

### Freedom of Information and Protection of Privacy Act (FOIPPA)

The information requested on this form is collected under the authorities of sections 26(a) and 26(c) of the *Freedom of Information and Protection of Privacy Act*, and section 3(2) of the *Mortgage Brokers Act*. The information is collected for the purpose of administering the *Mortgage Brokers Act*. If you have any questions about the collection or use of this information, please contact the Privacy Officer at 604-660-3555, 600 - 750 West Pender Street, Vancouver, B.C., V6C 2T8

### INSTRUCTIONS

1. All applicable information must be provided
2. Please print clearly
3. If additional information is required, reference and attach addendum pages to this form
4. Upon completion, this form must be provided to:

Registrar of Mortgage Brokers  
600 - 750 West Pender Street  
Vancouver, B.C. V6C 2T8

Email: [Mortgagebrokers@bcfsa.ca](mailto:Mortgagebrokers@bcfsa.ca)

Web: <https://bcfsa.ca/>

Ph: 604-660-3555 Toll-free: 1-866-206-3030 (BC) Fax: 604-660-3365

#### For Office Use Only

Approved By:	Date Approved:
Restrictions:	

### PART 1 – APPLICANT’S LEGAL NAME & CONTACT INFORMATION

FULL LEGAL NAME

TRADE NAME

FISCAL YEAR END

APPLICANT IS A:

☐ CORPORATION ☐ PARTNERSHIP

PHONE NUMBER

FAX NUMBER

EMAIL ADDRESS

WEB ADDRESS

BUSINESS ADDRESS (complete address including postal code)

ADDRESS FOR SERVICE IN BRITISH COLUMBIA (complete address including postal code)

MAILING ADDRESS (if different from Business Address – must be complete address including postal code)

### PART 2 – DIRECTORS, OFFICERS, PARTNERS

Provide the full legal name and office held by every director, officer and partner of the applicant. If more space is required, attach a separate sheet.

NAME

OFFICE HELD

NAME

OFFICE HELD

NAME

OFFICE HELD

### PART 3 – OWNERS, SHAREHOLDERS

If the Applicant is a corporation, list the names and addresses of every person who beneficially owns, directly or indirectly, equity shares of the corporation carrying more than 10% of the voting rights. If more space is required, attach a separate sheet.

NAME

OFFICE HELD

NAME

OFFICE HELD

NAME

OFFICE HELD

#### PART 4 – DESIGNATED INDIVIDUAL

Specify the name of the person who will act as the applicant's designated individual. This person must also be named a director.

Designated Individual:

#### PART 5 – SIGNIFICANT ACTIVITIES OF THE MORTGAGE BROKER

Identify which of the following activities the Mortgage Broker will engage in:

- |  |  |  |  |
|--|--|--|--|
| <input type="checkbox"/> Mortgage Origination  | <input type="checkbox"/> Mortgage Administration | <input type="checkbox"/> Placing Investor Funds into mortgages | <input type="checkbox"/> Mortgage Referrals  |
| <input type="checkbox"/> Syndicated Mortgages  | <input type="checkbox"/> Reverse Mortgages       | <input type="checkbox"/> Mortgage Investment Corporation       | <input type="checkbox"/> Handles Trust Funds |
| <input type="checkbox"/> Lending Own Mortgage Funds or Those of Related/Associated Parties |  |  |  |

#### PART 6 – PRIOR LICENSING OR REGISTRATION

a. Have you ever been licensed, registered or authorized in any capacity, under any of the following acts or under similar legislation in British Columbia or elsewhere?

- |  |                              |                             |
|--|------------------------------|-----------------------------|
| <input type="checkbox"/> <i>Financial Institutions Act</i> | <input type="checkbox"/> YES | <input type="checkbox"/> NO |
| <input type="checkbox"/> <i>Mortgage Brokers Act</i>       | <input type="checkbox"/> YES | <input type="checkbox"/> NO |
| <input type="checkbox"/> <i>Real Estate Services Act</i>   | <input type="checkbox"/> YES | <input type="checkbox"/> NO |
| <input type="checkbox"/> <i>Securities Act</i>             | <input type="checkbox"/> YES | <input type="checkbox"/> NO |
| <input type="checkbox"/> OTHER (please specify)            |                              |                             |

b. Has the applicant ever been refused a license or registration, or has the applicant ever been disciplined or had the applicant's license or registration suspended or cancelled under any of the acts in Question 5(a) or under any other legislation in British Columbia or elsewhere? ☐ YES ☐ NO

#### PART 7 – BANKRUPTCY, JUDGMENTS, CIVIL OR CRIMINAL PROCEEDINGS

a. Has the Applicant ever been subject to Bankruptcy Proceedings? ☐ YES ☐ NO

If YES, has the Applicant been Discharged? ☐ YES ☐ NO

b. Has any judgement been rendered against the Applicant in any civil Court in British Columbia, or elsewhere, for any reason whatsoever, within the last 5 years? If ☐ YES ☐ NO

YES, has the judgement been satisfied? ☐ YES ☐ NO

c. Are there any pending legal proceedings against the Applicant? ☐ YES ☐ NO

d. To your knowledge, is the Applicant currently the subject of an investigation by any law enforcement or regulatory agency in British Columbia or elsewhere? ☐ YES ☐ NO

**For any of the questions in Section 6 or 7 to which you have answered YES, you must provide complete details as an exhibit using the same numbering as on this application.**

#### WARNING:

**Any application containing a false statement may result in the refusal, suspension or cancellation of any registration.**

#### PART 8 – CERTIFICATION BY THE DESIGNATED INDIVIDUAL

I, the undersigned, certify that I am the applicant herein for registration or approval and the statement of facts made by me in this application and in the exhibits attached, if any, are true and complete.

SIGNATURE OF DESIGNATED INDIVIDUAL

PRINT NAME

DATE SIGNED

#### PART 9 – FEES (Registration of New Mortgage Brokers or New Branch Offices is subject to fees)

Fees attached in the amount of:

PAID BY:

- ☐ Cheque  
☐ Cash  
☐ Credit Card

NOTE THAT ONCE SUBMITTED, THE FEE IS NOT REFUNDABLE.