

This Guide is available for downloading in both English and French, from the Registration & Membership section of IIROC's web site ([www.iiroc.ca](http://www.iiroc.ca)).

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## 1. REGISTRATION CATEGORY SELECTIONS

Screen Shot:

<b>Permitted Individuals</b>
<input type="checkbox"/> Officer
<input type="checkbox"/> Director
<input type="checkbox"/> Partner
<input type="checkbox"/> Shareholder
<input type="checkbox"/> Other Permitted Individual (as defined in NI33-109 section 1.1 (c))
<b>Ultimate Designated Person</b>
<input type="checkbox"/> Ultimate Designated Person
<b>Investment Dealer</b>
<input type="checkbox"/> Dealing Representative
<input type="checkbox"/> Chief Compliance Officer
<input type="checkbox"/> IIROC approval only

- At least one category must be selected.

<p><b>Officer,</b></p> <p><b>Director,</b></p> <p><b>Partner,</b></p> <p><b>Shareholder</b></p> <p><b>Other Permitted Individual</b></p>	<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>
<p><b>“IIROC approval only”</b></p>	<p>Use the selection of “<b>IIROC 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 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
- IIROC approval only

### Ontario

#### Futures Commission Merchant

- Salesperson
- IIROC approval only

### Quebec

#### Derivatives Dealer

- Derivatives Dealing Representative

## 3. IIROC APPROVAL CATEGORY SELECTIONS

Screen Shot:

### Investment Industry Regulatory Organization of Canada

Refer to the Guide to IIROC Categories for assistance.

#### Approval categories

- Executive
- Director (Non-Industry)
- Supervisor
- Investor
- Registered Representative
- Investment Representative
- Trader
- Director (Industry)

#### 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

#### Portfolio management

- Portfolio Management

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## 3.1 IIROC APPROVAL CATEGORIES

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- At least one Approval Category must be selected:

<b>Executive</b>	<p>Approved to participate in the executive management of a Dealer Member.</p> <p>Dealer Members must determine the composition of their Executives in accordance with IIROC Rules.</p>
<b>Director</b>	<p>A member of the board of directors, as the context dictates, a Dealer Member or the Corporation or a person performing a similar function in a Dealer Member that is not a corporation.</p> <p>Dealer Members must determine the composition of their Board in accordance with IIROC Rule 7.3, including determining which Directors are <i>Industry</i> and which Directors are <i>Non-Industry</i>.</p>
<b>Supervisor</b>	<p>An employee of an investment dealer who is approved by IIROC to supervise the trading and/or advising activities of other employees and agents of the investment dealer or to supervise certain types of trading activities, like options or futures trading or to fulfill a supervisory role mandated under IIROC rules. The “Current Employment” field (Item 10) must identify the type of supervision to be conducted by the Supervisor, which may be one or more of the following:</p> <ul style="list-style-type: none"> <li>• Supervisor of Approved Persons. Current Employment disclosure must also identify <ul style="list-style-type: none"> <li>○ the type of approved persons under supervision (RRs and/or IRs),</li> <li>○ the type of product, (securities, futures, options or portfolio management)</li> <li>○ type of client (retail and/or institutional)</li> </ul> </li> <li>• the Supervisor designated to be responsible for the opening of new accounts and the supervision of a account activity under Rule 1300.2</li> <li>• the Supervisor designated to be responsible for the supervision of discretionary accounts under Rule 1300.4</li> <li>• the Supervisor designated to be responsible for the supervision of managed accounts under Rule 1300.15</li> <li>• the Supervisor designated to be responsible for the supervision of options accounts under Rule 1900.2(a)</li> <li>• the Supervisor designated to be responsible for the supervision of futures contract accounts under Rule</li> </ul>

	<p>1800.2</p> <ul style="list-style-type: none"> <li>the Supervisor or Supervisors designated to pre-approve advertising, sales literature and correspondence, including research reports, under Rule 29.7(3) and Rule 3400, Guideline 7</li> </ul>
<b>Investor</b>	An individual who beneficially owns securities of an investment dealer. Investors may be industry investors, meaning they are also actively engaged in the business of the investment dealer, or non-industry investors, meaning they are not actively involved in the business of the dealer.
<b>Registered Representative</b>	An employee or agent of an investment dealer who is approved by IIROC to trade and advise in securities, options and futures contracts/futures contract options with the public in Canada. The proficiency requirements for a Registered Representative (RR) vary according to the Products and/or Customer types that the RR deals with.
<b>Investment Representative</b>	An employee or agent of an investment dealer who is approved by IIROC to trade in, but not advise on, securities, options and futures contracts/futures contract options. The proficiency requirements for an Investment Representative (IR) vary according to the Products and/or Customer types that an IR deals with.
<b>Trader</b>	<p>An individual who is approved by IIROC to enter orders into the trading systems of specific exchanges. Traders are not permitted to advise clients.</p> <p>“Dealer Representative” s should also be selected as the Registration Category.</p>
<b>ADDITIONAL APPROVAL CATEGORIES</b>	
<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 Rule 38.7</p> <p>The <b>Executive</b> 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 Rule 38.6</p> <p>The <b>Executive</b> category must also be selected.</p>
<b>Ultimate Designated Person</b>	<p>The Chief Executive Officer of a Dealer Member or person in a similar position, approved to have overall responsibility for the Dealer Member’s compliance with laws and regulations, including the Rules, governing its securities-related activities; See Rule 38.5.</p> <p>The <b>Executive</b> category must also be selected.</p>

- At least one Product type must be selected to identify the type of financial instrument in which the Registered Representative or Investment Representative or Trader will deal [ref Rule 18.2(b)(ii) and (iii)].
- A product may be selected only if the individual has completed the proficiencies required to trade in the product and have also selected the category of **Registered Representative, Investment Representative or Trader**.
- 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**”.

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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 as “Non-Trading” must select the Customer type of “**Not Applicable**”

## **4. PROFICIENCY REQUIREMENTS**

- Dealer Members must ensure applicants have completed the required courses within the mandated time periods, before the application is submitted to IIROC.
- Please refer to Rule 2900, Part I of the IIROC Rule book for the proficiency requirements for all categories.
- Please refer to Rule 2900, Part II of the IIROC Rule book for the time limits and alternatives for the standard proficiency requirements.



## 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:

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

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- 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 in Ontario and Manitoba, the futures legislation in these provinces does not permit automatic approvals.
- IIROC approval is required before the individual can begin functioning in the new category.

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

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- Changes of Product type, Customer type or Portfolio Management are notices as listed below and do not require approval provided the individual is already registered:
  - Securities
  - Options
  - Mutual Fund only
  - Futures Contracts and Futures Contract Options (other than in Ontario and Manitoba)
  - Portfolio Management
  - Customer type
- A proficiency update must also be submitted to evidence the individual has completed the required courses in the time periods specified under IIROC rules.
- IIROC APPROVAL IS NOT REQUIRED FOR THESE CHANGES

## 6. FILING UNDER THE PASSPORT SYSTEM

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### 6.1 WHAT IS A PASSPORT APPLICATION?

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- 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 IIROC-level category by the same name)
- Chief Compliance Officer (not the IIROC-level category 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, cannot be filed under passport [Ref 4A.9, CP 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 IIROC Approval categories or Business or Product types if the submission also requests a change to the Registration category.

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### 6.2 WHAT IS NOT A PASSPORT APPLICATION?

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(1) The submission cannot be accepted as a Passport submission if the submission is only to change (add or surrender) 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 Business 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](#)

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### ALBERTA

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Application Type	IIROC 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

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### BRITISH COLUMBIA

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Application Type	IIROC 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	IIROC 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	IIROC 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	30	\$570
Firm Annual Registration Fee	30	\$570
Open A Location	5	\$95
Business Location Annual Fee	5	\$95

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### NEWFOUNDLAND

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Application Type	IIROC 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	\$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

\* Depending on current Category and Category being added

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### NOVA SCOTIA

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Application Type	IIROC 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

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### NORTHWEST TERRITORIES

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Application Type	IIROC 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

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### NUNAVUT

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Application Type	IIROC 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

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### ONTARIO

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

<sup>^</sup> \$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

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### PRINCE EDWARD ISLAND

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Application Type	IIROC 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

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### QUEBEC

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Application Type	IIROC Fee	CSA Fee
Initial Registration	\$125 or \$250*	\$176 or \$437**
Reactivation of Registration	\$125 or \$250*	\$176 or \$437**
Registration with an Additional Jurisdiction	\$125 or \$250*	\$176 or \$437**
Registration with an Additional Sponsoring Firm	\$125 or \$250*	\$176 or \$437**
Reinstatement of Registration	\$150	\$0
Apply for an Exemption	\$250	\$0
33-109F2 - Change or Surrender of Categories	\$125 or \$150*	\$176 or \$437**
Notice of Termination	\$125	\$0
Individual Annual Registration Fee	\$0	\$205
Firm Registration	\$0	\$1755
Firm Annual Registration Fee	\$0	\$1755
Open A Location	\$0	\$0
Business Location Annual Fee	\$0	\$87.75

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

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



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### SASKATCHEWAN

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<b>Application Type</b>	<b>IIROC Fee</b>	<b>CSA Fee</b>
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

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### YUKON

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<b>Application Type</b>	<b>IIROC Fee</b>	<b>CSA Fee</b>
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