

# Application By An Individual For Registration As

(Check appropriate box)

Salesperson

Authorized official



THE MANITOBA  
SECURITIES  
COMMISSION

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

**The Mortgage Brokers Act  
TO THE REGISTRAR  
THE MORTGAGE BROKERS ACT**

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

1. Name of Applicant (full legal name, including any nicknames and/or aliases)

\_\_\_\_\_

2. Residential Address (state full physical address including street and house number, and city, town, village, Box/Group #, etc) \_\_\_\_\_

\_\_\_\_\_

Postal Code \_\_\_\_\_ Telephone No. \_\_\_\_\_ E-Mail Address: \_\_\_\_\_

3. Address for Service: (This is the address that legal documents will be mailed and/or delivered to)

\_\_\_\_\_

Postal Code \_\_\_\_\_ Telephone No. \_\_\_\_\_ E-Mail Address: \_\_\_\_\_

4. 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.]**

5. 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 2-year period immediately preceding the date of this application.

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

6. REGISTRATION AND TERMINATIONS

**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 resigned, been terminated or been dismissed for cause by an employer from a position following allegations that you:

- (a) Violated any statutes, regulations, rules or standards of conduct? Yes \_\_\_ No \_\_\_
- (b) Failed to appropriately supervise compliance with any statutes, regulations, rules or standards of conduct? Yes \_\_\_ No \_\_\_
- (c) Committed fraud or the wrongful taking of property, including theft? Yes \_\_\_ No \_\_\_

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 5 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, which 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, 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 Canadian Association of Accredited Mortgage Professional (CAAMP), 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 broker 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 BROKER**

On behalf of (Registered name of broker i.e. company, partnership or proprietorship) \_\_\_\_\_, the applicant will be registered at the following branch office address \_\_\_\_\_, (full office address with postal code and phone number)

I hereby certify that the applicant 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 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 Brokers Act against the applicant and/or the employing broker.**



# The Manitoba Securities Commission Criminal Record Form

## APPLICANT

The Privacy Act (Canada) and the Freedom of Information and Protection of Privacy Act (Manitoba) authorize The Manitoba Securities Commission to collect personal information, with your consent, to determine your suitability for registration. By signing this form you agree that staff of The Manitoba Securities Commission can obtain your criminal record information for this purpose.

Surname: \_\_\_\_\_

Given Name: \_\_\_\_\_ Middle names(s): \_\_\_\_\_

Are you currently, or have you ever been, known by any names other than your full legal name above, for example: nicknames, spelling changes, or name changes due to marriage or divorce? Yes  No

If Yes, list all other names: \_\_\_\_\_

Full Residential Address: \_\_\_\_\_ City: \_\_\_\_\_ Prov: \_\_\_\_\_

Sex: \_\_\_\_\_ Birthdate: \_\_\_\_\_ Birthplace: \_\_\_\_\_  
(yyyy/mm/dd)

If born outside Canada, date of entry into Canada: \_\_\_\_\_  
(yyyy/mm/dd)

Height: \_\_\_\_\_ Weight: \_\_\_\_\_ Hair Colour: \_\_\_\_\_ Eye Colour: \_\_\_\_\_

"I understand that the information provided on this form will be used to conduct suitability enquiries regarding my application, amendment to application or renewal thereof."

\_\_\_\_\_  
Applicant's Signature

\_\_\_\_\_  
Date (yyyy/mm/dd)

## INTERNAL USE

Criminal Record: Yes  No  Other History \_\_\_\_\_

CPIC  NCIC  INTERPOL  OTHER \_\_\_\_\_

Investigator: \_\_\_\_\_ Date: \_\_\_\_\_ Staff member: \_\_\_\_\_

FPS: \_\_\_\_\_

