

*Note: [19 Sep 2005] – The following is 11-101F1 as it was initially implemented. This version of 11-101F1 is no longer current.*

## 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]:

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\_\_\_\_\_

**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.

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