



Any references to CIRO approval categories on NRD refer to the investment dealer categories under the Investment Dealer and Partially Consolidated Rules (IDPC).

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## 1. REGISTRATION CATEGORY SELECTIONS

### Permitted Individuals

- ☐ Officer
- ☐ Director
- ☐ Partner
- ☐ Shareholder
- ☐ Permitted Individual as described in paragraph (c) of the definition of "permitted individual" in section 1.1 of National Instrument 33-109 Registration Information

### Ultimate Designated Person

- ☐ Ultimate Designated Person

### Investment Dealer

- ☐ Dealing Representative
- ☐ Chief Compliance Officer
- ☐ CRO approval only

- At least one category must be selected.

<b>Officer, Director, Partner, Shareholder Other Permitted Individual</b>	<p>These categories refer to "Permitted Individuals" as defined under NI 33-109. Permitted Individual means:</p> <p>(a) a director, chief executive officer, chief financial officer, or chief operating officer of a firm, or a functional equivalent of any of those positions, or</p> <p>(b) an individual who has beneficial ownership of, or direct or indirect control or direction over, 10 percent or more of the voting securities of a firm, or</p> <p>(c) a trustee, executor, administrator, or other personal or legal representative, that has direct or indirect control or direction over 10 percent or more of the voting securities of a firm.</p>
<b>"CRO approval only"</b>	<p>Use the selection of "<b>CRO approval only</b>" for Executives or Supervisors who are not also Officers, Directors, Partners, Chief Compliance Officers, Ultimate Designated Persons or Dealing Representatives.</p> <p>Use this selection also in cases where an individual meets the definition of Investor but not Shareholder or Other Permitted Individual under National Instrument (NI) 33-109.</p>

## 2. OTHER REGISTRATION CATEGORIES

If the individual trades futures in Manitoba or Ontario or trades futures and/or options in Quebec, individual registration category selections are required.

### Manitoba

#### Dealer (Futures Commission Merchant)

- ☐ Salesperson
- ☐ Non-trading
- ☐ Branch Manager
- ☐ Officer
- ☐ Partner
- ☐ Futures Contracts Portfolio Manager
- ☐ Associate Futures Contracts Portfolio Manager
- ☐ CISO approval only

### Ontario

#### Futures Commission Merchant

- ☐ Salesperson
- ☐ CISO approval only

### Quebec

#### Derivatives Dealer

- ☐ Derivatives Dealing Representative

### 3. CIRO APPROVAL CATEGORY SELECTIONS

#### CIRO

Refer to the Guide to CIRO (Investment Dealer) Categories for assistance.

##### Approval categories

- ☐ Executive
- ☐ Director (Non-Industry)
- ☐ Supervisor
- ☐ Investor
- ☐ Registered Representative
- ☐ Investment Representative
- ☐ Trader
- ☐ Director (Industry)
- ☐ Portfolio Manager
- ☐ Associate Portfolio Manager

##### Additional approval categories

- ☐ Chief Compliance Officer
- ☐ Chief Financial Officer
- ☐ Ultimate Designated Person

##### Products

- ☐ Non-Trading
- ☐ Securities
- ☐ Options
- ☐ Futures Contracts and Futures Contract Options
- ☐ Mutual Funds only

##### Customer type

- ☐ Retail
- ☐ Institutional
- ☐ Not Applicable

### 3.1 CIRO APPROVAL CATEGORIES

At least one Approval Category must be selected:

Associate Portfolio Manager  
Chief Compliance Officer  
Chief Financial Officer  
Director  
Executive  
Investment Representative  
Investor  
Portfolio Manager  
Registered Representative  
Supervisor  
Trader  
Ultimate Designated Person

<b>Associate Portfolio Manager</b>	<p>An <i>individual</i><sup>1</sup> designated by the <i>Dealer Member</i> and approved under the IDPC Rules to provide discretionary portfolio management for managed accounts under the supervision of a <i>Portfolio Manager</i>.</p> <p>The proficiency requirements for an Associate Portfolio Manager vary according to the products they advise on.</p>
<b>Chief Compliance Officer</b>	<p>Approved to be responsible for ensuring that the Dealer Member has systems and controls reasonably designed to ensure its compliance with laws and regulations, including the Rules, governing its business conduct. See IDPC Rule 2506.</p> <p>The Executive category must also be selected.</p>
<b>Chief Financial Officer</b>	<p>Approved to be responsible for ensuring that the Dealer Member complies with the financial adequacy requirements of the Rules. See IDPC Rule 2505.</p> <p>The Executive category must also be selected.</p>
<b>Director</b>	<p>A member of a <i>Dealer Member's</i> board of directors, or an <i>individual</i> performing similar functions at a <i>Dealer Member</i> that is not a corporation.</p> <p>Dealer Members must determine the composition of their Board in accordance with IDPC Rule 2502.</p>

<sup>1</sup> All italicized terms are as defined in the Investment Dealer and Partially Consolidated (IDPC) Rules.

<b>Executive</b>	<p>A <i>Dealer Member's</i> partner, <i>Director</i> or <i>officer</i> who is involved in the <i>Dealer Member's</i> senior management, including anyone fulfilling the role of chair or vice chair of the board of directors, chief executive officer, president, chief administrative officer, chief operating officer or a person acting in a similar capacity who is head of operations, <i>Chief Financial Officer</i>, <i>Chief Compliance Officer</i>, <i>Ultimate Designated Person</i>, member of an executive management committee or any other position that the <i>Dealer Member</i> designates as an Executive position. <i>Dealer Members</i> must determine the composition of their Executives in accordance with IDPC Rule 2503.</p>
<b>Investment Representative</b>	<p>An <i>individual</i>, approved under the IDPC Rules , to trade in, but not advise on, securities, <i>options</i>, <i>futures contracts</i> or <i>futures contract options</i>, on the <i>Dealer Member's</i> behalf, including where that <i>individual</i> deals only in mutual funds.</p> <p>The proficiency requirements for an Investment Representative (IR) vary according to the products and/or customer types that an IR deals with.</p>
<b>Investor</b>	<p>An Approved Investor is an <i>industry investor</i> or any other <i>person</i> who requires the approval under the IDPC Rules to invest in a <i>Dealer Member</i>. The determination of whether a person is an industry investor is based on the definitions provided in subsection 2102(1).</p>
<b>Portfolio Manager</b>	<p>An <i>individual</i> designated by the <i>Dealer Member</i> and approved under the IDPC Rules to provide discretionary portfolio management for managed accounts.</p> <p>The proficiency requirements for a <i>Portfolio Manager</i> vary according to the products they advise on.</p>
<b>Registered Representative</b>	<p>An <i>individual</i> approved under the IDPC Rules to trade, or advise on trades, in <i>securities</i>, <i>options</i>, <i>futures contracts</i>, or <i>futures contract options</i> with the public in Canada, on the <i>Dealer Member's</i> behalf, including where that <i>individual</i> deals only in mutual funds or only with <i>institutional clients</i>.</p> <p>The proficiency requirements for a <i>Registered Representative</i> (RR) vary according to the products and/or customer types that the RR deals with.</p>

<b>Supervisor</b>	<p>An <i>individual</i> given responsibility and authority by a <i>Dealer Member</i>, and approved under the IDPC Rules, to manage the activities of the <i>Dealer Member</i> or the <i>Dealer Member's Approved Persons</i> or <i>employees</i> to provide reasonable assurance they comply with the <i>IDPC Rules requirements</i> and <i>securities laws</i></p> <p>The "Current Employment" field (Item 10) of Form 33-109F4 must identify the type(s) of supervision that will be conducted by the Supervisor (including designated Supervisors). Dealers should refer to IDPC Rule 3900 and the designated Supervisor definition. Please also refer to Rule 2600 for the applicable proficiencies.</p>
<b>Trader</b>	<p>An <i>individual</i>, approved under the IDPC Rules, whose activity is restricted to trading through a <i>Marketplace Member's</i> trading system, and who may not advise the public.</p> <p>"Dealer Representative" must also be selected as the Registration Category.</p> <p>In Ontario and Manitoba, "Futures Commission Merchant/Salesperson" must also be selected as the Registration Category if the individual is a Trader for Futures with the Bourse de Montreal.</p> <p>In Quebec, "Derivatives Dealing Representative" must also be selected as the Registration Category if the individual is trading options or futures for Quebec clients.</p>
<b>Ultimate Designated Person</b>	<p>The Chief Executive Officer of a <i>Dealer Member</i> or person in a similar position, approved to have overall responsibility for the <i>Dealer Member's</i> compliance with laws and regulations, including the Rules, governing its securities-related activities. See IDPC Rule 2507.</p> <p>The <b>Executive</b> category must also be selected.</p>

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## 3.2 PRODUCTS

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- At least one Product type must be selected to identify the type of financial instrument in which the Registered Representative (RR), Investment Representative (IR), Portfolio Manager (PM) or Associate Portfolio Manager (APM) will deal in or advise in as required in clause 2553(2)(iv) of the IDPC Rules.
- For Traders, an appropriate product type must also be selected. If Trader + Securities is selected, identify if trading on the TSX or TSX/VN; if Trader + Options or Futures is selected, identify whether the individual is trading on the Bourse de Montréal system. If the Trader is entering orders on multiple exchanges, include all products types.
- Individuals who are applying for both the RR and Trader category should include RR and Trader in their application for registration (NRD will only pull one fee).
- Individuals qualified to deal with options or futures contracts/futures contract options in their capacity as RR also qualifies them to deal with such products on a discretionary basis for managed accounts when approved for managed account activities.
- Individuals applying in the Supervisor category who have completed the proficiency requirements to supervise trading activity in a product but will not be trading, must select “Non-Trading” under Product Type.



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### **3.3 CUSTOMER TYPE**

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- Only one Customer Type may be selected.
- Individuals approved for retail clients may also deal with Institutional clients.
- Individuals approved for institutional clients may not deal with retail clients unless the additional proficiency requirements are met.
- Individuals who select "Non-Trading" should also select the Customer type "Not Applicable". This includes Traders, unless they are also seeking approval as an IR or RR, in which case the relevant customer type for their IR or RR category must be selected.
- Individuals approved for managed accounts activity (APM or PM) qualify as an RR dealing in non-managed accounts. Individuals seeking approval as an APM or PM must not include the RR category.

## 4. PROFICIENCY REQUIREMENTS

- Dealer Members must ensure applicants have completed the required proficiencies within the mandated periods before any applications are submitted to CRO.
- Refer to subsection 2602(3) of *IDPC Rule 2600 Proficiency Requirements and Exemptions from Proficiencies* for a list of the requirements for all categories of approval.
- Refer to section 2628 of *IDPC Rule 2600 Proficiency Requirements and Exemptions from Proficiencies* for information on course validity and exemptions from rewriting courses.

## 5. CHANGES OR SURRENDER OF CATEGORIES

The 33-109F2 *Change or Surrender of Individual Categories* (F2) must be filed as an Application or as a Notice depending on the situation:

### 5.1 WHEN TO FILE THE 33-109F2 AS AN APPLICATION

- The F2 must be filed as an Application for any changes involving a Registration or Approval Category.
- **Futures Contracts and Futures Contract Options:** The F2 must be filed as an Application for individuals seeking licensing for futures contracts/futures contract options in Ontario and Manitoba as the futures legislation in these provinces does not permit automatic approvals.
- CIRO approval is required before the individual can begin functioning in the new category.

### 5.2 WHEN TO FILE THE 33-109F2 AS A NOTICE

- Changes of product or customer type are notices as listed below and do not require approval provided the individual is already approved:
  - Securities
  - Options
  - Mutual Funds only
  - Futures Contracts and Futures Contract Options (other than in Ontario and Manitoba)
  - Customer type
- A proficiency update must be submitted to evidence the individual has completed the required courses in periods specified under the IDPC Rules.
- CIRO will dispose of the submission once review is complete.

## 6. FILING UNDER THE PASSPORT SYSTEM

### 6.1 WHAT IS A PASSPORT APPLICATION?

An application can be accepted as a Passport submission if it meets all the following criteria:

(1) Involves changes to Registration categories (adding or surrendering)

The Registration categories are defined in NI 31-103, 2.1 and are:

- Dealing Representative
- Ultimate Designated Person (not the level category under the IDPC Rules by the same name)
- Chief Compliance Officer (not the level category under the IDPC Rules by the same name)

(2) If the submission involves surrendering a registration category, the surrender must include the Principal Jurisdiction ("PJ"). Surrenders of categories in the non-Principal Jurisdictions (NPJ) only, where the category will continue in the PJ, are not filed under passport [Ref 4A.9, Companion Policy 11-102].

(3) If the submission is a Notice of Termination, the individual must have been in a registration category (see (1)).

(4) A submission involving change to Approval categories under the IDPC Rules or Business or Product types if the submission also requests a change to the Registration category.

(5) If the submission is a Registration in an Additional Jurisdiction or Registration with an Additional Sponsoring Firm, the individual must be seeking registration (and not seeking an approval category under the IDPC Rules). See (1) above.

### 6.2. WHAT IS NOT A PASSPORT APPLICATION?

The submission cannot be accepted as a Passport submission if:

(1) Involves only a change (add or surrender) of a Permitted Individual category [ref 4A.1 of CP 11-102]

The Permitted Individual categories are defined as:

- Officer
- Director
- Partner
- Shareholder
- Other Permitted Individual [as defined in NI 33-109 section 1.1(c)]

(2) A submission involving only a change to customer or product types.

## 7. REGISTRATION FEES

Alberta  
 British Columbia  
 Manitoba  
 New Brunswick  
 Newfoundland  
 Nova Scotia  
 Northwest Territories  
 Nunavut  
 Ontario  
 Prince Edward Island  
 Quebec  
 Saskatchewan  
 Yukon

### ALBERTA

Application Type	CIRO Fee	CSA Fee
Initial Registration	\$0	\$400
Reactivation of Registration	\$0	\$400
Registration with an Additional Jurisdiction	\$0	\$400
Registration with an Additional Sponsoring Firm	\$0	\$400
Reinstatement of Registration	\$0	\$0
Apply for an Exemption	\$250	\$0
33-109F2 - Change or Surrender of Categories	\$0	\$400
Notice of Termination	\$0	\$0
Individual Annual Registration Fee	\$0	\$400
Firm Registration	\$0	\$1400
Firm Annual Registration Fee	\$0	\$1400
Open A Location	\$0	\$0
Business Location Annual Fee	\$0	\$0

### BRITISH COLUMBIA

Application Type	CIRO Fee	CSA Fee
Initial Registration	\$0	\$350
Reactivation of Registration	\$0	\$350
Registration with an Additional Jurisdiction	\$0	\$350
Registration with an Additional Sponsoring Firm	\$0	\$350

Reinstatement of Registration	\$0	\$0
Apply for an Exemption	\$250	\$0
33-109F2 - Change or Surrender of Categories	\$0	\$350
Notice of Termination	\$0	\$0
Individual Annual Registration Fee	\$0	\$350
Firm Registration	\$0	\$2500
Firm Annual Registration Fee	\$0	\$2500
Open A Location	\$0	\$0
Business Location Annual Fee	\$0	\$0

#### MANITOBA

Application Type	CIRO Fee	CSA Fee
Initial Registration	\$20	\$300 or \$600^^
Reactivation of Registration	\$20	\$300 or \$600^^
Registration with an Additional Jurisdiction	\$20	\$300 or \$600^^
Registration with an Additional Sponsoring Firm	\$20	\$300 or \$600^^
Reinstatement of Registration	\$10	\$75
Apply for an Exemption	\$250	\$0
33-109F2 - Change or Surrender of Categories	\$10	\$300 or \$600^^
Notice of Termination	\$0	\$0
Individual Annual Registration Fee	\$0	\$300 or \$600^^
Firm Registration	\$0	\$750
Firm Annual Registration Fee	\$0	\$750
Open A Location	\$0	\$200
Business Location Annual Fee	\$0	\$200

^^ \$300 is payable in the case of Registration under the Securities Act or Commodity Futures Act

\$600 is payable in the case of Registration under both the Securities Act and Commodity Futures Act

#### NEW BRUNSWICK

Application Type	CIRO Fee	CSA Fee
Initial Registration	\$15	\$285
Reactivation of Registration	\$15	\$285
Registration with an Additional Jurisdiction	\$15	\$285
Registration with an Additional Sponsoring Firm	\$15	\$285
Reinstatement of Registration	\$5	\$95

Apply for an Exemption	\$250	\$0
33-109F2 - Change or Surrender of Categories	\$15	\$285
Notice of Termination	\$0	\$0
Individual Annual Registration Fee	\$15	\$285
Firm Registration	\$37.50	\$712.50
Firm Annual Registration Fee	\$37.50	\$712.50
Open A Location	5	\$95
Business Location Annual Fee	5	\$95

#### NEWFOUNDLAND

Application Type	CIRO Fee	CSA Fee
Initial Registration	\$20	\$25 or \$250*
Reactivation of Registration	\$20	\$25 or \$250*
Registration with an Additional Jurisdiction	\$20	\$25 or \$250*
Registration with an Additional Sponsoring Firm	\$20	\$25 or \$250*
Reinstatement of Registration	\$10	\$0
Apply for an Exemption	\$250	\$0
33-109F2 - Change or Surrender of Categories	\$10	\$25, \$225 or \$250**
Notice of Termination	\$0	\$0
Individual Annual Registration Fee	\$0	\$25 to \$250*
Firm Registration	\$0	\$600
Firm Annual Registration Fee	\$0	\$600
Open A Location	\$0	\$0
Business Location Annual Fee	\$0	\$0

\* Lower fee for Officer and Director and higher fee for Dealing Representative and Chief Compliance Officer

\*\* Depending on current Category and Category being added

#### NOVA SCOTIA

Application Type	CIRO Fee	CSA Fee
Initial Registration	\$20	\$350.35
Reactivation of Registration	\$20	\$350.35
Registration with an Additional Jurisdiction	\$20	\$350.35
Registration with an Additional Sponsoring Firm	\$20	\$350.35
Reinstatement of Registration	\$10	\$116.8
Apply for an Exemption	\$250	\$0
33-109F2 - Change or Surrender of Categories	\$10	\$350.35

Notice of Termination	\$0	\$0
Individual Annual Registration Fee	\$0	\$350.35
Firm Registration	\$0	\$699.5
Firm Annual Registration Fee	\$0	\$699.5
Open A Location	\$0	\$116.8
Business Location Annual Fee	\$0	\$116.8

#### **NORTHWEST TERRITORIES**

Application Type	CIRO Fee	CSA Fee
Initial Registration	\$20	\$300
Reactivation of Registration	\$20	\$300
Registration with an Additional Jurisdiction	\$20	\$300
Registration with an Additional Sponsoring Firm	\$20	\$300
Reinstatement of Registration	\$10	\$100
Apply for an Exemption	\$250	\$0
33-109F2 - Change or Surrender of Categories	\$10	\$300
Notice of Termination	\$0	\$0
Individual Annual Registration Fee	\$0	\$300
Firm Registration	\$0	\$750
Firm Annual Registration Fee	\$0	\$750
Open A Location	\$0	\$0
Business Location Annual Fee	\$0	\$0

#### **NUNAVUT**

Application Type	CIRO Fee	CSA Fee
Initial Registration	\$20	\$250
Reactivation of Registration	\$20	\$250
Registration with an Additional Jurisdiction	\$20	\$250
Registration with an Additional Sponsoring Firm	\$20	\$250
Reinstatement of Registration	\$10	\$100
Apply for an Exemption	\$250	\$0
33-109F2 - Change or Surrender of Categories	\$10	\$250
Notice of Termination	\$0	\$0
Individual Annual Registration Fee	\$0	\$250
Firm Registration	\$0	\$750
Firm Annual Registration Fee	\$0	\$750
Open A Location	\$0	\$0
Business Location Annual Fee	\$0	\$0



**ONTARIO**

Application Type	CIRO Fee	CSA Fee
Initial Registration	\$100, \$200 or \$400^	\$0
Reactivation of Registration	\$100, \$200 or \$400^	\$0
Registration with an Additional Jurisdiction	\$100, \$200 or \$400^	\$0
Registration with an Additional Sponsoring Firm	\$100, \$200 or \$400^	\$0
Reinstatement of Registration	\$0	\$0
Apply for an Exemption	\$250	\$0
33-109F2 - Change or Surrender of Categories	\$100, \$200 or \$400^	\$0
Notice of Termination	\$0	\$0
Individual Annual Registration Fee	\$0	\$0
Firm Registration	\$0	\$600
Annual Firm Fee	\$0	<b>OSC Participation Fee</b>
Open A Location	\$0	\$0
Business Location Annual Fee	\$0	\$0

^ \$100 is payable in the case of a Permitted Individual

\$200 is payable in the case of Registration under the Securities Act or Commodity Futures Act

\$400 is payable in the case of Registration under both the Securities Act and Commodity Futures Act

**PRINCE EDWARD ISLAND**

Application Type	CIRO Fee	CSA Fee
Initial Registration	\$20	\$350
Reactivation of Registration	\$20	\$350
Registration with an Additional Jurisdiction	\$20	\$350
Registration with an Additional Sponsoring Firm	\$20	\$350
Reinstatement of Registration	\$10	\$150
Apply for an Exemption	\$250	\$0
33-109F2 - Change or Surrender of Categories	\$10	\$350
Notice of Termination	\$0	\$0
Individual Annual Registration Fee	\$0	\$350
Firm Registration	\$0	\$850

Firm Annual Registration Fee	\$0	\$850
Open A Location	\$0	\$0
Business Location Annual Fee	\$0	\$0

#### QUEBEC

Application Type	CIRO Fee	CSA Fee
Initial Registration	\$125 or \$250*	\$193 or \$478***
Reactivation of Registration	\$125 or \$250*	\$193 or \$478***
Registration with an Additional Jurisdiction	\$125 or \$250*	\$193 or \$478***
Registration with an Additional Sponsoring Firm	\$125 or \$250*	\$193 or \$478***
Reinstatement of Registration	\$150	\$0
Apply for an Exemption	\$250	\$0
33-109F2 - Change or Surrender of Categories	\$125 or \$150**	\$193 or \$478***
Notice of Termination	\$125	\$0
Individual Annual Registration Fee	\$0	\$224
Firm Registration	\$0	\$1917
Firm Annual Registration Fee	\$0	\$1917
Open A Location	\$0	\$0
Business Location Annual Fee	\$0	\$95.75

\* The higher fee applies to Executive and Director and the lower fee applies to APM, PM, IR, RR, Trader and Supervisor

\*\* The lower fee applies to removing a category and the higher fee applies to adding a category

\*\*\* The lower fee applies to Dealing Representative, and the higher fee applies to Permitted Individuals

#### SASKATCHEWAN

Application Type	CIRO Fee	CSA Fee
Initial Registration	\$15	\$285
Reactivation of Registration	\$15	\$285
Registration with an Additional Jurisdiction	\$15	\$285
Registration with an Additional Sponsoring Firm	\$15	\$285
Reinstatement of Registration	\$5	\$95
Apply for an Exemption	\$250	\$0
33-109F2 - Change or Surrender of Categories	\$15	\$285

Notice of Termination	\$0	\$0
Individual Annual Registration Fee	\$15	\$285
Firm Registration	\$37.5	\$712.5
Firm Annual Registration Fee	\$37.5	\$712.5
Open A Location	\$5	\$95
Business Location Annual Fee	\$5	\$95

#### YUKON

Application Type	CIRO Fee	CSA Fee
Initial Registration	\$20	\$250
Reactivation of Registration	\$20	\$250
Registration with an Additional Jurisdiction	\$20	\$250
Registration with an Additional Sponsoring Firm	\$20	\$250
Reinstatement of Registration	\$10	\$100
Apply for an Exemption	\$250	\$0
33-109F2 - Change or Surrender of Categories	\$10	\$250
Notice of Termination	\$0	\$0
Individual Annual Registration Fee	\$0	\$250
Firm Registration	\$0	\$750
Firm Annual Registration Fee	\$0	\$750
Open A Location	\$0	\$0
Business Location Annual Fee	\$0	\$0