



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 postal code)		Social Insurance Number (not required for applications in Ontario)	
Present position in the firm		Commenced employment on: <u>Day</u> <u>Month</u> <u>Year</u>	

2. FIRM

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

3. PERSONAL DATA OF APPLICANT

DATE OF BIRTH			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. EDUCATION – Have you successfully completed:

	Yes	No	Exempt	Date
Canadian Securities Course	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
Examination based on the Registered Representative Manual	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
Examination based on the Conduct and Practices Handbook	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
Trader Training Course	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
TradeTSXVN Examination	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
Other _____				_____

(Attach applicable results)

6. EMPLOYMENT HISTORY

(A) Previous Experience:

	Yes	No	Exempt
Full Trader	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Assistant Trader	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Desk Trader	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Electronic Trading	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Describe _____			
Other _____			

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

Name of Employer	Name and title of immediate superior	Nature of employment and duties of applicant	FROM		TO	
			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**

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

Signature of authorized officer of Member

Name of Title of authorized officer of Member
(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 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.