

ANNEX H

Local Matters

In Saskatchewan the proposed amendments to Certain National and Multilateral Instruments and Proposed Changes to Companion Policy 31-103 *Registration Requirements, Exemptions and Ongoing Registrant Obligations* are being made under the following provisions of the Act:

- Paragraph 154(d.1) authorizes the Authority to make regulations prescribing the circumstances in which a person or company or a class of persons or companies is not required to be registered pursuant to section 27 or a person or company or a class of persons or companies is deemed to be registered for the purposes of this Act or the regulations, including the circumstances in which a person or company or a class of persons or companies is registered pursuant to the laws of another jurisdiction respecting trading in securities or derivatives;
- Paragraph 154(g) authorizes the Authority to make regulations prescribing requirements for persons and companies respecting attending at or telephoning to residences for the purposes of trading in securities or derivatives;
- Paragraph 154(i) authorizes the Authority to make regulations regulating the listing and trading of securities or derivatives, including prescribing requirements for keeping records and reporting trades and quotations;
- Paragraph 154 (j) authorizes the Authority to make regulations regulating the trading of securities or derivatives other than on a n exchange recognized by the Authority;
- Paragraph 154 (j.1) authorizes the Authority to make regulations regulating the trading of derivatives on a derivatives trading facility including prescribing requirements for keeping records;
- Paragraph 154 (k.2) authorizes the Authority to make regulations regulating exchanges, self-regulatory organizations, quotation and trade reporting systems, clearing agencies, derivatives trading facilities and trade repositories;
- Paragraph 154 (l) authorizes the Authority to make regulations regulating trading or advising in securities or derivatives to prevent trading or advising that is fraudulent, manipulative, deceptive or unfairly detrimental to investors;
- Paragraph 154 (l.1) authorizes the Authority to make regulations regulating the trade of derivatives;

- Paragraph 154 (1.3) authorizes the Authority to make regulations prescribing the circumstances in which a contract or instrument or contract or instrument within a class of contracts or instruments is a derivative or class of derivatives;
- Paragraph 154 (1.4) authorizes the Authority to make regulations prescribing the principles for determining the market value, market price or closing price of a security of derivative, the net asset value of a security or quantifying a person's exposure from a trade in a derivative;
- Paragraph 154 (ee) authorizes the Authority to make regulations respecting the recognition of any person, company or jurisdiction considered advisable for the purposes of the Act;
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- Paragraph 154 (ee.11) authorizes the Authority to make regulations with respect to any matter necessary to regulate self-regulatory organizations, exchanges, derivatives trading facilities, quotation and trade reporting systems, clearing agencies and trade repositories;
- Paragraph 154 (hh.1) authorizes the Authority to make regulations prescribing the circumstances in which a person or company or class of persons or companies is prohibited from trading or purchasing securities or derivatives;
- Paragraph 154 (xx) authorizes the Authority to make regulations prescribing any other matter or thing that is prescribed or authorized by the Act to be prescribed in the regulations;
- Paragraph 154 (2) authorizes the Authority to make regulations respecting any matter or thing with respect to which the Authority is authorized pursuant to subsection 154 (1)