

30-DAY TRAINING PROGRAM CERTIFICATE

For Investment Representatives

This certificate confirms that _____ meets all of the following:

- commenced full time employment on _____
- successfully completed the Canadian Securities Course or the CFA Level 1 or higher¹ on _____
- completed a 30-day training program on _____
- has not conducted any activities requiring registration and/or approval²

Date

Name of Partner/Director or Senior Officer of Dealer Member responsible for training (*please print*)

Signature of above Partner/Director or Senior Officer of Dealer Member

Dealer Member

¹ For applicants who received the CFA Charter, provide date of CFA Charter.

² During completion of the training program, the individual is not permitted to conduct any activities or act in any capacity that requires registration and/or approval as an Investment Representative.