



Section C – Directorship / Ownership Details

Names of Directors and Address:

Shareholders and Address:

Section D – General Information

Assets Under Management:

Assets Under Custody:

Date of Latest Submission of Audited Financial Statement:

Fiscal Year End:

Number of Employees:

Name of Insurance Provider:

Indemnity Coverage Period:

From:

To:

Amount:

Section E – Service Providers Information

Auditor and Address:

Attorney and Address:

Banker and Address:

State Other Outsource Agreements:

Please indicate any additional changes with respect to the company that the registrant considers important or appropriate.

Declaration:

I, the undersigned, hereby affirm that to the best of my information, knowledge and belief:

- a. the contents of this form and any attachments provided with this form are true, correct and not misleading; and
- b. all of the information filed with the Commission by the Registered Firm is current and applicable.

Signature: _____

Name (Chief Executive Officer): _____

[Print]

Date: _____



Guidance Notes

1. For the intent and purposes of the Securities Industry Act, 2011 (“the Act”), this Form should be completed by such authorized person upon being satisfied that the information contained therein reflects:
 - a. Current information related to the registration or licensing details of the Firm and any other material changes regarding the affairs of the company; and
 - b. Current information related to those persons licensed or registered with the Firm and any other material changes requiring an amendment to the initial application. This would also include information relating to the termination, resignation or retirement of any registered or licensed individual employed with the Firm, as the case may be.
2. All Securities Investment Advisors must have suitable professional indemnity insurance coverage, pursuant to Regulation 43 of Securities Industry Regulation 2012 and section 13 of the Act.

A copy of the Firm’s indemnity insurance policy must be provided for the purposes of satisfying the Commission that the appropriate indemnity coverage has been maintained.

3. The Form must be submitted at the time annual fees for the current period are received.
4. This Form must be signed personally by the chief executive officer or managing officer (as applicable), to be true and complete.

Definitions

I. Assets Under Management

Assets under management is to be defined as the ‘securities portfolios’ with respect to which an advisor, representative trader, or discretionary management (investment company) provides continuous and regular supervisory or management services.

II. Assets Under Custody

Assets under custody is to be defined as client funds or securities, held in ‘custody’ directly or indirectly by an advisor, representative trader, or discretionary management (investment company) on their behalf, or where the advisor, representative trader, or discretionary management (investment company) has any authority to obtain possession of them.

III. Calendar Year

This is the period between 1st January and 31st December (12 months).