

## Summary of Requirements

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The following documents are required with an application for Membership.

**PLEASE INDICATE THE ITEMS BEING SUBMITTED AND INCLUDE THIS CHECKLIST WITH YOUR MEMBERSHIP APPLICATION.**

- Application Form – Corporations and Partnerships (Electronic copy and one original)
- Application deposit of \$10,000.00 (non-refundable)
- Articles of Incorporation (or other applicable documents) (Electronic copy and one original)
- Corporate organization chart (Electronic copy and one original)
- Copy of the NRD Form 1 – Enrolment of Firm Form if firm is new to the National Registration Database (“NRD”)
- Application Form 33-109F6 (see NP 33-109)
- Application for Registration/Approval for all dealing representatives, directors, partners, officers and investors holding 10% or more to be submitted simultaneously via the National Registration Database (“NRD”)
- Registration Fees (The fees will be collected electronically from NRD when the individual’s application is submitted):
  - \$200 for each Trading individual and Dealing Representative applying in Ontario
  - \$250 for each Dealing Representative applying in British Columbia;;
  - \$300 for each Executive and Dealing Representative applying in Alberta;
  - \$250 for each Executive and Dealing Representative applying in Saskatchewan and \$100 per branch;
  - \$250 for each Executive and Dealing Representative, and \$125 if only Dealing Representative, applying in Quebec;
  - \$100 per branch, \$250.00 per trading individual , \$25.00 for Non-Trading individuals.
  - \$20 for each Trading individual and Dealing Representative registered in all other provinces.
- Investor Application Form (IAF) for each shareholder holding 10% or more of the shares of the applicant firm.(Electronic copy, one original and one copy)
- Investor Notification Form (INF) for each shareholder holding less than 10% of the shares of the applicant firm.(Electronic copy, one original and one copy)
- Procedures manual (Electronic copy and one original)
- A Corporate Governance document/chart (cf. Rule 38) setting out the firm’s chain of supervisory accountability and the respective responsibilities of the parties identified thereon.
- A copy of the new Dealer Member applicant’s Business Continuity Plan (Electronic copy and one original)
- For non-Introducers, a Business Continuity Plan comfort letter from an approved Third Party Reviewer (Electronic copy and one original)



- ❑ Account opening documents, monthly statements and trade confirmations (Electronic copy and one original)
- ❑ Five-year business plan (Electronic copy and one original)
- ❑ Introducing/Carrying Broker Agreement, if applicable (Electronic copy, one original and one copy)
- ❑ Audited Joint Regulatory Financial Questionnaire and Report (Form 1), prepared not more than 90 days prior to the submission of the application by a qualified panel auditor, if applicant is not a member of a Canadian self-regulatory organization (SRO) (Electronic copy, one original and one copy)
- ❑ MFRs for the previous six months, if applicant is a member of a Canadian SRO (Electronic copy, one original and one copy)
- ❑ Subordinated Loan Agreements, if applicable (Electronic copy, three originals and one copy)
- ❑ Letter from applicant's auditors indicating that the applicant maintains a proper system of books and records, if applicant is not an SRO member (Electronic copy, one original and one copy)
- ❑ Copy of letter relating to last examination, if applicant is an SRO member (Electronic copy and one original)
- ❑ Evidence of insurance coverage (Electronic copy and one original)
- ❑ Internal control policy statements (Electronic copy and one original)
- ❑ Financial statements for the three years immediately preceding the application, if applicable (Electronic copy and one original)