

CONFLICT CHECK FORM

File No. _____

Parties

Enforcement Counsel Name _____

Respondent's Name _____

Respondent's Counsel Name _____

Respondent's registration history

Other terms and names of individuals relevant to a conflict search:

CONFIRMATION of ELIGIBILITY

1. By agreeing to become a member of the Hearing Panel in this matter, I confirm that, to the best of my knowledge, I am not currently the subject of an investigation commenced by any member of the Canadian Securities Administrators (CSA), the Mutual Fund Dealers Association of Canada (MFDA), the Investment Industry Regulatory Organization of Canada (IIROC), the Office of the Superintendent of Financial Institutions (OSFI), or any provincial law societies.
2. By agreeing to become a member of the Hearing Panel in this matter, I confirm that:
 - a) I do not, directly or indirectly, have either a pecuniary or a non-pecuniary interest in the proceedings
 - b) I understand that I must avoid any situation where I have or may be seen to have a private or personal interest sufficient to appear to influence the objective exercise of my duties as a decision-maker on the Hearing Panel
 - c) I understand that I must decline any offers, gifts or hospitality from any party, involved directly or indirectly, in this proceeding.

Signature: _____ Date: _____