

Note: [28 Sep 2009] – Amendments to 33-105CP arising from NI 31-103. Refer to Appendix G of CSA Notice announcing implementation of NI 31-103 dated 17 Jul 2009.

AMENDMENTS TO COMPANION POLICY 33-105CP UNDERWRITING CONFLICTS

- 1. Companion Policy 33-105CP Underwriting Conflicts is amended by this Instrument.**
- 2. In the following provisions of the Companion Policy “registrant” is struck out wherever it occurs and “specified firm registrant” is substituted:**
 - a. section 2.1,**
 - b. section 2.2,**
 - c. section 2.4,**
 - d. section 4.1,**
 - e. section 4.2,**
 - f. section 4.3,**
 - g. section 5.1, and**
 - h. section 6.1.**
- 3. Appendix A-1 is amended by striking out “registrant” wherever it occurs and substituting “specified firm registrant”.**
- 4. Appendix A-2 is amended by striking out “registrant” wherever it occurs and substituting “specified firm registrant”.**
- 5. Appendix A-3 is amended by striking out “registrant” wherever it occurs and substituting “specified firm registrant”.**
- 6. Appendix A-4 is amended by striking out “registrant” wherever it occurs and substituting “specified firm registrant”.**
- 7. This Instrument comes into force on the day National Instrument 31-103 Registration Requirements and Exemptions comes into force.**