

HOUSEKEEPING AMENDMENTS TO FORM 1 TO ADOPT IFRS REPORTING REQUIREMENTS FOR LEASES

CLEAN COPY OF THE HOUSEKEEPING AMENDMENT TO STATEMENT B OF FORM 1

FORM 1, PART I – STATEMENT B

(Dealer Member Name)

STATEMENT OF NET ALLOWABLE ASSETS AND RISK ADJUSTED CAPITAL

at _____

REFERENCE	NOTES	(CURRENT YEAR) C\$'000	(PREVIOUS YEAR) C\$'000
1. A-73	Total Capital	-----	-----
2.	Add: Non-refundable leasehold inducements	-----	-----
3. A-67	Add: Subordinated loans	-----	-----
4.	REGULATORY FINANCIAL STATEMENT CAPITAL	-----	-----
5. A-29	Deduct: Total Non allowable assets	-----	-----
6.	NET ALLOWABLE ASSETS	-----	-----
7.	Deduct: Minimum capital	-----	-----
8.	SUBTOTAL	-----	-----
Deduct - Margin required:			
9. Sch.1	Loans receivable, securities borrowed and resold	-----	-----
10. Sch.2	Securities owned and sold short	-----	-----
11. Sch.2A	Underwriting concentration	-----	-----
12. Sch.4	Client accounts	-----	-----
13. Sch.5	Brokers and dealers	-----	-----
14. Sch.7	Loans and repurchases	-----	-----
15.	Contingent liabilities [provide details]	-----	-----
16. Sch.10	Financial institution bond deductible [greatest under any clause]	-----	-----
17. Sch.11	Unhedged foreign currencies	-----	-----
18. Sch.12	Futures contracts	-----	-----
19. Sch.14	Provider of capital concentration charge	-----	-----
20.	Securities held at non-acceptable securities locations	-----	-----
21. Sch.7A	Acceptable counterparties financing activities concentration charge	-----	-----
22.	Unresolved differences [provide details]	-----	-----
23.	Other [provide details]	-----	-----
24.	TOTAL MARGIN REQUIRED [Lines 9 to 23]	-----	-----
25.	SUBTOTAL [Line 8 less Line 24]	-----	-----
26. Sch.6A	Add: Applicable tax recoveries	-----	-----
27.	Risk Adjusted Capital before securities concentration charge [Line 25 plus Line 26]	-----	-----
28. Sch.9	Deduct: Securities concentration charge of _____	-----	-----
Sch.6A	less tax recoveries of _____	-----	-----
29.	RISK ADJUSTED CAPITAL [Line 27 less Line 28]	-----	-----

[See notes and instructions]

Mar-2019