

A few places to look for background searches for individual registration applicants



Who is a permitted individual? NI 33-109 , s.1.1



Director, Chief Executive Officer, Chief Financial Officer (or the functional equivalent of any of these positions) and shareholders that own 10% or more of the voting securities.

Timelines when Forms 33-109F5 must be filed with the regulator

Firms:

10 days for all changes except for business history and structure (30 days)

Complete the form and send by email to registration@bcsc.bc.ca

Individuals:

10 days for all changes except previous employment submissions (30 days)

Filed through NRD using the applicable Notice submission

10 days for Notices of Termination

What is the implementation schedule?

- **Phased implementation**

