



**Ontario**  
**Securities Commission**

**CONFIDENTIAL**

Revised November 8, 2001

## Monthly Report - United Nations Suppression of Terrorism Regulations

(All provincially regulated entities dealing in securities, including portfolio management and investment counselling, must file the Report-see *Note 1*)

**Instructions:** Monthly reports must be filed no later than the **fifteenth (15<sup>th</sup>) day of each calendar month**. If such day falls on a Saturday, Sunday or statutory holiday, the Report is due on the next business day. You must review your records on a continuing basis for any dealings with Listed Persons. You must consult the **updated schedule of Listed Persons** before filing the Report. Every Registrant that is incorporated or formed by or under an Act of Parliament or of the legislature of a province of Canada must file the Report with the Registrant Regulation Section by fax: (416) 593-8283.

<b>Name of Registrant:</b>	Date of filing of this report: _____ / _____ / _____ (dd / mm / yy)
Address:	Monthly period covered in this report: (see Note 2) _____ / _____ / _____ (dd / mm / yy)  to _____ / _____ / _____ (dd / mm / yy)
Type of Registration: <i>(check all applicable categories):</i>	<input type="checkbox"/> Broker <input type="checkbox"/> International Dealer <input type="checkbox"/> Portfolio Manager <input type="checkbox"/> Commodity Trading Adviser <input type="checkbox"/> Investment Counsel <input type="checkbox"/> Scholarship Plan Dealer <input type="checkbox"/> Commodity Trading Counsel <input type="checkbox"/> Investment Dealer <input type="checkbox"/> Securities Adviser <input type="checkbox"/> Commodity Trading Manager <input type="checkbox"/> Limited Market Dealer <input type="checkbox"/> Securities Dealer <input type="checkbox"/> Futures Commission Merchant <input type="checkbox"/> Mutual Fund Dealer <input type="checkbox"/> International Adviser <input type="checkbox"/> Other
Are you in possession of, or in control of, any property as defined in the Regulations that is owned or controlled by or on behalf of a Listed Person?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If the response to the above question is No, complete the certificate at the end of this form.	
If the response to the above question is Yes, complete the table below and the certificate at the end of this form.	
<b>Definitions:</b> <ul style="list-style-type: none"> <li>• "Number of Accounts" means the number of persons, accounts, policies or contracts in whose name(s) the property is held.</li> <li>• "Listed Person" has the meaning assigned to it in the Regulations, and refers to the persons listed as of the end of the month prior to the date of the report. This refers to the compilation of Listed Persons as posted at the Office of the Superintendent of Financial Institutions website: <a href="http://www.osfi-bsif.gc.ca">www.osfi-bsif.gc.ca</a>.</li> <li>• "Property" has the meaning assigned to it in the Regulations, and includes assets under administration (both discretionary and non-discretionary).</li> <li>• "Entity" means a body corporate, trust, partnership or fund, or an unincorporated association or organization.</li> </ul>	

