



INTL FCStone Financial Inc.
Member FINRA/SIPC
Broker Dealer Division

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NOTICE TO CANADIAN CLIENTS – RELIANCE ON THE INTERNATIONAL DEALER EXEMPTION

INTL FCStone Financial Inc. (IFCF) 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 IFCF transacting in securities of an important regulatory disclosure. This and other important disclosures can be found at: <https://www.intlfcstone.com/Disclosures/>.

The National Instrument 31-103 Registration Requirements and Exemptions and a related companion policy (collectively, the “Rule”) provides the “International Dealer” exemption which in short allow non-resident dealers, like IFCF, to operate in Canada, with limitations.

To rely on the exemption, we wish to notify you that:

- I. IFCF is not registered in Canada
- II. IFCF 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 IFCF in foreign securities.
- III. IFCF’s jurisdiction of residence in the United States
- IV. There may be difficulty enforcing legal rights against IFCF because it is resident outside of Canada and all or substantially all of its assets may be situated outside of Canada.

The name and address of the agent for service of process in Alberta, British Columbia, Nova Scotia, Ontario, and Quebec is:

Borden Ladner Gervais LLP
Bay Adelaide Center, East Tower
22 Adelaide Street West
Toronto, ON M5H 4E3
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Attention: Michael Taylor