

ANNEX D

LOCAL MATTERS

In Saskatchewan the proposed amendments to National Instrument 31-103 *Registration Requirements, Exemptions and Ongoing Registrant Obligations* and Companion Policy 31-103 CP *Requirements, Exemptions and Ongoing Registrant Obligations* are being made under the following provisions of *The Securities Act, 1988*:

- Subparagraph 154(1)(c)(i) authorizes the Authority to make regulations prescribing categories or sub-categories of registrants, classifying registrants into categories or sub-categories and prescribing the conditions of registration or other requirements for registrants or any category or sub-category, including 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)(d) authorizes the Authority to make regulations requiring unregistered directors, partners, officers, representatives, employees and security holders of registrants to comply with all or any requirements prescribed in pursuant to paragraph 154(1)(c);
- 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) (u.5) authorizes the Authority to make regulations prescribing information, documents, records or other materials that are required to be filed or delivered;
- Paragraph 154 (1) (ii) authorizes the Authority to make regulations respecting the media, format, preparation, form, content, execution, certification, dissemination and other use, filing and review of all documents required pursuant to or governed by this Act, and the regulations and all documents determined by the regulations to be ancillary to the documents;
- Paragraph 154 (1) (l) 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)(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 (1) (yy) authorizes the Authority to make regulations respecting any matter or thing that the Authority considers necessary or desirable to carry out the purposes of this Act; and
- Subsection 154 (2) authorizes the Authority to make regulations respecting the matters or things set out above.