

Notice – Numbering System

This notice describes the numbering system developed in connection with the Policy Reformulation Project, under which numbers are to be assigned to national instruments and, in certain jurisdictions, including Ontario, local instruments.

On May 10, 1996, the Ontario and British Columbia Commissions published a notice [see (1996), 19 OSCB 2310 and NIN#96/14] describing the types of instruments that will be adopted by the CSA in the context of the new rule or regulation making regimes that have now come into effect in several provinces. That Notice described in particular National Instruments and National Policies and also indicated that in some cases, a local instrument may be used to vary local legislation or create exemptions under local legislation if necessary to give proper effect to the National Instrument. That type of local instrument will be referred to as an implementing instrument. In Alberta and British Columbia implementing instruments may take the form of a rule or a blanket order. In Ontario, they will take the form of a rule and in jurisdictions outside Ontario may take the form of a rule, a regulation or a blanket ruling or order. In addition, certain jurisdictions that have rule making or regulation making authority will be making local instruments that may, depending on their content, take the form of rules, regulations, policies or blanket rulings or orders.

In the course of the Policy Reformulation Project, each existing National Policy has been or will be analyzed, first to determine whether it should be carried forward, second to determine whether the reformulated instrument should be adopted as a Rule, Policy or Notice and third to classify it within a subject matter grouping. The numbering system is based on instrument type and will be used by all CSA members to classify all National Instruments, National Policies and CSA Notices within these subject matter groupings. The numbering system has also been developed to accommodate local instruments. Ontario intends to use, and other jurisdictions including Alberta are considering using, the numbering system for their local instruments.

The numbering system has been designed so as to:

- (i) convey as much information as possible about the particular instrument so that a user knows what type of instrument it is, whether the instrument is national or local and what subject matter it relates to;
- (ii) permit all National Instruments, National Policies and CSA Notices to have the same numbers in all jurisdictions (as is currently the case); and
- (iii) be flexible enough to permit local Rules, Policies, Notices and implementing instruments of all jurisdiction that consider it desirable to be numbered in accordance with the numbering system without affecting the numbering of National Instruments, National Policies and CSA Notices.

Under the numbering system, each instrument will be represented by five numbers, with a hyphen appearing between the second and third number. By way of example, National Policy Statement No. 18 – Conflict of Interest – Registrations Acting as Corporate Directors would be renumbered under the numbering system as follows:

34 – 202 – Conflict of Interest – Registrants Acting as Corporate Director.

The numbering system has the following four major elements:

- The first number, “3” in the example above, relates to the subject matter category into which the instrument has been classified. Nine separate subject matter categories have been established as follows:
 1. Procedure and Related Matters
 2. Certain Capital Market participants
 3. Registration Requirements and Related Matters
 4. Distribution Requirements
 5. Ongoing Requirements for Issuers and Insiders
 6. Take-over Bids and Special Transactions
 7. Securities Transactions Outside the Jurisdiction
 8. Mutual Funds
 9. Derivatives
- The second number “4” in the example above, relates to the sub-category of the subject matter category in which the instrument has been classified. Within the registration requirements and related matters category, a sub-category for instruments dealing with fitness for registration is denoted by the number “4”. Accordingly, all instruments relating to fitness for registration will commence with the numbers “34”. The sub-categories for each subject matter category are listed in Appendix A.
- The third number, “2” in the example above, relates to the type of instruments. There are seven groupings by types of instruments and an additional grouping reserved for future use. The numbers 1 through 8 will be used to classify instruments as follows:
 1. Denotes a National Instrument and any related Companion Policy or Form
 2. Denotes a National Policy
 3. Denotes a CSA Notice
 4. [Reserved for future use]
 5. Denotes a local Rule, regulation or blanket ruling on and any related Companion Policy or Form
 6. Denotes a local Policy

7. Denotes a local Notice
 8. Denotes an implementing instrument.
- The fourth and fifth numbers “02” in the example above, will be assigned to instruments in consecutive order from 01 to 99 within a particular sub-category. “02” in the example above denotes that the instrument is the second National Policy in the particular sub-category.

In the case of a Companion Policy or Form that is related to a National Instrument or local rule, that Companion Policy or Form will be designated by a number that is identical to the number assigned to the National Instrument or local rule to which it relates, followed by the suffix “CP” in the case of a Companion Policy and “F” in the case of a Form.