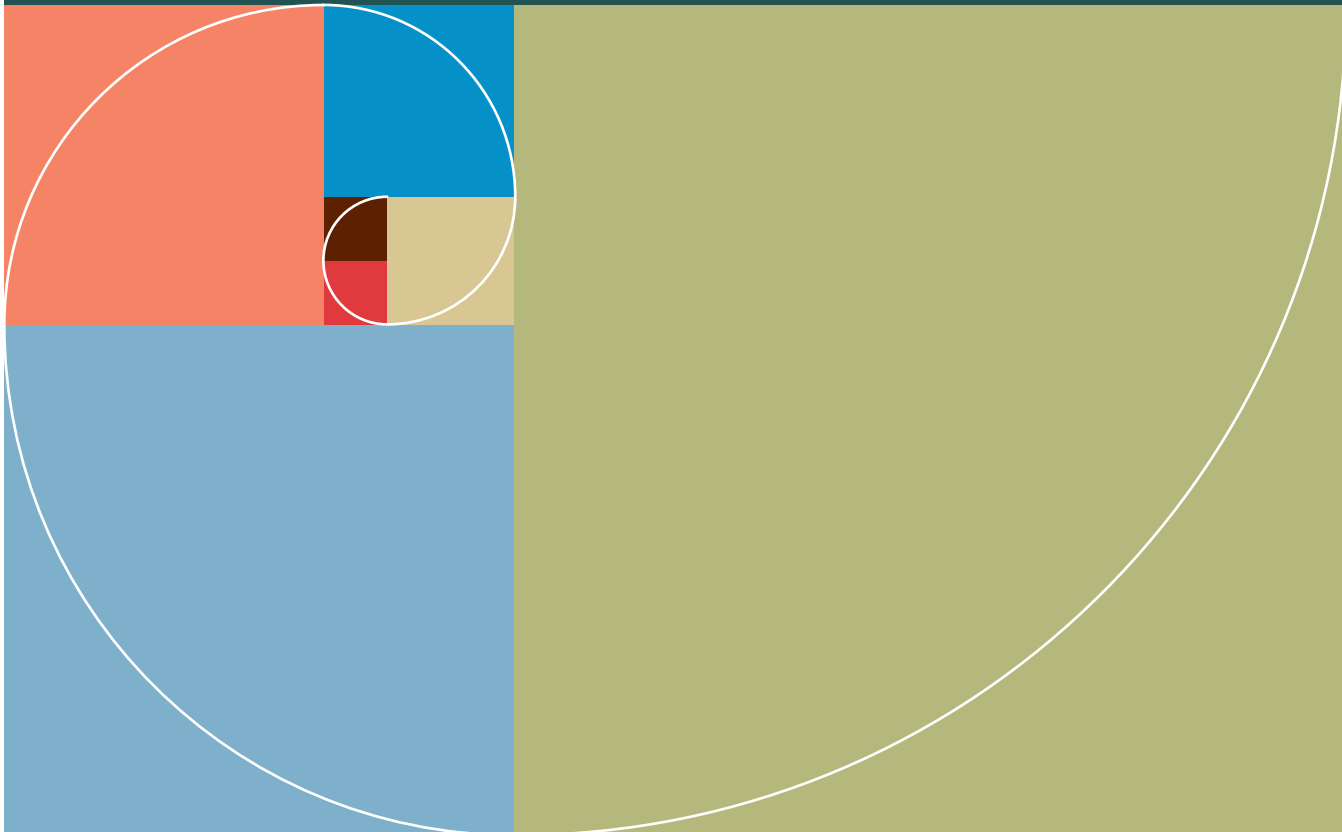




Canadian Securities Institute
Research Foundation

PhD Scholarship Application Form

Supporting original research in
the Canadian capital markets





Canadian Securities Institute Research Foundation

Supporting original research in the Canadian capital markets

OBJECTIVE

The Canadian Securities Institute Research Foundation (the Foundation) encourages and supports research that will benefit Canadian capital markets and Canadian investors.

The Foundation considers and supports realistic and creative ideas for research in issues pertaining to the Canadian capital markets to benefit investors and other participants with a national and/or global perspective.

BACKGROUND

In 1996, the Canadian Securities Institute Research Foundation, formerly The Investor Learning Centre, was established as a charitable organization. Its main objectives included originating and supporting educational and research initiatives pertaining to capital markets, savings and investments and personal financial planning.

In September 2002, The Board of Directors of the Foundation announced that it was launching a new research-focused program that would exclusively sponsor and showcase important original research on matters of fundamental value to the investing public. In this initiative the Foundation expects to partner with major Canadian universities, students and others.

VALUE

The Canadian Securities Institute Research Foundation will offer two PhD student scholarships, each valued at \$25,000 yearly, renewable once, to be awarded based on applications dissertations that best match the objectives of the program.

However, it should be noted that the actual number of awards granted in any one year is subject to qualified applications received. It is possible that all awards may not be granted each year.

PhD Scholarships

- o You must be enrolled as a full time student in an approved graduate program for the tenure of the scholarship leading to a doctoral degree at a Canadian university. If you withdraw, transfer to part-time status, or fail to complete a term, you may be required to repay all or a portion of the award.
- o Your dissertation proposal has been approved.
- o You possess a valid student visa or are a landed immigrant or Canadian citizen.
- o You may, at the time of application, apply for one scholarship for two consecutive terms.
- o You may, with your university's approval, change to another discipline or to another approved program during the tenure of the award; however, the scope of the research may not be amended.



HOW ARE APPLICATIONS ASSESSED?

A selection committee made up of three to five Foundation board appointed members will review all applications. This committee will include individuals with expertise from academia and the capital markets business community.

Factors which may be considered include:

- Academic achievement.
- Evidence of other research.
- Applicant displays good understanding of purpose and relevance of outcome to current economic or social issues.
- Demonstrated commitment to excellence.
- Demonstrated support by the University.

NOTIFICATION OF APPLICANTS

Successful applicants will be notified after September.

DISBURSEMENT OF FUNDS

The first payment of 50% of the award will be paid at a date that is agreed upon with the successful applicant's university.

All payments will be made to the successful applicant's university.

STUDENT OBLIGATIONS

Students are required to pursue the course of study outlined in the application form in accordance with the university he/she is attending.

If a student elects to withdraw from the course of study before completion, the Foundation may expect repayment of all or a portion of the funds that have been received.

Students are required to provide progress reports every six months.



AGREEMENT (INCLUDING DECLARATION AND SIGNATURES)

Awards will be made by way of an agreement between the university, student and the Foundation.

SUSPENSION AND TERMINATION

The Foundation may agree to suspension of an award in such circumstances as: illness, parental leave and compassionate leave. In such an event where suspension is granted, an agreement will be reached between the student, Foundation and university regarding recommencement of study and scholarship payment.

The Foundation may terminate an award in such circumstances as:

- Student does not comply with the conditions.
- Student fails to pursue the agreed programme of study and/or research.
- The university is not satisfied that the student is able to carry out the agreed course of study or research.

LIABILITY

The Foundation accepts no liability for the manner in which work in connection with the research is undertaken. The student will be responsible for the work and the consequences of it.

INTELLECTUAL PROPERTY RIGHTS

The Foundation will make no claim to ownership, or control of any Intellectual property rights arising from, or in association with the program of research undertaken.

It is the responsibility of the university, attended by the student, to negotiate any necessary agreement regarding intellectual property.

REPORTING, DISSEMINATION AND ACKNOWLEDGEMENT

Progress reports in a format agreeable to their supervisor must be submitted by the student every six months.

The Foundation retains the right to publish the recipients' names and nature of research in all activities and/or published material it may prepare.



PHD SCHOLARSHIP APPLICATION FORM

INFORMATION REQUIRED

NAME: Mr. Mrs. Ms. Dr.

Last Name: _____ First Name: _____ Middle Initial: _____

ADDRESS:

Apt./Suite: _____ Street Address: _____

City: _____ Province: _____ Postal Code: _____ Country: _____

CONTACT INFORMATION:

Telephone: (days) _____ (evenings) _____ (cell) _____

Email address: _____

1. a) Are you a permanent resident or citizen of Canada? : Yes, provide photocopy proof, go to Question 2. No - please complete sections b)

b) Do you have a VISA which permits you to study in Canada? (attach copy) Yes No

2. Are you currently receiving a postgraduate award? If yes, please give details. Yes No

3. Are you intending to or currently studying full-time? Yes No

4. a) When did you commence your PhD studies? _____

b) Date of dissertation approval: _____

c) Estimated PhD completion date: _____

5. Include your PhD transcript.

6. Please provide details of the PhD program you are currently enrolled in. (attach a separate sheet if needed, maximum one page)

7. Please provide details of the field of study in which you want to undertake research. (summarize below)

8. Please provide a letter of support from your supervisor and their contact information which also includes reference to your dissertation approval.

9. Date successfully completed comprehensive examinations: _____



10. Please provide details of relevant professional experience.

a. Briefly describe your research and/or professional experience. (attach a separate sheet if needed)

b. Has your research been published? If yes please provide details. (attach a separate sheet if needed)

11. Include a letter discussing why you should receive this scholarship. (maximum of two pages)

12. You must submit a work plan that includes the following (maximum four pages)

- a. Purpose/proposed outcomes
- b. Specific objectives/aims of research
- c. Milestones and expected timeline
- d. Research methodology
- e. Knowledge transfer
- f. Who will benefit

13. Academic References: Please provide contact information for two references who are familiar with your work.

1)

2)

Declaration:

I declare that the information supplied by me on this form is complete, true and correct.

I authorize CSI to obtain from other educational institutions and relevant authorities at any time, details of any enrolment, academic record and examination results including details of enrolment, attendance and address in connection with any benefits payable to me under this award.

I agree to comply with CSI conditions of the award as may be amended from time to time.

I understand that providing false or misleading information may result in the withdrawal of any offer of any award to me.

Signature: _____ Date: _____

This application must be printed and completed by the PhD student and mailed in with all the relevant documents (including your approved dissertation proposal, any additional pages needed to complete any of the questions, your letter and proof of legal status in Canada). We would also like to receive a PDF of the completed application form. Incomplete applications will not be considered.

Mail completed application form to:

Canadian Securities Institute
Research Foundation
200 Wellington Street West, 15th Floor
Toronto, Ontario M5V 3G2

Email PDF to: hirwin@csi.ca