

**Form 11-101F1**

**Notice of principal regulator under Multilateral Instrument 11-101**

**1. Date:** \_\_\_\_\_

**2. Information about person or company**

SEDAR profile number (if applicable): \_\_\_\_\_

NRD # (if applicable): \_\_\_\_\_

Name: \_\_\_\_\_

*Instructions:*

- (i) *For a non-investment fund issuer, indicate the SEDAR profile number. For an investment fund issuer, indicate the SEDAR investment fund group profile number.*
- (ii) *For a non-investment fund issuer, indicate the issuer's name. For an investment fund issuer, indicate the investment fund group name.*

**3. Previous notice filed**

If the person or company has previously filed a Form 11-101F1, indicate the principal regulator determined in the previous notice: \_\_\_\_\_

**4. Determination of principal regulator**

The person or company has determined the securities regulatory authority or regulator in the following jurisdiction is its principal regulator: \_\_\_\_\_

**5. Reasons for determination of principal regulator**

The person or company determined its principal regulator

- (a) based on the location of its head office (for a non-investment fund issuer, dealer or unrestricted adviser), investment fund manager's head office (for an investment fund), or working office (for an individual) (check box), or

- (b) on the following basis [provide details]:

\_\_\_\_\_  
\_\_\_\_\_

**6. Change in determined principal regulator**

If this PR notice is being filed in connection with a change in the person or company's principal regulator, provide details of the basis for determining that the principal regulator should change.

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