

TSX Venture Exchange (TSXVN)

APPLICATION FOR APPROVAL AS TRADER

FOR INTERNAL USE ONLY

Confirmation of Question 5	Other Confirmation
TradeTSXVN Exam Mark	TradeTSXVN ID Number
Trading Services approval by:	Date
Membership approval by:	Date

1. APPLICANT

Last Name	First, Second & Third Names		
Legal last Name (if different from above)	Legal First, Second & Third Names (if different from above)		
Residential address (with postal code)	Area Code: Telephone:		
Address for service in province of registration (with	h postal code) Social Insurance Number (not required for applications in Ontario)		
Present position in the firm	Commenced employment on:		
	Day Month Year		

2. <u>FIRM</u>

Name	Area Code: Direct Telephone:
Address where applicant will be working (street, city, province, postal cod	e)

3. PERSONAL DATA OF APPLICANT

DA	ATE OF BIF	RTH		PLACE OF BIRTH		SEX
Day	Month	Year	City	Province	Country	

4. TYPE OF APPROVAL REQUESTED

- (1) Assistant TradeTSXVN Trader
- (2) Assistant TradeTSXVN Trader/RR
- (3) TradeTSXVN Trader
- (4) TradeTSXVN Trader/RR

5. <u>EDUCATION</u> – Have you successfully completed:

	Yes	No	Exempt	Date
Canadian Securities Course				
Examination based on the Registered Representative Manual				
Examination based on the Conduct and Practices Handbook				
Trader Training Course				
TradeTSXVN Examination				
Other				

(Attach applicable results)

6. EMPLOYMENT HISTORY

(A) Previous Experience:	Yes	No	Exempt	
Full Trader				
Assistant Trader				
Desk Trader				
Electronic Trading				
Describe				
Other				

(B) If the response to 6A is "yes", state the name of the employer and period of employment.

	Name and title of	Nature of	FR	ОМ	T	0
Name of Employer	immediate	employment and				
	superior	duties of applicant	mo	yr	mo	yr
PRESENT:						
PREVIOUS:						

 7. If approval is given as a Trade or Trader/RR, will the applicant operate or have an interest in a PRO trading Account?
 Yes
 No

8. REGISTRATION

Are you now or have you <u>ever</u> been registered or licensed, or applied for registration or a license in any capacity under any act or regulation thereof, regulating trading in securities, commodities or commodity futures contracts of any province, territory, state or country? Yes No

If "Yes", please indicate provincial jurisdiction and self regulatory organization. Attach proof of registration and/or SRO approval letter

Ju	urisdiction	SRO approval letter attached
Alberta British Columbia Manitoba Ontario Québec Other		Not applicableImage: Constraint of the co

State whether the registration is currently in effect.

9 REFUSAL, SUSPENSION, CANCELLATION OR DISCIPLINARY ACTION

A) Have you <u>ever</u> been refused registration or a license, or has your registration or license been suspended or cancelled, under any act or regulation thereof, regulating trading in securities, commodities or commodity futures contracts of any province, territory, state or country? **Yes No No**

Yes

No 🗌

If "yes", complete details **must be** attached by way of exhibit.

B) Has any prior or current registration or licensing to deal or trade in securities, commodities or commodity futures contracts held by you or any partnership or company of which you were at the time of such event a partner, officer or director or holder of voting securities carrying more than 5 percent of the votes carried by all outstanding voting securities <u>ever</u> been the subject of disciplinary action undertaken by any authority regulating or supervising trading in securities, commodities, or commodity futures contracts? **Yes No**

If "yes", complete details **must be** attached by way of exhibit.

CERTIFICATE AND CONSENT

I certify that the information provided in this form is complete and true. I have read and understand the Personal Information Collection Policy attached hereto as Exhibit 1 (the "Collection Policy"). I 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.

Dated at	this	_ day of	20
Signature of Applicant		 Name of Sponsoring Member	
		Name of Sponsoning Member	

Signature of authorized officer of Member

Name of Title of authorized officer of Member (PLEASE PRINT)

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 Member or Participating Organization, as applicable, and use it for the following purposes (the "object of the file"):

- 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 applicable rules, policies, rulings and regulations of the Toronto Stock Exchange and 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 also collects 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 these agencies and organizations or as otherwise permitted or required by law, and they may use it in their own investigations for the purposes described above.

TSX may from time to time use third parties to process information and/or provide other administrative services. In this regard, we may share the information with our carefully selected service providers.

If you fail to accurately complete the Application Form or to consent to this Collection Policy, we may refuse to allow you to act as a trader.

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, TSX Group, The Exchange Tower, 130 King Street West, Toronto, Canada, M5X 1J2.