

BROKERAGE LICENCE SUITABILITY QUESTIONS FOR NEW BROKERAGE OFFICIAL

A. BROKERAGE NAME

Brokerage Name

B. INFORMATION RESPECTING SUITABILITY

If the new brokerage official is an **individual**, these questions apply to you and any non-publicly traded corporation(s) for which you are or were an officer, director, or shareholder, and to any partnerships in which you are or were a partner.

If the new brokerage official is a **corporation**, these questions apply to:

- the corporation, and
- all officers, directors, and shareholders of the corporation and any non-publicly-traded corporation(s) for which the person is or was an officer, director, or shareholder, and
- any partnership(s) in which the person is or was a partner.

Name of corporation:

If you are unsure how to respond to any of these questions, contact RECA at registration@reca.ca

a) Have you ever been refused a licence, registration, or authorization of any kind by any regulatory body of any kind (other than RECA) in any jurisdiction?	Yes	No
b) Have you ever withdrawn, received a lifetime ban or had any licence, registration, or authorization suspended, cancelled, or revoked by any regulatory body of any kind (other than RECA) in any jurisdiction?	Yes	No
c) Have you ever been fined, sanctioned, or disciplined by any professional, occupational, or trade association?	Yes	No
d) Are you the subject of an investigation or any kind of review by any professional, occupational or trade association or by any regulatory body of any kind (other than RECA) in any jurisdiction?	Yes	No
e) Have you ever been or are you now the subject of a judgment or order related to misrepresentation, theft, fraud, break of trust, or the provision of products or services?	Yes	No
f) Are you the defendant in any civil proceedings where the statement of claim alleges misrepresentation, theft, fraud, or breach of trust, or where the civil proceeding is in relation to the provision of products or services?	Yes	No
g) Have you ever been or are you now the subject of any bankruptcy, insolvency or receivership proceedings?	Yes	No
h) Have you ever been or are you now the subject of a criminal investigation or criminal proceedings, charged with a criminal offence, involved in the Alternative Measures Program, found guilty or convicted of any offence under any law of any jurisdiction, excluding provincial or municipal highway offences?	Yes	No

C. REQUIREMENT TO PROVIDE ADDITIONAL INFORMATION

The registrar may require an individual to supply further information within a time prescribed by the registrar.

D. AUTHORIZATION & ACKNOWLEDGEMENT

I authorize RECA to verify any information pursuant to this form from any source. I acknowledge that I may be responsible for any costs incurred for such verification. I consent to RECA's collection, retention, use, and disclosure of my personal information for licensing and all regulatory purposes under the Act and in accordance with the *Personal Information Protection Act*.

E. DECLARATION

I have read and I understand all questions and statements contained in this form. I have taken all the necessary steps to ensure the information and answers I provided above are accurate. The information and answers I provided above are true and complete. I make this declaration conscientiously knowing it is of the same force and effect as if I made it under oath. I acknowledge that if I provide false information to the registrar, the registrar may refuse, suspend, or cancel the brokerage licence.

Name of director, officer, or partner who completed this form

Signature

Date

F. BROKER DECLARATION

I have reviewed the information that the above-named official has provided in this form

Broker Signature

Date