

**Form 32-505F1 Information Report for United States Broker-Dealers and  
Advisers Servicing U.S. Clients from Ontario**

**Complete the applicable sections.**

Indicate if you intend to rely on any of the following:

the dealer registration exemption in Part 2 of the Rule.

the adviser registration exemption in Part 3 of the Rule.

Indicate the jurisdiction(s) in which:

(i) the U.S. broker-dealer has representatives that trade with, to, or on behalf of, U.S. clients, or

(ii) the U.S. adviser has representatives who are acting as advisers to U.S. clients.

AB	BC	MB	NB	NL	NS	NT	NU	ON	PE	QC	SK	YT
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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[Name of U.S. broker-dealer or U.S. adviser]

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[Address]

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[Telephone number]

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[NRD number, if applicable]

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[Name of registered firm in a jurisdiction of Canada with which the U.S. broker-dealer or U.S. adviser is affiliated, has a business arrangement, or shares employees or offices]

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[NRD number of above noted registered firm]

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[Name of individual responsible for ensuring conditions to use this exemption are met]

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[Telephone number for responsible individual]

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[E-mail address for responsible individual]

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[Names of representatives who are acting in Ontario as advisers to U.S. clients, or that, in Ontario, trade with, to, or on behalf of, U.S. clients. Use separate sheet if necessary]

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[Date]