

Membership Application – Documentation Checklist

Refer to the table below for a list of supporting documents, forms, and other materials that must be submitted with the Membership Application.

Membership Application Form - Reference		Requested Document	Prescribed Form or Template	Link to Prescribed Form or Template		Type of New Applicant Dual = Dual-Registered ID = Investment Dealer MFD = Mutual Fund Dealer			Applicant to Complete	
				EN	FR	Dual	ID	MFD	Attached	N/A
A	GENERAL INFORMATION									
A1.3	Former name(s) of applicant	Articles of Amendment evidencing change in legal name				Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>
A2.1	Category of Registration	Form 33-109F6 Firm Registration	Yes			Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>
		Form 33-109F4 Registration of Individuals and Review of Permitted Individuals	Yes			Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>
B	LEGAL STATUS AND OWNERSHIP STRUCTURE									
B1.4	Articles of Incorporation	Articles of Incorporation or other documents evidencing formation of the applicant firm				Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>
B2.2	Subordinated Debt	IIROC Uniform Subordinated Loan Agreement	Yes	EN	FR	Yes	Yes		<input type="checkbox"/>	<input type="checkbox"/>
		MFDA Uniform Subordinated Loan Agreement	Yes	EN	FR			Yes	<input type="checkbox"/>	<input type="checkbox"/>
B2.3	Subordinated Debt Secured by Creditor	Override Acknowledgement for MFDA Uniform Subordinated Loan Agreement	Yes	EN	FR			Yes	<input type="checkbox"/>	<input type="checkbox"/>
B2.5.1	Interest in the Applicant's Capital (10% or More)	Investor Application Form	Yes	EN	FR	Yes	Yes		<input type="checkbox"/>	<input type="checkbox"/>
B2.5.2	Interest in the Applicant's Capital (Less than 10%)	Investor Notification Form	Yes	EN	FR	Yes	Yes		<input type="checkbox"/>	<input type="checkbox"/>
B4.1	Firm Structure and Ownership	Corporate Ownership Chart				Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>
C	DIRECTORS, OFFICERS, EXECUTIVES AND OTHER REGISTRANTS									
C1	List of Directors, Officers and Executives	List of Directors, Officers and Executives				Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>
C6	Approved Person Trade Name or Business Name	Trade Names of Approved Persons	Yes	EN	FR	Yes		Yes	<input type="checkbox"/>	<input type="checkbox"/>
D	BUSINESS OPERATIONS									
D2	Corporate Organizational Chart	Corporate Organizational Chart				Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>
D3	Business Plan	5-year Business Plan				Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>
D6	Business Locations	List of Business Locations	Yes	EN	FR	Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>
D7.2.1.2	Participating Organization - Trade Flow	Trade Flow Diagram				Yes	Yes		<input type="checkbox"/>	<input type="checkbox"/>
D7.2.1.3	Participating Organization - Policies & Procedures	Policies & Procedures to address UMIR requirements				Yes	Yes		<input type="checkbox"/>	<input type="checkbox"/>
D8.2.1	Crypto Firms - Diagram of Counterparties & Interactions	Crypto Firms - Dataflow Diagram (Counterparties & Interactions)				Yes	Yes		<input type="checkbox"/>	<input type="checkbox"/>
D8.2.2	Crypto Firms - Detailed Diagrams of Client Transactions	Crypto Firms - Detailed Diagrams of Client Transactions				Yes	Yes		<input type="checkbox"/>	<input type="checkbox"/>
D9	Business Continuity Plan	Business Continuity Plan				Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>
E	CLIENT ACCOUNT DOCUMENTS AND DISCLOSURES									
E1.1 E1.2	Client Account Opening Documents	Samples of Client Account Opening Documents				Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>
E1.3	Online Account Opening Process	Online Account Opening - Supporting Documentation				Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>
E2.1 E2.2	Client Disclosures	Samples of Client Disclosures				Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>

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F	CLIENT REPORTING										
F1.1	Client Reporting - Client Account Statements	Sample Client Account Statement				Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>	
F1.2	Client Reporting - Trade Confirmations	Sample Trade Confirmation				Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>	
F1.3	Client Reporting - Annual Report on Charges and Other Compensation	Sample Annual report on Charges and Other Compensation				Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>	
F1.4	Client Reporting - Annual Performance Report	Sample Annual Performance Report				Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>	
G	INTEGRATION PLAN										
G1	Organization of Investment Dealer Business and Mutual Fund Dealer Business	Detailed Plan to Operate as a Dual Registered dealer				Yes			<input type="checkbox"/>	<input type="checkbox"/>	
G5.1	Application for Exemptive Relief - Business Case	Application for Exemptive Relief - Business Case				Yes			<input type="checkbox"/>	<input type="checkbox"/>	
H	PRINCIPAL AND AGENT RELATIONSHIPS										
H1	Approved Persons as Agents	Sample Principal/Agent Agreement (Agreement with Agents)				Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>	
H2	Written Agreement between the Applicant and CIRO regarding Agents	Written Agreement between the Applicant and CIRO regarding Agents	Yes	EN	FR	Yes	Yes		<input type="checkbox"/>	<input type="checkbox"/>	
H3	Certification of Compliance with Section 1.1.5 of the Mutual Fund Dealer Rules	Written Confirmation of Compliance with Section 1.1.5 of the Mutual Fund Dealer Rules	Yes	EN	FR			Yes	<input type="checkbox"/>	<input type="checkbox"/>	
I	DEALER AGREEMENTS										
I1	Introducing/Carrying Broker Arrangements	Signed Introducing/Carrying Broker Agreement(s) or Introducing/Carrying Dealer Agreement(s)	Yes (Dual/ID)	Type 1 - EN	Type 1 - FR	Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>	
			Yes (Dual/ID)	Type 2 - EN	Type 2 - FR	Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>	
			Yes (Dual/ID)	Type 3 - EN	Type 3 - FR	Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>	
			Yes (Dual/ID)	Type 4 - EN	Type 4 - FR	Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>	
I3.2	Trustee Agreement for Registered Plans	Signed Trustee Agreement				Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>	
I4	Outsourcing/Service Arrangements	Signed Outsourcing or Service Agreements				Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>	
I5.1.1	Referral Agreement	Signed Referral Agreements(s)				Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>	
I5.1.2	Referral Arrangement Disclosure to Clients	Referral Arrangement Disclosure to Clients				Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>	
J	FINANCIAL OPERATIONS										
J4	Investment Dealer Audited Form 1	Audited Investment Dealer Form 1 prepared within the last 90 days	Yes	EN	FR	Yes	Yes		<input type="checkbox"/>	<input type="checkbox"/>	
J5	Mutual Fund Dealer Audited Form 1	Audited Mutual Fund Dealer Form 1 prepared within the last 90 days	Yes	EN	FR			Yes	<input type="checkbox"/>	<input type="checkbox"/>	
J6	Monthly Unaudited Financial Reports	Monthly Unaudited Financial Reports for any month-end after the date of the Audited Form 1	Yes	SIRFF	SIRFF	Yes	Yes		<input type="checkbox"/>	<input type="checkbox"/>	
J7	Monthly Unaudited Mutual Fund Dealer Form 1	Unaudited Mutual Fund Dealer Form 1 for any month-end after the date of the Audited Form 1	Yes	EN	FR			Yes	<input type="checkbox"/>	<input type="checkbox"/>	

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J8.1	Audited Financial Statements - most recent	Most recent Audited Financial Statements				Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>
J8.2	Financial Statements for the 3 preceding years	Financial Statements for 3 years preceding the Application				Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>
J10	Auditor Letter/Report regarding System of Books and Records	External Auditor Letter/Report confirming the Applicant maintains a proper System of Books & Records	Yes Dual/ID	Recognized EDP Service Provider (Types 1 & 2)	Fournisseurs de Services TED Reconnus (Types 1 & 2)	Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>
			Yes Dual/ID	Recognized EDP Service Provider (Types 3 & 4)	Fournisseurs de Services TED Reconnus (Types 3 & 4)	Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>
			Yes Dual/ID	Proprietary EDP Systems	Systèmes exclusifs de TED	Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>
J11	Audit Engagement Partner Letter of Acknowledgement	Audit Engagement Partner Letter of Acknowledgement						Yes	<input type="checkbox"/>	<input type="checkbox"/>
J13.2	Banking Information for Trust Account - Copy of Trust Bank Account	Evidence of Trust Account						Yes	<input type="checkbox"/>	<input type="checkbox"/>
J13.3	Banking Information for Trust Account - Notice to Financial Institution	Notification to Financial Institution per Section 3.3.2 of the Mutual Fund Dealer Rules						Yes	<input type="checkbox"/>	<input type="checkbox"/>
J14.1	Mail Insurance	Copy of Mail Insurance policy				Yes	Yes		<input type="checkbox"/>	<input type="checkbox"/>
J14.2	Financial Institution Bond ("FIB")	Copy of FIB policy				Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>
J16	Investor Protection Fund ("IPF") Membership	Evidence of IPF Membership or Application				Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>
K	POLICIES, PROCEDURES AND SUPERVISION									
K1	Corporate Governance Document	Corporate Governance Document				Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>
K5	Policies and Procedures Manual	Policies & Procedures Manual				Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>
K7	Internal Control Policy Statements	Internal Control Policy Statements				Yes	Yes		<input type="checkbox"/>	<input type="checkbox"/>
K8	Credit Risk Policies and Procedures	Credit Risk Policies & Procedures				Yes	Yes		<input type="checkbox"/>	<input type="checkbox"/>
K9	Cybersecurity Risk Management	Cybersecurity Risk Management Policy				Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>
K11	Client Complaints Policies and Procedures	Client Complaints Policies & Procedures				Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>
K12	Complaint Handling Brochure	Complaint Handling Brochure	Yes	EN	FR	Yes	Yes		<input type="checkbox"/>	<input type="checkbox"/>
K13	Client Complaint Information Form	Client Complaint Information Form	Yes	EN	FR			Yes	<input type="checkbox"/>	<input type="checkbox"/>
K15	Mutual Fund Dealer Branch Review Program	Mutual Fund Dealer Branch Review Program				Yes		Yes	<input type="checkbox"/>	<input type="checkbox"/>
K16	Remote Branch Supervision	Remote Branch Supervision Proposal				Yes		Yes	<input type="checkbox"/>	<input type="checkbox"/>
P	CIVIL PROCEEDINGS									
P3	Bankruptcy	Copy of Bankruptcy discharge, release or similar document				Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>
Q	EXEMPTIVE RELIEF									
Q1	Application for Exemptive Relief	Application for Exemptive Relief				Yes	Yes	Yes	<input type="checkbox"/>	<input type="checkbox"/>