

Monthly Report - Under Section 83.11 of the Criminal Code and Under Section 7 of the Regulations Implementing the United Nations Resolutions on the Suppression of Terrorism Regulations (RIUNRST) and section 5.1 of the United National Al-Qaida and Taliban Regulations (UNAQTR)
Long Form Version

The LONG FORM version can be used by registrants to file a POSITIVE REPORT only. See "Instructions" and "Notes" on pages 2-3. To file a NIL Report, please use the SHORT FORM version.

Name Of Registrant:		Date of filing of this report: _____ / _____ / _____ (dd / mm / yy)	
Address:		Monthly period covered in this report: _____ / _____ / _____ (see Note 2) to _____ / _____ / _____ (dd / mm / yy)	
Type of Registration: <i>(check all applicable categories)</i>	<input type="checkbox"/> Adviser <input type="checkbox"/> Investment Counsel <input type="checkbox"/> Investment Dealer and Dealer (FCM) <input type="checkbox"/> Portfolio Manager <input type="checkbox"/> Securities Adviser <input type="checkbox"/> Other (would include such categories as Dealer/Floor Broker, Local Dealer/Merchant, and Specific Securities Dealer)	<input type="checkbox"/> Dealer (Floor Commission Merchant) <input type="checkbox"/> Investment Dealer <input type="checkbox"/> Mutual Fund Dealer <input type="checkbox"/> Scholarship Plan Dealer	
Yes The above Registrant has accounts in the name of a Designated Person*, or has contracts with a Designated Person, or possesses or controls property that is owned or controlled by or on behalf of a Designated Person. *Please refer to the definitions below for the definition of "Designated Person".			
<i>Please complete the table below and the certificate at the end of this form.</i>			
Definitions: <ul style="list-style-type: none">• "Number of Accounts" means the number of accounts, policies or contracts associated with a Designated Person• "Designated Person" refers to the persons and entities listed as of the end of the month prior to the date of the report. The listing consists of the names of listed entities under the Criminal Code, listed Persons under the RIUNRST and those persons and entities covered by the UNAQTR, which have been combined into the listed currently posted on the OSFI website: www.osfi-bsif.gc.ca.• "Property" has the meaning assigned to it under the Criminal Code, the RIUNRST and the UNAQTR and includes assets under administration (both discretionary and non-discretionary).			

SUMMARY OF PROPERTY (see Note 3)

Type of Property	Number of Accounts (see Note 2)	Property Value (Canadian \$) (see Note 3)
Cash, cash equivalents, demand and term deposits		
Securities (bonds, debentures, commercial paper, treasury bills, mutual fund units, scholarship plan units, common and preferred shares and derivatives).		
Loans (including, mortgages, overdrafts, credit card balances, term loans, lines of credit and other indebtedness)		
Annuities (cash surrender value/monthly income)		
Life insurance policies		
Property & casualty insurance policies (policy limit)		
Other property, including real estate		
Totals		

Certificate

The Undersigned certifies that, to the best of his/her knowledge, and after having made reasonable enquiries, the information contained in this report is correct, any property summarized in this report has been frozen and the relevant account details have been reported to the Royal Canadian Mounted Police and the Canadian Security Intelligence Service and if applicable, the Financial Transactions and Reports Analysis Centre of Canada, and in respect of any foreign operations, to foreign law enforcement officials, as appropriate.

Name **Signature** **Title** **Telephone** **Date (dd/mm/yyyy):**

Instructions:

This report must be filed by every entity that is authorized under provincial legislation to engage in the business of dealing in securities, or to provide portfolio management or investment counseling services ("Registrants"). (See Note 1.) The report must be filed with The Manitoba Securities Commission by fax at (204) 945-0330 no later than the fifteenth (15th) 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. The reporting month is the month on which the report is based (e.g. for the report due on December 15, the reporting month would be November). You must review your records on a continuing basis for any dealings with Designated Persons. You must consult the updated combined list of names posted on the website of the

Office of the Superintendent of Financial Institutions (OSFI) before filing the report: www.osfi-bsif.gc.ca.

Notes:

These Notes are provided as general information only. They do not constitute legal advice, and are not intended to replace the laws referred to in this report. You should refer to these laws for full details regarding your obligations.

1. The information required in this report is required pursuant to the *Criminal Code*, the Regulations Implementing the United Nations Resolutions on the Suppression of Terrorism, SOR/2001-360, as amended (the "RIUNRST"), and the United Nations Al-Qaida and Taliban Regulations, SOR/99-444, as amended (the "UNAQTR"). Pursuant to section 83.11 of the *Criminal Code*, section 7 of the RIUNRST and section 5.1 of the UNAQTR, a report must be filed by all entities authorized under provincial legislation to engage in the business of dealing in securities or provide portfolio management or investment counseling services. Members of the Investment Dealers Association of Canada (IDA) are requested to use the appropriate reporting form issued by, and to file that form with, the IDA.
2. All reports must cover continuous dates and there must be no gaps in the reporting periods starting with the first day of each month and ending with the last day. The report is cumulative; therefore, you must continue to include information reported in a previous report, provided that the information remains unchanged. **The long form report is only to be used where assets have been frozen AND reported to the RCMP.** As indicated in Note 6 below, in all other situations the simplified report (short form) should be used.
3. All amounts must be stated in Canadian dollars. NOTE: If the original amount of the property frozen is denominated in a currency other than Canadian dollars, then the Canadian dollar equivalent should be reported using the same rate of exchange that was in effect on the date that the property was originally frozen and reported to law enforcement.
4. You must include information from any branches located outside Canada.
5. This is an aggregate report of dealings that Registrants have with Designated Persons. Do not append personal information or account or policy information. Such information must be directed to the Royal Canadian Mounted Police, the Canadian Security Intelligence Service, and if applicable, the Financial Transactions and Reports Analysis Centre of Canada (FINTRAC) and, in respect of any foreign operations, to foreign law enforcement officials.
6. If there are no assets frozen, you may use the simplified reporting form (short form) to confirm this. This includes situations where you may be seeking clarification from the authorities about whether an account holder is in fact a Designated Person; in other words you may make the simplified (short form) filing where you have not made a determination that you are dealing with a Designated Person. There is no need to report numbers of accounts where you are still seeking clarification from the authorities.

Reminder: Section 83.1 of the *Criminal Code* and Section 8 of the RIUNSTR and section 5.2 of the UNAQTR require every person in Canada and every Canadian outside Canada to disclose forthwith to the Commissioner of the Royal Canadian Mounted Police and the Director of the Canadian Security Intelligence Service (a) the existence of property in their possession or control that they know or have reason to believe is owned or controlled by or on behalf of a Designated Person, and (b) information about a transaction or proposed transaction in respect of property in their possession or control that they know or have reason to believe is owned or controlled by or on behalf of a Designated Person. In addition, under the *Proceeds of Crime (Money Laundering) and Terrorist Financing Act*, persons subject to Part 1 of that Act are also required to report to FINTRAC.