



APPLICATION FOR OBSI MEMBERSHIP

Pour la version française:
www.obsi.ca/membres

The undersigned firm hereby applies for membership in OBSI and agrees to abide by all membership obligations in OBSI's Bylaws and Terms of Reference in force on the date hereof and as may be amended from time to time.

Firm Legal Name: _____
If the firm's legal name is in English and French, provide both versions

Signed by: Full Name: _____ Title: _____
Signature: _____ Date: _____
(authorized officer) (MM/DD/YYYY)

OBSI will review application and confirm that the information is complete. The Internal Contact listed in Section B will be contacted regarding next steps, including fee payment.

Section A: Category of Financial Services Provider

The applicant confirms that it falls into the following category (please check the applicable category):

- | | |
|---|--|
| <input type="checkbox"/> Bank, federal credit union or authorized foreign bank listed in Schedules I, II or III of the <i>Bank Act</i> (Canada) | <input type="checkbox"/> Mutual fund dealer, as such term is defined in National Instrument 31-103 |
| <input type="checkbox"/> Federal trust or loan company incorporated or continued under the <i>Trust and Loan Companies Act</i> (Canada) | <input type="checkbox"/> Scholarship plan dealer, as such term is defined in National Instrument 31-103 |
| <input type="checkbox"/> Federal cooperative credit association incorporated or continued under the <i>Cooperative Credit Associations Act</i> (Canada) | <input type="checkbox"/> Restricted dealer, as such term is defined in National Instrument 31-103 |
| <input type="checkbox"/> Canadian trust or loan company incorporated or continued under provincial or territorial trust and loan companies legislation | <input type="checkbox"/> Exempt market dealer, as such term is defined in National Instrument 31-103 |
| <input type="checkbox"/> Canadian credit union or caisses populaire incorporated under provincial or territorial credit union and caisse populaires legislation | <input type="checkbox"/> Portfolio manager, as such term is defined in National Instrument 31-103 |
| <input type="checkbox"/> Investment dealer, as such term is defined in National Instrument 31-103 | <input type="checkbox"/> Restricted portfolio manager, as such term is defined in National Instrument 31-103 |
| | <input type="checkbox"/> Other (please specify):

_____ |

Section B: Contact Information

Head Office

Address: _____

City/Province/Postal Code: _____

External Contact Information

The external contact information is given out by OBSI for customer or general inquiries about your firm or your complaint process. This information will also be posted on OBSI's website in our directory of member firms.

Contact Name: _____

Title: _____

Address: _____

City/Province/Postal Code: _____

Telephone: _____ Fax: _____

Email: _____

Internal Contact Information

The internal contact is only used by OBSI staff and will not be given out or displayed publicly. This contact deals with OBSI membership and case related inquiries and can be the same as the external contact listed above.

Contact Name: _____

Title: _____

Address: _____

City/Province/Postal Code: _____

Telephone: _____ Fax: _____

Email: _____

Participating firms are required to notify OBSI if any of their contact information changes. Please note that the designated contact for internal purposes will also be subscribed to OBSI's e-newsletter distribution list. OBSI uses its e-newsletter to disseminate information that is important to member firms, including changes in policies and procedures, fees, and other matters. Subscription to the e-newsletter is mandatory for members' designated internal contact.

Section C: Subsidiaries, Affiliates and Related Companies

Names of subsidiaries, affiliated companies or related companies, if any, including official names in French, if applicable. (If there are more than two subsidiaries please attach in a separate document)

1. _____

2. _____

Please complete and return to:

OBSI

Email: membership@obsi.ca

Fax: 1-888-422-2865

Mail:

401 Bay Street, Suite 1505

P.O. Box 5

Toronto, ON M5H 2Y4

Questions can be directed to our membership team at

membership@obsi.ca or

1-888-451-4519 ext. 2306

OBSI is Canada's national independent dispute resolution service for consumers and small businesses with a complaint they can't resolve with their banking services or investment firm. Our public interest mandate receives regulatory oversight from the Canadian Securities Administrators (for investment-related complaints) and the Financial Consumer Agency of Canada (for banking-related complaints).