



June 2017

## **NOTICE FOR CANADIAN CLIENTS**

### **Reliance on International Dealer Exemption**

Macquarie Capital (USA) Inc. (“MCUSA” or the “Firm”) is a broker-dealer registered with the Securities & Exchange Commission (“SEC”) and Financial Industry Regulatory Authority (“FINRA”). This document is to advise Canadian clients of MCUSA transacting in equity securities of an important regulatory disclosure. This and other important disclosures can be found at: <http://www.macquarie.com/us/about/disclosures/us-disclosures>.

Canadian clients must place orders for Canadian securities directly with Macquarie Capital Markets Canada Ltd. (“MCMC”), which is an affiliate of MCUSA.

#### **National Instrument 31-103 (Registration Requirements and Exemptions)**

Pursuant to the above regulation, MCUSA makes the following representations:

- MCUSA relies upon the international dealer exemption from the dealer registration requirement under NI 31-103, and is only permitted to trade “foreign securities” (i.e., non-Canadian securities) with clients resident in Canada. This serves as notice that clients resident in Canada should only place orders with MCUSA in foreign securities.
- MCUSA’s principal place of business is in New York, NY (USA).
- There may be difficulty enforcing legal rights against MCUSA because it resides outside of Canada and all of its assets are situated outside of Canada.
- The below list contains MCUSA’s agent for service of process for each applicable province in Canada:

#### **Alberta**

Macquarie North America Ltd.  
Brookfield Place, 181 Bay St,  
Suite 3100,  
Toronto Ontario M5J 2T3, Canada  
Attn: Compliance Department  
Tel: 416- 848-3500 | Fax: 416-864-3162

#### **British Columbia**

Macquarie North America Ltd.  
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#### **New Brunswick**

Stewart McKelvey  
Suite 1000, Brunswick House, 44 Chipman Hill  
P.O. Box 7289, Postal Station A  
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Attn: Paul Smith  
Tel: 506-632-2787 | Fax: 506-634-3573



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**Ontario**

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**Quebec**

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**Saskatchewan**

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1500 – 1881 Scarth Street  
Regina, Saskatchewan S4P 4K9 Canada  
Attn: Michael Milani  
Tel: 306-565-5117 | Fax: 306-359-0785