

**Notice of Amendments to**  
**Multilateral Instrument 33-109 *Registration Information***  
**Companion Policy 33-109CP**  
**Multilateral Instrument 31-102 *National Registration Database***  
**Companion Policy 31-102CP**

**Introduction**

We, the Canadian Securities Administrators (CSA), are implementing amendments to

- Multilateral Instrument 33-109 *Registration Information* (MI 33-109)
- Companion Policy 33-109CP (CP 33-109)
- Multilateral Instrument 31-102 *National Registration Database* (MI 31-102)
- Companion Policy 31-102CP (CP 31-102)

The amendments to MI 33-109 and MI 31-102, as well as to CP 33-109 and CP 31-102 have been adopted or are expected to be adopted by each member of the CSA. Each instrument amending MI 33-109 and MI 31-102 will be implemented as a:

- rule in British Columbia, Alberta, Manitoba, Ontario, New Brunswick, Nova Scotia, Prince Edward Island, and Newfoundland and Labrador;
- Commission regulation in Saskatchewan;
- regulation in Nunavut and Northwest Territories
- policy in the Yukon.

In Québec, the amending instruments have been adopted as *Regulation 33-109 respecting Registration Information* and *Regulation 31-102 respecting National Registration Database* respectively. Since MI 33-109 and MI 31-102 are not currently in force in Québec, these regulations will bring those instruments into force concurrently with the amending instruments.

**Coming into force**

In Ontario, the instruments amending MI 33-109 and MI 31-102 and other required materials were delivered to the Minister of Government Services on February 23, 2007. The Minister may approve or reject the amendments or return them to the Commission for further consideration. Unless the Minister rejects the amendments, or returns them to the Commission, they will come into force on May 15, 2007.

In Québec, *Regulation 33-109 respecting Registration Information* and *Regulation 31-102 respecting National Registration Database* have been made under section 331.1 of *The Securities Act* (Québec) and will have to be approved, with or without amendment, by the Minister of Finance. The regulations will come into force on the later of the date of their publication in the *Gazette officielle du Québec* and May 15, 2007. CP 33-109 and CP 31-102 have been adopted in Québec.

### **Substance and purpose of amendments**

The amendments are minor housekeeping changes that will:

1. reflect Québec's participation in the National Registration Database;
2. end the confusion over the term "non-registered individual";
3. provide some relief to registrants hamstrung by two deadlines that are too short;
4. ensure the regulator is kept abreast of changes in a registrant's financial year end and its auditor; and
5. clarify the responsibilities each firm bears for the information submitted to the regulator.

### **Summary of written comments received by the CSA**

During the comment period, we received no comments.

### **Summary of changes to the Amendment Instruments**

Part 6 of 31-102 and Part 7 of 33-109 are changed to match exemption provisions used in other CSA instruments. These were not material changes.

### **Questions**

Please refer your questions to any of:

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The text of the Instruments follow or can be found elsewhere on a CSA member website.

**February 23, 2007**