

Compliance Division Disclosure Table

DISCLOSURES TABLE				
Disclosure	Reference	Confirmation	Statement	Premises
CIPF Official Symbol (front)	IIROC Rules 29.14(c); 22.1 and 700.1			N/A
CIPF Official Explanatory Statement (front or back)	IIROC Rule 29.14(c)			N/A
CIPF Official Brochure - ensure current edition (i.e. limit of \$1,000,000)	IIROC Rule 29.14(d)	N/A	N/A	
CIPF Display at Premises	IIROC Rule 29.14(b)	N/A	N/A	
Explanation of restricted share term abbreviations	IIROC Rule 200.1(h); OSC Rule 56-501			N/A
Related Connected Issuer Statement, if applicable.	IIROC Rule 200.1(c), (h)			N/A
Name of the salesperson in the transaction or coded identification with disclosure that name or person taking the order is available on request	IIROC Rule 200.1(h); OSA 36(1)(g), 36(4)		N/A	N/A
Disclosure of agency counterparty to be furnished upon request	OSA 36(1)(d), 36(4)		N/A	N/A
Free Credit Balance Statement	IIROC Rule 1200.2	N/A		N/A
Audited Financial Summary Statements & List of PDOs are available upon request:	IIROC Rules 1400.6 & 1400.7	N/A		N/A
British Columbia Client Disclosure	BCSC Notice 96/10; BC Sec Act Rule 50(3)	N/A		N/A
Canada Revenue Agency Disclosure	Income Tax Act	N/A		N/A
Disclosure of 'order execution only accounts' (or some variation thereof), if applicable	IIROC Rule 3200(A)(5a)			N/A
<u>CARRYING/INTRODUCING BROKERS</u>				
Type 1 - Continual disclosure of name and roles by both the Introducing & Carrying Broker	IIROC Rule 35.2(l)			N/A
Type 2, 3, 4 - Annual information disclosure (if continual disclosure is not performed)	IIROC Rules 35.3(m); 35.4(m); 35.5(m)			N/A