

**AMENDMENTS TO POLICY STATEMENT TO REGULATION 33-109  
RESPECTING REGISTRATION INFORMATION**

1. *Policy Statement to Regulation 33-109 respecting Registration Information* is amended by replacing the numbers of sections “1.2.”, “1.3.” and “1.4.” with, respectively, numbers “1.3.”, “1.4.” and “1.5.”, and by inserting, after section 1.1, the following:

**“1.2. Definition of permitted individuals**

Section 1.1 of the Regulation defines a permitted individual as an individual who is not a registered individual and who meets the criteria set forth in either subsection (a) or subsection (b) of the definition, or both. This definition does not prevent a registered individual from also being a permitted individual. For example, the chief executive officer of a registered firm is registered as the firm’s ultimate designated person and is also a permitted individual. The definition of permitted individual allows the Regulation to separate out the filing requirements which are applicable only to permitted individuals from those which are applicable to registered individuals.”.

2. Section 3.5 of the Policy Statement is amended by replacing the first sentence of the second paragraph with the following:

“Under paragraph 4.2(1)(b) of the Regulation, the information in item 5 [*Details about the termination*] of a form F1 must be submitted unless the cessation of authority to act on behalf of the firm was caused by the death of the individual.”.

3. Appendix A of the Policy Statement is amended by deleting, under “**Firms – other notice requirements**” and after “items 1 – 4” and “item 5”, “;”.

4. Appendix B of the Policy Statement is amended by replacing, in the Yukon Territory contact information, “YU” with “YT”.