



Securities Act
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IMPLEMENTING RULE 31-801

Registration Requirements and Exemptions

PART I DEFINITION

1. In this Rule, “Implementing Rule 11-801” means Implementing Rule 11-801 *Implementation of CSA Instruments* made under the Act, effective October 26, 2008, as amended.

PART II ADOPTION OF NATIONAL INSTRUMENTS

2. (1) National Instrument 31-103 *Registration Requirements and Exemptions* of the Canadian Securities Administrators, effective September 28, 2009, is adopted and made a rule under section 169 of the Act.

(2) National Instrument 33-109 *Registration Information* of the Canadian Securities Administrators, effective September 28, 2009, is adopted and made a rule under section 169 of the Act.

PART III CONSEQUENTIAL AMENDMENTS TO NATIONAL INSTRUMENTS

3. The following amendments made by the Canadian Securities Administrators, effective September 28, 2009, are adopted and made rules under section 169 of the Act:

- (a) amendments to National Instrument 14-101 *Definitions*;
- (b) amendments to National Instrument 24-101 *Institutional Trade Matching and Settlement*;
- (c) amendments to National Instrument 31-102 *National Registration Database*;
- (d) amendments to National Instrument 33-105 *Underwriting Conflicts*;

- (e) amendments to National Instrument 81-102 *Mutual Funds*;
- (f) amendments to National Instrument 81-104 *Commodity Pools*;
- (g) amendments to National Instrument 81-105 *Mutual Fund Sales Practices*;
- (h) amendments to National Instrument 81-107 *Independent Review Committee for Investment Funds*.

PART IV REPEAL OF NATIONAL INSTRUMENTS

4. The following instruments made by the Canadian Securities Administrators are repealed as rules under section 169 of the Act:

- (a) National Instrument 31-101 *National Registration System*;
- (b) National Instrument 33-102 *Regulation of Certain Registrant Activities*;
- (c) National Instrument 33-109 *Registration Information*, which came into force on February 21, 2003.

PART V CONSEQUENTIAL AMENDMENTS TO LOCAL RULE

5. (1) Implementing Rule 11-801 is amended by this section.

(2) Subsections 3(4), (5), (6) and (12) are repealed.

(3) Schedule A is amended by

- (a) striking item 8; and

- (b) striking “National Instrument 33-102 *Regulation of Certain Registrant Activities*” in item 10 and substituting “National Instrument 31-103 *Registration Requirements and Exemptions*”.

PART VI AMENDMENT AND REPEAL OF LOCAL RULE

6. (1) Local Rule 31-501, *Registration* is amended by

- (a) repealing the definitions “National Instrument 31-102” and “National Instrument 33-109” in section 1;

- (b) adding the following after subsection 4(7):

“(8) This section applies only to a person who is registered as a dealer or adviser on or before September 28, 2009.”

- (c) repealing Parts 2, 3, 6, 7 and the Schedule.

(2) Local Rule 31-501, *Registration* is repealed 6 months after this instrument comes into force.

PART VII EFFECTIVE DATE

7. This instrument comes into force on September 28, 2009.