

# The Code Registry

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The code registry is a collection of all company codes issued to distributors, intermediaries, and manufacturers. These codes are used by industry partners to identify your business throughout the life of a transaction; whether the transaction is placed on Fundserv or manually outside of our network. Codes can represent the entirety of a company or individual segments of their business based on licenses or Fund classes. Companies who appear on the code registry are not necessarily Fundserv customers. To view the Registry, visit our code registry page at: <http://www.fundserv.com/tools-and-training/tools/code-registry/>

**The following information is required to obtain a valid registered code:**

## 1. Code Registry Application and Letter of Request

Complete the application form and include a letter, on your company letterhead, requesting a code. The application form and letter must be signed by a Signing Officer. If you intend to join the Fundserv network, please indicate this in the Letter of Request and forward the code registry application and required documents.\* The contract and associated documentation needed to join the Fundserv network will be forwarded to the appropriate contact after the code has been issued.

## 2. Required Supporting Documentation

Attach all applicable documentation as outlined in Code Registry Policy and Required Documentation. Once Fundserv receives the required documents, a code will be assigned. An email with a new code will be sent to the code applicant contact and an official letter will be sent by mail. Allow up to two business days for a code to be issued. All registered companies must inform Fundserv of any status changes, such as change of address, change of name, termination, change of registration, merger, etc. These updates allow Fundserv to maintain accurate lists of the code and company name on their corporate website for industry use.

**Note: Codes cannot be reserved or reused. Each code must remain unique forever. One code per firm will be issued at no cost. Additional codes may be requested for a fee. You must complete the registration documents outlined in the Code Registry Policy and Required Documentation and follow the code registry procedures when applying for an additional code.**

## Remaining Active in the Code Registry

To remain active in the network, the customer must maintain an active registration with all appropriate regulators. All attempts will be made by Fundserv to validate the status of the customer's registration, if applicable, via the various regulators' websites. Fundserv reserves the right, however, to request a copy of the customer's annual registration renewal and/or other appropriate documentation. \* Send all documentation to Fundserv Inc., 333 Bay Street, Suite 2600, Toronto, Ont. M5H 2R2, fax 416-362-8772, or e-mail [onboarding@fundserv.com](mailto:onboarding@fundserv.com).

## Distributor Code

- Proof of current registration with appropriate regulator.
- Proof of authorization to act on behalf of the distributor via list of signing officers.

## Segregated Fund Distributor Code

- Proof of registration as a life insurance company (if applicable).
- Proof of authorization to act on behalf of the distributor via list of signing officers.

## Offshore Distributor Code\*

- Proof of current registration with appropriate regulator.
- Proof of authorization to act on behalf of the distributor via list of signing officers.
- Off Shore Firms Schedule from an existing Canadian Fundserv operational manufacturer stating the non-resident is in good standing. Please contact [onboarding@fundserv.com](mailto:onboarding@fundserv.com) for a copy of the schedule.

**Fundserv reserves the right to contact the regulator within the noted jurisdiction for verification purposes and to refuse the setup of a new offshore distributor code on our network.**

**Note: If the above noted code types do not suit your specific business model, please contact Fundserv at [onboarding@fundserv.com](mailto:onboarding@fundserv.com).**

# Code Registry Application Distributor

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## Company Information

Date:

Legal Entity Name in Full:

Company Name (as appears on Fundserv network):

Company Short Name (Max 20 characters):

Company Address:

City: Province:

Postal Code: Toll Free Number:

Telephone Number: Fax Number:

Web Address: Head Office Jurisdiction:  
(Province/Country)

## Distributor Type (check all that apply)

Mutual Fund                      Segregated

## Regulatory Body (check all that apply)

Provincial Securities Regulator  
Office of the Superintendent of Financial Institutions  
Mutual Fund Dealers Association of Canada  
Investment Industry Regulatory Organization of Canada  
AMF – Autorité des marchés financiers  
Other

**Contact Information**

If Code Applicant is the same as the Signing Officer, please only complete the Signing Officer section.

Code Applicant Name:

Code Applicant Title:

Email:

Telephone Number:

Fax Number:

Signing Officer Name:

Signing Officer Title:

Signing Officer Company Name:

Email:

Telephone Number:

Fax Number:

**This section is only applicable for those companies who intend to join the Fundserv network.**

Do you wish to join the Fundserv network?                      Yes                      No

If you intend to use a third party service provider for either administration services or system connectivity, please indicate the company(s) here:

If your company has any related codes that are currently Fundserv network customers, please list below:

**I verify that the above information is correct. I also understand that Fundserv will post the company name and code on the corporate website.**

Code Applicant Signature:

Signing Officer Signature: