

Form 11-102F1

Notice of Principal Regulator and
Registration in Additional Jurisdiction(s)

(for firms)

1. **Date:** _____

2. **Information about the firm**

NRD #: _____

Name: _____

3. **Information relevant to principal regulator determination – head office**

Is your head office located in Canada? Yes No

If yes, identify the jurisdiction and proceed to item 5:

4. **Information relevant to principal regulator determination - significant connection**

If your head office is not in Canada, identify the jurisdiction where you expect to have the highest volume of business by assets under management

5. **Registration in Additional Jurisdiction(s)**

Indicate the jurisdiction(s), other than the jurisdiction you identified under item 3 or 4, in which you are to be registered under section 4.2 of NI 11-102 by checking the relevant box(es):

- | | |
|----------------------|--------------------------|
| British Columbia | <input type="checkbox"/> |
| Alberta | <input type="checkbox"/> |
| Saskatchewan | <input type="checkbox"/> |
| Manitoba | <input type="checkbox"/> |
| Ontario | <input type="checkbox"/> |
| Québec | <input type="checkbox"/> |
| New Brunswick | <input type="checkbox"/> |
| Nova Scotia | <input type="checkbox"/> |
| Prince Edward Island | <input type="checkbox"/> |

Newfoundland and Labrador
Yukon
Northwest Territories
Nunavut

6 Address and agent for service

For each jurisdiction identified in item 5, provide the following information:

If you have not appointed an agent for service, an address for service (*a post office box is not an acceptable address, but a residential address is*):

Number, street

City, province or territory, postal code

Telephone number

Fax number, if available

E-mail address, if available

If you have appointed an agent for service, the following information for the agent for service. (*The address for your agent for service must be the same as the address for service above. If your agent for service is a firm, also provide the name of your contact person*):

Name

Contact person