

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. Principal regulator

The securities regulatory authority or regulator in the following jurisdiction is the principal regulator for the person or company: _____

4. Previous notice filed

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

5. Reasons for principal regulator

The principal regulator for the person or company is 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 principal regulator

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