

Notice

Amendments to Multilateral Instrument 33-109, *Registration Information* and Companion Policy 33-109CP

Amendments to Multilateral Instrument 31-102, *National Registration Database* and Companion Policy 31-102CP

Introduction

We, the Canadian Securities Administrators (CSA), are implementing amendments to

- Multilateral Instrument 33-109 *Registration Information* (MI 33-109)
- Companion Policy 33-109CP (CP 33-109)
- Multilateral Instrument 31-102 *National Registration Database* (MI 31-102)
- Companion Policy 31-102CP (CP 31-102)

The amendments to MI 33-109 and MI 31-102, as well as to CP 33-109 and CP 31-102 have been adopted or are expected to be adopted by each member of the CSA. MI 33-109 and MI 31-102 will be implemented as a:

- rule in each of British Columbia, Alberta, Manitoba, Ontario, New Brunswick, Nova Scotia, Prince Edward Island, and Newfoundland and Labrador;
- a Commission regulation in Saskatchewan;
- a regulation in Québec, Nunavut and Northwest Territories; and
- a policy in the Yukon.

Coming into force

In Québec, MI 33-109 and MI 31-102 have not been adopted as amendments but rather as *Regulation 33-109 respecting Registration Information* and *Regulation 31-102 respecting National Registration Database* respectively. The regulations have been approved for publication by the Autorité des marchés financiers. They are made under section 331.1 of *The Securities Act* (Québec) and will have to be approved with or without amendment, by the Minister of Finance. The regulations will come into force on the date of their publication in the Gazette officielle du Québec or any later date specified in the regulations. CP 33-109 and CP 31-102 have been adopted in Québec.

Substance and purpose of amendments

The amendments are minor housekeeping changes that will:

1. reflect Québec's participation in the National Registration Database;
2. end the confusion over the term "non-registered individual";
3. provide some relief to registrants hamstrung by two deadlines that are too short;
4. ensure the regulator is kept abreast of changes in a registrant's financial year end and its auditor;
and
5. clarify the responsibilities each firm bears for the information submitted to the regulator.

Summary of written comments received by the CSA

During the comment period, we received no comments.

Summary of changes to the Amendment Instruments

Part 6 of 31-102 and Part 7 of 33-109 are changed to match exemption provisions used in other CSA instruments. These were not material changes.

Questions

Please refer your questions to any of:

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The text of the Instruments follow or can be found elsewhere on a CSA member website.

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