

Staff Notice 31-703

Change to Criminal Record Check Process for Individuals Registering Where Saskatchewan is the Principal Regulator

December 15, 2017

The Financial and Consumer Affairs Authority of Saskatchewan (FCAA) is notifying registered firms that effective February 1, 2018 where Saskatchewan is the principal regulator, there will be a change to the FCAA process for the review of criminal record checks (CRC) for individuals applying for initial or reactivation of registration, including permitted individuals.

Individual registration submissions are reviewed to determine fitness for registration. This includes the review of the individual's criminal disclosure which is supported by the CRC. FCAA is no longer able to conduct CRCs on behalf of these individuals for this purpose.

As a result, the FCAA process for the review of criminal record checks for individuals now requires registered firms to submit an individual's CRC directly to the FCAA. Registered firms are responsible to verify the authenticity of the individual's CRC before submitting the CRC to FCAA.

Individual registration submissions will not be reviewed without the CRC. To avoid delays, registered firms should submit the individual's CRC at the same time as the individual's registration submission.

To obtain a CRC, individuals are to contact their local RCMP detachment or municipal police service and provide the original CRC to their firm. CRCs from a criminal record check service licensed in Saskatchewan as a Credit Reporting Agency¹ are also acceptable. All CRCs should be conducted within a 90 day period prior to the individual's registration submission.

Registered firms are to submit CRCs to FCAA either electronically by email to registrationfcaa@gov.sk.ca, or by mail to:

Financial and Consumer Affairs Authority of Saskatchewan
Securities Division
Personal and Confidential
Attn: Registration Officer
Suite 601, 1919 Saskatchewan Drive
Regina, Saskatchewan S4P 4H2

If you have questions regarding this matter, please contact FCAA at registrationfcaa@gov.sk.ca, or 1-306-787-9397.

¹ A list of companies providing criminal record check services on Saskatchewan residents can be found at www.fcaa.gov.sk.ca under Credit Reporting Agencies.