

Note: [04 Dec 2017] – Amendments to NI 31-103 are effective only in Alberta. Refer to Annex G of the CSA Notice announcing amendments to NI 31-103 dated 27 Jul 2017.

Amendments to National Instrument 31-103 *Registration Requirements, Exemptions and Ongoing Registrant Obligations*

1. ***National Instrument 31-103 Registration Requirements, Exemptions and Ongoing Registrant Obligations is amended by this Instrument.***
2. ***Subsection 2.2(1)(e) is amended by replacing “Dealing with clients – individuals and firms” with “[Dealing with clients – individuals and firms]”.***
3. ***Section 3.1 is amended by replacing “ Chief Compliance Officers Qualifying Exam” ” with “ “Chief Compliance Officers Qualifying Exam” ”.***
4. ***Subsection 3.14(b)(iii) is amended by replacing “.” with “;”.***
5. ***Subsection 8.30(d) is amended by replacing “Dealing with clients – individuals and firms” with “[Dealing with clients – individuals and firms]” and by replacing “Handling client accounts – firms” with “[Handling client accounts – firms]”.***
6. ***Subsection 11.3(2) is amended by replacing “Registration requirements – individuals” with “[Registration requirements – individuals]”.***
7. ***Section 13.8 is amended by replacing paragraph (a) with the following:***
 - (a) before a client is referred by or to the registrant, the terms of the referral arrangement are set out in the written agreement between the registered firm and the person or company, ,
8. ***Subsection 13.13(2)(a) is amended by replacing “,” with “;”.***
9. ***Subsection 14.12(6) is amended by replacing “on” after “made” with “in”.***
10. ***Paragraph (e)(i) of Schedule 1 of Form 31-103F1 Calculation of Excess Working Capital is amended by replacing “per shares” with “per share”.***
11. This Instrument comes into force on December 4, 2017.