



Private Mortgage Lenders Forum Application Form

December 15, 2014

This form is to provide both the Alberta Mortgage Brokers Association (AMBA) and the Private Mortgage Lenders Forum with essential information to approve an individual/companies application to the Private Mortgage Lenders Forum.

The mission of the Private Mortgage Lenders forum is:

“To be the collective voice for the private mortgage lending industry.”

The mandate:

The Private Mortgage Lenders Forum (PMLF) will provide leadership in the areas of compliance, standards of excellence, information and networking. In addition the mandate of the Forum will be to promote ethical, professional and consistent industry practices that will foster a healthy and sustainable industry.

Please complete the following:

Company information

Firm Name Registered with Securities Commission				
Other firm trade names used				
List of Firms managed funds				
Head office address				
City		Province		Postal Code
Phone		Fax		Website
Number of offices	Number of employees	Number of Dealing Reps		
Jurisdictions Firm is registered				
The firm is registered with	Exempt Market Dealer	Restricted Portfolio Manager	Investment Fund Manager	Other



Chief Compliance Officer

Name		
Address		
City	Province	Postal Code
Phone	Fax	Email

Ultimate Designated Person

Name		
Address		
City	Province	Postal Code
Phone	Fax	Email

The following information will be used to quantify and substantiate the representation of the Private Mortgage Lenders Forum and will not be used to disclose individual company information.

	\$ Amount	# of Mortgages
Under administration		
In an investment pool		
In syndication		

	\$ Amount	# Mortgages
Residential property		
Commercial property		
Land Only		
Construction		
Other (leases, personal)		

	\$ Amount	# Mortgages
Alberta		
British Columbia		
Out of Province property		

Copyright *

- I grant permission to AMBA to photograph and/or videotape and/or audiotape me in the course of participating in any and all AMBA events to use my name and any of these photographs and/or videotapes for AMBA purposes in any membership media and territory.
- I do not grant permission.

Disclaimer *

- I understand and agree that the contact information I have provided will be displayed on AMBA's website (brokers & associates only), and in AMBA's annual membership directory.
- I have read, understand and agree to abide by AMBA's best business practices, professional standards of practice and bylaws, including the Code of Ethics and the policies of the Association. These documents can be read on AMBA's website at: www.amba.ca
- I understand and agree that if I breach the approved Standards of Professional Conduct, I can be subject to an ethical procedure.
- I acknowledge that by submitting this form, I am giving AMBA consent to use the information supplied for membership and the purposes specified.
- I hereby authorize AMBA to make all inquiries necessary to verify the accuracy of statements made herein.
- I understand that the AMBA Board of Directors reserves the right to deny membership or renewal and should my application be denied, I will receive a refund of my application fee. I acknowledge that if my application is denied, I have the opportunity to re-apply as outlined in the Association bylaws.



Acknowledgement by the Applicant

I, _____
Name of Applicant

am a Private Mortgage Lender in the province of Alberta, who is requesting formal application for membership to the Private Mortgage Lenders Forum and confirm the following:

- a. The above information provided is accurate and correct;
- b. Both the CCO and the UDP have submitted an application to the primary registrant for application ;
- c. The firm has established a formal and written policy and procedure manual that is followed by all employees and contractors of the firm;
- d. There is no disciplinary action that is being taken by any of the securities or real estate regulator in any jurisdiction for any related companies or individuals of the firm.

Any changes to the above information should be made available to the chair of the Private Mortgage Lenders Forum within 30 days from the change.

Date

Signature of Lender/Investor

Date

Witness Signature