

Note: [04 Dec 2017] – Amendments to NI 33-109. Refer to Annex F of the CSA Notice announcing amendments to NI 33-109 dated 27 Jul 2017.

Amendments to National Instrument 33-109 Registration Information

- 1. National Instrument 33-109 Registration Information is amended by this Instrument.**
- 2. Subparagraph 2.3(2)(c)(i) is amended by replacing “Item 13.3(c)” with “Item 13.3(a)”.**
- 3. Subsection 7.1 (3) is amended by adding “Alberta and” before “Ontario”.**
- 4. Schedule B to Form 33-109F2 is amended**
 - (a) under the heading “New Brunswick” by replacing “Director of Securities” with “Registration”,**
 - (b) under the heading “Nunavut” by replacing “Deputy Registrar of Securities” with “Superintendent of Securities”, and**
 - (c) under the heading “Prince Edward Island” by replacing “Deputy Registrar of Securities” with “Superintendent of Securities”.**
- 5. Schedule A to Form 33-109F3 is amended**
 - (a) under the heading “New Brunswick” by replacing “Director of Securities” with “Registration”,**
 - (b) under the heading “Nunavut” by replacing “Deputy Registrar of Securities” with “Superintendent of Securities”, and**
 - (c) under the heading “Prince Edward Island” by replacing “Deputy Registrar of Securities” with “Superintendent of Securities”.**
- 6. Form 33-109F4 is amended**
 - (a) in the “General Instructions” by replacing “regulator(s) or in Québec,” with “regulator(s) or, in Québec,” and**
 - (b) in Item 22, under the heading “Individual” and under the heading “Authorized partner or officer of the firm”, by replacing “regulator, or in Québec” with “regulator or, in Québec,”.**
- 7. Schedule C to Form 33-109F4 is amended under the first instance of the heading “Individual categories and permitted activities” by replacing “permitted individual” with “Permitted Individual as described in paragraph (c) of the definition of “permitted individual” in section 1.1 of National Instrument 33-109 Registration Information”.**

8. ***Schedule O to Form 33-109F4 is amended***
 - (a) ***under the heading “New Brunswick” by replacing “Director of Securities” with “Registration”,***
 - (b) ***under the heading “Nunavut” by replacing “Deputy Registrar of Securities” with “Superintendent of Securities”, and***
 - (c) ***under the heading “Prince Edward Island” by replacing “Deputy Registrar of Securities” with “Superintendent of Securities”.***

9. ***Schedule A to Form 33-109F5 is amended***
 - (a) ***under the heading “New Brunswick” by replacing “Director of Securities” with “Registration”,***
 - (b) ***under the heading “Nunavut” by replacing “Deputy Registrar of Securities” with “Superintendent of Securities”, and***
 - (c) ***under the heading “Prince Edward Island” by replacing “Deputy Registrar of Securities” with “Superintendent of Securities”.***

10. ***Section 4.2 of Form 33-109F6 is amended by adding “(other than those exemptions with respect to which the firm has already notified the securities regulator or, in Québec, the securities regulatory authority in accordance with the applicable exemption)” after “trade or advise in securities or derivatives”.***

11. ***Schedule A to Form 33-109F6 is amended***
 - (a) ***under the heading “New Brunswick” by replacing “Director of Securities” with “Registration”,***
 - (b) ***under the heading “Nunavut” by replacing “Deputy Registrar of Securities” with “Superintendent of Securities”, and***
 - (c) ***under the heading “Prince Edward Island” by replacing “Deputy Registrar of Securities” with “Superintendent of Securities”.***

12. ***Schedule C to Form 33-109F6 is amended***
 - (a) ***in the column entitled “Component” in Line 10 of the table by adding “or, in Québec, for a firm registered only in that jurisdiction and solely in the category of mutual fund dealer, less the deductible under the liability insurance required under section 193 of the Québec Securities Regulation” after “National Instrument 31-103 Registration Requirements, Exemptions and Ongoing Registrant Obligations”,***
 - (b) ***in subparagraph (a)(i) of Schedule 1 by replacing “Aaa or AAA by Moody’s Canada Inc. or its DRO affiliate, or Standard & Poor’s Rating Services (Canada) or its DRO affiliate, respectively” with “Aaa or AAA, or the short-term ratings equivalent of either of those ratings, by a designated rating organization or its DRO affiliate”, and***

(c) in paragraph (d) of Schedule 1 by replacing “Investment Companies Act of 1940” with “Investment Company Act of 1940”.

13. Form 33-109F7 is amended

(a) in the “General Instructions” by replacing “regulator(s) or in Québec,” with “regulator(s) or, in Québec,”

(b) in section 2 of the “General Instructions” and in section 1 of Item 9 by replacing “Item 13.3(c)” with “Item 13.3(a)”, and

(c) in Item 12 under the heading “Individual” and under the heading “Authorized partner or officer of the new sponsoring firm”, by replacing “regulator, or in Québec” with “regulator or, in Québec.”

14. Schedule B to Form 33-109F7 is amended under the heading “Individual categories and permitted activities” by adding “as described in paragraph (c) of the definition of “permitted individual” in section 1.1 of National Instrument 33-109 Registration Information” after “Permitted Individual”.

15. Schedule F to Form 33-109F7 is amended

(a) under the heading “New Brunswick” by replacing “Director of Securities” with “Registration”,

(b) under the heading “Nunavut” by replacing “Deputy Registrar of Securities” with “Superintendent of Securities”, and

(c) under the heading “Prince Edward Island” by replacing “Deputy Registrar of Securities” with “Superintendent of Securities”.

Coming into force

16. This Instrument comes into force on December 4, 2017.