

Securities Act S.N.W.T. 2008, c. 10

Document Type:	Implementing Rule	
Document No:	11-801	
Subject:	Implementation of CSA Instruments (national and multilateral) in effect in other Canadian jurisdictions on the coming into force of the <i>Securities Act</i>	
Effective Date:	October 26, 2008, as amended to September 28, 2009	

IMPLEMENTING RULE 11-801

Implementation of CSA Instruments

PART 1 DEFINITIONS AND INTERPRETATION

1. In this Rule,

"CSA" means the Canadian Securities Administrators;

"CSA Instruments" means the national and multilateral instruments, including related forms, made by the CSA and in effect as rules or regulations under securities legislation in other provinces or territories of Canada;

"Rules" has the same meaning as in the Act.

PART II ADOPTED AS RULES

2. The CSA Instruments listed in Schedule "A" are adopted as Rules under section 169 of the Act.

PART III Amendments to CSA Instruments

3. (1) The CSA Instruments specified in this Part are deemed to be amended in the Northwest Territories as provided in this Part.

(2) Repealed

(3) National Instrument 13-101 *System for Electronic Document Analysis and Retrieval (SEDAR)* is amended, in Appendix A, by adding "NWT" under the heading "Applicable Jurisdiction" under the following applicable filings:

(a) II Other Issuers (Reporting/Non-reporting) - B. Continuous Disclosure – (a) General Filings – Item 1. News Release, and

(b) III Third Party Filers – Item 6. Securities Acquisition (Early Warnings) Press Release and Report.

(4) Repealed

- (5) *Repealed*
- (6) *Repealed*

(7) National Instrument 41-101 *General Prospectus Requirements* is amended, in Schedule 3 of Appendix A,

(a) by striking "Securities Registries" and substituting "Superintendent of Securities" opposite "Northwest Territories"; and

(b) by striking "www.justice.gov.nt.ca/SecuritiesRegistry/SecuritiesRegistry.html" and substituting "www.justice.gov.nt.ca/SecuritiesRegistry" opposite "Northwest Territories".

- (8) Repealed
- (9) Repealed
- (10) National Instrument 55-102 System for Electronic Disclosure by Insiders (SEDI) is amended,

(a) by adding "Northwest Territories," after "Ontario" in paragraph (a) of the definition "transfer report" in section 1.1;

(b) by adding "Northwest Territories," after "Ontario" in subsection 3.2(1);

(c) by adding "Northwest Territories," after "Ontario" under the heading "Notice – Collection and Use of Personal Information" in Forms 55-102 F1, F2 and F3;

(d) by adding the following contact information under the heading "Notice – Collection and Use of Personal Information" immediately before "Nova Scotia Securities Commission" in Forms 55-102 F1, F2 and F3:

Superintendent of Securities Department of Justice Government of the Northwest Territories 1st Floor, Stuart M. Hodgson Building 5009-49th Street P.O. Box 1320 Yellowknife, Northwest Territories, X1A 2L9 Attention: Deputy Superintendent of Securities Tel: (867) 920-3318

(e) by adding "Northwest Territories," after "Ontario" under the heading "Notice – Collection and Use of Personal Information" in Form 55-102 F6;
(f) by adding "Northwest Territories" to Box 4 in Form 55-102 F6;

(g) by striking "the Northwest Territories" from the second paragraph under "INSTRUCTIONS" in Form 55-102 F6; and

(h) by adding the following contact information under "INSTRUCTIONS" immediately before "Nova Scotia Securities Commission" in Form 55-102 F6:

Superintendent of Securities Department of Justice Government of the Northwest Territories 1st Floor, Stuart M. Hodgson Building 5009-49th Street P.O. Box 1320 Yellowknife, Northwest Territories, X1A 2L9 Attention: Deputy Superintendent of Securities Tel: (867) 920-3318 Facsimile: (867) 873-0243

(11) National Instrument 62-103 *The Early Warning System and Related Take-Over Bid and Insider Reporting Issuer Reporting Issues* is amended,

(a) in Appendix A, by adding "Northwest Territories" after "Newfoundland" under the heading "Jurisdiction" and by adding "Paragraph (c) of the definition of "distribution" contained in subsection 1(1) of the *Securities Act* (Northwest Territories)" under the heading "Securities Legislation Reference" opposite "Northwest Territories"; and

(b) in Appendix D, by striking "Sections 1.8 and 1.9 of MI 62-104" and substituting "Section 11 of the *Securities Act* (Northwest Territories) and sections 1.8 and 1.9 of MI 62-104" under the heading "Securities Legislation Reference" opposite "Northwest Territories".

(12) Repealed

PART IV EFFECTIVE DATE

4. This instrument comes into effect on October 26, 2008.

SCHEDULE A

Index of CSA Instruments Adopted as Rules under the *Securities Act*, S.N.W.T. 2008, c. 10 Effective September 28, 2009

1. Repealed 2. Multilateral Instrument 11-102 Passport System 3. National Instrument 13-101 System for Electronic Document Analysis and Retrieval (SEDAR) 4. National Instrument 21-101 Marketplace Operation 6. National Instrument 21-101 Marketplace Operation 7. National Instrument 21-101 Marketplace Operation 8. Repealed 9. National Instrument 31-102 National Registration Database 10. National Instrument 31-102 National Reguirements and Exemptions 11. National Instrument 33-105 Underwriting Conflicts 12. National Instrument 33-101 Conditional Exemption from Registration for United States Broker-Dealers and Agents 13. National Instrument 41-101 Conditional Exemption from Registration for United States Broker-Dealers and Agents 14. National Instrument 43-101 Standards of Disclosure for Mineral Projects 15. National Instrument 44-101 Short Forms Prospectus 18. National Instrument 44-102 Shelf Prospectus 19. National Instrument 45-101 Rights Offerings 20. National Instrument 51-102 Continuous Disclosure for Oil and Gas Activities 21. National Instrument 51-102 Continuous Disclosure of Diglations 22. Nation	No.	NI/MI	Description	
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No.	NI/MI	Description	
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