

## **ANNEX III**

### **Local Matters**

#### **Authority:**

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

- Paragraph 154(1)(i) of the Act 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) of the Act authorizes the Authority to make regulations regulating the trading of securities or derivatives other than on an exchange recognized by the Commission.
- Paragraph 154 (j.1) of the Act authorizes the Authority to make regulations regulating the trading of derivatives on a derivatives trading facility, including prescribing requirements for keeping records.
- Paragraph 154(1)(l) of the Act 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(1.1) of the Act authorizes the Authority to make regulations regulating the trade of derivatives including requirements relating to derivatives,
- Paragraph 154(1)(xx) of the Act authorizes the Authority to make regulations prescribing any other matter or thing that is required or authorized by this Act to be prescribed in the regulations.