

## Annex G

### Local Matters

#### *Authority for the Proposed Amendments*

The following provisions of *The Securities Act, 1988* (Saskatchewan) (the Act) provide the Financial and Consumer Affairs Authority of Saskatchewan (the Authority) with the authority to implement the amendments:

Paragraph 154(1)(c)(i) authorizes the Authority to make regulations prescribing standards of practice and business conduct of registrants in dealing with their customers and clients and prospective customers and clients and other registrants;

Paragraph 154(1)(f) authorizes the Authority to make regulations prescribing requirements respecting the disclosure or furnishing of information to customers and clients, prospective customers and clients, other registrants, the public or the Authority by registrants and directors, partners, officers, representative, employees and security holders of registrants.

Paragraph 154(1)(v) authorizes the Authority to make regulations governing investment funds and the advertising, distribution and trading of the securities of investment funds, including:

- Prescribing the form and contents of reports to be filed by the management company or distributors of an investment fund;
- Respecting the contents and use of sales literature, sales communications and advertising relating to any investment fund or securities of any investment fund;
- Prescribing the requirements with respect to, or in relation to, promoters, advisers or persons or companies that administer or participate in the administration of the affairs of investment funds;

Paragraph 154(1)(o) authorizes the Authority to make regulations governing prospectuses, including prescribing procedures and requirements with respect to and providing for exemptions from the requirements pursuant to Part XII;

Paragraph 154(1)(u.5) authorizes the Authority to make regulations prescribing information, documents, records or other materials that are required to be filed or delivered, including requirements relating to the method by which they are to be filed or delivered, the timing of filing or delivery, the costs relating to the filing or delivery, and when they are deemed to have been filed, delivered or received;

Paragraph 154(hh.1)(ii) authorizes the Authority to make regulations respecting the media, format, preparation, form, content, execution, certification, dissemination and other use, filing and review of all documents required pursuant to or governed by this Act, and the regulations and all documents determined by the regulations to be ancillary to the documents.