



IN THE MATTER OF THE *SECURITIES ACT*
S.N.W.T. 2008, c. 10, AS AMENDED

-and-

**Temporary Exemption from Certain Financial Statement and Information
Delivery Requirements for Registrants and Unregistered Capital Markets
Participants**

BLANKET ORDER 31-519
(Section 16)

WHEREAS the Northwest Territories Office of the Superintendent of Securities (“the Superintendent”) acknowledges that market participants may face challenges in the meeting of certain obligations under securities legislation as a result of the current coronavirus disease 2019 (COVID-19) outbreak, which was declared a pandemic by the World Health Organization on March 11, 2020;

AND WHEREAS the outbreak of COVID-19 and the resulting disruptions to travel, access to office facilities and availability of personnel and resources present challenges to a registrant’s ability to meet certain obligations under securities legislation;

IT IS ORDERED THAT:

1. Terms defined in the *Securities Act*, National Instrument 14-101 *Definitions*, or National Instrument 31-103 *Registration Requirements, Exemptions and Ongoing Registrant Obligations* (NI 31-103) have the same meaning in this Instrument.
2. The Superintendent, considering that to do so would not be prejudicial to the public interest, orders, under section 16 of the Act, that a registered dealer, registered adviser and registered investment fund manager is temporarily exempted from the delivery deadlines for the following documents that are specified in the following provisions of NI 31-103, where such delivery deadlines fall between March 23, 2020 and June 1, 2020, provided that such dealer, adviser or investment fund manager delivers the documents to the regulator no later than 45 days after the delivery deadlines:

- (a) in the case of a registered dealer, its annual financial statements and its completed Form 31-103F1 *Calculation of Excess Working Capital*, as specified in subsection 12.12(1)
- (b) in the case of a registered dealer, its interim financial information and its completed Form 31-103F1 *Calculation of Excess Working Capital*, as specified in subsection 12.12(2)
- (c) in the case of a registered adviser, its annual financial statements and its completed Form 31-103F1 *Calculation of Excess Working Capital*, as specified in section 12.13
- (d) in the case of a registered investment fund manager, its annual financial statements, its completed Form 31-103F1 *Calculation of Excess Working Capital* and its completed Form 31-103F4 *Net Asset Value Adjustments*, as specified in subsection 12.14(1)
- (e) in the case of a registered investment fund manager, its interim financial information, its completed Form 31-103F1 *Calculation of Excess Working Capital*, and its completed Form 31-103F4 *Net Asset Value Adjustments*, as specified in subsection 12.14(2)
- (f) in the case of a registered mutual fund dealer that is a member of the MFDA and is registered as an exempt market dealer or scholarship plan dealer, its completed MFDA Form 1 *MFDA Financial Questionnaire and Report*, as specified in paragraph 12.12(2.1)(b)
- (g) in the case of a registered mutual fund dealer that is a member of the MFDA and is registered as an exempt market dealer or scholarship plan dealer, its completed MFDA Form 1 *MFDA Financial Questionnaire and Report*, as specified in paragraph 12.12(2.1)(c)
- (h) in the case of a registered investment dealer that is a member of IIROC and is registered as an investment fund manager, its completed IIROC Form 1 *Joint Regulatory Financial Questionnaire and Report*, as specified in paragraph 12.14(4)(b)
- (i) in the case of a registered investment dealer that is a member of IIROC and is registered as an investment fund manager, its completed IIROC Form 1 *Joint Regulatory Financial Questionnaire and Report*, as specified in paragraph 12.14(4)(c)
- (j) in the case of a registered mutual fund dealer that is a member of the MFDA and is registered as an investment fund manager, its completed MFDA Form 1 *MFDA Financial Questionnaire and Report*, as specified in paragraph 12.14(5)(b)
- (k) in the case of a registered mutual fund dealer that is a member of the MFDA and is registered as an investment fund manager, its completed MFDA Form 1 *MFDA Financial Questionnaire and Report*, as specified in paragraph 12.14(5)(c)

Effective date

3. This order comes into effect on March 23, 2020.

DATED at Yellowknife, Northwest Territories, this 23rd day of March, 2020.

Tom Hall

Thomas W. Hall,
Superintendent of Securities