

REGULATION TO AMEND REGULATION 31-102 RESPECTING NATIONAL REGISTRATION DATABASE

Securities Act

(R.S.Q., c. V-1.1, s. 331.1, par. (1), (2), (11), (26) and (34); 2007, c. 15)

1. Section 1.1 of Regulation 31-102 respecting National Registration Database is amended by deleting, in the definition of “firm filer”, the words “or company”.

2. Section 2.1 of the Regulation is amended:

(1) by deleting, in the introductory paragraph of the English text, the words “or company”;

(2) by adding the following paragraphs after paragraph 4:

“(5) Form 33-109F5;

(6) Form 33-109F7.”.

3. Section 3.2 of the Regulation is amended by adding, in paragraph (e), “, telephone number, or e-mail address” after “name”.

4. The Regulation is amended by adding the following sections after section 4.3:

“4.4. Payment of Late Filing Fees

(1) If a firm filer is required to pay late filing fees because of an activity that creates a submission on NRD, the firm filer must pay the required fee by electronic pre-authorized debit through NRD.

(2) A payment under subsection (1) must be made from the firm filer’s NRD account.

“4.5. Exemption for Registrants not Resident in Canada

Sections 3.2(c), 4.1, 4.2, 4.3 and 4.4 do not apply to a registered firm that

(a) has no business office in a jurisdiction of Canada,

(b) does not have an account with a member of the Canadian Payments Association,

(c) is not an affiliate of a registered firm resident in a jurisdiction of Canada, and

(d) pays the fees referred to in sections 4.1 to 4.4 to the NRD administrator within 10 business days of the date the payment is due.”.

5. The Regulation is amended by repealing the heading of Part 7 and sections 7.1 to 7.3.

6. This Regulation comes into force on •.