



List of regulators and self-regulatory organizations with adequate dealer regulatory oversight
(for the purposes of a “regulated entity” in general notes and definitions of Form 1)

[Effective on February 17, 2022 until replaced by a subsequent list.]

1.	Central Bank of Ireland [Note 1]
2.	Financial Industry Regulatory Authority (FINRA)
3.	Investment Industry Regulatory Organization of Canada (IIROC)
4.	United Kingdom Financial Conduct Authority (FCA) [Note 2]

Note 1: For the purposes of this list and the definition of a “regulated entity”, a firm regulated by this authority must also be a Markets in Financial Instruments Directive (MiFID) Investment Firm for the firm to be considered a regulated entity.

Note 2: For the purposes of this list and the definition of a “regulated entity”, a firm regulated by this authority must also be a non-SNI firm for the firm to be considered a regulated entity.