



Saskatchewan Policy Statement 11-602

Disclosure of personal information in documents under *The Securities Act, 1988* that is published on the Commission's Web site

Part 1 Purpose

This sets out the Saskatchewan Financial Services Commission's (the Commission) policy on disclosing personal information in documents published on the Commission's Web site that are governed by *The Securities Act, 1988* (the Act).

Part 2 Definition

In this policy the term "personal information" means personal information as defined in section 24 of *The Freedom of Information and Protection of Privacy Act* (the FOIPP Act).

Part 3 Background

The Securities Division maintains many records that are created, collected or filed under the Act. Staff Notice 13-703 *Access to Records under The Securities Act, 1988* includes an inventory of all of those records. The inventory identifies records that contain personal information. Some of the records that contain personal information are available to the public, but most are not. They are kept confidential pursuant to exemptions from the disclosure requirements in the FOIPP Act and pursuant to privacy provisions in the Act. Staff Notice 13-703 sets out details of this.

Commission records that contain personal information and that are public are primarily related to enforcement proceedings under Part XVIII of the Act. These include temporary cease trade orders made under section 134, notices of hearing, evidence submitted during hearings and decisions. The Commission publishes some of these records on our Web site, mostly temporary cease trade orders, notices of hearing and decisions.

Part 4 Policy

It is the Commission's policy to black out in documents that are posted on our Web site the personal information of all individuals except for:

- individuals that are named as respondents in enforcement proceedings under the Act; and
- individuals that are closely associated with named respondents such as current and former directors and officers.

Adopted by the Commission on November 10, 2011

"Dave Wild"
Dave Wild, Chairperson