

## Guide to Individual Registration Categories

### Categories of individual registration or approval under the *Securities Act (Ontario)*

<b>Category</b>	<b>Permitted activities</b>
Dealing representative	Acting as a dealer or an underwriter on a security that the individual's sponsoring firm is permitted to trade or underwrite
Advising representative	Acting as an adviser on a security that the individual's sponsoring firm is permitted to advise on
Associate advising representative	Acting as an adviser in respect of a security that the individual's sponsoring firm is permitted to advise on provided an advising representative approves of the advice.
Ultimate designated person	<ul style="list-style-type: none"> <li>• Responsible for promoting compliance at the firm and overseeing the effectiveness of the firm's compliance system</li> <li>• A sponsoring firm may only have one individual registered under the ultimate designated person category.</li> </ul>
Chief compliance officer	<ul style="list-style-type: none"> <li>• Responsible for monitoring and overseeing the firm's compliance system, including establishing policies and procedures, and reporting on the firm's compliance with securities law</li> <li>• A sponsoring firm may only have one individual registered under the chief compliance officer category.</li> </ul>
Permitted individual (subject to approval)	<ul style="list-style-type: none"> <li>• This is the firm's director, chief executive officer, chief financial officer or chief operating officer or any individual who has direct influence or control of the firm. It also means an individual who has beneficial ownership of, or direct or indirect control or direction over, 10 percent or more of the voting securities of the firm.</li> <li>• Although not registered, a permitted individual is subject to review and approval by the OSC.</li> </ul>

**Categories of individual registration or approval  
under the *Commodity Futures Act* (Ontario)**

<b>Category</b>	<b>Permitted activities</b>
Salesperson	Acting as a dealer on a commodity futures contract or commodity futures option that the individual's sponsoring firm is permitted to trade
Advising representative	Acting as an adviser on a commodity futures contract or commodity futures option the individual's sponsoring firm is permitted to advise on
Permitted individual (subject to approval)	<p>This is the firm's director, chief executive officer, chief financial officer or chief operating officer or any individual who has direct influence or control of the firm. It also means an individual who has beneficial ownership of, or direct or indirect control or direction over, 10 percent or more of the voting securities of the firm.</p> <p>Although not registered, a permitted individual is subject to review and approval by the OSC.</p>