

REGULATION TO AMEND THE REGULATION RESPECTING THE REGISTRATION OF FIRMS, REPRESENTATIVES AND INDEPENDENT PARTNERSHIPS

Act respecting the distribution of financial products and services
(chapter D-9.2, s. 223, pars. (1), (4) and (5))

1. Section 2 of the Regulation respecting the registration of firms, representatives and independent partnerships (chapter D-9.2, r. 15) is amended by inserting the following after paragraph 6:

“(6.1) in the case of a legal person intending to register in the sector of claims adjustment, the names, dates of birth and residential addresses of the persons referred to in subparagraph 3 of the second paragraph of section 10 of the Act respecting the distribution of financial products and services (chapter D-9.2) who will be employed by it;”

2. Section 4 of the Regulation is amended by inserting the following after paragraph 3:

“(3.1) in the case of a representative intending to register in the sector of claims adjustment, the names, dates of birth and residential addresses of the persons referred to in subparagraph 3 of the second paragraph of section 10 of the Act respecting the distribution of financial products and services (chapter D-9.2) who will be employed by him;”

3. Section 6 of the Regulation is amended by inserting the following after paragraph 3:

“(3.1) in the case of a partnership intending to register in the sector of claims adjustment, the names, dates of birth and residential addresses of the persons referred to in subparagraph 3 of the second paragraph of section of the Act respecting the distribution of financial products and services (chapter D-9.2) who will be employed by it;”

4. Section 9 of the Regulation is amended by inserting the following paragraph at the end:

“When the change concerns a person referred to in paragraph 3 of the second paragraph of section 10 of the Act respecting the distribution of financial products and services (chapter D-9.2), the registration holder shall also notify the Authority of the date on which the person began or ceased, as the case may be, to act in accordance with that section.”

5. Section 10 of the Regulation is amended by inserting the following subparagraph after subparagraph *j* of paragraph 2:

“(k) where applicable, an updated list of the names, dates of birth and residential addresses of the persons referred to in subparagraph 3 of the second paragraph of section 10 of the Act respecting the distribution of financial products and services (chapter D-9.2) who are employed by it;”

6. A firm or independent partnership that, as at 9 May 2025, has in its employ a person referred to in subparagraph 3 of the second paragraph of section 10 of the Act respecting the distribution of financial products and services (chapter D-9.2) shall transmit the person’s name, date of birth and residential address to the Authority not later than 8 June 2025.

7. This Regulation comes into force on 9 May 2025.