

INSTRUCTIONS

1. [See page four](#) for instructions
2. Contact:
BC Financial Services Authority
600 - 750 West Pender Street
Vancouver, BC V6C 2T8
Web: <https://www.bcfsa.ca/>
Ph: 604-660-3555 Toll-free: 1-866-206-3030
(BC) Fax: 604-660-3365

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 FOIPPA; sections 11(3)(e) and 15.1(5)(a) (iii) of the *Credit Union Incorporation Act*; (CUIA); sections 13(2)(e), 22(2) (c), and 105 of the *Financial Institutions Act* (FIA); section 3(c) of the Trust and Deposit Business Exemption Regulation; and section 3 of the *Insurance (Captive Company) Act* (ICCA). The information is collected for the purposes of administering the CUIA, FIA, and ICCA. 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, BC, V6C 2T8.

PART A – GENERAL INFORMATION

1. Form being submitted is New submission Update to existing information
Specify which section of the form

2. Personal Information for (check all that apply)
 Director Senior Officer Shareholder (controlling 10% or more of the voting shares)
 Substantial Shareholder (specify %)

Exempt Trust Societies
 Officer Employee
 Commencement or Share Acquisition Date (mm/dd/yyyy)

3. Name of Organization

4. Full Legal Name (first, middle, last)

5. All Previous Names (first, middle, last)

6. Residential Address (street number, city, province, postal code)

7. Phone Number	8. Email Address
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9. Citizenship	10. Place of Birth (city, country)
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11. Date of Birth (mm/dd/yyyy)

12. If you were born outside of Canada, indicate the date of your arrival in Canada (mm/dd/yyyy)

13. Have you, at any time, resided in a country outside of Canada Yes No
 (Please note, this is also applicable if the place of birth is outside of Canada)
 If Yes, please indicate the dates and locations (country, state, province or territory) of each residency (mm/dd/yyyy)

From	Until	Location
From	Until	Location

14. Driver's License #	15. Issuing Province/Territory
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PART B – EMPLOYMENT

1. Position/Occupation

2. Name of Employer

3. Employer's Address (street number, city, province, postal code)

4. Phone Number

5. Email Address

A current resume must be included with this form as per [Instructions](#)

PART C – OTHER INFORMATION

1. List any memberships in professional societies or associations (if none, please indicate)

2. List any directorships held (if none, please indicate)

3. List any companies in which you own or control more than 10% of the voting shares (if none, please indicate)

4. Connected party of a Trust or Insurance Company per section 48 of the *Financial Institutions Act* Yes No

5. Have you ever been convicted of, or are you currently charged with an offence, under the *Criminal Code* of Canada, provincial/territorial legislation, or the legislation of any jurisdiction outside of Canada, for which you have not been granted a pardon and/or record suspension? (includes impaired driving)
If Yes, please provide the type and details of the conviction or offence:

From (mm/dd/yyyy)	Description

From (mm/dd/yyyy)	Description

A Criminal Record Check report must be provided as per [Instructions](#)

6. Is any disciplinary action open against you by a professional organization or self-regulatory body, or have you been censured, suspended or disqualified by a professional organization or self-regulatory body? Has any civil judgment been made against you where monetary awards have been made, but not satisfied? Has any finding of liability been made against you involving fiduciary, trust, or fraud claims? Yes No

If Yes (include any companies of which you are or were a director or officer to which the questions above require a response), please provide the type and details of the judgement or action:

From (mm/dd/yyyy)	Description

From (mm/dd/yyyy)	Description

7. Under the laws of any province, territory, state, or country, have you ever: (a) been petitioned into bankruptcy, (b) made a voluntary assignment in bankruptcy, or (c) filed a proposal under any bankruptcy or insolvency legislation? Yes No

If Yes to 7. (a) or (b), please provide the following:

i. Date of Assignment or Receiving Order (mm/dd/yyyy)

ii. Date of Absolute Discharge (mm/dd/yyyy)

iii. If Conditional, Date of Conditional Discharge (mm/dd/yyyy)

If Conditional Discharge, provide description of conditions:

iv. Cause of Bankruptcy/Insolvency

If Yes to 7. (c), please provide the following

v. Date of proposal (mm/dd/yyyy)

vi. Proposal was Accepted Rejected

vii. Current Status

viii. Description of Proposal Terms

A Bankruptcy and Insolvency Records Search Results report must be provided as per [Instructions](#).

PART D – CERTIFICATION & CONSENT

I, the undersigned,

- (a) certify that the foregoing statements are true, correct, and complete to the best of my knowledge, information, and belief.
- (b) consent to the BC Financial Services Authority making such enquiries as it sees fit of any person including but not limited to government institutions, courts, credit bureaus, financial institutions, current and past employers, and professional organizations or self-regulatory bodies to which I belong or have belonged for the purpose of investigating my suitability to be a person in a position to control or influence a financial institution (or other regulated entity), including, but not limited to, a criminal records search through the Royal Canadian Mounted Police or other law enforcement bodies and a bankruptcy and insolvency records search.
- (c) understand that the BC Financial Services Authority may also request additional information from me and/ or make a separate investigation including but not limited to under section 61(9)(a) of the *Financial Institutions Act*.
- (d) understand that making a statement in this return and supporting documents that, at the time and in the light of the circumstances under which the statement is made, is false or misleading with respect to a material fact or that omits to state a material fact, the omission of which makes the statement false, or misleading may have consequences including with respect to my suitability and/or at law.

Position/Title at Financial Institution

Signature

Date

Instructions for Completing the Personal Information Return

This return is required pursuant to sections 13(2)(e), 22(2)(c), and 105 of the *Financial Institutions Act*, section 3 of the *Insurance (Captive Company) Act*, sections 11(3)(e), and 15.1(5)(a)(iii) of the *Credit Union Incorporation Act*, and section 3(c) of the Trust and Deposit Business Exemption Regulation, as applicable.

1. Upon completion, please submit all documents through the Integrated Regulatory Information System ("IRIS"). For further information on the submission method, please email us at Filings@bcfsa.ca.
2. This return must not be handwritten except for the signature and is offered as a fillable and savable PDF form for your convenience.
3. All applicable information must be provided. If additional space is required for answers, attach additional typed/printed sheets as necessary.
4. A resume that includes employment history up to the date of submission of this return must be provided.
5. Both a criminal record check, by an appropriate police agency, and a bankruptcy and insolvency check from the [Office of the Superintendent of Bankruptcy Canada](#) must be provided. The criminal record check and bankruptcy and insolvency checks must be conducted using the individual's full name and date of birth.
6. If more than one individual is identified in the search, or any of the boxes on the criminal record check results form are marked "may or may not exist" the applicant must apply for their criminal record. To do so, they must get fingerprinted and send a request to Ottawa to obtain the details. The person needs to send us explanation of what may be on their record and confirmation they have applied for the fingerprint based criminal record check with this form.
7. Please note that this return is to be filed with the BC Financial Services Authority for new directors, senior officers, and any controlling shareholders prior to taking office, commencing duties, or acquiring ownership. The bankruptcy and criminal record checks along with a resume do not need to be filed prior to taking office or commencing duties; these documents can be filed with us separately.
8. In order to qualify for an exemption under section 3 of the Trust and Deposit Exemption Regulation, each director, officer, and employee of the society engaged in the trust business of the society must submit a PIR to the Superintendent.
9. A PIR may also be used in satisfaction of the information required from a shareholder or reciprocal exchange under Sections 58, 187 of the FIA.
10. A new return is required to be completed and submitted to the BC Financial Services Authority immediately upon any change of information contained on the last filed return. A new criminal record check and/or bankruptcy and insolvency report is only required for subsequent changes to information contained in Section C. 5., C. 6. and/or C. 7.

Please visit our website at: <https://www.bcfsa.ca/>