

**Canadian Securities Administrators Staff Notice 31-401****Registration Forms Relating to the National Registration Database**

The Canadian Securities Administrators (the "CSA" are requesting comment on three forms (the "Forms") relating to the application for registration of dealer firms, adviser firms and individuals to replace Form 3, Form 4 and Form 1-U-2000. The Forms are available at [http://www.osc.gov.on.ca/en/Regulation/Rulemaking/Notices/csanotices/csa\\_list.html](http://www.osc.gov.on.ca/en/Regulation/Rulemaking/Notices/csanotices/csa_list.html).

The Forms will be used for the electronic filing of applications in all jurisdictions except Québec following the implementation of the National Registration Database system ("NRD"). Although the Commission des valeurs Mobilières du Québec (the "CVMQ") is not a participant in the NRD, the CVMQ will adopt the Forms concurrent with their adoption by the other provincial and territorial securities regulatory authorities.

The NRD will be a Web-based system which will permit firm and individual registrants to file application information in electronic format. Information on the NRD will be accessible to regulators, registrants and, to a limited extent, the public.

The CSA request comments on the Forms at this time to facilitate the development of the NRD. Rules and instruments associated with the implementation of NRD will be published for comment at a later date. The Forms will be republished for comment at that time.

**Comments**

Interested parties are invited to make written submissions with respect to the Forms. Submissions received by September 15, 2000 will be considered.

Submissions should be addressed to all of the Canadian securities regulatory authorities listed below and sent, in duplicate, in care of the Ontario Securities Commission, as indicated below:

British Columbia Securities Commission  
Alberta Securities Commission  
Saskatchewan Securities Commission  
The Manitoba Securities Commission  
Ontario Securities Commission  
Office of the Administrator, New Brunswick  
Registrar of Securities, Prince Edward Island  
Nova Scotia Securities Commission  
Securities Commission of Newfoundland  
Registrar of Securities, Northwest Territories  
Registrar of Securities, Yukon  
Registrar of Securities, Nunavut

c/o John Stevenson, Secretary  
Ontario Securities Commission  
20 Queen Street West  
Suite 800, Box 55  
Toronto, Ontario M5H 3S8  
[jstevenson@osc.gov.on.ca](mailto:jstevenson@osc.gov.on.ca)

Submissions should also be addressed to the Commission des valeurs mobilières du Québec as follows:

Claude St. Pierre, Secrétaire  
Commission des valeurs mobilières du Québec  
800 Victoria Square  
Stock Exchange Tower  
P.O. Box 246, 22nd Floor  
Montréal, Québec H4Z 1G3  
[claudestpierre@cvmq.com](mailto:claudestpierre@cvmq.com)

A diskette (or an e-mail attachment) containing the submission (in DS or Windows format, preferably WordPerfect) should also be submitted.

Comment letters submitted in response to requests for comment are placed on the public file in certain jurisdictions and form part of the public record, unless confidentiality is requested. Comment letters will be circulated among the securities regulatory authorities, whether or not confidentiality is requested. Although comment letters requesting confidentiality will not be placed on the public file, freedom of information legislation in certain jurisdictions may require the securities regulatory authorities in those jurisdictions to make comment letters available. Persons submitting comment letters should therefore be aware that the press and members of the public may be able to obtain access to any comment letters.

Questions may be referred to any of:

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(604) 899-6685 or (800) 373-6393 (in B.C.)  
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