

Dual-Registration Documentation Checklist

Refer to the table below for a list of supporting documents, forms, and other materials that must be submitted with the Dual-Registration Questionnaire, where applicable.

Dual-Registration Questionnaire – Section Reference		Requested Document	Prescribed Form or Template	Link to Form or Template		Type of Dealer Member			Applicant to Complete	
				EN	FR	A/A	ID	MFD	Attached	N/A
A	GENERAL INFORMATION									
A4.1	Change in Legal Name	Articles of Amendment evidencing change in legal name					ID	MFD	<input type="checkbox"/>	<input type="checkbox"/>
B	ACQUISITION OR AMALGAMATION									
B1	Details of Proposed Reorganization, Acquisition or Amalgamation	Written Notice of Proposed Reorganization, Acquisition or Amalgamation				A/A			<input type="checkbox"/>	<input type="checkbox"/>
B2	Legal Name of Continuing Firm	Articles of Amendment evidencing change in legal name				A/A			<input type="checkbox"/>	<input type="checkbox"/>
B3.1	Continuing Member Undertaking and Financial Statements	Continuing Member Letter of Undertaking				A/A			<input type="checkbox"/>	<input type="checkbox"/>
B3.2	Continuing Member Undertaking and Financial Statements	Continuing Member Pro Forma Financial Statements				A/A			<input type="checkbox"/>	<input type="checkbox"/>
B4	Resignation of Existing Member(s)	Letter of Resignation and supporting documents				A/A			<input type="checkbox"/>	<input type="checkbox"/>
C	INTEGRATION PLAN									
C1	Organization of Investment Dealer and Mutual Fund Dealer Business	Detailed Plan for Operating as a Dual-Registered Dealer				A/A	ID	MFD	<input type="checkbox"/>	<input type="checkbox"/>
C7.1	Application for Exemptive Relief - Business Case	Application for Exemptive Relief - Business Case				A/A	ID	MFD	<input type="checkbox"/>	<input type="checkbox"/>
C9.1	Client Account Opening Documents - Samples	Samples of Client Account Opening Documents				A/A	ID	MFD	<input type="checkbox"/>	<input type="checkbox"/>
C10.1	Client Disclosures - Samples	Samples of Client Disclosures				A/A	ID	MFD	<input type="checkbox"/>	<input type="checkbox"/>
D	OWNERSHIP STRUCTURE									
D1.1	Ownership Chart	Corporate Ownership Chart				A/A	ID	MFD	<input type="checkbox"/>	<input type="checkbox"/>
D2.1	Interest in the Member's Capital (10% or More)	Investor Application Form	Yes	EN	FR	A/A	ID	MFD	<input type="checkbox"/>	<input type="checkbox"/>
D2.2	Interest in the Member's Capital (Less than 10%)	Investor Notification Form	Yes	EN	FR	A/A	ID	MFD	<input type="checkbox"/>	<input type="checkbox"/>
E	DIRECTORS AND EXECUTIVES									
F	BUSINESS OPERATIONS									
F4	Business Location Changes	Business Location(s) Changes List	Yes	EN	FR	A/A	ID	MFD	<input type="checkbox"/>	<input type="checkbox"/>
F8.1.2	Participating Organization - Supporting Documents	Trade Flow Diagram				A/A		MFD	<input type="checkbox"/>	<input type="checkbox"/>
F8.1.3	Participating Organization - Supporting Documents	Policies & Procedures to address UMIR requirements				A/A		MFD	<input type="checkbox"/>	<input type="checkbox"/>
G	DEALER ARRANGEMENTS									
G2	Introducing/Carrying Arrangements	Signed Introducing/Carrying Broker Agreement(s) or Introducing/Carrying Dealer Agreement(s)	Yes (ID)	Type 1 - EN	Type 1 - FR	A/A	ID	MFD	<input type="checkbox"/>	<input type="checkbox"/>
			Yes (ID)	Type 2 - EN	Type 2 - FR	A/A	ID	MFD	<input type="checkbox"/>	<input type="checkbox"/>
			Yes (ID)	Type 3 - EN	Type 3 - FR	A/A	ID	MFD	<input type="checkbox"/>	<input type="checkbox"/>
			Yes (ID)	Type 4 - EN	Type 4 - FR	A/A	ID	MFD	<input type="checkbox"/>	<input type="checkbox"/>
G3	Outsourcing Arrangements	Signed Outsourcing or Service Agreements				A/A	ID	MFD	<input type="checkbox"/>	<input type="checkbox"/>
G5.1	Agency Agreement(s)	New or Revised Principal/Agent Agreement(s)				A/A	ID	MFD	<input type="checkbox"/>	<input type="checkbox"/>

Dual-Registration Questionnaire – Section Reference		Requested Document	Prescribed Form or Template	Link to Form or Template		Type of Dealer Member			Applicant to Complete	
				EN	FR	A/A	ID	MFD	Attached	N/A
G5.2	Member Agreement with New SRO	Written Agreement with New SRO regarding Agents	Yes	EN	FR	A/A	ID	MFD	<input type="checkbox"/>	<input type="checkbox"/>
H	FINANCIAL OPERATIONS									
H2	Minimum Capital Requirements	Pro forma Financial Statements						MFD	<input type="checkbox"/>	<input type="checkbox"/>
H4	Insurance Coverage - Changes	New or Revised Insurance Policy(ies)				A/A	ID	MFD	<input type="checkbox"/>	<input type="checkbox"/>
H5	Custodial Agreements - Changes	New or Revised Custodial Agreements				A/A	ID	MFD	<input type="checkbox"/>	<input type="checkbox"/>
I	POLICIES, PROCEDURES AND SUPERVISION									
I1	Corporate Governance - Changes	Revised Corporate Governance Document				A/A	ID	MFD	<input type="checkbox"/>	<input type="checkbox"/>
I3	Policies & Procedures	New or Revised Policies & Procedures				A/A	ID	MFD	<input type="checkbox"/>	<input type="checkbox"/>
I8	Remote Branch Supervision	Remote Supervision Proposal				A/A	ID		<input type="checkbox"/>	<input type="checkbox"/>