

# MARKET MAKER APPLICATION

## ITEM 1 - APPLICANT IDENTIFICATION:

1.1 Name of firm		
1.2 Head office address		
City	Province	Postal Code
1.3 Name of Primary Trader		1.4 Trader ID Number /Vendor (if assigned)
1.5 Telephone		1.6 Email
1.7 Name of Alternate Trader		1.8 Trader ID Number/Vendor (if assigned)
1.9 Telephone		1.10 Email

## ITEM 2 – SECURITIES FOR WHICH THE APPLICANT APPLIES TO BE A MARKET MAKER/PROPOSED SERVICE LEVELS

2.1 Name of Issuer	2.3 Spread Goal
2.2 Type or class of securities	2.4 Guaranteed Fill Volume

## ITEM 3 – RELATIONSHIP BETWEEN APPLICANT AND ISSUER (✓ Check appropriate answer):

**If the answer to any of the following questions is yes, please provide details**

<p>3.1 Does the applicant or any officer, affiliate, associate, director or employee of the applicant beneficially own or exercise control or direction over, directly or indirectly, 5% or more of any class of securities of the Issuer or securities convertible into 5% or more of any class of securities of the Issuer?</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No Details:</p>	<p>3.2 Is any officer or employee of the applicant an officer or director of the Issuer or any of the Issuer's associates or affiliates?</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No Details:</p>
<p>3.3 Has the applicant ever acted as underwriter or agent in a distribution of any securities of the Issuer or of any current or proposed Related Person of the Issuer?</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No Details:</p>	<p>3.4 Has the applicant or any officer, affiliate, associate, director or employee ever been a promoter of the Issuer or of any current or proposed Related Person of the Issuer?</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No Details:</p>
<p>3.5 Are any insiders or promoters of the Issuer, or affiliates or associates of the promoters, which are known to the applicant after reasonable enquiry, trading clients of the applicant?</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No Details:</p>	<p>3.6 Does the applicant have any direct or indirect association, dealings or arrangements with the Issuer, or any promoter, insider, or associate or affiliate of the Issuer, which is known to the applicant after reasonable enquiry?</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No Details:</p>

## ITEM 4 – CERTIFICATE OF THE APPLICANT:

4.1 I certify that the information contained in the application is true and complete to the best of my knowledge and belief.	
Dated at _____ this _____ day of _____	20 _____
By _____	
(Signature of Designated CSE Representative)	
_____	_____
(Official Capacity)	(Name of Person Signing)

### Interpretation:

1. For the purposes of this application, beneficial ownership shall include deemed beneficial ownership as provided in subsection 90(1) of the *Securities Act* (Ontario).
2. All terms used in this application have the meaning ascribed to them in Rule 1 of the CSE Rules.