

**BROKER NAME:** \_\_\_\_\_

**BROKERAGE NAME:** \_\_\_\_\_

<b>SUPPORTING DOCUMENTATION</b>	
Corporation Requirements:	
Current Corporation/Non-Profit Search (required if certificate of incorporation is over 6 months old)	✓/x
Completed Corporate Structure Worksheet (check only when all information has been provided and verified)	
Partnership Requirements:	
Partnership agreement	
Completed Partnership Structure Worksheet (check only when all information has been provided and verified)	
Proof of Trade Name filing/Certificate of Amendment (trade name verified on brokerage application)	
For .ca/.com operating name: Proof of domain registration (copy of CIRA registration, or equivalent)	
Proof of E&O Insurance from an accepted insurer (Mortgage Brokerages only)	
Electronic Filer Agreement executed by broker	
RECA Online User Manual executed by broker	
Broker of Record Agreement signed by broker <b>AND</b> separate official of corporation (required only if broker has less than 51% or greater controlling interest in the ownership of the brokerage)	
Original letter from Alberta financial institution verifying trust account including transit, institution and account number; must be on letterhead and stamped & initialed by teller (required only if brokerage has indicated they have or will maintain a trust account)	
Cancellation form OR Declaration of Undertaking: Ceasing Operations (required only if broker currently registered elsewhere)	
<b>BROKER APPLICATION</b>	
Application submitted as original/fax/email (identified on application)	
Correct form completed: <input type="checkbox"/> registration <input type="checkbox"/> licence & registration	
Form is for current licensing period	✓/x
Industry/class of licence are accurately identified	
Name is complete and reflects full legal name, including middle name (identification must be reviewed for all new <b>licence &amp; registration</b> applicants)	
On <b>licence &amp; registration application</b> "Also Known As" name is a derivative of legal given name(s)	
Residential address is complete (PO Box not acceptable)	
Birth date is complete	
Primary phone number is complete	
Primary email address is complete (brokerage email address is acceptable)	
Section C (suitability) questions are complete and accurate	

Documentation to support "yes" answer is complete and has been reviewed and approved by _____ (name), if applicable	
On application for <b>licence &amp; registration</b> , Section D (eligibility) has been completed accurately	
On application for <b>licence &amp; registration</b> , Section E (reciprocity) has been completed <b>only if applicant is applying for licence reciprocity</b> and has purchased information materials	
Affidavit is correctly completed	
Affidavit is sworn in legal name	
Commissioner for Oaths/notary public/lawyer is adequately identified on affidavit including expiry date	
Broker signature is on affidavit (must be dated <b>ON</b> or <b>BEFORE</b> brokerage acknowledgment was completed, if applicable)	
Brokerage acknowledgement is completed in full, if required (name of partner/director/officer/sole proprietor, signature, contact information, date signed – must be dated <b>ON</b> or <b>AFTER</b> the date the affidavit was sworn by broker)	
Fees paid by: <input type="checkbox"/> cheque <input type="checkbox"/> credit card	
<b>BROKERAGE APPLICATION</b>	
Application submitted as original/fax/email (identified on application)	
Correct form completed (Brokerage Licence Application)	
Form is for current licensing period	✓/x
Class of licence is identified	
Section B (legal entity information) is complete and accurate (compare with corporation/partnership/sole proprietorship/trade name filing documents)	
Section C (brokerage information) is complete and accurate	
Section D (trust accounting information) is complete and accurate	
Section E (suitability) questions are complete and accurate	
Documentation to support "yes" answer is complete and has been reviewed and approved by _____ (name), if applicable	
Brokerage acknowledgement is completed in full, if required (name of partner/director/officer/sole proprietor, signature, contact information, date signed – must be dated <b>ON</b> or <b>BEFORE</b> the date the affidavit was sworn by broker)	
Affidavit is correctly completed	
Affidavit is sworn in legal name	
Commissioner for Oaths/notary public/lawyer is adequately identified on affidavit including expiry date	
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Fees paid by: <input type="checkbox"/> cheque <input type="checkbox"/> credit card	