

**REGULATION TO AMEND REGULATION 14-101 RESPECTING DEFINITIONS\***

## Securities Act

(R.S.Q. c. V-1.1, s. 331.1, par. (34); 2008, c. 24; s. 225; 2009, c. 25, s. 45)

**I.** Paragraph 3 of Section 1.1 of Regulation 14-101 respecting Definitions is amended:

## (1) by replacing the definition of “registration requirement” with the following:

““registration requirement” means all of the following:

- (a) the adviser registration requirement,
- (b) the dealer registration requirement,
- (c) the investment fund manager registration requirement, and
- (d) the underwriter registration requirement;”;

## (2) by replacing the French text of the definition of “adviser registration requirement” with the following:

“ « obligation d’inscription à titre de conseiller » : l’obligation prévue à la législation en valeurs mobilières qui interdit à une personne ou société d’agir à titre de conseiller, à moins d’être inscrite à ce titre dans la catégorie d’inscription appropriée prévue par la législation en valeurs mobilières;”;

## (3) by replacing the definition of “dealer registration requirement” with the following:

““dealer registration requirement” means:

- (a) in every jurisdiction except British Columbia, Manitoba and New Brunswick, the requirement in securities legislation that prohibits a person or company from acting as a dealer unless that person or company is registered in the appropriate category of registration under securities legislation, and

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\* Regulation 14-101 respecting Definitions, adopted on June 12, 2001 pursuant to Decision No. 2001-C-0274 and published in the Supplement to the Bulletin of the *Commission des valeurs mobilières du Québec*, Vol. 32, No. 27, dated June 29, 2001, was amended solely by the Amendments to National Instrument 14-101, Definitions, adopted on September 10, 2002 pursuant to Decision No. 2002-C-0324 and published in the Supplement to the Bulletin of the *Commission des valeurs mobilières du Québec*, Vol. 33, No. 41, dated October 18, 2002, and by the Regulation to amend National Instrument 14-101, Definitions approved by Ministerial Order No. 2008-06 dated March 4, 2008 (2008, *G.O.* 2, 726).

(b) in British Columbia, Manitoba and New Brunswick, the requirement in securities legislation that prohibits a person or company from trading in a security unless that person or company is registered in the appropriate category of registration under securities legislation;”;

(4) by replacing, in the French text, the definition of “exigence d’inscription à titre de preneur ferme” with the following:

“« obligation d’inscription à titre de placeur »: l’obligation prévue à la législation en valeurs mobilières qui interdit à une personne ou société d’agir à titre de placeur, à moins d’être inscrite à ce titre dans la catégorie d’inscription appropriée prévue par la législation en valeurs mobilières;”;

(5) by adding the following definition after the definition of “insider reporting requirement”:

“investment fund manager registration requirement” means the requirement in securities legislation that prohibits a person or company from acting as an investment fund manager unless the person or company is registered in the appropriate category of registration under securities legislation;”

(6) by replacing the definition of “person or company” with the following:

“person or company”, for the purpose of a regulation, means,

(a) in British Columbia, a “person” as defined in section 1(1) of the Securities Act (R.S.B.C. 1996, ch. 418);

(b) in New Brunswick, a “person” as defined in section 1(1) of the Securities Act (S.N.B. 2004, c. S-5.5);

(c) in the Northwest Territories, a “person” as defined in section 1 of the Securities Act (Northwest Territories);

(d) in Prince Edward Island, a “person” as defined in section 1 of the Securities Act (R.S.P.E.I. 1988, c. S-3);

(e) in Québec, a “person” as defined in section 5.1 of the Securities Act (R.S.Q., c. V-1.1); and

(f) in Yukon Territory, a “person” as defined in section 1 of the Securities Act (R.S.Y. 2002, c. 201);”.

**2.** Appendix B of the Regulation is amended by replacing the paragraph opposite the word “Québec” with the following:

“Securities Act, An Act respecting the Autorité des marchés financiers (R.S.Q., c. A-33.2), Derivatives Act (S.Q. 2008, c. 24), the regulations under those Acts, and the blanket rulings and orders issued by the securities regulatory authority”.

**3.** Appendix C of the Regulation is amended by replacing the paragraph opposite the word “Northwest Territories” with the following:

“Superintendent of Securities, Northwest Territories”.

**4.** Appendix D of the Regulation is amended by replacing the paragraph opposite the word “Northwest Territories” with the following:

“Superintendent, as defined under section 1 of the Securities Act (Northwest Territories)”.

**5.** This Regulation comes into force on September 28, 2009.