Fundserv Code Registry

Please complete all required fields in this form and have it signed by the authorized signing officer of your firm before returning it to onboarding@fundserv.com.

The code registry is a collection of all company codes issued by Fundserv 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 based on the line of business.

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

1. Code Registry Application

Complete the application form below to request a new code. 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 this application form. Once Fundserv receives the required documents, a code will be assigned and an email confirmation will be sent to the Code Applicant contact. Allow up to two business days for a code to be issued.

All registered companies must inform Fundserv of any material changes, such as company status, change of address, contact information, change of name, change of registration, termination, 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 a Code Registry Application and submit the Required Documentation when applying for each additional code.

3. Remaining Active in the Code Registry

To remain active on the network, the Member must maintain an active registration with all appropriate regulators. All attempts will be made by Fundserv to validate the status of the Member's registration, if applicable, via the various regulators' websites. Fundserv reserves the right, however, to request a copy of the Member's annual registration renewal and/or other appropriate documentation.

Required Documentation for Intermediaries

- Proof of current registration with appropriate regulator (see section 2 below)

or

- Declaration of Trust

and

- List of signing officers and contact information on a company letterhead.

Note: If the above listed requirements do not suit your specific business model, please contact Fundserv at onboarding@fundserv.com.

Additional documentation may be required upon request.

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Code Registry Application - Intermediary

Please download this PDF form to your computer and open in an Adobe/Acrobat application (not browser) in order to use the e-signature functionality.

1. Company Information

Legal Entity Name in Full*		
Preferred Company Name* (as it will appear on the Fundserv network)		
Company Short Name* (max 20 characters, as it will appear on Fundserv's A$M service)		
Preferred Company Code* (4 letters, i.e. ABCD)		
Company Address*		
City*	Province*	Postal Code*
Phone Number*	Website*	
Head Office Jurisdiction (Province/Country)*		

2. Regulatory Registration Type

- ☐ Office of the Superintendent of Financial Institutions (OSFI)
- ☐ Not Applicable (please specify)

3. Would you like to proceed in onboarding this new code to the Fundserv network?*

☐ Yes ☐ No

4. If you intend to use a third-party Service Provider for either administration services or system connectivity, please indicate the company(s) here:

5. If your company has any related codes that are currently Fundserv network members, please list them below:

6. Contact Information

Code Applicant Name*		
Code Applicant Title*		
Email*	Telephone Number*	

I verify that the above information is correct. I also understand that Fundserv will post the Preferred Company Name (from section 1) and issued code on the member registry page of the public website.

Code Applicant Signature* Date*

*Required Field

RESET SEND