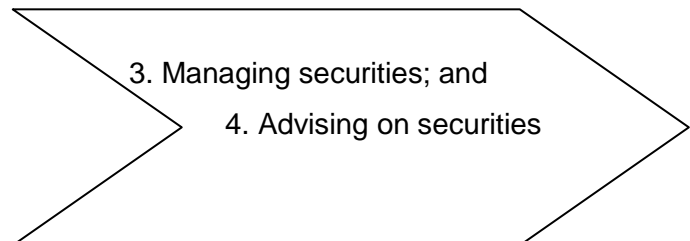
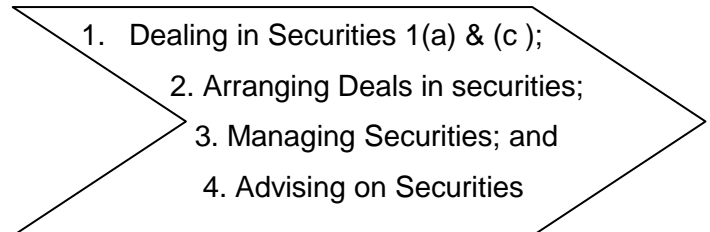
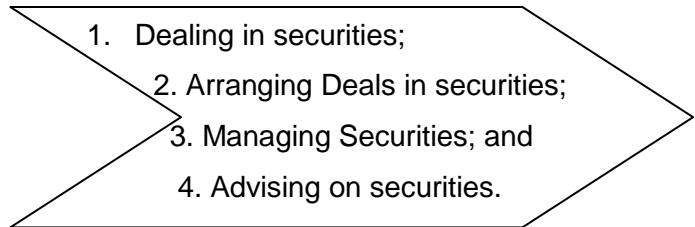


Re-categorization Process: Mapping of Registrants under the Securities Industry Act, 2011

For firms formerly registered under the SIA 1999, Regulation 146 of the SIR, 2012 sets out how firms have been mapped under the SIA, 2011.



For individuals formerly registered under the SIA 1999, Regulation 151 of the SIR, 2012 sets out how individuals have been mapped under Part VI of the SIA 2011.

Broker,
stockbroker or
principal

Representative, Trading

Associated Person

Representative, Advising only

Securities
Investment Advisor

Representative,
Discretionary management

In addition, two new categories of registration, CEO and Compliance Officer, have been established.

Principal who is a
CEO or Managing
Director

CEO or Managing
Director

Principal who is a
Compliance Officer

Compliance Officer