

**REGULATION TO AMEND REGULATION 33-109 RESPECTING
REGISTRATION INFORMATION**

Securities Act

(chapter V-1.1, s. 331.1, par. (1), (3), (26) and (27))

1. Section 2.3 of Regulation 33-109 respecting Registration Information (chapter V-1.1, r. 12) is amended, in subparagraph (i) of subparagraph (c) of paragraph (2), by replacing “Item 13.3(c)” with “Item 13.3(a)”.

2. Section 7.1 of the Regulation is amended by inserting, in paragraph (3) and after the words “Except in”, the words “Alberta and”.

3. Form 33-109F2 of the Regulation is amended, in Schedule B:

(1) by replacing, under “**Prince Edward Island**”, the words “Deputy Registrar of Securities” with the words “Superintendent of Securities”;

(2) by replacing, under “**New Brunswick**”, the words “Director of Securities” with the word “Registration”.

4. Form 33-109F3 of the Regulation is amended, in Schedule A:

(1) by replacing, under “**Prince Edward Island**”, the words “Deputy Registrar of Securities” with the words “Superintendent of Securities”;

(2) by replacing, under “**New Brunswick**”, the words “Director of Securities” with the word “Registration”.

5. Form 33-109F4 of the Regulation is amended:

(1) by replacing, in the first paragraph of the general instructions, the words “regulator(s) or in Québec,” with the words “regulator(s) or, in Québec,”;

(2) by replacing, in item 22 and under the subheadings “**Individual**” and “**Authorized partner or officer of the firm**”, the words “regulator, or in Québec,” with the words “regulator or, in Québec,”;

(3) by inserting, in Schedule C and under the heading “**Individual categories and permitted activities**” and after “Permitted Individual”, “as described in paragraph (c) of the definition of “permitted individual” in section 1.1 of Regulation 33-109 respecting Registration Information”;

(4) in Schedule O:

(a) by replacing, under “**Prince Edward Island**”, the words “Deputy Registrar of Securities” with the words “Superintendent of Securities”;

(b) by replacing, under “**New Brunswick**”, the words “Director of Securities” with the word “Registration”.

6. Form 33-109F5 of the Regulation is amended, in Schedule A:

(1) by replacing, under “**Prince Edward Island**”, the words “Deputy Registrar of Securities” with the words “Superintendent of Securities”;

(2) by replacing, under “**New Brunswick**”, the words “Director of Securities” with the word “Registration”.

7. Form 33-109F6 of the Regulation is amended:

(1) by inserting, in item 4.2 and after the words “trade or advise in securities or derivatives”, “(other than those exemptions with respect to which the firm has already notified the securities regulator or, in Québec, the securities regulatory authority in accordance with the applicable exemption)”;

(2) in Schedule A:

(a) by replacing, under “**Prince Edward Island**”, the words “Deputy Registrar of Securities” with the words “Superintendent of Securities”;

(b) by replacing, under “**New Brunswick**”, the words “Director of Securities” with the word “Registration”.

(3) in Schedule C:

(a) by inserting, in line 10 in the column of the table entitled “**Component**” and after “Regulation 31-103 respecting Registration Requirements, Exemptions and Ongoing Registrant Obligations”, “or, in Québec, for a firm registered only in that jurisdiction and solely in the category of mutual fund dealer, less the deductible under the liability insurance required under section 193 of the Securities Regulation (chapter V-1.1, r. 50)”;

(b) by replacing, in the French text of paragraphs (i) and (ii) of the notes pertaining to line 12, the words “positions à découvert” with the words “positions vendeur”;

(c) in Schedule 1:

(i) by replacing, in subparagraph (i) of paragraph (a), “Aaa or AAA by Moody’s Canada Inc. or its DRO affiliate, or Standard & Poor’s Rating Services (Canada) or its DRO affiliate, respectively” with “Aaa or AAA, or the short-term ratings equivalent of either of those ratings, by a designated rating organization or its DRO affiliate”;

(ii) by replacing, in the French text of subparagraph (i) of paragraph (e), the words “Positions à découvert” with the words “Position vendeur”.

8. Form 33-109F7 of the Regulation is amended:

(1) in the general instructions:

(a) by replacing, in the first paragraph of the general instructions, the words “regulator(s) or in Québec,” with the words “regulator(s) or, in Québec,”;

(b) by replacing, in paragraph (2), “Item 13.3(c)” with “Item 13.3(a)”;

(2) by replacing, in paragraph (1) of item 9, “Item 13.3(c)” with “Item 13.3(a)”;

(3) by replacing, in paragraph (2) of item 12 and under the subheadings “**Individual**” and “**Authorized partner or officer of the new sponsoring firm**”, the words “regulator, or in Québec” with “regulator or, in Québec,”;

(4) by inserting, in Schedule B and under the heading “**Individual categories and permitted activities**” and after “Permitted Individual”, “as described in paragraph (c) of the definition of “permitted individual” in section 1.1 of Regulation 33-109 respecting Registration Information”;

(5) in Schedule F:

(a) by replacing, under “**Prince Edward Island**”, the words “Deputy Registrar of Securities” with the words “Superintendent of Securities”;

(b) by replacing, under “**New Brunswick**”, the words “Director of Securities” with the word “Registration”.

9. This Regulation comes into force on December 4, 2017.