

**FORM 93-101F1**  
**SUBMISSION TO JURISDICTION AND APPOINTMENT OF AGENT FOR SERVICE OF PROCESS**  
**(Sections 39 [foreign derivatives dealer] and 46 [foreign derivatives adviser])**

1. Name of person or company ("**Foreign Firm**"): \_\_\_\_\_
2. If the Foreign 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 Foreign Firm: \_\_\_\_\_
4. Head office address of the Foreign Firm: \_\_\_\_\_
5. The name, email address, phone number and fax number of the Foreign Firm's chief compliance officer, or equivalent.  
  
Name: \_\_\_\_\_  
  
Email address: \_\_\_\_\_  
  
Phone: \_\_\_\_\_  
  
Fax: \_\_\_\_\_
6. Section of Multilateral Instrument 93-101 *Derivatives: Business Conduct* the Foreign Firm is relying on:  
  
 Section 39 [*foreign derivatives dealer*]  
  
 Section 46 [*foreign derivatives adviser*]  
  
 Other [specify] [e.g., *exemptive relief decision – please explain*]
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 Foreign 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 Foreign Firm's activities in the local 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 Foreign Firm irrevocably and unconditionally submits to the non-exclusive jurisdiction of the judicial, quasi-judicial and administrative tribunals of the local jurisdiction in any Proceeding arising out of or related to or concerning the Foreign Firm's activities in the local jurisdiction.

**B.5: Rules and Policies**

11. Until 7 years after the Foreign Firm ceases to rely on section 39 [*foreign derivatives dealer*] or section 46 [*foreign derivatives adviser*], the Foreign Firm must submit to the securities regulatory authority:
- a. a new Submission to Jurisdiction and Appointment of Agent for Service in this form no later than the 30<sup>th</sup> day before the date this Submission to Jurisdiction and Appointment of Agent for Service is terminated;
  - b. an amended Submission to Jurisdiction and Appointment of Agent for Services no later than the 30<sup>th</sup> day before any change in the name or above address of the Agent for Service; and
  - c. a notice detailing a change to any information submitted in this form, other than the name or above address of the Agent for Service, no later than the 20<sup>th</sup> day after the change.
12. This Submission to Jurisdiction and Appointment of Agent for Service is governed by and construed in accordance with the laws of the local jurisdiction.

Dated:

\_\_\_\_\_  
(Signature of the Foreign Firm or authorized signatory)

\_\_\_\_\_  
(Name of signatory)

\_\_\_\_\_  
(Title of signatory)

**Acceptance**

The undersigned accepts the appointment as the Agent for Services of \_\_\_\_\_ [*Insert name of Foreign Firm*] under the terms and conditions of the foregoing Submission to Jurisdiction and Appointment of Agent for Services.

Dated:

\_\_\_\_\_  
(Signature of the Agent for Service or authorized signatory)

\_\_\_\_\_  
(Name of signatory)

\_\_\_\_\_  
(Title of signatory)

When complete, this form may be submitted through the [OSC Electronic Filing Portal](#)