

**Forms 93-101F1 filed with the Autorité des marchés financiers**

Last updated on February 25, 2026

**Please note:**

 Section 39 of National Instrument 93-101 Derivatives: Business Conduct governs the foreign derivatives dealers exemption and section 46 governs the foreign derivatives advisers exemption.  
Other exemptions are denoted by "Other" where applicable.

Name of Foreign Derivatives Firm	Original Submission Date and Amendments	Head Office Address	Type of Exemption
ALYESKA ADVISORS S.A.	2024-09-28	Alyeska Advisors S.A. Place du Molard, 9 1204 Geneva Switzerland	Section 46
American Century Investment Management, Inc.	2024-09-23	4500 Main Streand, Kansas City, MO 64111-70, USA	Section 46
Aperio Group LLC	2024-09-26	13 Harbor Dr., Suite 204, Sausalito CA, 94965	Section 46
Australia and New Zealand Banking Group Limited	2024-09-10	ANZ Centre Melbourne, 833 Collins Streand, Docklands, Victoria, 2008, Australia	Section 39
AVM, L.P.	2025-12-05	777 Yamato Road, Suite 300, Boca Raton, FL 33431, U.S.A.	Section 39
Bain Capital Public Equity, LP	2024-09-27	200 Clarendon Streand Boston, MA 02116 United States	Section 46
Banco Bilbao Vizcaya Argentaria S.A.	2024-09-27	Ciudad BBVA - Calle Saucedá nº 28 - Edificio Oceanía - Planta 1ª – 28050 Madrid	Section 39
Bank of America, N.A.	2024-10-02	100 North Tryon Streand Charlotte, NC 28202 United States	Section 39
Bank of Montreal Europe plc	2024-09-27	2 Harbourmaster Pl, International Financial Services Centre, Dublin 1, D01 X5P3, Ireland	Section 39
Bank of New Zealand	2024-09-25	Level 4, 80 Queen Streand, Auckland, New Zealand	Section 39
Banque SYZ SA	2024-09-30	Quai des Bergues 1, Geneva, CH-1211 Switzerland	Section 46
Barclays Bank PLC	2024-09-27	1 Churchill Place, London E14 5HP, United Kingdom	Section 39
Barrenjoey Advisory Pty Limited	2025-06-11	Quay Quarter Tower, L 19 50 Bridge St, Sydney, NSW 2000 Australia	Sections 39 and 46
Barrenjoey Markets Pty Limited	2024-09-26 and 2025-06-11	Quay Quarter Tower, L 19 50 Bridge St, Sydney, NSW 2000 Australia	Sections 39 and 46
BASELINE WEALTH MANAGEMENT SA	2024-09-28	Baseline Wealth Management SA Rue du Rhône 67, GE - 1207 Geneva Switzerland	Section 46
BlackRock Financial Management, Inc.	2024-09-26	50 Hudson Yards, New York, NY 10001	Section 46
BlackRock Institutional Trust Company, N.A.	2024-09-26	400 Howard Streand, San Francisco, California, 94105	Section 46
BlackRock Investment Management (UK) Limited	2024-09-30	12 Throgmorton Avenue, London, United Kingdom, EC2N 2DL	Section 46
BNP Paribas	2024-10-02	16 boul. Italiens, Paris, France 75009	Section 39
BNP Paribas Securities Corp.	2024-10-02	787 Seventh Avenue, New York, New York 10019 USA	Section 39
BofA Securities Europe S.A.	2024-09-25	51 rue La Boandie, Paris 75008 France	Section 39
BP Energy Company	2024-09-23 and 2025-07-21	201 Helios Way, Houston, Texas USA 77070	Section 39
Brandywine Global Investment Management, LLC	2024-09-24	1735 Markand Streand, Philadelphia, PA 19103	Section 46
Brown Advisory LLC	2024-09-27	901 South Bond Streand, Suite 400 Baltimore, MD 21231	Section 46
Brown Brothers Harriman & Co.	2024-09-27	140 Broadway New York, NY, 10005, USA	Section 39
Brown Brothers Harriman Investor Services Ltd	2024-11-21	Park House 16-18 Finsbury Circus London EC2M 7EB UNITED KINGDOM	Section 39
CaixaBank, S.A.	2024-09-27	calle Pintor Sorolla, 2-4 46002, Valencia, Spain	Section 39
Capital One, National Association	2024-09-26	1600 Capital One Drive, McLean, Virginia 22102	Section 39
CIBC Capital Markets (Europe) S.A.	2024-10-24	2C Rue Albert BorschandteL- 1246 Luxembourg (Luxembourg)	Section 39
CIBC National Trust Company	2024-10-30 and 2025-04-08	3290 Northside Pkwy, 7th Floor, Atlanta GA 30327 U.S.A.	Section 46
CIBC Private Wealth Advisors, Inc.	2024-10-30	181 W. Madison Streand, Chicago, IL 60602, U.S.A.	Section 46

Citibank N.A.	2024-09-27	388 Greenwich Streand, New York, NY, 10013	Section 39
Citigroup Energy Inc.	2024-09-27	2700 Post Oak Blvd, Houston, TX, 77056	Section 39
Citigroup Global Markets Europe AG	2024-09-27	Reuterweg 16, 60323 Frankfurt am Main, Germany	Section 39
Citigroup Global Markets Inc.	2024-09-27	388 Greenwich St, New York, NY, 10013	Section 39
Citigroup Global Markets Limited	2024-09-27	33 Canada Square London, United Kingdom	Section 39
Citizens Bank, National Association	2024-09-26	One Citizens Plaza, Providence, Rhode Island, 02903, USA	Section 39
Columbia Management Investment Advisers, LLC	2024-09-26	290 Congress Streand, Boston, Massachusetts, USA 02210	Section 46
Columbia Threadneedle Management Limited	2024-09-26	Cannon Place, 78 Cannon Streand London, England, EC4N 6AG	Section 46
Commerzbank AG	2024-09-04	16 Kaiserstrasse, Frankfurt am Main, Hessen, 60311, Germany	Section 39
COMMONWEALTH BANK OF AUSTRALIA	2024-08-15	Commonwealth Bank Place South, Level 1, 11 Harbour Streand, Sydney, NSW, 2000, Australia	Section 39
Coöperatieve Rabobank U.A.	2024-09-27	Croeselaan 18, P.O. Box 17100, 3500 HG, Utrecht, The Nandherlands	Section 39
Credit Agricole Corporate and Investment Bank	2024-10-02	12 Place Des andats-unis CS 7052, Montrouge Cedex, 92547 France	Section 39
Credit Suisse Securities (Europe) Limited	2024-11-08	5 Broadgate; London EC2M 2QS, United Kingdom	Section 39
Danske Bank A/S	2024-12-06	40 Bernstorffsgade, DK-1577 Copenhagen V, Denmark	Section 39
Goldman Sachs & Co. LLC	2024-09-25	200 West Streand, New York New York 10282 USA	Sections 39 and 46
Goldman Sachs Asset Management International	2024-09-26	Plumtree Court, 25 Shoe Lane, London, United Kingdom, EC4A 4AU	Section 46
Goldman Sachs Asset Management, L.P.	2024-09-26	200 West Streand, New York, New York 10282	Section 46
Goldman Sachs Bank Europe SE	2024-09-25	Marieturm, Taunusanlage 9-10, D-60329 Frankfurt am Main, Germany	Sections 39 and 46
Goldman Sachs Bank USA	2024-09-25	200 West Streand, New York New York 10282 USA	Section 39
Goldman Sachs Financial Markets L.P.	2024-09-24	200 West Streand, New York, New York 10282 USA	Section 39
Goldman Sachs Financial Markets Pty. Ltd.	2024-09-25	Levels 22, 101 Collins Streand, Melbourne, Australia VIC 3000	Section 39
Goldman Sachs International	2024-09-25	Plumtree Court, 25 Shoe Lane, London, United Kingdom, EC4A 4AU	Sections 39 and 46
Goldman Sachs Japan Co., Ltd.	2024-09-25	Toranomon Hills Station Tower, Toranomon 2-6-1, Minato-ku, Tokyo 105-5543, Japan	Section 39
Goldman Sachs Mitsui Marine Derivative Products, L.P.	2024-09-25	200 West Streand, New York, New York 10282 USA	Section 39
Goldman Sachs Paris Inc. et Cie	2024-09-25	85 Avenue Marceau, 75116, Paris, France	Section 39
Graham Capital Management, L.P.	2025-05-28 and 2025-06-02	40 Highland Avenue Rowayton CT 06853 USA	Section 46
Grantham, Mayo, Van Otterloo & Co. LLC	2024-10-01	53 State Streand, Suite 3300, Boston, MA, 02109	Section 46
HSBC Bank Plc	2024-09-27	8 Canada Square London E14 5HQ United Kingdom	Section 39
HSBC Bank USA, National Association	2024-09-27	1800 Tysons Boulevard, Ste 60 McLean, VA 22102, USA	Section 39
ICBC Standard Bank Plc	2024-11-21	20 Gresham Streand London EC2V 7JE GBR	Section 39
ING Bank N.V.	2024-08-02	Bijlmerdrijf 106 1102 CT Amsterdam The Nandherlands	Section 39
ING Capital Markets LLC	2024-06-07	1133 6th Ave, New York, NY, 10036 United States	Section 39
J. Aron & Company (Singapore) Pte.	2024-09-25	1 Raffles Link, #07-01, South Lobby, Singapore 039393	Section 39
J. Aron & Company LLC	2024-09-25	200 West Streand, New York, New York 10282 USA	Section 39
J.P. Morgan SE	2024-09-27	Taunus Turm, Taunustor 1, 60310 Frankfurt am Main, Germany	Section 39
J.P. Morgan Securities LLC	2024-09-27	383 Madison Ave., New York, NY, 10179, United States	Section 39
J.P. Morgan Securities plc	2024-09-27	28 Bank Streand, Canary Wharf, London, E14 5JP, United Kingdom	Section 39
Jefferies Financial Services, Inc.	2024-09-26	520 Madison Avenue, New York, New York 10022 United States	Section 39
Jefferies International Limited	2024-09-26	100 Bishopsgate, London, EC2N 4JL United Kingdom	Section 39
JP Morgan Chase Bank, N.A.	2024-09-27	1111 Polaris Parkway, Columbus OH, 43240, United States	Section 39
Lloyds Bank Corporate Markets plc	2024-09-26	25 Gresham Streand London, England EC2V 7HN United Kingdom	Section 39
Lloyds Bank plc	2024-09-26	25 Gresham Streand London, England EC2V 7HN United Kingdom	Section 39
Macquarie Bank Limited	2024-09-28 and 2024-11-21	Level 1, 1 Elizabeth St Sydney NSW 2000, Australia	Section 39
Marex Capital Markets Inc.	2024-09-26	140 East 45th Streand, 10th Floor, New York, NY 10017, USA	Section 39
Marex Financial	2024-09-26	155 Bishopsgate, London, EC2M 3TQ, United Kingdom	Section 39
Marshall Wace Asia Limited	2024-09-27	23/F, LHT Tower, 31 Queen's Road Central Hong Kong HKG	Section 39

Marshall Wace LLP	2024-09-27	George House 131 Sloane Stread London SW1X 9AT GBR	Section 39
Marshall Wace North America L.P.	2024-09-27	18th Floor, 350 Park Avenue New York NY 10022 USA	Section 39
Marshall Wace Singapore Pte. Ltd.	2024-09-27	18 Robinson Road #27-01 Singapore 048547, Singapore	Section 39
Merrill Lynch Capital Services Inc.	2024-09-27	One Bryant Park New York, NY 1036 United States	Section 39
Merrill Lynch Commodities Inc.	2024-09-27	20 East Greenway Plaza, Suite 700 Houston, TX 77046 United States	Section 39
Merrill Lynch International	2024-09-24	2 King Edward Stread London, EC1 A 1 HQ United Kingdom	Section 39
Mizuho Bank, Ltd.	2024-09-26	1-5-5 Otemachi, Chiyoda-ku, Tokyo, 100-8176, Japan	Section 39
Mizuho Capital Markets LLC	2024-09-24	1271 Avenue of the Americas, New York, NY 10020	Section 39
MKT SOLUTIONS PTY LTD	2025-07-01	1000 Main, 11th Floor, Houston, TX 77002	Sections 46
Morgan Stanley & Co. International plc	2024-09-26	25 Cabot Square, Canary Wharf, London E14 4QA United Kingdom	Section 39
Morgan Stanley & Co. LLC	2024-09-26	1585 Broadway, New York, New York 10036	Section 39
Morgan Stanley Bank International Limited	2024-09-26	25 Cabot Square, Canary Wharf, London E14 4QA United Kingdom	Section 39
Morgan Stanley Bank, N.A.	2024-09-26	201 South Main Stread, 5th Floor, Salt Lake City, Utah 84111 United States	Section 39
Morgan Stanley Capital Group (Singapore) Pte.	2024-09-26	#16-01 Capital Square, 23 Church Stread, Singapore, 049481 Singapore	Section 39
Morgan Stanley Capital Group Inc.	2024-09-26	1585 Broadway, New York, New York 10036, United States	Section 39
Morgan Stanley Capital Services LLC	2024-09-26	1585 Broadway, New York, New York 10036, United States	Section 39
Morgan Stanley Europe SE	2024-09-26	Grosse Gallusstrasse 18, 60312 Frankfurt am Main, Germany	Section 39
Morgan Stanley MUFG Securities Co., Ltd.	2024-09-26	Otemachi Financial City South Tower, 1-9-7 Otemachi, Chiyoda-ku Tokyo, 100-8109	Section 39
MUFG Bank, Ltd.	2024-09-26	1-4-5 Marunouchi, Chiyoda-ku, Tokyo, Japan, 100-8212	Section 39
MUFG Securities (EMEA) plc	2024-09-25	Ropemaker Place, 25 Ropemaker Stread, London, England, United Kingdom EC2Y9AJ	Section 39
National Australia Bank Limited	2024-09-18	Level 28, 395 Bourke Stread, VIC 3000, Australia	Section 39
Natixis	2024-09-24	7, promenade Germaine Sablon 75013 Paris	Section 39
Natwest Markets Plc	2024-09-18	36 St Andrew Square Edinburgh, Midlothian EH2 2YB GBR	Section 39
NISA Investment Advisors, LLC	2024-09-30	7676 Forsyth Blvd., Suite 1100, St. Louis, Missouri, United States 63105	Section 46
Nomura Global Financial Products Inc.	2024-09-25	Worldwide Plaza 309 West 49th Stread New York, NY 10019-7316	Section 39
Nomura International Plc	2024-09-24	1 Angel Lane, London EC4R 3AB	Section 39
PNC BANK, NATIONAL ASSOCIATION	2024-09-27	222 Delaware Ave, Wilmington, DE 19801, U.S.A.	Section 39
Russel Investments Implementation Services, LLC	2025-10-07	401 Union Stread 18th Floor Seattle WA 98101	Sections 39 and 46
Sanford C. Bernstein & Co., LLC	2024-09-09	1345 Avenue of the Americas New York, New York 10105, USA	Section 46
Schroder Investment Management North America Inc.	2024-11-04	7 Bryant Park, New York, NY 10018 USA	Section 46
Schroder Investment Management North America Limited	2024-11-04	1 London Wall Place, London, EC2Y 5AU United Kingdom	Section 46
SG Americas Securities, LLC	2024-07-31	245 Park Avenue, New York, NY 10167, U.S.A.	Section 39
Shell Trading Risk Management, LLC	2025-05-06	1000 Main, 11th Floor, Houston, TX 77002	Sections 39
SMBC Bank International plc	2024-09-27	100 Liverpool Stread, London, EC2M 2AT, United Kingdom	Section 39
SMBC Capital Markets, Inc.	2024-09-18	277 Park Avenue, New York, New York 10172	Section 39
Société Générale	2024-08-08	29 Boulevard Haussmann, 75009 Paris France	Section 39
STANDARD CHARTERED BANK	2024-09-27	Floor 7, 1 Basinghall Avenue, London EC2V 5DD GBR	Section 39
STANDARD CHARTERED BANK (HONG KONG) LIMITED	2024-09-25	32/F, 4-4A Des Vœux Road Central, Hong Kong HKG	Section 39
STANDARD CHARTERED BANK (SINGAPORE) LIMITED	2024-09-25	Marina Bay Financial Centre (Tower 1), 8 Marina Boulevard, Level 27, Singapore 018981	Section 39
STANDARD CHARTERED BANK AG	2024-09-26	Taunusanlage 16, 60325 Frankfurt am Main, Germany	Section 39
STANDARD CHARTERED BANK KOREA LIMITED	2024-09-26	47, Jongro-ro, Jongro-gu, Seoul SC Bank Korea 03160	Section 39
State Street Bank and Trust Company	2024-09-24	One Congress Stread Boston Massachusetts 02114 USA	Section 39
Sumitomo Mitsui Banking Corporation	2024-09-24	1-1-2, Marunouchi, Chiyoda-ku, Tokyo, Japan	Section 39
Sumitomo Mitsui Trust Bank, Limited, New York Branch	2025-07-11	1-4-1 Marunouchi Chiyoda-ku, Tokyo	Sections 39
T. Rowe Price (Canada), Inc.	2024-09-30	100 East Pratt Stread, BA 1010, Baltimore, Maryland 21202	Section 46
T. Rowe Price Associates, Inc.	2025-04-28	1307 Point Stread, Baltimore, Maryland 21231 USA	Section 46

The Bank of New York Mellon	2025-04-15	240 Greenwich Street, New York, NY 10286, USA	Section 39
The Bank of New York Mellon SA/NV	2025-03-31	Multi Tower, Boulevard Anspachlaan 1, B-1000, Brussels, Belgium	Section 39
The Northern Trust Company	2024-10-16	50 South LaSalle Street, Chicago, IL 60603	Section 39
Threadneedle Asset Management Limited	2024-09-26	Cannon Place, 78 Cannon Street London, England, EC4N 6AG	Section 46
TriOptima AB	2024-08-26	Fleminggatan 14 112 26 Stockholm, Sweden	Section 39
Truist Bank	2024-09-04	3333 Peachtree Road, N.E., 9th Floor Atlanta, GA 30326	Section 39
UBS AG	2024-09-26	5 Broadgate, London EC2M 2QS GBR	Section 39
UBS Switzerland AG	2024-09-26	Bahnhofstrasse 45, Zurich NOTAP 8001 CHE	Section 39
Wells Fargo Bank, N.A.	2024-10-07	101 N. Phillips Avenue, Sioux Falls, South Dakota 57104, U.S.A.	Section 39
Westpac Banking Corporation	2024-08-06	Westpac Banking Corporation, Level 3, 275 Kent Street, Sydney, NSW, 2000, Australia	Section 39
Westpac Banking Corporation	2024-08-06	Westpac Banking Corporation, Level 3, 275 Kent Street, Sydney, NSW, 2000, Australia	Section 39