

*Note: [03 Jan 2019] – Amendments to NI 81-101 arising from NI 81-102 are effective in Alberta only. Refer to Annex I of the CSA Notice announcing amendments to NI 81-102 dated 04 Oct 2018.*

**AMENDMENTS TO  
NATIONAL INSTRUMENT 81-101 MUTUAL FUND PROSPECTUS DISCLOSURE**

- 1. *National Instrument 81-101 Mutual Fund Prospectus Disclosure is amended by this Instrument.***
- 2. *Section 3.2.03 is replaced with the following:***

**3.2.03 Delivery of Fund Facts for Subsequent Purchases Under a Pre-authorized Purchase Plan**

Despite subsection 3.2.01(1), a dealer is not required to deliver the fund facts document to a purchaser in connection with a purchase of a security of a mutual fund made pursuant to a pre-authorized purchase plan if all of the following apply:

- (a) the purchase is not the first purchase under the plan;
- (b) the dealer has provided a notice to the purchaser that states,
  - (i) subject to paragraph (c), the purchaser will not receive a fund facts document after the date of the notice, unless the purchaser specifically requests it,
  - (ii) the purchaser is entitled to receive upon request, at no cost to the purchaser, the most recently filed fund facts document by calling a specified toll-free number, or by sending a request by mail or e-mail to a specified address or e-mail address,
  - (iii) how to access the fund facts document electronically,
  - (iv) the purchaser will not have a right of withdrawal under securities legislation for subsequent purchases of a security of a mutual fund under the plan, but will continue to have a right of action if there is a misrepresentation in the prospectus or any document incorporated by reference into the prospectus, and
  - (v) the purchaser may terminate the plan at any time;
- (c) at least annually during the term of the plan, the dealer notifies the purchaser in writing of how the purchaser can request the most recently filed fund facts document; and

- (d) the dealer delivers or sends the most recently filed fund facts document to the purchaser if the purchaser requests it..

**Effective Date**

- 3. This Instrument comes into force on January 3, 2019.