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|  | **APPLICATION FOR LETTERS PATENT** |

Financial Institutions – Policy, Treasury Board and Finance

*This form, together with the supporting documentation and the prescribed application fee, must be submitted to Financial Institutions - Policy,* [*FIPolicy@gov.ab.ca*](mailto:FIPolicy@gov.ab.ca) *or 8th floor Federal Building, 9820 - 107 Street, EDMONTON, Alberta, T5K 1E7, (780) 644-5006.*

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| The personal information that is provided on this form is collected for the purpose of applying for letters patent as set out in section 7 of the *Alberta Loan and Trust Corporations Act.* It is collected under the authority of section 33 (c) of the *Freedom of Information and Protection of Privacy (FOIP) Act* and protected by the privacy provisions of the Act. If you have any questions about this collection, please contact our office using the information provided above. |

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| **Application to Incorporate**: | Deposit Taking  Trust Corporation | Special Purpose  Trust Corporation | Loan Corporation |

**Proposed Corporation Name**:

**Email Address**:

**Telephone Number**:

**Fiscal Year End**:

### APPLICANTS *(please type or print)*

|  |  |  |  |
| --- | --- | --- | --- |
| Full Name | Residential Address | Citizenship | Occupation |
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**SUPPORTING DOCUMENTATION:**

**Please note: all forms are** [**available on our website**](https://www.alberta.ca/financial-institutions-information-financial-service-providers.aspx#loan-and-trust-corps)**.**

Prepare and attach to this application form a brief containing the following information:

* A Proposed Plan of Operation, including but not limited to:
* The geographic area to be served and services to be provided by the proposed corporation, including details regarding any restrictions or prohibition to be imposed on the proposed loan or trust corporation and the perceived public benefits.
* The authorized capital of the proposed corporation, including a list of the rights, privileges, restrictions and conditions attached to each class of shares, the stated value thereof, the amount to be subscribed and paid up and whether the subscription is clear from all liability on the part of any subscriber.
* A detailed financial projection for the first 5 years of operation, showing balance sheets, profit and loss accounts and assumptions, prepared in accordance with the Future Oriented Financial Information Section of the CICA Handbook.
* The corporate structure of the proposed corporation. Include the number of directors, or subject to 109(1)(a), the minimum and maximum number of directors, and a listing of the proposed management personnel or a proposal to secure management personnel.
* Intercorporate relationships between the proposed corporation and any holding companies/subsidiaries.
* Copy of the proposed by-laws
* Evidence that at least $5,000,000 in the case of a deposit taking trust corporation, $2,000,000 in the case of a special purpose trust corporation, and $3,000,000 in the case of a loan corporation, of common shares or other prescribed capital has been subscribed for in good faith.
* Proposed Major Shareholders
* A list showing the full name, residential address, citizenship and occupation of each person who, based on the subscriptions for shares of the proposed corporation, will hold or beneficially own 10% or more of any class of shares of the proposed corporation (Proposed Major Shareholder). Where a company is a Proposed Major Shareholder, a list of each individual's shareholdings by class of shares of the company must also be included.
* For each Proposed Major Shareholder:
  + a statement of consent stating that the Minister may make any enquiries or obtain information necessary to evaluate this brief. Where a company is a Proposed Major Shareholder, a statement of consent from each individual holding or beneficially owning 10% or more of any class of that company’s shares,
  + a completed Personal Questionnaire form (AT4060). Where a company is a Proposed Major Shareholder, include a completed Personal Questionnaire form from each individual holding or beneficially owning 10% or more of any class of that company’s shares, and,
  + evidence of the adequacy of their financial resources. Where a company is a Proposed Major Shareholder, include a copy of the most recent audited financial statements of the company.
* Proposed Directors and Officers
* A Notice of Directors (form AT4062).
* For each director or officer of the proposed corporation:
  + a statement of consent stating that the Minister may make any enquiries or obtain information necessary to evaluate this brief, and,
  + a completed Personal Questionnaire form (AT4060).
* Notice of Address (form AT4064).
* A current name search (NUANS) report.

An application fee in the amount of $5,000 is payable to the Minister of Finance.

***AFFIDAVIT***

*We declare that the information provided in this application, and any additional information that may be provided as requested by the Minister in connection with this application, is to the best of our knowledge and belief, true and complete in every respect. We make this declaration knowing that it is of the same force and effect as if made under oath, and by virtue of the Canada Evidence Act and the Alberta Evidence Act.*

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| DECLARED BEFORE ME IN THE | Signature of Applicant(s):  (include corporate seal where appropriate) |
| CITY OF |  |
| PROVINCE OF |  |
| THIS       DAY OF ,      . |  |
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| A Notary Public in and for the Province of      . |  |