

Common Filing Errors

Form 2A Personal Information Form and Form 2C1 Statutory Declaration

Issuers and filers should ensure that all PIFs and 2C1s are fully and properly completed before submitting them to TSXV. In addition to situations where the PIF or 2C1 is missing required information, a PIF or 2C1 will be classified as incomplete due to:

General:

- PIF/2C1 is not notarized.
- Missing photo I.D.
- Photo I.D. is of poor quality (the I.D. must be clear and legible).
- Missing second piece of I.D.
- One or both I.D.s are not verified properly (i.e. must have been verified, signed, dated and sealed by a notary public).
- Full residential history and employment history are not provided in PIF. There shouldn't be any gaps in the 10 year period for which information is required.
- Exhibit 2 – PIF Personal Information Collection Policy and Exhibit 3 – Notice of Collection, Use and Disclosure of Personal Information by Securities Regulatory Authorities are not included with the PIF/2C1.

Exhibit 1 – Release and Discharge Relating to Consent to Disclosure of Criminal Record Information (the “OPP Consent”):

- Full legal name not filled in correctly as it appears on photo ID (format should be Surname/Given Name/Middle Name). No initials.
- Previous surnames, former marriage, maiden names must be on the OPP Consent.
- OPP Consent has expired (consent must be dated within 90 days of date it is provided by TSXV to the OPP).
- Date of Birth format is incorrect (should be presented as DD/MM/YY).
- OPP Consent is not dated or signed.
- Old OPP Consent form is used.