

Summary of Requirements

The following documents are required with an application for Membership. Please indicate the items being submitted and include this checklist with your membership application. Please submit one electronic copy and one original copy where applicable.

- ☐ Application Form – Corporations and Partnerships
- ☐ Application deposit of \$10,000.00 (non-refundable)
- ☐ Articles of Incorporation (or other applicable constating documents)
- ☐ Corporate organization chart
- ☐ 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 National Instrument 33-109 Registration Information)
- ☐ Application for Registration/Approval for all dealing representatives, Directors, partners, Executives and investors holding 10% or more of the applicant firm's voting or participating securities or total equity to be submitted simultaneously via the NRD
- ☐ Registration Fees (The fees will be collected electronically from NRD when the individual's application is submitted). Refer to the Guide to IIROC Categories for the applicable fees.
- ☐ Investor Application Form (IAF) for each investor holding directly or indirectly 10% or more of the applicant firm's voting or participating securities or total equity.
- ☐ Investor Notification Form (INF) for each investor holding directly or indirectly less than 10% of the applicant firm's voting and participating shares and total equity.
- ☐ Policies and Procedures manual
- ☐ A Corporate Governance document/chart (IIROC Rule 3916) setting out the firm's chain of supervisory accountability and the respective responsibilities of the parties identified thereon.
- ☐ A copy of the applicant firm's Business Continuity Plan
- ☐ For non-Introducing Brokers, a Business Continuity Plan comfort letter from an approved Third Party Reviewer
- ☐ Account opening documents, monthly statements and trade confirmations
- ☐ Five-year business plan
- ☐ Introducing Broker/Carrying Broker Agreement, if applicable
- ☐ Audited Form 1, prepared not more than 90 days prior to the submission of the application by a qualified panel auditor
- ☐ Subordinated Loan Agreements, if applicable (include original copies)
- ☐ Letter from applicant's auditors indicating that the applicant maintains a proper system of books and records
- ☐ Evidence of insurance coverage
- ☐ Internal control policy statements
- ☐ Financial statements for the three years immediately preceding the application, if applicable