

31-102 National Registration Database [NI Amendment Instrument Proposed - Lapsed]
Published February 29, 2008

1. National Instrument 31-102 National Registration Database is amended by this Instrument.

2. The table of contents is amended by adding the following after “4.3 Payment of NRD User Fees- Annual ”

4.4 Payment of Late Filing Fees

4.5 Exemption for Registrants not Resident in Canada

3. Section 2.1 is amended by adding the following after paragraph 4:

5. Form 33-109F5;

6. Form 33-109F7.

4. Section 3.2(e) is amended by adding “, telephone number, or e-mail address” after “change in the name”.

5. Part 4 is amended by added the following after section 4.3(2):

4.4 Payment of Late Filing Fees

(1) If a firm filer is required to pay late filing fees because of an activity that creates a submission on NRD, the firm filer must pay the required fee by electronic pre-authorized debit through NRD.

(2) A payment under subsection (1) must be made from the firm filer's NRD account.

4.5 Exemption for Registrants not Resident in Canada - Sections 3.2(c), 4.1, 4.2, 4.3 and 4.4 do not apply to a registered firm that

(a) has no business office in a jurisdiction in Canada,

(b) does not have an account with a member of the Canadian Payments Association,

(c) is not an affiliate of a registered firm resident in a jurisdiction in Canada, and

(d) pays the fees referred to in sections 4.1 to 4.4 to the NRD administrator within 10 business days of the date the payment is due.

6 Part 7 is repealed.

7. This Instrument comes into force on •.