

Annex D

AUTHORITY FOR THE INSTRUMENT

In Saskatchewan, the Financial and Consumer Affairs Authority (the Authority) has the power to adopt the proposed amendments, as the Authority regulation, pursuant to the following provisions of *The Securities Act, 1988* (Saskatchewan) (the Act):

Sub-clause 154(1) of the Act:

(c) prescribing categories or sub-categories of registrants, classifying registrants into categories or sub-categories and prescribing the conditions of registration or other requirements for registrants or any category or sub-category, including:

(i) standards of practice and business conduct of registrants in dealing with their customers and clients and prospective customers and clients and other registrants;

(ii) requirements that are advisable for the prevention or regulation of conflicts of interest;

(iii) requirements with respect to membership in a self-regulatory organization;

(iv) requirements that apply to non-resident registrants;

(v) requirements with respect to participation in a dispute resolution process;

(vi) requirements with respect to handling of complaints;

(vii) requirements with respect to systems of control and supervision, including requirements respecting the appointment and registration of individuals responsible for those systems, and the responsibilities of those individuals; and

(viii) requirements respecting referral arrangements.