

## **Notice to Canadian Clients – International Dealer Exemption**

This notice is provided to the clients of the following TP ICAP firms located in Canada (**TP ICAP Firms**), pursuant to section 8.18 of the National Instrument 31-103 *Registration Requirements, Exemptions and Ongoing Registrant Obligations (NI 31-103)* and section 3 of Ontario Securities Commission Rule 32-506 (Under the Commodity Futures Act) *Exemptions for International Dealers, Advisers and Sub-Advisers (OSC Rule 32-506)*:

- TP ICAP Markets Limited
- TP ICAP E&C Limited
- TP ICAP Broking Limited
- ICAP Global Derivatives Limited

The TP ICAP Firms are not domiciled in Canada. Their head offices and principal places of business are as follows:

- TP ICAP Markets Limited: London, England
- TP ICAP E&C Limited: London, England
- TP ICAP Broking Limited: London, England
- ICAP Global Derivatives Limited: London, England

They are not registered as a dealer in any Canadian province or territory nor are they registered in Ontario to trade in contracts as principal or agent. Services provided to you by TP ICAP Firms which amount to arranging or dealing activity under provincial securities, derivatives and commodity futures laws are on the basis of available exemptions, including the “international dealer exemption” in NI 31-103 and “CFA international dealer exemption” in OSC Rule 32-506 and subject to its limitations.

Pursuant to NI 31-103 and OSC Rule 32-506, you are hereby informed that all or substantially all of the assets of the TP ICAP Firms may be situated outside of Canada; and, accordingly, there may be more difficulty enforcing legal rights against a TP ICAP Firm in the event of any claim against them, as compared to firms which are situated inside Canada.

Each of the TP ICAP Firms has appointed an agent for service of process as follows:

### **Ontario**

Osler, Hoskin & Harcourt LLP  
100 King Street West, 1 First Canadian Place, Suite 6200, P.O. Box 50, Toronto, ON M5X 1B8

### **Quebec**

Osler, Hoskin & Harcourt LLP  
1000 De La Gauchetière Street West, Suite 2100, Montréal, Québec H3B 4W5

### **Nova Scotia**

Stewart McKelvey  
Queen’s Marque, 600-1741, Lower Water Street, Halifax, Nova Scotia. B3J 0J2

### **British Columbia**

Osler, Hoskin & Harcourt LLP  
Suite 3000, Bentall Four, 1055 Dunsmuir Street, Vancouver, British Columbia, Canada V7X 1K8

The current version of this notice is maintained on the web site of TP ICAP plc at <https://tpicap.com/tpicap/home/legal-and-regulatory>.

This notice does not relate to Tullett Prebon (Canada) Limited, which is located in Toronto and registered with the Ontario Securities Commission.

Questions about this notice may be directed to: Head of Compliance, EMEA, TP ICAP, 135 Bishopsgate, London EC2M 3TP, United Kingdom.