

IN THE MATTER OF THE *SECURITIES ACT*,  
R.S.N.W.T. 1988, ch. S-5, AS AMENDED

- and -

IN THE MATTER OF Certain Exemptions Under  
Multilateral Instrument 31-102 *National Registration Database* (“MI 31-102”)  
and Multilateral Instrument 33-109 *Registration Information* (“MI 33-109”)

**BLANKET ORDER NO. 4**

WHEREAS the National Registration Database (“NRD”) was launched on March 31, 2003;

AND WHEREAS MI 31-102 and MI 33-109 contain a number of provisions that establish timelines for the correction and provision of information about registered firms, registered individuals, and non-registered individuals (the “transition requirements”);

AND WHEREAS data downloaded onto NRD from the Registrar’s prior registration information system is less consistent with current information about registered firms, registered individuals and non-registered individuals than expected;

AND WHEREAS the Registrar issued Blanket Order No. 3 on May 2, 2003, providing for an extension of the time period during which the transition requirements must be fulfilled to ensure that registered firms, registered individuals, and non-registered individuals have sufficient time to fulfil the transition requirements;

AND WHEREAS the Registrar has decided to issue this order providing for a further extension of the time period during which the transition requirements must be fulfilled;

AND WHEREAS the Registrar has decided to issue this order providing for an exemption for registered firms and registered individuals from filing certain forms under MI 31-102 and MI 33-109 where certain changes to an individual’s personal information do not affect the individual’s suitability for registration or status as a non-registered individual;

AND WHEREAS the Registrar has determined that it is in the public interest to make this order;

IT IS ORDERED pursuant to section 6.1 of MI 31-102 that:

1. a transition firm, as defined in section 7.1 of MI 31-102, is exempt from the requirement under section 7.4 of MI 31-102 to submit a completed Form 33-109F3 in the time required under section 7.4 provided that the completed Form 33-109F3 is submitted by November 15, 2003;
2. a transition firm, as defined in section 7.1 of MI 31-102, is exempt from the requirement under section 7.6 of MI 31-102 to submit a completed Form 33-109F4 in the time required under section 7.6 provided that the completed Form 33-109F4 is submitted by November 15, 2003;

3. a registered individual is exempt from the requirement under section 7.9(1)(a) of MI 31-102 to submit a completed Form 33-109F4 in the time required under section 7.9(1)(a) provided that the completed Form 33-109F4 is submitted by November 15, 2003;
4. if a completed Form 33-109F5 is submitted by a registered individual under section 8.5 of MI 33-109 to notify the regulator about changes to the information found in a previously filed Form 4, the individual is exempt from the requirement to submit a completed Form 33-109F4 under section 7.7 of MI 31-102 provided that the change does not relate to information to be reported under items 1 *Name*, 14 *Criminal Disclosure*, 15 *Civil Disclosure*, and 16 *Financial Disclosure* of Form 33-109F4;
5. if a completed Form 33-109F5 is submitted on behalf of a non-registered individual under section 8.7 of MI 33-109 to notify the regulator about changes to the information found in a previously filed Form 4, the non-registered individual's firm is exempt from the requirement to submit a completed Form 33-109F4 under section 7.8 of MI 31-102 provided that the change does not relate to information to be reported under items 1 *Name*, 14 *Criminal Disclosure*, 15 *Civil Disclosure*, and 16 *Financial Disclosure* of Form 33-109F4;
6. if a registered individual's location of employment changes, the individual is exempt from the requirement to submit a completed Form 33-109F4 under section 7.7 of MI 31-102 provided that the individual makes a change of location of employment submission in NRD within five business days of the change;
7. if a non-registered individual's location of employment changes, the individual's firm is exempt from the requirement to submit a completed Form 33-109F4 under section 7.8 of MI 31-102 provided that the individual's firm makes a change of location of employment submission in NRD within five business days of the change;

AND IT IS ORDERED pursuant to section 7.1 of MI 33-109 that:

8. a registered firm is exempt from the requirement under sections 8.2(a) and 8.4 of MI 33-109 to submit a completed Form 33-109F4 in the time required under sections 8.2(a) and 8.4 provided that the completed Form 33-109F4 is submitted by November 15, 2003;
9. a registered firm is exempt from the requirement under section 8.2(c) of MI 33-109 to submit a completed Form 33-109F3 in the time required under section 8.2(c) provided that the completed Form 33-109F3 is submitted by November 15, 2003;
10. a registered firm is exempt from the requirement under section 8.3 of MI 33-109 to submit a completed Form 33-109F3 in the time required under section 8.3 provided that the completed Form 33-109F3 is submitted by November 15, 2003;
11. if a registered individual's location of employment changes, the individual is exempt from the requirement to submit a completed Form 33-109F5 under section 8.5(2) of MI 33-109 and from the requirement to submit a completed Form 33-109F4 under section 8.5(3) of MI 33-109 provided that the individual makes a change of location of employment submission in NRD within five business days of the change;

12. if a non-registered individual's location of employment changes, the individual's firm is exempt from the requirement to submit a completed Form 33-109F5 under section 8.7(2) of MI 33-109 and from the requirement to submit a completed Form 33-109F4 under section 8.7(3) of MI 33-109 provided that the individual's firm makes a change of location of employment submission in NRD within five business days of the change;

AND IT IS ORDERED that Blanket Order No. 3 is hereby revoked.

**DATED** at Yellowknife in the Northwest Territories this 27th day of June, 2003.

**"Gary MacDougall"**

Gary I. MacDougall,  
Registrar of Securities