



GENERAL ORDER 33-930

Exemptions from Requirements to Submit Certain Personal Information Under National Instrument 33-109 Registration Information

In the Matter of
The Securities Act, 1998, SS 1988-89, c. S-42.2

Exemption Order

(Section 160 of *The Securities Act, 1988*)

WHEREAS staff of the Securities Division (the “**Staff**”) of the Financial and Consumer Affairs Authority of Saskatchewan (“**FCAA**”) has applied to the FCAA for an Order pursuant to section 160 of *The Securities Act, 1988* (the “**Act**”) exempting individuals from the requirements to submit certain personal information under National Instrument 33-109 *Registration Information* (“**NI 33-109**”), including certain requirements in Form 33-109F4 *Registration of Individuals and Review of Permitted Individuals* (“**Form 33-109F4**”) and Form 33-109F5 *Change of Registration Information* (“**Form 33-109F5**”), as described below;

AND WHEREAS the FCAA has assigned to the Executive Director of the Securities Division, FCAA the power to make exemption orders under the provisions of the Act including orders of general application;

AND WHEREAS terms defined in the Act and National Instrument 14-101 *Definitions* have the same meanings in this Order unless otherwise defined in this Order;

AND WHEREAS Staff have represented to the Executive Director that:

- (a) information submitted by firms and individuals under NI 33-109 is used by the FCAA and other members of the Canadian Securities Administrators (the “**CSA**”) to assess a filer’s fitness for registration in relation to their solvency, integrity, and proficiency or whether the information gives rise to concerns with a filer’s permitted individuals;
- (b) information submitted by individuals under NI 33-109 includes (i) eye colour, hair colour, height, and weight information, and (ii) citizenship information (including, in some circumstances, passport information);



- (c) the CSA intends to amend NI 33-109 to remove the requirements to submit this information under NI 33-109 based on the CSA's determination that (i) eye colour, hair colour, height, and weight information is not required to identify an individual or otherwise determine their fitness for registration or permitted individual status, and (ii) while citizenship information is sometimes used to confirm the identity of an individual as part of the registration process, this information, when needed, can be collected outside of the requirements in NI 33-109;
- (d) it is expected that amendments will be made to remove the requirements to submit this information under NI 33-109 when NI 33-109 is next amended; and
- (e) the purpose of this Order is to exempt individuals from the requirements to submit this information under NI 33-109 as an interim measure until NI 33-109 is amended;

AND WHEREAS the Executive Director is of the opinion that it would not be prejudicial to the public interest to make this Order;

IT IS HEREBY ORDERED under section 160 of the Act that:

1. An individual required to submit a completed Form 33-109F4 under NI 33-109 is exempt from the requirement to submit information in any the following items in Form 33-109F4:
 - a. item 3.4 [*Eye colour*];
 - b. item 3.5 [*Hair colour*];
 - c. item 3.6 [*Height*];
 - d. item 3.7 [*Weight*];
 - e. item 4 [*Citizenship*] (collectively, the **Specified Items**).
2. An individual required to submit a completed Form 33-109F5 under NI 33-109 is exempt from the requirement to submit information relating to any change to information previously submitted in respect of the individual's Form 33-109F4 in any of the Specified Items.
3. An individual is exempt from the requirement in section 4.1 of NI 33-109 to submit a notice of change if the change only relates to information previously submitted in item 4 [*Citizenship*] of the individual's Form 33-109F4.



IT IS HEREBY FURTHER ORDERED that this Order comes into effect on May 1, 2026, and expires on the date on which amendments to NI 33-109 come into force that address substantially the same subject matter as this Order.

Dated April 30, 2026

Dean Murrison
Executive Director, Securities Division
Financial and Consumer Affairs
Authority of Saskatchewan