

# FORM 1

## REPORT OF EXEMPT TRADES

**NOTE:** This report is not required if a bank to which the *Bank Act* (Canada) applies or a trust company acquires from a customer an evidence of indebtedness of the customer or any equity investment in the customer acquired concurrently with evidence of indebtedness.

1. Full name and address of the Vendor.

2. Name and address of the issuer of the security traded and description of the security.

3. Date of trade(s).

4. Full Name and Address of Purchaser(s) _____	Amount or Number of Securities Purchased	Purchase Price _____	Exemption Relied Upon
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5. State the name and address of any person acting as agent in connection with the trade(s) and the compensation paid or to be paid to such agent, including discounts, commissions or other fees or payments of a similar nature.

6. State the total proceeds derived in the Northwest Territories by the issuer or selling security holder from the distribution.

**CERTIFICATE OF VENDOR OR AGENT OF VENDOR**

**The undersigned hereby certifies that the statements made in this report are true and correct.**

DATED at \_\_\_\_\_

\_\_\_\_\_  
(name of vendor or agent)

this \_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

\_\_\_\_\_  
(signature)

\_\_\_\_\_  
(official capacity)

\_\_\_\_\_  
(name of individual whose signature appears)

1. In answer to question 5, give the name of the person or company who has been or will be paid remuneration related to the trade(s). It is not necessary to include payments for services incidental to the trade such as clerical, printing, lead or accounting
2. If the space provided for any answer is insufficient, additional sheets may be used and must be cross referenced to the relevant item and properly identified and signed by the person whose signature appears on the report.
3. Please file this report in duplicate with the filing fee of \$25.00. Cheques are payable to the Government of the Northwest Territories.