

**FORM 33-109F3**  
**BUSINESS LOCATIONS OTHER THAN HEAD OFFICE**  
**(section 3.2)**

**GENERAL INSTRUCTIONS**

Complete and submit this form to notify the relevant regulator(s) or, in Québec, the securities regulatory authority, or self-regulatory organization (SRO) that a business location has opened or closed, or information about a business location has changed.

Check one of the following and complete the entire form:

Opening this business location

Closing this business location

Change to the information previously submitted about this business location. Clearly specify the information that has changed.

**How to submit this form**

Submit this form at the National Registration Database (NRD) website in NRD format at [www.nrd.ca](http://www.nrd.ca).

If you are relying on the temporary hardship exemption in section 5.1 of National Instrument 31-102, you may complete and submit this form in a format other than NRD format.

**Item 1 Type of business location**

Branch or Business Location

Sub-branch

**Item 2 Supervisor or branch manager**

Name of designated supervisor or branch manager \_\_\_\_\_

NRD number of the designated supervisor or branch manager \_\_\_\_\_

**Item 3 Business location information**

Business address \_\_\_\_\_

Mailing address (if different from business address) \_\_\_\_\_

Telephone number (\_\_\_\_\_) \_\_\_\_\_

Fax number (\_\_\_\_\_) \_\_\_\_\_

**Item 4 Notice of collection and use of personal information**

The personal information required under this form is collected on behalf of, and used by, the securities regulatory authorities in the jurisdictions set out in Schedule A to administer and enforce certain provisions of their securities legislation or derivatives legislation or both.

The personal information required under this form is also collected by and used by the SROs set out in Schedule A to administer and enforce their respective by-laws, regulations, rules, rulings and policies.

By submitting this form, the individual consents to the collection by the securities regulatory authorities or applicable SRO of this personal information, and any police records, records from other government or non-governmental

regulators or SROs, credit records and employment records about the individual that the securities regulatory authorities or applicable SRO may need to complete their review of the information submitted in this form relating to the individual's continued fitness for registration or approval, if applicable, in accordance with the legal authority of the securities regulatory authorities while the individual is registered with or approved by it. Securities regulatory authorities or SROs may contact government and private bodies or agencies, individuals, corporations and other organizations for information about the individual.

If you have any questions about the collection and use of this information, contact the securities regulatory authorities or applicable SRO in any jurisdiction in which the required information is submitted. See Schedule A for details. In Québec, you can also contact the Commission d'accès à l'information at 1-888-528-7741 or visit its website at [www.cai.gouv.qc.ca](http://www.cai.gouv.qc.ca).

#### Item 5 Warning

**It is an offence under securities legislation and/or derivatives legislation, including commodity futures legislation to give false or misleading information on this form.**

#### Item 6 Certification

##### Certification-NRD format:

- I am making this submission as agent for the firm. By checking this box, I certify that the firm provided me with all of the information on this form.

##### Certification-Format other than NRD format:

By signing below, I certify to the securities regulator or, in Québec, the securities regulatory authority, in each jurisdiction where I am submitting this form for the firm, either directly or through the principal regulator, that:

- I have read this form and understand the questions, and
- all of the information provided on this form is true, and complete.

Name of firm \_\_\_\_\_

Name of authorized signing officer or partner \_\_\_\_\_

Title of authorized signing officer or partner \_\_\_\_\_

Signature of authorized signing officer or partner \_\_\_\_\_

Date signed \_\_\_\_\_  
(YYYY/MM/DD)

**Schedule A**  
**Contact information for**  
**Notice of collection and use of personal information**

**Alberta**

Alberta Securities Commission,  
 4th Floor, 300 - 5th Avenue SW  
 Calgary, AB T2P 3C4  
 Attention: Information Officer  
 Telephone: (403) 355-4151

**British Columbia**

British Columbia Securities Commission  
 P.O. Box 10142, Pacific Centre  
 701 West Georgia Street  
 Vancouver, BC V7Y 1L2  
 Attention: Freedom of Information Officer  
 Telephone: (604) 899-6500 or (800) 373-6393 (in BC)

**Manitoba**

The Manitoba Securities Commission  
 500 - 400 St. Mary Avenue  
 Winnipeg, MB R3C 4K5  
 Attention: Director of Registrations  
 Telephone (204) 945-2548  
 Fax (204) 945-0330

**New Brunswick**

New Brunswick Securities Commission  
 Suite 300, 85 Charlotte Street  
 Saint John, NB E2L 2J2  
 Attention: Director, Regulatory Affairs  
 Telephone: (506) 658-3060

**Newfoundland and Labrador**

Securities NL  
 Financial Services Regulation Division  
 Department of Government Services  
 P.O. Box 8700, 2nd Floor, West Block  
 Confederation Building  
 St. John's, NL A1B 4J6  
 Attention: Manager of Registrations  
 Telephone: (709) 729-5661

**Nova Scotia**

Nova Scotia Securities Commission  
 2nd Floor, Joseph Howe Building  
 1690 Hollis Street  
 P.O. Box 458  
 Halifax, NS B3J 2P8  
 Attention: Deputy Director, Capital Markets  
 Telephone: (902) 424-7768

**Northwest Territories**

Government of the Northwest Territories  
 P.O. Box 1320  
 Yellowknife, NWT X1A 2L9  
 Attention: Deputy Superintendent of Securities  
 Telephone: (867) 920-8984

**Nunavut**

Legal Registries Division  
 Department of Justice  
 Government of Nunavut  
 P.O. Box 1000 Station 570  
 Iqaluit, NU X0A 0H0  
 Attention: Deputy Registrar of Securities  
 Telephone: (867) 975-6590

**Ontario**

Ontario Securities Commission  
 Suite 1903, Box 55  
 20 Queen Street West  
 Toronto, ON M5H 3S8  
 Attention: FOI Coordinator  
 Telephone: (416) 593-8314

**Prince Edward Island**

Securities Registry  
 Office of the Attorney General B Consumer, Corporate  
 and  
 Insurance Services Division  
 P.O. Box 2000  
 Charlottetown, PE C1A 7N8  
 Attention: Deputy Registrar of Securities  
 Telephone: (902) 368-6288

**Québec**

Autorité des marchés financiers  
 800, square Victoria, 22e étage  
 C.P. 246, tour de la Bourse  
 Montréal (Québec) H4Z 1G3  
 Attention: Responsable de l'accès à l'information  
 Telephone: (514) 395-0337 or (877) 525-0337 (in  
 Québec)

**Saskatchewan**

Saskatchewan Financial Services Commission  
 Suite 601, 1919 Saskatchewan Drive  
 Regina, SK S4P 4H2  
 Attention: Director  
 Telephone: (306) 787-5842

**Yukon**

Yukon Securities Office  
 Department of Community Services  
 P.O. Box 2703 C-6  
 Whitehorse, YT Y1A 2C6  
 Attention: Superintendent of Securities  
 Telephone: (867) 667-5225

**Self-regulatory organization**

Investment Industry Regulatory Organization of Canada  
 121 King Street West, Suite 1600  
 Toronto, Ontario M5H 3T9  
 Attention: Privacy Officer  
 Telephone: (416) 364-6133  
 E-mail: PrivacyOfficer@iroc.ca