

# C.L. KING & ASSOCIATES

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NINE ELK STREET • ALBANY, NY • 12207-1002  
TELEPHONE (518) 431-3555 • FAX (518) 431-3550

## NOTICE TO CANADIAN CLIENTS

Reliance on International Dealer Exemption (“the Exemption”) pursuant to subsection 8.18(2) of National Instrument 31-103 *Registration Requirements, Exemptions and Ongoing Registrant Obligations* (“NI 31-103”) and Notification to Permitted Clients of the prescribed information under subsection 8.18(4)(b) of NI 31-103

This disclosure is in connection with your account(s) and transactions with, and relevant services and products offered by or through C.L. King & Associates, Inc. (“C.L. King”).

Please note that as you are a client domiciled in Canada, when C.L. King trades with you it does so in reliance upon the Exemption from the dealer registration requirement under NI 31-103 (as such Exemption may be amended and restated from time to time). Pursuant to the Exemption please note that:

- i. C.L. King is not registered as a dealer in any Canadian province or territory;
- ii. The jurisdiction of C.L. King’s head office or principal place is Albany, NY, USA
- iii. All of C.L. King’s assets may be situated outside of Canada;
- iv. There may be difficulty enforcing legal rights against C.L. King because of the above;  
and
- v. The name and address of the agent for service of process for C.L. King in each of the local jurisdictions are listed below.

### **British Columbia**

Gowling WLG  
550 Burrard Street, Suite 2300  
Bentall 5  
Vancouver, British Columbia V6C 2B5

### **Ontario**

Gowling WLG  
1 First Canadian Place  
10 King Street, Suite 1600  
Toronto, Ontario M5x 1G5  
Canada

### **Quebec**

Gowling WLG  
3700-1, Place Ville Marie  
Montreal, Quebec H3B 3P4