



APPLICATION FOR APPROVAL AS TRADER

If you fail to accurately complete this Application Form or to consent to Personal Information Collection Policy attached hereto as Exhibit 1, we may refuse to allow you to act as a trader.

1. IDENTIFICATION OF INDIVIDUAL COMPLETING APPLICATION:

- a) Name of Applicant: _____
- b) Name of Employer: _____
- c) Type of Approval Requested:
- | | | |
|--|-------------------------------|---|
| | TSX <input type="checkbox"/> | TSX PO TRANSFER <input type="checkbox"/> |
| | TSXV <input type="checkbox"/> | TSXV PO TRANSFER <input type="checkbox"/> |

d) FOR TRANSFERS ONLY, COMPLETE THIS SECTION AND SECTION 4, AND OMIT SECTIONS 2 & 3

Name of Previous Employer: _____

Date of Termination: _____

Date of Transfer: _____

Date of Reinstatement of Registration filed with IIROC: _____

- e) Have you previously submitted an application for approval as a trader? **Yes** **No**
- If "Yes", complete Section 4.*

2. EDUCATION:

- | a) Have you successfully completed: | Yes | No | Exempt | Date: |
|--|--------------------------|--------------------------|--------------------------|----------------|
| (i) Canadian Securities Course | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | _____ |
| (ii) Trader Training Course
(Please attach CSI transcripts) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | _____
_____ |

3. EMPLOYMENT HISTORY:

- a) Particulars of experience in securities or brokerage business: All Participating Organizations you have been employed by must be listed.

FROM	TO	NAME OF EMPLOYER	POSITION HELD	REASON FOR LEAVING

- b) What experience have you had in trading on TSX, TSXV or any other exchange?

- c) What work did you do to satisfy TSX's or TSXV's requirement that traders have experience in the order room or back office of a Participating Organization, (give period of employment and state with which Participating Organization; if exempt, state the basis of such exemption)?

4. REGISTRATION:

- a) Are you currently approved by IIROC? **Yes** **No**
- b) Has your Participating Organization made the applicable filings with the applicable securities regulatory authority regarding you becoming a trader? **Yes** **No**

CERTIFICATE AND CONSENT

In consideration of Toronto Stock Exchange and/or TSX Venture Exchange (collectively, the Exchanges) reviewing (and if applicable, approving) this application, I, _____, hereby:

1. certify that the foregoing responses and statements in this application are complete, true and accurate;
2. agree that I will, at all times, comply with any and all rules, by-laws, regulations, rulings, requests, policies and/or procedures of the applicable Exchange (collectively, the "Rules"), as such may be amended from time to time without notice;
3. agree I will not operate a discretionary account for any customer or handle a discretionary order for any customer, unless I am a partner in the Participating Organization or a co-director in the Participating Organization, and otherwise entitled to do so under the Rules;
4. agree that, subject to the Rules, my recognition as an approved trader of the undersigned Participating Organization is subject to review from time to time by the applicable Exchange, and that such recognition may be suspended or revoked at any time and for any reason (including unethical conduct or any acts (or failing or omitting to perform acts) that the applicable Exchange determines, in its sole discretion, may negatively affect or impact, directly or indirectly, the reputation of the applicable Exchange);
5. acknowledge that I have read and understand the Personal Information Collection Policy attached hereto as Exhibit 1 (the "Collection Policy"), and hereby consent to the collection, use and disclosure of the information in this application and any further personal information collected, used and disclosed as set out in the Collection Policy.

I hereby apply for the approval of my appointment as an approved trader of the undersigned Participating Organization.

Dated: _____

Name of Applicant (PLEASE PRINT)

Signature of Applicant

Name of Sponsoring Participating Organization

Signature of authorized officer of Participating Organization

Name and Title of authorized officer of Participating Organization (PLEASE PRINT)

EXHIBIT 1: PERSONAL INFORMATION COLLECTION POLICY

Collection, Use and Disclosure

TSX Inc., TSX Venture Exchange Inc. and their affiliates, authorized agents, subsidiaries and divisions, including the Toronto Stock Exchange and TSX Venture Exchange (collectively referred to as “TSX”) collect the information (which may include personal, confidential, non-public, criminal or other information) in the Application Form and in other forms that are submitted by you and/or by the Participating Organization, and use it:

- to conduct background checks,
- to verify the information that has been provided about you,
- to consider your suitability to act as a trader,
- to detect and prevent fraud,
- to conduct enforcement proceedings, and
- to perform other investigations as required by and to ensure compliance with all rules, by-laws, regulations, rulings, requests, policies and/or procedures of the Toronto Stock Exchange and/or TSX Venture Exchange, as applicable, securities legislation and other legal and regulatory requirements governing the conduct and protection of the public markets in Canada.

As part of this process, TSX may also collect additional information about you from other sources, including but not limited to, securities regulatory authorities in Canada or elsewhere, investigative, law enforcement or self-regulatory organizations, regulations services providers and each of their subsidiaries, affiliates, regulators and authorized agents, to ensure that the purposes set out above can be accomplished. The information TSX collects about you may also be disclosed to the above mentioned agencies and organizations or as otherwise permitted or required by law, and such agencies and organizations may use it in their own investigations.

Your personal information may be transferred (or otherwise made available) to our affiliates and other third parties who provide services on our behalf. For example, we use service providers to help us process, store and secure data. This may include sending email or other communications using their online services. Our service providers are given the information they need to perform their designated functions, and are not authorized to use or disclose personal information for their own purposes. Your personal information may be maintained and processed by us, our affiliates and other third party service providers in other jurisdictions. In the event personal information is transferred to another jurisdiction, it will be subject to the laws of that jurisdiction and may be disclosed to or accessed by the courts, law enforcement and governmental authorities in accordance with those laws.

Security

The personal information that is retained by TSX is kept in a secure environment and is updated from time to time. Only those employees of TSX who require access to your information in order to accomplish the purposes identified above, will be given access to your file. Employees of TSX who have access to your information are made aware of how to keep it confidential.

Accuracy

Information about you maintained by TSX that is identified by you as inaccurate or obsolete will be replaced or removed, as applicable.

Questions

If you wish to consult your file or make corrections to it or if you have any questions or enquiries with respect to the privacy principles outlined above or about our practices, please send a written request to: Chief Privacy Officer, TMX Group Limited, 300 – 100 Adelaide Street West, Toronto, Canada, M5H 1S3.