



2018-0004

June 14, 2018

**Form 4 - Personal Information Form  
Form 4B - Declaration  
TSX Listing Application**

**STAFF NOTICE TO APPLICANTS, LISTED ISSUERS, SECURITIES LAWYERS AND PARTICIPATING ORGANIZATIONS**

**\*\*\*This Staff Notice replaces TSX Staff Notice 2017-0011, which is repealed in its entirety.\*\*\***

**Mandatory Electronic Filings**

Toronto Stock Exchange ("**TSX**") is providing guidance with respect to TSX Reporting Form 4 - *Personal Information Form* (the "**PIF**"), TSX Reporting Form 4B - *Declaration* (the "**Declaration**") and TSX Listing Application (the "**Listing Application**").

The PIF and Declaration were amended to facilitate filing of the forms online (the "**Electronic PIF**" and "**Electronic Declaration**", respectively). Individuals must now create an account and log on to the TMX Portal to access, complete and submit to TSX the Electronic PIF and Electronic Declaration. Effective December 18, 2017, the Electronic PIF and Electronic Declaration can be accessed on the TMX Portal at: [www.tmx.com/pif](http://www.tmx.com/pif).

Instructions and frequently asked questions can also be found on the TMX Portal.

The Listing Application was also amended and can be accessed at:

<https://decisia.lexum.com/tsx/f/en/item/454470/index.do>.

The above noted amendments became effective on December 18, 2017, however, TSX will continue to accept, until September 30, 2018, the: (i) current paper versions of the PIF and Declaration, provided that all of the required information, identification, OPP Security Screening Check (Exhibit 1 to the current form of PIF) and notarization are provided to TSX by such date; and (ii) the current version of the Listing Application, provided that the Listing Application is notarized and provided to TSX by such date. After September 30, 2018, only the Electronic PIF, Electronic Declaration, and amended Listing Application will be accepted by TSX. Although TSX will continue to accept the current paper forms of the PIF and Declaration, TSX encourages individuals to use the Electronic PIF and Electronic Declaration available on the TMX Portal.

**Criminal Record Check**

A completed Canadian criminal record search is required for all current and previous residents of Canada and citizens of Canada ("**Canadian Participant**") proposed to be involved in our markets as a director, officer or insider of a listed issuer. In order to complete the Canadian criminal record check, upon the initial submission of the Electronic PIF, Canadian Participants

will receive a separate e-mail invitation from Sterling Talent Solutions ("**Sterling**") with a link to access Sterling's portal. This e-mail is sent to the e-mail address provided by the Canadian Participant in his or her Electronic PIF. The link included in the e-mail will expire within 90 days of receiving the e-mail invitation from Sterling and should be accessed and acted upon as soon as possible.

Should the Sterling link expire, TSX will email the Canadian Participant providing a new invitation link and requesting the individual to complete the Canadian criminal record check. If a Canadian Participant is unable to complete the Canadian criminal record check, is having difficulty completing this check, or where the invitation link has expired, he or she should send an e-mail to [tmxadmin@tsx.com](mailto:tmxadmin@tsx.com).

Please note that TSX considers the PIF incomplete for Canadian Participants unless the criminal record check forms have been completed and submitted. Incomplete PIFs will not be cleared by TSX.

If you have any questions about this Staff Notice, please contact your TSX Listed Issuer Services Manager. Contact information for your Listed Issuer Services Manager is available at <http://www.tsx.com/listings/tsx-and-tsxv-issuer-resources/tsx-issuer-resources/tsx-listings-staff>.