

## REGULATION TO AMEND THE SECURITIES REGULATION

Securities Act  
(chapter V-1.1, s. 331.1, par. (27.0.3))

1. The Securities Regulation (chapter V-1.1, r. 50) is amended by inserting the following after section 192.1:

“**192.2** The register that must be kept by a mutual fund or scholarship plan dealer under section 160.1.1 of the Act must contain the following information in respect of each shared commission:

(1) the name and business address of each person sharing the commission and their status with the Authority, namely, a dealer or adviser governed by the Act, a firm, independent representative or independent partnership governed by the Act respecting the distribution of financial products and services (chapter D-9.2), a holder of a broker’s or agency’s licence governed by the Real Estate Brokerage Act (chapter C-73.2), a dealer or adviser governed by the Derivatives Act (chapter I-14.01), a financial institution registered with the Authority under the Deposit Insurance Act (chapter A-26), a bank, authorized foreign bank or trust company holding a licence issued under the Act respecting trust companies and savings companies (chapter S-29.01), an insurer holding a licence issued under the Act respecting insurance (chapter A-32) or a federation within the meaning of the Act respecting financial services cooperatives (chapter C-67.3);

(2) the names of the parties to the transaction and the object and date of the transaction;

(3) the percentage of the commission or the fixed amount resulting therefrom and the manner in which the commission is allocated between the persons sharing it.

**192.3** The payment of the commission to those sharing it must not be made in cash.

**192.4** Every sharing of a commission must be promptly entered in the register kept under section 160.1.1 of the Act.”

2. This Regulation comes into force on (*insert the date of coming into force of this Regulation*).