



CIRO · OCRI

Canadian Investment
Regulatory
Organization

Organisme canadien
de réglementation
des investissements

SUPERVISION REPORT

Traders

To be Filed with the Investment Dealer division of the Canadian Investment Regulatory Organization (CIRO)

I hereby certify that supervision for the month ending _____, 20____ of the activities of _____(the Approved Person) has been conducted and evidence to support the review has been retained. I further certify the following:

All orders, both buy and sell of the Approved Person, have been reviewed by a qualified Supervisor by the next business day;

The inventory blotter specific to the Approved Person's pro trading has been reviewed by a qualified Supervisor by the next business day;

All trades of the Approved Person have been reviewed by a qualified Supervisor on a daily and monthly basis;

A review of trading activity on a daily basis has been conducted by a qualified Supervisor relative to the Approved Person's personal accounts and no regulatory issues or concerns have been identified;

No complaints of any nature have been received during the period covered. If there have been reportable complaints, identify the Gatekeeper or ComSet number(s) and any follow up action initiated by the firm if not disclosed on Gatekeeper or ComSet. If there have been complaints not identified on Gatekeeper or ComSet, details have been provided below;

If the activity that led to the supervision has reoccurred, details have been provided below; and

Reasons for the inability to comply with any of the above and disclosure of any issues or concerns identified during the period under review have been provided below.

Date

Signature of Supervisor

Name of Supervisor
(please print)

Employing Dealer Member