end dates must be provided.

11. (B) ALTERNATE NAME

Disclose any applicable alternate names used by the applicant which includes dates and where relevant, whether the name is still in effect.:

- "known as" names;
- anglicized foreign names;
- present or previous operation of a business under a name other than that of the applicant.

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12.(A)

PRIOR REGISTRATION OR LICENSING

This section requires disclosure of any registration or licensing presently or previously held by the applicant in securities and or commodities

Applicants are expected to complete this information to the best of their ability.

Response must include:

- Name of SRO and/or Securities Commission. If not known, provide province/region of registration.
- Company name (may also state "and any predecessor firm")
- Year of registration.

Category of Registration: Acceptable answers are salesperson, partner, director or officer (trading or non-trading). If the member wishes, additional categories may also be specified such as Branch Manager or Portfolio Manager .

**12. B) PRIOR REGISTRATION OR LICENSING AS A
PARTNER, DIRECTOR, OFFICER OR
SHAREHOLDER**

This section requires disclosure of any registration or licensing as a Partner, Director, Officer or shareholder, presently or previously held by the applicant in securities and or commodities

Applicants are expected to complete this information to the best of their ability.

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If this information has already been included in the applicant's response to 12A, an acceptable response is "See 12A".

Response must include:

- Name of SRO and/or Securities Commission. If not known, provide province/region of registration.
- Company name (may also state "and any predecessor firm")
- Year of registration.
- Category of Registration: Acceptable answers are partner, director or officer (trading or non-trading). If the member wishes, additional categories may also be specified such as Salesperson, Branch Manager or Portfolio Manager .

**12. (C) PRIOR REGISTRATION OR LICENSING OTHER
THAN SECURITIES/COMMODITIES**

This section requires disclosure of any registration or licensing outside of the securities industry.

Response must include:

- Type of registration or license, e.g. Insurance, Mortgage Broker, Chartered Accountant, Real Estate Agent, Bar Admission
- Whether license is still in effect.
- Professional designations should also be included in the response to 7A and 14A.

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**13. REFUSAL, SUSPENSION, CANCELLATION OR
DISCIPLINARY MEASURE**

Particulars of disciplinary action taken by any regulatory body with respect to any license held by the applicant, must include:

- name of regulatory authority;
- type of registration held by applicant;
- nature of disciplinary action taken, date and reasons;
- if refused registration or exemption from registration requirements (other than proficiency requirements), reasons therefore;
- name of company and position held by applicant if disciplinary action was taken against a company of which the applicant was a partner, director, officer or shareholder.

14. A) SELF-REGULATORY ORGANIZATIONS

An acceptable response is "See response to question 12 <a, b or c>".

14. B) REFUSALS OF MEMBERSHIP OR APPROVAL

Applicants must disclose any refusal or membership by authorities outside of the securities industry.

If applicant has been refused membership or approval by a SRO in the securities industry, and if all disclosure for this question has been made in 13 (C), an acceptable response is "Yes - See 13(c)"

The following details must be included in the response:

- Name of SRO
- Name of partnership of company (if applicable)

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- Date of refusal
- Reason for refusal

14. C) DISCIPLINARY ACTIONS

Applicants must disclose any disciplinary actions by authorities outside of the securities industry.

If applicant has been disciplined by a SRO in the securities industry, and if all disclosure for this question has been made in 13 E), an acceptable response is "Yes - See 13 E)"

The following details must be included in the response:

- Name of SRO
- Disciplinary Action
- Name of partnership of company (if applicable)
- Date of Disciplinary action
- Action taken

**15 A) - OFFENCES UNDER A SECURITIES OR FUTURES
ACT**

Applicant must disclose past charges and conviction under any law, in which the offence was related to trading in securities or futures. Examples include but are not limited to fraud or theft charges arising out of any trade or advice.

Applicant must disclosure:

- Details as to charges laid

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- Date of charges
- Status or outcome of the charges;

15. B) OFFENCES UNDER THE LAW

Applicant must disclose any criminal convictions, which are not already disclosed in 15 A) above.

Applicant need not disclose minor traffic offences.

Applicant must disclose:

- Details as to charges
- Date of charges and conviction

15.(C) CURRENT CHARGES OR INDICTMENTS

Applicant must disclose any current charges or indictments:

Particulars must include

- Details as to charge/indictment
- Date of charge/indictment
- Status of charges/indictment

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**15. (D) PARTNERSHIP OR COMPANY OFFENCES OR
CURRENT CHARGES OR INDICTMENTS**

Particulars must include:

- Name of company
- Position held by applicant at time of violation. If applicant was a shareholder indicate percentage of shares held at time of violation.
- Information as to charges laid;
- Dates;
- Status or outcome of the charges;

**16. A) CIVIL PROCEEDINGS AND ALTERNATIVE
DISPUTE RESOLUTION AGAINST THE
APPLICANT**

The applicant must disclose all civil claims which were made successfully and those which are still pending, in which the applicant has been named as a defendant

The Statement of Claim and, if filed, the Statement of Defence must be submitted with the application.

**16. B) CIVIL PROCEEDINGS AND ALTERNATIVE
DISPUTE RESOLUTION AGAINST AN
ASSOCIATED FIRM**

The applicant must disclose all civil claims which were made successfully and those which are still pending, in which a firm associated with the applicant has been named as a defendant

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The Statement of Claim and, if filed, the Statement of Defence must be submitted with the application.

17. A) BANKRUPTCY AGAINST THE APPLICANT

If the applicant, or any company of which the applicant was a partner, director, officer or holder of voting securities carrying more than 5% of the votes carried by all outstanding voting securities, has made an assignment in bankruptcy, has been petitioned into bankruptcy, been declared bankruptcy, or an arrangement with creditors, full particulars must be disclosed.

If the bankruptcy has been discharged, a letter outlining events leading up to the bankruptcy and the discharge, release or document with similar effect, must be submitted with the application. In Quebec, the Statement of Affairs is also required.

If the personal bankruptcy has not been discharged, the Statement of Affairs must be provided along with a letter from the applicant outlining the particulars of the assignment in Bankruptcy (i.e. reasons, amount, creditors, description of arrangements made with creditors, etc.).

If the bankruptcy has not been discharged registration will not be granted until the applicant has received a discharge under the Bankruptcy Act, or demonstrates that they have satisfactorily resolved their insolvency and provides the IDA with satisfactory evidence of employment and bank references.

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17. B) BANKRUPTCY AGAINST AN ASSOCIATED FIRM

Applicant must complete the *Business Bankruptcy Form - Appendix to 17 B)*

If the business bankruptcy has not been discharged, a letter outlining events leading up to the bankruptcy, the Business Bankruptcy Form, including a copy of the Statement of Affairs, must be submitted with the application.

If the bankruptcy has been discharged, a letter outlining events leading up to the bankruptcy and the discharge, release or document with similar effect, must be submitted with the application.

17. B) (b)

Particulars must include:

- Name of Company
- Dates
- Outcome/Status of proposal

**17. B) (c) PROCEEDINGS, ARRANGEMENT OR
COMPROMISE WITH CREDITS/RECEIVER**

Particulars must include:

- Name of Company
- Dates
- Outcome/Status of action

17. B) (d)

Particulars must include:

- Name of Company

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- Dates
- Outcome/Status of action

18. A) JUDGMENT OR GARNISHMENT

Particulars must include

- Copy of Judgement or Garnishment
- Status of Judgement or Garnishment
- If applicable, evidence of satisfaction of judgement or garnishment.

Civil proceeding which lead to Judgement must be disclosed in 16 A)

Requirements to Pay are a form of garnishment and must be disclosed in response to this question.

**18. B) JUDGMENT OR GARNISHMENT AGAINST A
RELATED COMPANY**

Particulars must include

- Applicant's position with the firm at time of events leading up to Judgement or Garnishment
- Copy of Judgement or Garnishment
- Status of Judgement or Garnishment
- If applicable, evidence of satisfaction of judgement or garnishment.

Civil proceeding which lead to Judgement must be disclosed in 16 B)

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Requirements to Pay are a form of garnishment and must be disclosed in response to this question.

19. A) SURETY BOND OR FIDELITY BOND

If response is yes, particulars must be provided which include

- Name and address of bonding company;
- Date of refusal
- Reasons for the refusal

19. B) BONDING

Response is "yes" or "no".

If response is "no", applicant must disclose reasons.

20. A) BUSINESS ACTIVITIES

In general it is a requirement that an individual registered as a salesperson be employed **full time** by the sponsoring firm.

In Ontario, an applicant working less than 26 hours per week with the sponsoring member must apply for consideration under Section 127 of OSC Regulation 1015. It is recommended that applicants applying for this consideration ask for a waiver of the OSC fee for Director's discretion.

Applications who meet the following criteria do not require this consideration:

- the individual is a part-time student enrolled in a business, commercial or financial course;

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- the individual is otherwise employed for six months or less during the calendar year and while so employed is not employed as a salesperson;
- the individual holds a licence as an insurance agent under the *Insurance Act* or a licence as an investment contract sales agent under the *Investment Contracts Act* and is in the employ or under the sponsorship of the dealer who proposes to employ the individual;
- the individual is registered under the *Commodity Futures Act*.

In Alberta, an applicant working less than 26 hours per week with the sponsoring member must apply for special consideration. Applications who meet the following criteria under Rule 41 do not require this consideration:

- the individual is a part-time student enrolled in a business, commercial or financial course;
- the individual is otherwise employed for six months or less during the calendar year and while so employed is not employed as a salesperson;
- the individual holds a license as an insurance agent under the *Insurance Act* and is in the employ or under the sponsorship of the dealer who proposes to employ that individual.

20. B) BUSINESS ACTIVITIES

If the applicant is involved in other business activities, or has any other employment for gain, the applicant must submit the form entitled "Appendix to 1-U-2000 Question 20 b) Other Business Activities"

- **All** other business activities **or** any other employment for gain except occupation with the firm with which the applicant is applying must be disclosed.

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- Other business activities does not extend to social or religious participation **unless:**
 - There is monetary gain
 - The organization is a public company

Individuals who wishes to register as an partner, officer, director or shareholder with more than one registrant firm must provide documentation on the procedures put in place to avoid potential conflict of interests. Refer to IDA By-law 18.14d for further details.

If a trading registrant is acting as an Outside Director with a firm listed on a recognised stock exchange, and this firm is not the parent company or subsidiary of the Member firm with which the applicant is registered, than such dual employment must be approved by the stock exchange on which the firm is listed.

20. C) BUSINESS ACTIVITIES

If the applicant is involved as a partner, director, officer or Shareholder with a broker, dealer or advisor in securities **other than the sponsoring firm**, particulars must include:

- Name of the company
- Details of involvement

21. A) INVESTMENT IN SPONSORING FIRM

Indicate "N/A" if no shares are held.

Details are required of the applicant's investment in the sponsoring firm, if applicable:

- number, class, value and percentage of shares or amount of partnership interest 21(A);

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21. B) INVESTMENT IN SPONSORING FIRM

Indicate "N/A" if no debentures or bonds are held.

21. C) INVESTMENT IN SPONSORING FIRM

Indicate "N/A" if no shares, debentures or bonds are held.

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**CERTIFICATE AND AGREEMENT OF APPLICANT AND
SPONSORING FIRM**

The Applicant must read this Certificate of Agreement (“Agreement”) before signing it. This Agreement sets out the obligations of the Applicant and the sponsoring firm with respect to the information provided in the Uniform Application for Registration / Approval Form (U-I-2000) and to the Self-Regulatory Organizations to which the sponsoring firm is a member.

The Applicant should consult with a lawyer for advice and to ensure the Applicant fully understands his/her obligations under this Agreement.

The Agreement must be:

Signed by the Applicant preferably in the presence of an authorized officer of the sponsoring firm who must in turn sign the Agreement in his capacity and on behalf of the sponsoring firm.

- The name of the sponsoring firm must be printed where indicated.
- The name of the authorized signing officer must be printed beneath his/her signature.
- The agreement must be dated, preferably at the time when the Applicant and authorized officer signed the Agreement.

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THE AFFIDAVIT

The Affidavit is a deposition made on oath by the Applicant that he/she had read and understood the questions in the U-I-2000 and that the information contained therein are accurate and true.

The Affidavit must be:

- Sworn and signed by the Applicant in the presence of a Commissioner for Oaths or Notary Public in and for the jurisdiction where the affidavit was sworn.
- The Commissioner or Notary Public must sign the Affidavit in his/her jurisdiction.
- The jurisdiction where it was sworn must be stated.
- The Affidavit must be dated by the Commissioner for Oaths or Notary Public the same date it was sworn by the Applicant.
- The Date on the Affidavit must not precede the date on the Certificate of Agreement.

Alberta, Manitoba and Saskatchewan

- The Provinces of Alberta, Manitoba and Saskatchewan require the Affidavit to be sworn before a Notary Public, Barrister or Solicitor, if at the time of the application, the Applicant is outside the province.