

Commission Policies.

## FORM 2 Declaration Respecting Absence of Trust Transactions

If you <u>HAVE NOT</u> received or held money on the account of others for closed or terminated trades during the period under review, this form must be completed and returned to the Commission's Auditor **per the Auditor's direction.** 

I, (print broker's name)		, broker for
(print brokerage name)do solemnly decla		
The following <b>trust accounts</b> were maintain	ed during the period u	nder review (attach page if required):
Financial Institution	Account Number	Signing Officer on the account
During the audit period, the brokerage facilit	ratedtrac	des* in total (closed and terminated).
*Important: please refer to Appendix A for	instructions on how to	o calculate the number of trades.
brokerage received no funds on the account	t of others for closed ar	to, the nd terminated trades during the course of
*Important: please refer to Appendix A for instructions on how to calculate the number of trades.  For the audit period under review from		
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	emption expires and I r	nust account to the Registrar, NSREC, as
I make this declaration conscientiously known made under oath. Further, I am providing was no activity or letter from your financial balance and that your brokerage did not have	Trust account bank stall institution indicating	tements for the audit period confirming the the trust account is active, the current
Signature of Broker		
By-law 614 c): Licensees must not make an reports, or transaction documents required		• • • • • • • • • • • • • • • • • • • •