

BC Instrument 22-502
Registration by the Canadian Investment Regulatory Organization

Authorization to exercise powers and perform duties

- 1** (1) The Canadian Investment Regulatory Organization is authorized to exercise the powers and perform the duties under Part 5 of the *Securities Act* with respect to an applicant for registration or a person registered as
- (a) an investment dealer,
 - (b) a mutual fund dealer,
 - (c) a dealing representative of
 - (i) an investment dealer, or
 - (ii) a mutual fund dealer,
 - (d) a chief compliance officer of
 - (i) an investment dealer, or
 - (ii) a mutual fund dealer, or
 - (e) an ultimate designated person of
 - (i) an investment dealer, or
 - (ii) a mutual fund dealer.
- (2) An application for registration, or an application for renewal or reinstatement of registration or an amendment to registration, must be submitted to the Canadian Investment Regulatory Organization.
- (3) The Canadian Investment Regulatory Organization is authorized to require an investment dealer or a mutual fund dealer to deliver a bond.

Delegation

- 2** (1) The Canadian Investment Regulatory Organization may delegate the exercise of a power or the performance of a duty referred to in this rule to a committee comprised of employees or directors of the Canadian Investment Regulatory Organization.
- (2) For certainty, a decision of a committee referred to in subsection (1) is a decision of the Canadian Investment Regulatory Organization.

Notification or submission of information

3 (1) In this section:

“permitted individual” has the same meaning as in National Instrument 33-109 *Registration Information*;

“person or company” means a person or company as defined in National Instrument 14-101 *Definitions*.

- (2) For the purposes of Parts 3 and 4 of National Instrument 33-109 *Registration Information*, if a person or company listed below is required under that Instrument to give notice or submit information to the regulator, the notification or submission must be made to the Canadian Investment Regulatory Organization:
- (a) an investment dealer giving notice or submitting information under section 4.1 of National Instrument 33-109 *Registration Information* in respect of a permitted individual;
 - (b) a mutual fund dealer giving notice or submitting information under section 4.1 of National Instrument 33-109 *Registration Information* in respect of a permitted individual;
 - (c) an investment dealer;
 - (d) a mutual fund dealer;
 - (e) a dealing representative of
 - (i) an investment dealer, or
 - (ii) a mutual fund dealer;
 - (f) a chief compliance officer of
 - (i) an investment dealer, or
 - (ii) a mutual fund dealer;
 - (g) an ultimate designated person of
 - (i) an investment dealer, or
 - (ii) a mutual fund dealer.

- (3) For certainty,
- (a) a person or company referred to in subsection (2) includes a delegate of that person or company under section 3.1 (2.1) of National Instrument 33-109 *Registration Information*, and
 - (b) with respect to a notification or submission referred to in subsection (2), a reference to the regulator in Parts 3 and 4 of National Instrument 33-109 *Registration Information* is to be read as a reference to the Canadian Investment Regulatory Organization.