

POLICY STATEMENT TO REGULATION 31-102 RESPECTING NATIONAL REGISTRATION DATABASE

PART 1 APPLICATION AND PURPOSE

1.1. Application

Regulation 31-102 respecting National Registration Database (Regulation 31-102) has been implemented in all jurisdictions.

1.2. Purpose

The purpose of Regulation 31-102 is to establish requirements for the electronic submission of registration information through NRD.

PART 2 PRODUCTION OF NRD FILINGS

2.1. The securities legislation of several jurisdictions contains a requirement to produce or make available an original or certified copy of information filed under the securities legislation. Each relevant securities regulatory authority or regulator, as applicable, considers that it may satisfy such a requirement in the case of information filed in NRD format by providing a printed copy or other output of the information in readable form that contains or is accompanied by a certification by the securities regulatory authority or regulator that the printed copy or output is a copy of the information filed in NRD format.

PART 3 DATE OF FILING

3.1. The securities regulatory authority or regulator takes the view that information filed in NRD format is, for purposes of securities legislation, filed on the day that the transmission of the information to NRD is completed.

PART 4 OFFICIAL COPY OF NRD FILINGS

4.1. For purposes of securities legislation, securities directions or any other related purpose, the securities regulatory authority or regulator takes the view that the official record of any information filed in NRD format by an NRD filer is the electronic information stored in NRD.

PART 5 AUTHORIZED FIRM REPRESENTATIVE AS AGENT

5.1. The securities regulatory authority or regulator is of the view that when making an NRD submission an AFR is an agent of the firm or individual to whom the filing relates.

PART 6 ONGOING FIRM FILER REQUIREMENTS

6.1. The securities regulatory authority or regulator expects that firm filers will follow the processes set out in the NRD Filer Manual to

- (a) enroll with the NRD administrator,
- (b) keep their enrolment information current, and
- (c) keep their NRD account information current.

PART 7 COMMODITY FUTURES ACT SUBMISSIONS

7.1. In Ontario, if a person or company is required to make a submission under both Regulation 31-102 and OSC Rule 31-509 (*Commodity Futures Act*) with respect to the

same information, the securities regulatory authority is of the view that a single filing on a form required under either rule satisfies both requirements.