

CSA Staff Notice 11-329

Withdrawal of Notices and Revocation of Omnibus/Blanket Orders

July 16, 2015

This Notice formally withdraws a number of CSA notices and announces the revocation and withdrawal of parallel orders and a policy. The withdrawn materials may remain available for historical research purposes on some CSA members' websites.

CSA Staff Notices

CSA staff have determined that the following CSA Staff Notices are no longer required and accordingly they are or have been withdrawn.

CSA Staff Notice 31-313	<i>NI 31-103 Registration Requirements and Exemptions and Related Instruments Frequently Asked Questions as of December 18, 2009</i>
CSA Staff Notice 31-314	<i>NI 31-103 Registration Requirements and Exemptions and Related Instruments Frequently Asked Questions as of February 5, 2010</i>
CSA Staff Notice 31-315	<i>Omnibus/blanket orders exempting registrants from certain provisions of National Instrument 31-103 Registration Requirements and Exemptions</i>
CSA Staff Notice 31-326	<i>Outside Business Activities</i>
CSA Staff Notice 31-327	<i>Broker-Dealer Registration in the Exempt Market Dealer Category</i>
CSA Staff Notice 31-328	<i>Revocation of Omnibus/Blanket Orders Exempting Registrants from Certain Provisions of National Instrument 31-103 Registration Requirements, Exemptions and Ongoing Registrant Obligations</i>
CSA Staff Notice 31-329	<i>Omnibus/Blanket Orders Exempting Registrants from Certain Provisions of National Instrument 31-103 Registration Requirements, Exemptions and Ongoing Registrant Obligations and Related Staff Positions</i>
CSA Staff Notice 31-330	<i>Omnibus/Blanket Orders Extending Certain Transition Provisions Relating to the Investment Fund Manager Registration Requirement and the Obligation to Provide Dispute Resolution Services</i>
CSA Staff Notice 31-331	<i>Follow-Up to Broker Dealer Registration in the Exempt Market Dealer Category</i>
CSA Staff Notice 31-333	<i>Follow-Up to Broker Dealer Registration in the Exempt Market Dealer Category</i>
CSA Staff Notice 31-335	<i>Extension of Interim Relief for Members of the Investment Industry Regulatory Organization of Canada from the Requirement in section 14.2(1) of National Instrument 31-103 Registration Requirements, Exemptions and Ongoing Registrant Obligations in Respect of the Provision of Relationship Disclosure Information to Existing Clients</i>

This Notice also announces the relevant securities regulators have revoked a number of parallel orders and withdrawn a multilateral policy that are no longer required.

Omnibus/blanket order and policy	Status
Exemption from the requirement to register for international advisers	<p>This order is revoked.¹</p> <p>The order provided relief from restrictions on the registration exemption for international advisers in section 8.26 of NI 31-103 tied to the definition of “Canadian permitted client”. Section 8.26 was amended effective January 11, 2015 to remove these restrictions.</p>
Exemption from the requirement to register for international dealers	<p>This order is revoked.²</p> <p>The order provided relief from restrictions on the registration exemption for international dealers in section 8.18 of NI 31-103 tied to the definition of “Canadian permitted client”. Section 8.18 was amended effective January 11, 2015 to remove these restrictions.</p>
Continuation of transition provisions for persons and companies adding a jurisdiction	<p>This order is revoked.³</p> <p>The order provided relief from certain provisions in NI 31-103 to a person or company registered in a jurisdiction of Canada on and since the date NI 31-103 came into force that applied for registration in another jurisdiction after the date NI 31-103 came into force. The order is no longer required because certain transition and grandfathering provisions in NI 31-103 are spent and others have been amended.</p>
Exemption from time limits on examination requirements for dealing representatives of scholarship plan dealers	<p>This order is revoked.⁴</p> <p>The order provided relief from time limits on examination requirements in NI 31-103 for representatives of scholarship plan dealers registered in a jurisdiction of Canada on and since the date NI 31-103 came into force. Section 3.3 of NI 31-103 was amended effective January 11, 2015 to provide equivalent relief.</p>

¹ Local orders: BC: BCI 31-523; AB: BO 31-521; SK: GO 31-917; MB: BO 31-517; ON: no local order was issued and this was instead addressed in the OSC Staff position set out in CSA Staff Notice 31-329; QC: Décision n° 2011-PDG-0153; NB: Blanket Order 31-521; NS: Blanket Order No. 31-522

² Local orders: BC: BCI 32-524; AB: BO 31-520; SK: GO 31-916; MB: BO 31-516; ON: no local order was issued and this was instead addressed in the OSC Staff position set out in CSA Staff Notice 31-329; QC: Décision n° 2011-PDG-0152; NB: Blanket Order 31-520; NS: Blanket Order No. 31-521

³ Local orders: BC: BCI 32-509; AB: BO 31-506; SK: GO 31-904; MB: BO 31-512; ON: *In the Matter of Jonathan Boulduc (the "Lead Filer") and Certain Other Persons or Companies Registered under the Act*, (2010) 33 OSCB 1773; QC: Décision n° 2010-PDG-0039; NB: Blanket Order 31-504; NS: Blanket Order No. 31-507

⁴ Local orders: BC: BCI 32-512; AB: BO 31-509; SK: GO 31-907; MB: BO 31-509; ON: *In the Matter of Laurence Ginsberg (the "Lead Filer") and Dealing Representatives of Exempt Market Dealers and Scholarship Plan Dealers*, (2010) 33 OSCB 1776; QC: Décision n° 2010-PDG-0042; NB: Blanket Order 31-507; NS: Blanket Order No. 31-510

Transitional Relief from the Requirement to Register as an Investment Fund Manager	This order is revoked. ⁵ The order provided relief from the investment fund manager registration requirement in the local jurisdiction to a person or company registered in another jurisdiction of Canada as an investment fund manager until December 31, 2012 or while a registration application in the local jurisdiction was being processed if applied for by December 31, 2012. This order also provided relief from the investment fund manager registration requirement in the local jurisdiction to a person or company whose head office was not in a jurisdiction of Canada until December 31, 2012 or while a registration application in the local jurisdiction was being processed. The order is no longer required because the relief has expired.
Multilateral Policy 34-202 <i>Registrants Acting as Corporate Directors</i>	This multilateral policy is withdrawn. The policy sets out guidance for representatives of registrants who act as a director or adviser of a reporting issuer. The policy is no longer required because its content has been incorporated in Companion Policy 31-103CP.

Questions

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⁵ Local orders: BC: BCI 31-508; AB: BO 31-524; SK: GO 31-920; MB: Commission Order No. 6550, dated July 5, 2012; ON: The two aspects of relief were addressed in the following two separate decisions, the first of which has not been revoked as it remains relevant to certain outstanding registration applications: *In the Matter of Fédération des Caisses Desjardins du Québec (the Lead Filer) and Persons or Companies Acting as an Investment Fund Manager in Ontario and Registered as an Investment Manager in the Jurisdiction of Canada in which their Head Office is Located at the Date of this Decision*, (2012) 35 OSCB 6293, and *In the Matter of Capital International, Inc. (the Lead Filer) and Persons or Companies Acting as an Investment Fund Manager in Ontario Without a Head Office in a Jurisdiction of Canada at the Date of this Decision*, (2012) 35 OSCB 6295; QC: Décision n° 2012-PDG-0133; NB: Blanket Order 31-524 (previously revoked); NS: Blanket Order No. 31-525

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