ANNEX A

Proposed Amendments to
BC Instrument 22-502 Registration by the
Investment Industry Regulatory Organization of Canada

1. BC Instrument 22-502 Registration by the Investment Industry Regulatory Organization of Canada is amended by this Instrument.

2. BC Instrument 22-502 Registration by the Investment Industry Regulatory Organization of Canada is repealed and replaced with the following:

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) an ultimate designated person,
(d) a chief compliance officer, or
(e) a dealing representative of an investment dealer or of 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 greater certainty, a decision of a committee referred to in subsection (1) is a decision of the Canadian Investment Regulatory Organization.

Submission of information

3. (1) In this section, **"permitted individual"** has the same meaning as in National Instrument 33-109 *Registration Information*.

(2) A person registered in any of the following categories must submit to the Canadian Investment Regulatory Organization the information required to be submitted by the person to the regulator under National Instrument 33-109 *Registration Information*:

(a) an investment dealer submitting information in respect of a permitted individual;

(b) an investment dealer;

(c) a dealing representative of an investment dealer;

(d) a chief compliance officer, or an ultimate designated person, of an investment dealer;

(e) a mutual fund dealer submitting information in respect of a permitted individual;

(f) a mutual fund dealer;

(g) a dealing representative of a mutual fund dealer;

(h) a chief compliance officer, or an ultimate designated person, of a mutual fund dealer.

Effective Date

3. **This Instrument comes into force on ●.**