

NOTICE

Amendments to *The Securities Regulations, 2009* in force November 5, 2009

[*The Securities Amendment Regulations, 2009*](#) came into force on November 5, 2009. The regulations make amendments to *The Securities Regulations* necessary to implement National Instrument 31-103 *Registration Requirements and Exemptions* that came into force on September 28, 2009.

- They repealed the definition of “insurance company” in clause 2(1)(f) because that term is no longer used. They also repealed subsection 2(2) relating to “generally accepted accounting principles, “auditor’s report” and “generally accepted auditing standards” because those terms are no longer used.
- They repealed most of Part IV of *The Securities Regulations*. Part IV contained registration requirements that have been replaced by National Instrument 31-103. Only sections 23 and 56 remain. Section 23 relates to compensation or contingency funds. Section 56 relates to the payment of audit costs.
- They amended the registration fees in the Fee Schedule.
- They repealed the following forms:
 - Form 3 *Application for Registration as Dealer or Advisor*
 - Form 4 *Uniform Application for Registration Approval*
 - Form 7 *Application for Amendment of Registration as Dealer, Adviser or Underwriter*
 - Form 8 *Application for Withdrawal from Registration*
 - Form 10 *Financial Questionnaire and Report*
 - Form 11 *Annual Questionnaire to be Completed by a Portfolio Manager*
 - Form 39 *Surety Bond*

Section 145 was also repealed. Section 145 defined the terms “offer to acquire” and “offeror” for the purpose of Part XI of *The Securities Act, 1988*. Part XI relates to take-over bids and issuer bids. The two terms are now defined in the Act.

November 19, 2009

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