

#### 11.4 Method of Giving Notice

- (1) Unless otherwise specifically provided in any Requirement, notice to any person shall be sufficiently given if:
  - (a) delivered personally to the person to whom it is to be given;
  - (b) delivered or mailed by pre-paid ordinary mail to the last address of such person as recorded by the Market Regulator or any securities regulatory authority or recognized self-regulatory organization; or
  - (c) provided by telephone transmission or any other form of transmitted or recorded communication or in any other manner, including electronic means, which may, in all the circumstances, could be reasonably expected to come to the attention of such person.
  
- (2) The Market Regulator may change the address of any person on the records of the Market Regulator in accordance with any information believed by the Market Regulator to be reliable.
  
- (3) A notice delivered in accordance with this section shall be deemed to have been given when the notice is delivered personally or at the address aforesaid; a notice so mailed shall be deemed to have been given when deposited in a post office or public letter box; and a notice sent by any means of wire or wireless or any other form of transmitted or recorded communication shall be deemed to have been given when delivered to the appropriate communication company or agency or its representatives for dispatch.

**Defined Terms:** NI 14-101 section 1.1(3) – “securities regulatory authority”  
UMIR section 1.1 – “Market Regulator” and “Requirements”  
UMIR section 1.2(2) – “person”