

PROVINCE OF BRITISH COLUMBIA

RULE OF THE BRITISH COLUMBIA SECURITIES COMMISSION

*Securities Act*

The British Columbia Securities Commission orders that, effective December 4, 2017, National Instrument 33-109 *Registration Information*, B.C. Reg. 226B/2009, is amended as set out in the attached Schedule.

DEPOSITED  
November 22, 2017  
B.C. REG. 209/2017

Nov 18, 2017  
Date

  
British Columbia Securities Commission

*(This part is for administrative purposes only and is not part of the Order.)*

Authority under which Order is made:

Act and section: Securities Act, R.S.B.C. 1996, c. 418, s. 184

Other: \_\_\_\_\_

## SCHEDULE

1. *National Instrument 33-109 Registration Information, B.C. Reg. 226B/2009, is amended as set out in this schedule.*
2. *Subparagraph 2.3(2)(c)(i) is amended by replacing “Item 13.3(c)” with “Item 13.3(a)”.*
3. *Subsection 7.1 (3) is amended by adding “Alberta and” before “Ontario”.*
4. *Schedule B to Form 33-109F2 is amended*
  - (a) *under the heading “New Brunswick” by replacing “Director of Securities” with “Registration”,*
  - (b) *under the heading “Nunavut” by replacing “Deputy Registrar of Securities” with “Superintendent of Securities”, and*
  - (c) *under the heading “Prince Edward Island” by replacing “Deputy Registrar of Securities” with “Superintendent of Securities”.*
5. *Schedule A to Form 33-109F3 is amended*
  - (a) *under the heading “New Brunswick” by replacing “Director of Securities” with “Registration”,*
  - (b) *under the heading “Nunavut” by replacing “Deputy Registrar of Securities” with “Superintendent of Securities”, and*
  - (c) *under the heading “Prince Edward Island” by replacing “Deputy Registrar of Securities” with “Superintendent of Securities”.*
6. *Schedule C to Form 33-109F4 is amended under the heading “Individual categories and permitted activities” by adding “as described in paragraph (c) of the definition of “permitted individual” in section 1.1 of National Instrument 33-109 Registration Information” after “Permitted Individual”.*
7. *Schedule O to Form 33-109F4 is amended*
  - (a) *under the heading “New Brunswick” by replacing “Director of Securities” with “Registration”,*
  - (b) *under the heading “Nunavut” by replacing “Deputy Registrar of Securities” with “Superintendent of Securities”, and*
  - (c) *under the heading “Prince Edward Island” by replacing “Deputy Registrar of Securities” with “Superintendent of Securities”.*

8. **Schedule A to Form 33-109F5 is amended**
- (a) **under the heading “New Brunswick” by replacing “Director of Securities” with “Registration”,**
  - (b) **under the heading “Nunavut” by replacing “Deputy Registrar of Securities” with “Superintendent of Securities”, and**
  - (c) **under the heading “Prince Edward Island” by replacing “Deputy Registrar of Securities” with “Superintendent of Securities”.**
9. **Section 4.2 of Form 33-109F6 is amended by adding “(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)” after “trade or advise in securities or derivatives”.**
10. **Schedule A to Form 33-109F6 is amended**
- (a) **under the heading “New Brunswick” by replacing “Director of Securities” with “Registration”,**
  - (b) **under the heading “Nunavut” by replacing “Deputy Registrar of Securities” with “Superintendent of Securities”, and**
  - (c) **under the heading “Prince Edward Island” by replacing “Deputy Registrar of Securities” with “Superintendent of Securities”.**
11. **Schedule C to Form 33-109F6 is amended**
- (a) **in the column entitled “Component” in Line 10 of the table by adding “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 Québec Securities Regulation” after “National Instrument 31-103 Registration Requirements, Exemptions and Ongoing Registrant Obligations”,**
  - (b) **in subparagraph (a)(i) of Schedule 1 by replacing “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”, and**
  - (c) **in paragraph (d) of Schedule 1 by replacing “Investment Companies Act of 1940” with “Investment Company Act of 1940”.**
12. **Form 33-109F7 is amended in section 2 of the “General Instructions” and in section 1 of Item 9 by replacing “Item 13.3(c)” with “Item 13.3(a)”.**

13. ***Schedule B to Form 33-109F7 is amended under the heading “Individual categories and permitted activities” by adding “as described in paragraph (c) of the definition of “permitted individual” in section 1.1 of National Instrument 33-109 Registration Information” after “Permitted Individual”.***
14. ***Schedule F to Form 33-109F7 is amended***
  - (a) ***under the heading “New Brunswick” by replacing “Director of Securities” with “Registration”,***
  - (b) ***under the heading “Nunavut” by replacing “Deputy Registrar of Securities” with “Superintendent of Securities”, and***
  - (c) ***under the heading “Prince Edward Island” by replacing “Deputy Registrar of Securities” with “Superintendent of Securities”.***