

**Appendix A**

**Rapport relatif à la décision n° 2015-PDG-0036**  
***Décision générale relative à la dispense de l'obligation d'inscription prévue aux articles 148 et 149 de la Loi sur les valeurs mobilières en faveur de certaines personnes agissant à titre de courtier ou de conseiller auprès de Clients résidant aux États-Unis d'Amérique***

**Complete the applicable sections.**

Indicate if you intend to rely on any of the following:

dealer registration exemption as of paragraph 1 of the decision

adviser registration exemption as of paragraph 2 of the decision

Indicate the jurisdiction(s) in which the U.S. broker-dealer has representatives that trade to, with, or on behalf of, U.S. clients, or the U.S. adviser has representatives who are acting as advisers to U.S. clients.

AB BC MB NB NL NS NT NU ON PE QC SK YT

\_\_\_\_\_  
[Name of the firm]

\_\_\_\_\_  
[Address]

\_\_\_\_\_  
[Telephone number]

\_\_\_\_\_  
[Name of registered firm in a jurisdiction of Canada with which the U.S. broker-dealer or U.S. adviser is affiliated, has a business arrangement, or shares employees or offices]

\_\_\_\_\_  
[Name of individual responsible for ensuring conditions to use this exemption are met]

\_\_\_\_\_  
[Telephone number for responsible individual]

\_\_\_\_\_  
[E-mail address for responsible individual]

\_\_\_\_\_  
[Names of representatives who are acting in Québec as advisers to U.S. clients, or that, in Québec, trade to, with, or on behalf of, U.S. clients. Use separate sheet if necessary]

\_\_\_\_\_  
[Date]

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