

Application By An Individual For Registration As



THE MANITOBA
SECURITIES
COMMISSION

- Authorized official (check appropriate box)
 Salesman

When completing this application, please refer to the explanatory notes on Page 4.

The Mortgage Dealers Act
TO THE REGISTRAR
THE MORTGAGE DEALERS ACT

Application is made for registration under *The Mortgage Dealers Act* in the category indicated above. For the purpose of obtaining registration, the applicant makes the following statements of fact:

- Name of Applicant _____
 (Print Full Legal Name)
- Residential Address _____
 Postal Code _____ Telephone No. _____
- Address for Service: _____
 Postal Code _____ Telephone No. _____
- Name of employing mortgage dealer: _____
 (Mortgage Dealer's Full Registered Name)

5. PERSONAL DESCRIPTION OF APPLICANT:

Date of Birth _____ Day Month Year		Place of Birth _____		Sex _____	Citizenship _____ (If the applicant is not a citizen of Canada, attach Documentary evidence (e.g. Record of Landing from Immigration authorities) showing that you are entitled to work in Canada)
Height _____	Weight _____	Colour of Eyes _____	Color of Hair _____	Complexion _____	
Marital Status _____				Visible Distinguishing Marks _____	
Number of years of continuous residence in Canada _____				Social Insurance Number _____	

NOTE: Applicants must be at least 18 years of age.

6. EMPLOYMENT HISTORY:

The following information constitutes full disclosure of my employment and business activities, including self-employed and unemployed periods, if any, for the full 5-year period immediately preceding the date of this application.

Name and Address of Employer	Period of Employment From: (D/M/Y) To: (D/M/Y)	Nature of Employment	My Residence During Said Employment

7. **PLEASE NOTE:** Where applicable, the questions in this section refer to all laws, e.g. Criminal, Immigration, Customs, Liquor, etc. but excluding minor traffic violations, of any province, state or country in any part of the world. **If your answer to any of these questions is "Yes," you MUST give a FULL explanation on a separate sheet and attach hereto.**

- (a) Have you ever been charged, indicted or convicted under the law of any province, state or country? Yes ____ No ____
- (b) Have you during the past five years been given an absolute, or a conditional discharge from any charge laid against you under the law of any province, state or country? Yes ____ No ____
- (c) Are there any unsatisfied civil judgments against you at the present time or is there civil action of any nature now pending against you in any court? Yes ____ No ____
- (d) Have you ever been discharged from employment because of a charge or a conviction against you under the law of any province, state or country? Yes ____ No ____
- (e) Has any civil judgment ever been given, either against yourself or against someone by whom you were employed, that was based on fraud alleged to have been committed by you? Yes ____ No ____
- (f) Have you at any time declared bankruptcy or made a voluntary assignment in bankruptcy? (If "yes," and a discharge has been obtained with respect to the bankruptcy, attach a copy of the discharge documents.) Yes ____ No ____
- (g) Have you ever been refused a fidelity bond? Yes ____ No ____
- (h) Have you ever used, operated under, or carried on business, or are you known by any surname, company name or trade style, other than the name which is subscribed hereto? Yes ____ No ____

8. **PLEASE NOTE:** If your answer to any of these questions is "yes," you must give a full explanation on a separate sheet and attach hereto.

Have you ever been:

- (a) Registered or licensed to deal in mortgages, sell real estate, securities, insurance, or in any other capacity under any legislation to deal with the public in Manitoba or any other province, state or country? Yes ____ No ____
- (b) Refused registration in any category referred to in 8(a) above? Yes ____ No ____
- (c) suspended or cancelled for cause as a registrant or licensee in any category referred to in 8(a) above? Yes ____ No ____

9. **PLEASE NOTE:** If your answer to any of the questions in this section is "yes," provide a full explanation on an attached sheet.

- (a) Have you ever been a member of The Mortgage Loans Association of Manitoba, The Canadian Real Estate Association or any of its affiliates or any Mortgage Loans or Mortgage Brokers Association or local Real Estate Board in any province? Yes ____ No ____
- (b) Were you ever refused membership in any of the above-mentioned associations? Yes ____ No ____
- (c) Was your membership in any of the above-mentioned associations ever suspended for cause or were you ever the subject of any other disciplinary action commenced by such an association? Yes ____ No ____

10. If this application is approved, I will (check appropriate box):

- be employed full time by my **mortgage dealer named above and will not engage in any other employment**
- be employed part time and will engage in other employment (give details of other employment) _____

I, THE UNDERSIGNED DO HEREBY STATE

I am the applicant herein for registration and the statements of fact made by me in this application and in the attachments, if any, are true and complete.

DATED at _____ this ____ day of _____, 20 ____.

(Witness)

(Signature of Applicant)

CERTIFICATE OF EMPLOYING MORTGAGE DEALER

On behalf of _____, I hereby certify that the applicant
(Registered name of Employing Mortgage Dealer)
named herein, who is applying for registration in the category named above, will be engaged as such if the registration or approval sought is granted by the Registrar.

I certify that I have discussed the questions set out in this application with the applicant, in particular question 7, and I am satisfied that the applicant fully understands the questions.

I further certify that, to the best of my knowledge, the applicant has answered the questions correctly.

Dated at _____ this _____ day of _____ 20 ____.

(Witness)

(Authorized Signature)

(Official capacity-state whether proprietor, partner, authorized official, officer or director.)

WARNING

An application containing a false statement may result in the refusal, suspension or cancellation of any registration including a prosecution pursuant to Sections 42(1) and 44 of *The Mortgage Dealers Act* of the applicant and/or the employing broker.

INSTRUCTIONS TO INDIVIDUALS COMPLETING FORM M.A.O./M.S.
**APPLICATION FOR REGISTRATION AS
AUTHORIZED OFFICIAL OR MORTGAGE SALESMAN**

1. The appropriate fee must accompany this application to the Registrar's office. If payment is being made by cheque, it must be made payable to the **Minister of Finance**.

RECORDS REQUEST/REPLY

DEMANDE DE DOSSIER/RÉPONSE

PRINT CLEARLY - COMPLETE APPLICABLE SECTION

ÉCRIRE CLAIREMENT EN CARACTÈRES D'IMPRIMERIE - REMPLIR LA PARTIE PERTINENTE

ENQUIRING AGENCY USE À L'USAGE DE L'ORGANISME DEMANDEUR

AGENCY NAME - NOM DE L'ORGANISME

DATE

The Manitoba Securities Commission

A APPLICANT – CANDIDAT

SURNAME - NOM DE FAMILLE		GIVEN 1 - 1 ^{er} PRÉNOM		GIVEN 2 - 2 ^e PRÉNOM		MAIDEN NAME - NOM DE JEUNE FILLE		SEX SEXE	
ADDRESS - ADRESSE				BIRTHDATE - DATE DE NAIS - SANCE		BIRTHPLACE - LIEU DE NAISSANCE			
IF FOREIGN BORN, INDICATE DATE OF ENTRY EN CAS DE NAISSANCE À L'ÉTRANGER, INDIQUER LA DATE D'ENTRÉE			DATE	HEIGHT - TAILLE	WEIGHT - POIDS	HAIR - CHEVEUX	EYES - YEUX		

Have you ever been charged and/or convicted under the law of any Province, State or Country for which you have not been pardoned?
Avez-vous déjà fait l'objet d'une accusation ou d'une condamnation en vertu de la loi d'une province, d'un Etat ou d'un pays, pour laquelle vous n'avez pas obtenu un pardon?

If yes, provide details - Dans l'affirmative, donnez des précisions.

No | _____
Non | _____

"I understand that the information on my application for registration or license, or renewal thereof, will be used to conduct a suitability investigation regarding my application. I understand that if I fail to accurately disclose my criminal history information, it may constitute an offence under the Provincial Securities Act or equivalent, or under section 132 of the CRIMINAL CODE if made under oath."

Je reconnais que les renseignements inscrits sur ma demande d'enregistrement ou de permis, ou de renouvellement de ce dernier, serviront à effectuer une enquête d'admissibilité en ce qui a trait à ma demande. Je reconnais également que si je ne divulgue pas exactement les renseignements contenus dans mon dossier judiciaire, je risque de commettre une infraction à la loi provinciale des valeurs mobilières ou l'équivalent, ou à l'article 132 du CODE CRIMINEL si la déclaration est faite sous serment.

Applicant's Signature – Signature du candidat

Date

B AGENCY – ORGANISME

FOREIGN ENTRY REQUESTED ENQUÊTE À L'ÉTRANGER DEMANDEE	No Non	If yes, provide foreign residential/business history. (attach separate sheet) Dan's l'affirmative, fournir les antécédents résidentiels ou commerciaux à l'étranger. (annexer une feuille distincte)
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If the check performed by the Royal Canadian Mounted Police reveals a failure by the applicant to accurately disclose his/her criminal history, release of the applicant's criminal record is hereby requested for the purpose of conducting an investigation of an offence: such release being authorized by Section 8(2)(a) of the Privacy Act.

Si la vérification effectuée par la Gendarmerie royale du Canada révèle que le candidat n'a pas divulgué exactement les renseignements contenus dans son dossier judiciaire, une copie du casier judiciaire du candidat est nécessaire pour mener une enquête sur une infraction, ainsi que l'autorise l'al .8(2)(a) de la LOI SUR LA PROTECTION DES RENSEIGNEMENTS PERSONNELS.

Agency Official's Signature – Signature du représentant de l'organisme

Date

C S.F.I.C. – C.I.F.V.M.

RCMP FILE DOSSIER DE LA G.R.C.	YES OUI	NO NON	CRIMINAL RECORD CASIER JUDICIAIRE	YES OUI	NO NON
CRIMINAL RECORD IS AS DISCLOSED LE CASIER JUDICIAIRE EST TEL QUE DIVULGUÉ	YES OUI	NO NON	FOREIGN ENQUIRIES BEING CONDUCTED ENQUÊTES À L'ÉTRANGER EN COURS	YES OUI	NO NON
PLEASE COMPLETE C-483 AND RETURN VEUILLEZ REMPLIR LA FORMULE C-483 ET LA RETOURNER		CRIMINAL RECORD FOR FPS NO. CASIER JUDICIAIRE AUX FINS DU N° FPS		S.F.I.C. FILE NO. - N° DE DOSSIER DU C.I.F.V.M.	