

**Appendix A  
Schedule 2**

**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	<input type="checkbox"/>
Yukon	<input type="checkbox"/>
Northwest Territories	<input type="checkbox"/>
Nunavut	<input type="checkbox"/>

## 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

\_\_\_\_\_