

LOCAL MATTERS - SASKATCHEWAN

Authority for Proposed Amendments:

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

- Paragraph 154(1)(c)(i) of the Act authorizes the Authority to make regulations in respect of standards of practice and business conduct of registrants in dealing with their customers and clients and prospective customers and clients and other registrants;
- 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 (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) (k.2) of the Act 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 (1) (ee) of the Act authorizes the Authority to make regulations respecting the designation or recognition of any person, company or jurisdiction considered advisable for the purposes of this Act, including recognizing exchanges, derivatives trading facilities, self-regulatory organizations, trade repositories and clearing agencies; and
- Paragraph 154 (1) (ee.11) of the Act 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.