

Membership Application Form - Reference		Requested Document	Prescribed Form or Template	Link to Prescribed Form or Template		Type of New Applicant Dual = Dual-Registered ID = Investment Dealer MFD = Mutual Fund Dealer			Applicant to Complete	
				EN	FR	Dual	ID	MFD	Attached	N/A
F	CLIENT REPORTING									
F1.1	Client Reporting - Client Account Statements	Sample Client Account Statement				Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>
F1.2	Client Reporting - Trade Confirmations	Sample Trade Confirmation				Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>
F1.3	Client Reporting - Annual Report on Charges and Other Compensation	Sample Annual report on Charges and Other Compensation				Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>
F1.4	Client Reporting - Annual Performance Report	Sample Annual Performance Report				Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>
G	INTEGRATION PLAN									
G1	Organization of Investment Dealer Business and Mutual Fund Dealer Business	Detailed Plan to Operate as a Dual Registered dealer				Yes			<input type="checkbox"/>	<input type="checkbox"/>
G5.1	Application for Exemptive Relief - Business Case	Application for Exemptive Relief - Business Case				Yes			<input type="checkbox"/>	<input type="checkbox"/>
H	PRINCIPAL AND AGENT RELATIONSHIPS									
H1	Approved Persons as Agents	Sample Principal/Agent Agreement (Agreement with Agents)				Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>
H2	Written Agreement between the Applicant and New SRO regarding Agents	Written Agreement between the Applicant and New SRO regarding Agents	Yes	EN	FR	Yes	Yes		<input type="checkbox"/>	<input type="checkbox"/>
H3	Certification of Compliance with Section 1.1.5 of the Mutual Fund Dealer Rules	Written Confirmation of Compliance with Section 1.1.5 of the Mutual Fund Dealer Rules	Yes	EN	FR			Yes	<input type="checkbox"/>	<input type="checkbox"/>
I	DEALER AGREEMENTS									
I1	Introducing/Carrying Broker Arrangements	Signed Introducing/Carrying Broker Agreement(s) or Introducing/Carrying Dealer Agreement(s)	Yes (Dual/ID)	Type 1 - EN	Type 1 - FR	Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>
			Yes (Dual/ID)	Type 2 - EN	Type 2 - FR	Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>
			Yes (Dual/ID)	Type 3 - EN	Type 3 - FR	Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>
			Yes (Dual/ID)	Type 4 - EN	Type 4 - FR	Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>
I3.2	Trustee Agreement for Registered Plans	Signed Trustee Agreement				Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>
I4	Outsourcing/Service Arrangements	Signed Outsourcing or Service Agreements				Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>
I5.1.1	Referral Agreement	Signed Referral Agreements(s)				Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>
I5.1.2	Referral Arrangement Disclosure to Clients	Referral Arrangement Disclosure to Clients				Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>
J	FINANCIAL OPERATIONS									
J4	Investment Dealer Audited Form 1	Audited Investment Dealer Form 1 prepared within the last 90 days	Yes	EN	FR	Yes	Yes		<input type="checkbox"/>	<input type="checkbox"/>
J5	Mutual Fund Dealer Audited Form 1	Audited Mutual Fund Dealer Form 1 prepared within the last 90 days	Yes	EN	FR			Yes	<input type="checkbox"/>	<input type="checkbox"/>
J6	Monthly Unaudited Financial Reports	Monthly Unaudited Financial Reports for any month-end after the date of the Audited Form 1	Yes	SIRFF	SIRFF	Yes	Yes		<input type="checkbox"/>	<input type="checkbox"/>
J7	Monthly Unaudited Mutual Fund Dealer Form 1	Unaudited Mutual Fund Dealer Form 1 for any month-end after the date of the Audited Form 1	Yes	EN	FR			Yes	<input type="checkbox"/>	<input type="checkbox"/>
J8.1	Audited Financial Statements - most recent	Most recent Audited Financial Statements				Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>
J8.2	Financial Statements for the 3 preceding years	Financial Statements for 3 years preceding the Application				Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>

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J10	Auditor Letter/Report regarding System of Books and Records	External Auditor Letter/Report confirming the Applicant maintains a proper System of Books & Records	Yes Dual/ID	Recognized EDP Service Provider (Types 1 & 2)	Fournisseurs de Services TED Reconnus (Types 1 & 2)	Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>
			Yes Dual/ID	Recognized EDP Service Provider (Types 3 & 4)	Fournisseurs de Services TED Reconnus (Types 3 & 4)	Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>
			Yes Dual/ID	Proprietary EDP Systems	Systèmes exclusifs de TED	Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>
J11	Audit Engagement Partner Letter of Acknowledgement	Audit Engagement Partner Letter of Acknowledgement						Yes	<input type="checkbox"/>	<input type="checkbox"/>
J13.2	Banking Information for Trust Account - Copy of Trust Bank Account	Evidence of Trust Account						Yes	<input type="checkbox"/>	<input type="checkbox"/>
J13.3	Banking Information for Trust Account - Notice to Financial Institution	Notification to Financial Institution per Section 3.3.2 of the Mutual Fund Dealer Rules						Yes	<input type="checkbox"/>	<input type="checkbox"/>
J14.1	Mail Insurance	Copy of Mail Insurance policy				Yes	Yes		<input type="checkbox"/>	<input type="checkbox"/>
J14.2	Financial Institution Bond ("FIB")	Copy of FIB policy				Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>
J16	Investor Protection Fund ("IPF") Membership	Evidence of IPF Membership or Application				Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>
K	POLICIES, PROCEDURES AND SUPERVISION									
K1	Corporate Governance Document	Corporate Governance Document				Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>
K5	Policies and Procedures Manual	Policies & Procedures Manual				Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>
K7	Internal Control Policy Statements	Internal Control Policy Statements				Yes	Yes		<input type="checkbox"/>	<input type="checkbox"/>
K8	Credit Risk Policies and Procedures	Credit Risk Policies & Procedures				Yes	Yes		<input type="checkbox"/>	<input type="checkbox"/>
K9	Cybersecurity Risk Management	Cybersecurity Risk Management Policy				Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>
K11	Client Complaints Policies and Procedures	Client Complaints Policies & Procedures				Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>
K12	Complaint Handling Brochure	Complaint Handling Brochure	Yes	EN	FR	Yes	Yes		<input type="checkbox"/>	<input type="checkbox"/>
K13	Client Complaint Information Form	Client Complaint Information Form	Yes	EN	FR			Yes	<input type="checkbox"/>	<input type="checkbox"/>
K15	Mutual Fund Dealer Branch Review Program	Mutual Fund Dealer Branch Review Program				Yes		Yes	<input type="checkbox"/>	<input type="checkbox"/>
K16	Remote Branch Supervision	Remote Branch Supervision Proposal				Yes		Yes	<input type="checkbox"/>	<input type="checkbox"/>
P	CIVIL PROCEEDINGS									
P3	Bankruptcy	Copy of Bankruptcy discharge, release or similar document				Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>
Q	EXEMPTIVE RELIEF									
Q1	Application for Exemptive Relief	Application for Exemptive Relief				Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>