

ANNEX F

Local Matters

In Saskatchewan the proposed amendments to National Instrument 31-103 *Registration Requirements, Exemptions and Ongoing Registrant Obligations* and its Companion Policy and National Instrument 33-109 *Registration Information* are being made under the following provisions of the Act:

- Paragraph 154 (1)(b) authorizes the Authority to make regulations prescribing requirements respecting applications for registration and the amendment, expiration or surrender of registration, and respecting suspension, reinstatement, cancellation, revocation or termination of registration;
- Paragraph 154 (1) (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 (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 Commission by registrants and directors, partners, Officers, representatives, employees and security holders of registrants;
- Paragraph 154 (1)(h) authorizes the Authority to make regulations prescribing requirements respecting books, records and other documents that market participants shall keep, including the form in which and the period for which the books, records and other documents shall be kept;
- Paragraph 154 (1)(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 (1) (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 (1) (j) authorizes the Authority to make regulations regulating the trading of securities or derivatives other than on an exchange recognized by the Authority;

- Paragraph 154 (1) (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)