

Guide to Individual Categories of Registration

Securities Categories

Category	Permitted Activities
Dealing Representative	may act as a dealer or an underwriter in respect of a security that the individual's sponsoring firm is permitted to trade or underwrite.
Advising Representative	may act as an adviser in respect of a security that the individual's sponsoring firm is permitted to advise.
Associate Advising Representative	may act as an adviser in respect of a security that the individual's sponsoring firm is permitted to advise on if the advice has been approved under subsection 4.2(1) [associate advising representatives – pre-approval of advice].
Ultimate Designated Person (UDP)	must do all of the following: (a) supervise the activities of the firm that are directed towards ensuring compliance with securities legislation by the firm and each individual acting on the firm's behalf; (b) promote compliance by the firm, and individuals acting on its behalf, with securities legislation.
Chief Compliance Officer	<p>(a) establish and maintain policies and procedures for assessing compliance by the firm, and individuals acting on its behalf, with securities legislation;</p> <p>(b) monitor and assess compliance by the firm, and individuals acting on its behalf, with securities legislation;</p> <p>(c) report to the ultimate designated person of the firm as soon as possible if the chief compliance officer becomes aware of any circumstances indicating that the firm, or any individual acting on its behalf, may be in non-compliance with securities legislation and any of the following apply:</p> <ul style="list-style-type: none"> (i) the non-compliance creates, in the opinion of a reasonable person, a risk of harm to a client; (ii) the non-compliance creates, in the opinion of a reasonable person, a risk of harm to the capital markets; (iii) the non-compliance is part of a pattern of non-compliance; <p>(d) submit an annual report to the firm's board of directors, or individuals acting in a similar capacity for the firm, for the purpose of assessing compliance by the firm, and individuals acting on its behalf, with securities legislation.</p>

Category	Permitted Activities
Permitted Individual	(a) a director, chief executive officer, chief financial officer, or chief operating officer of a firm, or a functional equivalent of any of those positions, (b) an individual who has beneficial ownership of, or direct or indirect control or direction over, 10 percent or more of the voting securities of a firm, or (c) a trustee, executor, administrator or other personal or legal representative, that has direct or indirect control or direction over, 10 percent or more of the voting securities of a firm;

Commodities Categories

Category	Permitted Activities
Salesperson	an individual who is employed by a dealer for the purpose of making trades in contracts on behalf of the dealer.
Officer	<p>means</p> <ul style="list-style-type: none"> (a) the chairperson or vice-chairperson of the board of directors, the president, vice-president, secretary, assistant secretary, treasurer, assistant treasurer or general manager of a company, (b) an individual designated as an officer of a company by or in accordance with a by-law or similar authority, or (c) an individual acting in a capacity or carrying out the function of an individual referred to in clause (a) or (b).
Futures Contracts Portfolio Manager	a partner, officer, director or employee of a futures commission merchant who is registered under this rule as a futures contracts portfolio manager.
Adviser	a person or company engaging in or holding himself, herself or itself out as engaging in, or being held out by a registrant as engaging in, the business of rendering advice as to trading in contracts, and includes a person or company engaging in the publication of newsletters, analyses or reports or broadcasting analyses or reports advising others respecting trading in contracts.
Floor Broker	an individual who is registered under the Act as a dealer in the floor broker registration category.