



2020 Regional Council Elections  
- Nomination Form -

**PART A - MEMBER DETAILS** (To be Completed by the Member)

The undersigned dealer is a Member of the MFDA in the Central Region and hereby nominates the individual below (who is resident in the Central Region and is a partner, officer, director, employee or agent of the undersigned Member in the Central Region) for election to the MFDA's Central Regional Council:

- 1. Member: \_\_\_\_\_  
[Full Legal Name of Member]
- 2. Name & Title: \_\_\_\_\_  
[Print Name & Title of Officer/Director of Member]
- 3. Signature: \_\_\_\_\_  
[Signature of Officer/Director of Member]
- 4. Business Address: \_\_\_\_\_  
[Street Address]  
\_\_\_\_\_  
[City, Province and Postal Code]

**PART B - NOMINEE DETAILS** (To be Completed by the Nominee)

- 1. I, \_\_\_\_\_ by my signature below, hereby consent to being nominated for  
[Print Name]  
election to the Central Regional Council
- 2. Title/Position: \_\_\_\_\_  
[e.g. VP Compliance, Chief Compliance Officer, etc.]
- 4. Residential Address: \_\_\_\_\_  
[Street Address]  
\_\_\_\_\_  
[City, Province and Postal Code]
- 5. Telephone: \_\_\_\_\_
- 6. Email: \_\_\_\_\_
- 7. If elected, I would be interested in serving as Chair or Vice-Chair of the Central Regional Council (check box)

YES

**PART C – DECLARATION (To be Completed by the Nominee)**

1. By signing below, I confirm that, to the best of my knowledge, I am not currently the subject of an investigation, and have never been the subject of a formal disciplinary hearing, commenced by any member of the Canadian Securities Administrators, the Mutual Fund Dealers Association of Canada, the Investment Industry Regulatory Organization of Canada, the Office of the Superintendent of Financial Institutions, or any other self-regulatory organization or provincial body that regulates securities, mutual funds, insurance, loan and trust companies, credit unions, mortgage brokers, pensions, co-operatives or caisses populaires.

2. By signing below, I hereby agree and undertake to immediately notify the Director of Regional Councils of the MFDA if my eligibility to serve on the Central Regional Council should become impaired or invalidated for any reason, including:

- A. If I cease to be a partner, officer, director, employee or agent of a Member in the central Region;
- B. If I cease to regularly reside in the Central Region;
- C. If my registration status, or the registration status of my sponsoring Member as a mutual fund dealer, under any applicable securities legislation is suspended, revoked or terminated;
- D. If a general assignment in bankruptcy is made in respect of myself or my sponsoring Member; or
- E. If I become the subject of an investigation or disciplinary proceeding commenced by any of the regulatory entities listed above.

3. By signing below, I hereby authorize the MFDA to distribute a summary of my professional experience (to be approved by the nominee prior to distribution) to Members for the purpose of facilitating any election process that may be required to reconstitute the Central Regional Council.

**DATED** \_\_\_\_\_, 2020.

\_\_\_\_\_  
[Print Name of Nominee]

\_\_\_\_\_  
[Signature of Nominee]

**IMPORTANT:**

- Please ensure that completed *Nomination Forms* are returned to the MFDA by **FRIDAY, APRIL 17, 2020**
- Late or incomplete *Nomination Forms* **will not be accepted.**

**Mail:** Michelle Pong  
Senior Legal Counsel and Director, Regional Councils  
Office of the Corporate Secretary  
Mutual Fund Dealers Association of Canada  
121 King Street West, Suite 1000  
Toronto, Ontario  
M5H 3T9

**Email:** [corporatesecretary@mfda.ca](mailto:corporatesecretary@mfda.ca)