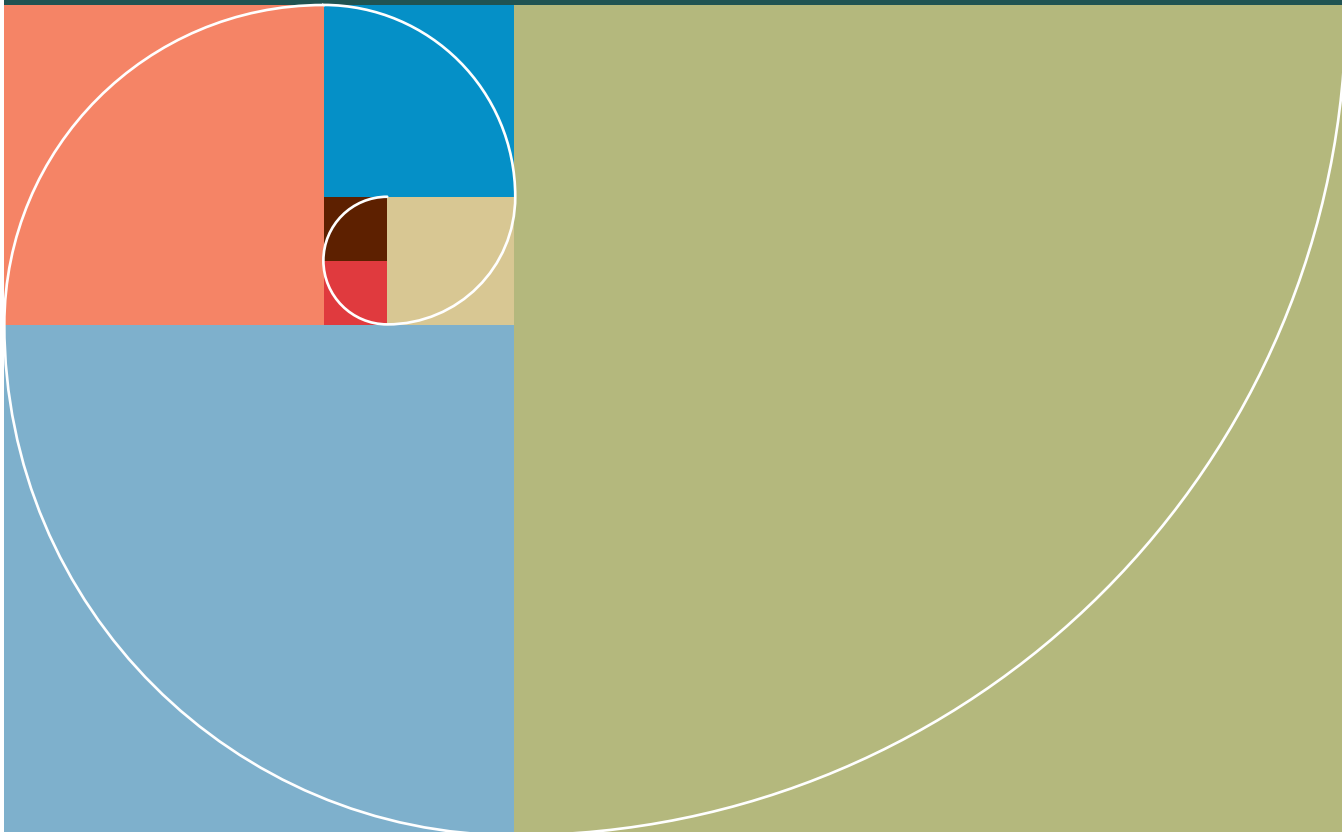




Canadian Securities Institute
Research Foundation

Research Grant 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 will support the best research proposal drawn from the topics proposed in the research entitled, Long Term Issues in Client-Advisor Relationships and How to Address Them with Academic Research. (See CSIRF website)

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 partners with major Canadian universities, students and others.

VALUE

The Canadian Securities Institute Research Foundation will offer two research grants, each valued at \$40,000 over two years, to be awarded based on applicant's proposal and the best match to the topics proposed. You must be employed as a full time academic at a Canadian university. If you fail to complete your research, you may be required to repay all or a portion of the award.

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.



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 considered include:

- Match of research to topics listed in the research entitled, Long Term Issues in Client-Advisor Relationships and How to Address Them with Academic Research. See CSIRF website for a copy of the paper.
- Academic achievement.
- Research track record.
- Demonstration of 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 or directly to the applicant.

RESEARCHER(S) OBLIGATIONS

- Researcher(s) are required to pursue the research outlined in the application form.
- If a researcher elects to discontinue the research before completion, the Foundation may expect repayment of all or a portion of the funds that have been received.
- Researcher(s) are required to provide progress reports every six months.
- Researcher(s) are required to present their research at an industry forum at the end of the two year period or as is agreed to by the Foundation and the researcher(s).
- Researcher(s) must complete the research within two years.



AGREEMENT (INCLUDING DECLARATION AND SIGNATURES)

Awards will be made by way of an agreement between the university, researcher 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 researcher, the Foundation and the university regarding recommencement of study and grant payment.

The Foundation may terminate an award in such circumstances as:

- Researcher does not comply with the conditions.
- Researcher fails to pursue the agreed research.
- The university is not satisfied that the researcher is able to carry out the agreed to research.

LIABILITY

The Foundation accepts no liability for the manner in which work in connection with the research is undertaken. The researcher 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 must be submitted by the researcher every six months.

Presentation of research and results at an industry forum with overview on CSIRF website.

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



RESEARCH GRANT APPLICATION FORM

INFORMATION REQUIRED

NAME: Mr. Mrs. Ms. Dr.

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

PERSONAL ADDRESS:

Apt./Suite: _____ Street Address: _____

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

UNIVERSITY ADDRESS:

Apt./Suite: _____ Street Address: _____

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

CONTACT INFORMATION:

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

Email address: _____

1. Are you a permanent resident or citizen of Canada? : Yes, provide photocopy proof
2. Title at University (professor, adjunct professor, assistant professor, etc.) _____
3. Please provide an overview (no more than five pages) of the research you would undertake including the following:
 - 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



4. Please provide details of relevant professional experience.

a. Briefly describe your research and 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.)

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

Declaration:

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

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 should be completed by the researcher and emailed to **admin@csifoundation.com**, please include your proposal, any additional pages needed to complete any of the questions, your letter and proof of legal status in Canada. **You should receive an email back confirming receipt of your application within 2 weeks of submitting your application, if you do not, please send an email asking if your application was received.