

AGREEMENT OF APPROVED PERSON

I _____ acknowledge that I am an Approved Person in
(print or type full name)

respect of an applicant for membership in the Canadian Investment Regulatory Organization (“CIRO”) or a current member of CIRO subject to the Mutual Fund Dealer Rules, (“Member Firm”, which term includes any other member of CIRO subject to the Mutual Fund Dealer Rules in respect of which I am approved from time to time), and hereby agree:

1. to notify the Member Firm of which I am an Approved Person in writing of any change in information relating to me as an Approved Person as prescribed by any applicable law, any By-law of CIRO, or any of the Mutual Fund Dealer Rules of CIRO (herein referred to as the “MFD Rules”);
2. to be bound by, observe and comply with the MFD Rules as they are from time to time amended or supplemented;
3. that I am conversant with the MFD Rules, and to keep myself fully informed about the MFD Rules as they are amended or supplemented from time to time; and
4. to submit to the jurisdiction of CIRO and, wherever applicable, the Board of Directors, officers, committees and councils thereof.

In the event of my termination or suspension as an Approved Person in respect of a Member Firm, I agree forthwith to terminate my association with the Member Firm and thereafter not to accept employment with or perform services of any kind for any other Member Firm unless registered and approved in accordance with applicable laws and the MFD Rules.

I acknowledge and consent that CIRO may obtain any information whatsoever from any source, as permitted by law in any jurisdiction in Canada or elsewhere.

DATED at _____ this _____ day of _____ 20_____.

Signature of Approved Person