

Guide to Firm Categories of Registration

Securities Categories

Category	Permitted Activities
Investment Dealer	may act as a dealer or an underwriter in respect of any security
Mutual Fund Dealer	may act as a dealer in respect of any security of (i) a mutual fund, or (ii) an investment fund that is a labour-sponsored investment fund corporation or labour sponsored venture capital corporation under legislation of a jurisdiction of Canada.
Scholarship Plan Dealer	may act as a dealer in respect of a security of a scholarship plan, an educational plan or an educational trust.
Exempt Market Dealer	may (i) act as a dealer by trading a security that is distributed under an exemption from the prospectus requirement, whether or not a prospectus was filed in respect of the distribution, (ii) act as a dealer by trading a security that, if the trade were a distribution, would be exempt from the prospectus requirement, (iii) receive an order from a client to sell a security that was acquired by the client in a circumstance described in subparagraph (i) or (ii), and may act or solicit in furtherance of receiving such an order, and (iv) act as an underwriter in respect of a distribution of securities that is made under an exemption from the prospectus requirement.
Restricted Dealer	may act as a dealer or an underwriter in accordance with the terms, conditions, restrictions or requirements applied to its registration.

Category	Permitted Activities
Portfolio Manager	may act as an adviser in respect of any security,
Restricted Portfolio Manager	may act as an adviser in respect of any security in accordance with the terms, conditions, restrictions or requirements applied to its registration.
Investment Fund Manager	directs the business, operations or affairs on an investment fund

Commodities Categories

Category	Permitted Activities
Dealer (Futures Commission Merchant)	<p>may</p> <p>(a) engage in soliciting or accepting orders from both members of a commodity futures exchange and non-members for the purchase or sale of contracts on, or subject to the rules of, the exchange;</p> <p>(b) in, or in connection with, the solicitation or acceptance of orders, accept money, securities or property, or extend credit, to margin, guarantee or secure any trades or contracts that result or may result from the solicitation or acceptance of the orders;</p> <p>(c) engage in the activities set out in subsection (1); and</p> <p>(d) engage in the activities of an adviser.</p>
Local	<p>may in or around a pit, ring, post or other place provided by a commodity futures exchange for the meeting of floor brokers and others similarly engaged, for the locals own account, buy or sell contracts, or both.</p>
Dealer (Floor Broker)	<p>(a) may</p> <p>(i) in or around a pit, ring, post or other place provided by a commodity futures exchange for the meeting of floor brokers and others similarly engaged, and</p> <p>(ii) for himself or herself and for other exchange members, buy and sell contracts on, or subject to the rules of, the exchange; and</p> <p>(b) may engage in engage in soliciting or accepting orders from exchange members for the purchase or sale of contracts on, or subject to the rules of, a commodity futures exchange.</p>