

Form 91-501F1
Submission to Jurisdiction and Appointment of Agent for Service
(section 6 [Registration exemption – International dealer])
(section 8 [Registration exemption – International adviser])

In a CMR Jurisdiction, only one agent for service is required for service in all CMR Jurisdictions. However, a firm must submit to the jurisdiction of each province or territory in which it seeks the exemption.

1. Name of person ("International Firm"):
2. If the International Firm was previously assigned an NRD number as a registered firm or an unregistered exempt international firm, provide the NRD number of the firm.
3. Jurisdiction of incorporation of the International Firm:
4. Head office address of the International Firm:
5. The name, e-mail address, phone number and fax number of the International Firm's chief compliance officer.

Name:

E-mail address:

Phone:

Fax:

6. Section of CMRA Regulation 91-501 *Derivatives and Strip Bonds*, the International Firm is relying on:

Section 6 [*Registration exemption – International dealer*]

Section 8 [*Registration exemption – International adviser*]

7. Name of agent for service of process (the "Agent for Service"):
8. Address for service of process on the Agent for Service:
9. The International Firm designates and appoints the Agent for Service at the address stated above as its agent upon whom may be served a notice, pleading, subpoena, summons or other process in any action, investigation or administrative, criminal, quasi-criminal or other proceeding (a "Proceeding") arising out of or relating to or concerning the International Firm's activities in a CMR Jurisdiction and irrevocably waives any right to raise as a defence in any such proceeding any alleged lack of jurisdiction to bring such Proceeding.
10. The International Firm irrevocably and unconditionally submits to the non-exclusive jurisdiction of the judicial, quasi-judicial and administrative tribunals of the CMR Jurisdiction in any Proceeding arising out of or related to or concerning the International Firm's activities in the CMR Jurisdiction.

11. Until 6 years after the International Firm ceases to rely on section 6 [*Registration exemption – International dealer*] or section 8 [*Registration exemption – International adviser*], the International Firm must submit to the Chief Regulator
- a. a new Submission to jurisdiction and appointment of agent for service in this form no later than the 30th day before the date this Submission to jurisdiction and appointment of agent for service is terminated; and
 - b. an amended Submission to jurisdiction and appointment of agent for service no later than the 30th day before any change in the name or above address of the Agent for Service.
12. This *Submission to jurisdiction and appointment of agent for service* is governed by and construed in accordance with the laws of the CMR Jurisdiction.

Dated: _____

(Signature of the International Firm or authorized signatory)

(Name and Title of authorized signatory)

Acceptance

The undersigned accepts the appointment as Agent for Service of (Insert name of International Firm) under the terms and conditions of the foregoing Submission to jurisdiction and appointment of agent for service.

Dated: _____

(Signature of Agent for Service or authorized signatory)

(Name and Title of authorized signatory)