

**NOTICE OF AMENDMENTS TO  
MULTILATERAL INSTRUMENT 33-109 *REGISTRATION INFORMATION*,  
COMPANION POLICY 33-109CP *REGISTRATION INFORMATION*,  
MULTILATERAL INSTRUMENT 31-102 *NATIONAL REGISTRATION DATABASE*  
AND COMPANION POLICY 31-102CP *NATIONAL REGISTRATION DATABASE***

**February 23, 2007**

**Introduction**

We, the Canadian Securities Administrators (CSA), are implementing amendments to

- Multilateral Instrument 33-109 *Registration Information* (**MI 33-109**)
- Companion Policy 33-109CP (**CP 33-109**)
- Multilateral Instrument 31-102 *National Registration Database* (**MI 31-102**)
- Companion Policy 31-102CP (**CP 31-102**)

The amendments to MI 33-109 and MI 31-102, as well as to CP 33-109 and CP 31-102 have been adopted or are expected to be adopted by each member of the CSA. MI 33-109 and MI 31-102 will be implemented as a:

- rule in each of British Columbia, Alberta, Manitoba, Ontario, New Brunswick, Nova Scotia, Prince Edward Island, and Newfoundland and Labrador;
- a Commission regulation in Saskatchewan;
- a regulation in Québec, Nunavut and Northwest Territories; and
- a policy in the Yukon.

**Coming into force**

Provided all necessary approvals are obtained, the amendments will come into force on May 15, 2007.

**Substance and purpose of amendments**

The amendments are minor housekeeping changes that will:

1. reflect Québec's participation in the National Registration Database;
2. end the confusion over the term "non-registered individual";
3. provide some relief to registrants hamstrung by two deadlines that are too short;
4. ensure the regulator is kept abreast of changes in a registrant's financial year end and its auditor; and
5. clarify the responsibilities each firm bears for the information submitted to the regulator.

**Summary of written comments received by the CSA**

During the comment period, we received no comments.

**Summary of changes to the Amendment Instruments**

Part 6 of 31-102 and Part 7 of 33-109 are changed to match exemption provisions used in other CSA instruments. These were not material changes.

**Questions**

Please refer your questions to any of:

David Gilkes  
Manager, Registrant Regulation  
Capital Markets Branch  
Ontario Securities Commission  
Direct: (416) 593-8104  
Fax: (416) 593-8240  
[dgilkes@osc.gov.on.ca](mailto:dgilkes@osc.gov.on.ca)

Martha Rafuse  
Legal Counsel, Registrant Regulation  
Capital Markets Branch  
Ontario Securities Commission  
Direct: (416) 593-2321  
Fax: (416) 593-8240  
[mrafuse@osc.gov.on.ca](mailto:mrafuse@osc.gov.on.ca)

Sophie Jean  
Surintendance de la distribution  
Autorité des marchés financiers  
Téléphone: (514) 395-0558, poste 4786  
Télécopieur: (514) 873-2262  
[sophie.jean@lautorite.qc.ca](mailto:sophie.jean@lautorite.qc.ca)

Isabelle Pelletier  
Direction des affaires juridiques  
Autorité des marchés financiers  
Téléphone: (514) 395-0558, poste 2566  
Télécopieur: (514) 864-6381  
[isabelle.pelletier@lautorite.qc.ca](mailto:isabelle.pelletier@lautorite.qc.ca)

Andrew Nicholson  
New Brunswick Securities Commission  
Direct: (506) 658-3021  
Fax: (506) 658-3059  
[Andrew.Nicholson@nbsec-cvmnb.ca](mailto:Andrew.Nicholson@nbsec-cvmnb.ca)

Shaun Fluker  
Legal Counsel  
Alberta Securities Commission  
Direct: (403) 297-3308  
Fax: (403) 297-6156  
[shaun.fluker@seccom.ab.ca](mailto:shaun.fluker@seccom.ab.ca)