

International Dealer and International Adviser: Exemption from Dealer and Adviser Registration

Effective September 28, 2009, new exemptions from registration became available under Part 8 of National Instrument 31-103 *Registration Requirements and Exemptions* (NI 31-103). Some firms that were formerly registered in the category of an international dealer or an international adviser may now be exempt from the registration requirements and are allowed to operate in Ontario subject to specified limitations set out in NI 31-103.

To qualify for these exemptions, a firm must satisfy all requirements set out in section 8.18 of NI 31-103 (for international dealers) and section 8.26 of NI 31-103 (for international advisers). The firm must also submit the following forms and pay the applicable fees:

- Form 31-103F2 *Firm Submission to Jurisdiction and Appointment of Agent for Service*, and
- Form 13-502F4 *Capital Markets Participation Fee Calculation Form*, which must be submitted annually.

