

Guide to Filing an Application for Registration

When a firm has determined which **category of registration** they wish to apply under, they must complete and file the **Form 33-109F6 – Firm Registration**.

Investment Dealer - must first seek membership with the **Investment Industry Regulatory Organization of Canada (IIROC)**.

Mutual Fund Dealer - must first seek membership with the **Mutual Fund Dealers Association of Canada (MFDA)**.

All firms seeking registration in Manitoba are required to enroll with the National Registration Database (NRD) and be issued an NRD number in order to apply for registration. The following link explains further: <http://www.nrd-info.ca>.

Completing the Form 33-109F6 – Firm Registration

You are required to submit the following supporting documents with your application:

- **Schedule B** – Submission to Jurisdiction and Appointment of Agent for Service for each jurisdiction where the firm is seeking registration (**Refer to Part 2.4**)
- **Business Plan** – for the next three years (**Refer to Part 3**)
- **Policies and Procedures Manual** - including account opening procedures and the firms policy on fairness in allocation of investment opportunities (**Refer to Part 3.3**)
- **Constating Documents** – legal documents that establish the firm as an entity (**Refer to Part 3.7**)
- **Organization Chart** – showing the firms reporting structure (**Refer to 3.11**)
- **Ownership Chart** - showing the firms structure and ownership (**Refer to 3.12**)
- **Calculation of Excess Working Capital** – (**Refer to 5.1**) and (**Form 31-103F1**)

- **Directors Resolution Approving Insurance** – confirming the firm has sufficient insurance coverage ([Refer to 5.7](#))
- **Audited Financial Statements** – prepared within the last 90 days ([Refer to 5.12](#))
- **Letter of Direction to Auditors** – from the firm authorizing the auditor to conduct any audit or review that the regulator may request ([Refer to 5.14](#))

Firms can send their registration package via email to registrationmsc@gov.mb.ca or mail to:

Registration Officer
Manitoba Securities Commission
500 – 400 St. Mary Avenue
Winnipeg, MB R3C 4K5

****** If the firm is seeking registration in Ontario, and Ontario is not the firm's principal regulator, the firm must also file a 33-109F6 form, *without supporting documents*, with the [Ontario Securities Commission \(OSC\)](#) in addition to filing a Form 33-109F6 with the principal regulator.

Once the application has been received by the MSC we will proceed to put the firm in a pending state on (NRD). At that time we will request the firm to submit their registration fees through their Electronic Fund Transfer account with NRD. For more information please refer to our [Fees](#) section.