



REFERRAL APPLICATION FORM

Full Business Name*: _____
*referred to herein as the "firm" Please provide a copy of your Articles of Incorporation.

Business Address: _____

City: _____ Prov: _____ Postal Code: _____

Business Tel: () _____ Business Fax: () _____

Business E-Mail: _____

Name(s) and Title(s) of Principal(s): _____

Home Street Address: _____

City: _____ Prov: _____ Postal Code: _____

BUSINESS, TRADE OR STYLE NAMES

Entity Name:	Indicate each Entity type: (Corporation, Sole Proprietorship, Partnership, Unregistered)

LICENSES/REGISTRATIONS

	Provinces Registered In	Sponsor (MGA, Dealer, Brokerage)
Insurance		
Mortgage		
Real estate		
Mutual Fund		
Securities		

Principal Occupation: _____ **Current Gross Income:** _____

REGULATORY MATTERS

(Please feel free to send details in a separate attachment)

Has this firm or its principals ever resigned or been terminated following allegations, made by a client, sponsoring firm, self-regulatory organization, securities regulatory authority or any other regulatory authority that you:		
A) Violated investment-related statutes, regulations, rules or industry standards of conduct.	YES	NO
B) Failed to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct?	YES	NO
C) Committed fraud or the wrongful taking of property?	YES	NO
D) Has this firm or its principals ever sold an exempt offering such as a Limited Partnership? If so, provide details:	YES	NO



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E) Do you personally own any exempt offering products? If so, please list:	YES	NO
F) Has this firm or its principals ever been charged, sanctioned, suspended, refused or had any disciplinary action taken against it/them by a securities regulatory body? If so, provide details:	YES	NO
G) Have the principals ever been refused a surety or fidelity bond? If yes, please provide details:	YES	NO
H) Has this firm or its principals ever had a judgment or garnishment entered against it/them? If so, provide details:	YES	NO
I) Have the principals ever been charged or convicted of a criminal offence under any statute including Criminal Code? If so, provide details. (Do not include driving offences):	YES	NO
J) Has this firm or its principals ever been successfully sued or is any claim pending in which fraud, deceit, misrepresentation or similar conduct is alleged? If so, provide details:	YES	NO

ACKNOWLEDGEMENT

I, _____, certify that the answers and statements in this form are correct to the best of my knowledge, information and belief.

Signature

Date

Print Name

Position

Privacy: White Capital Corporation (“WCC”) collects, uses and relies on the information provided in this form (the “Information”) to determine your suitability and qualifications for making referrals of securities to WCC. WCC may verify the accuracy and completeness of the Information. Certain Information will be disclosed to referred clients and all information will be available upon request. The Information and records of verification are kept in accordance with WCC’s Privacy Statement, which is available at <http://www.whitecapitalcorp.com/privacy.htm>.