



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 *Securities Act*

Effective Date: October 26, 2008, as amended to May 9, 2016

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) Multilateral Instrument 11-102 *Passport System* is amended in Appendix D under the subheading “Insider Reporting”, by striking “s. 2 of Local Rule 55-501” and substituting “s. 104” under “Northwest Territories”.

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

(4) *Repealed*

(5) *Repealed*

(6) *Repealed*

(7) *Repealed*

(8) *Repealed*

(9) *Repealed*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) *Repealed*

(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 May 9, 2016

| No. | NI/MI | Description |
|------|--------------------------------|--|
| 1. | <i>Repealed</i> | |
| 2. | Multilateral Instrument 11-102 | <i>Passport System</i> |
| 3. | National Instrument 13-101 | <i>System for Electronic Document Analysis and Retrieval (SEDAR)</i> |
| 3.1 | Multilateral Instrument 13-102 | <i>System Fees for SEDAR and NRD</i> |
| 4. | National Instrument 14-101 | <i>Definitions</i> |
| 5. | National Instrument 21-101 | <i>Marketplace Operation</i> |
| 6. | National Instrument 23-101 | <i>Trading Rules</i> |
| 6.1 | National Instrument 23-102 | <i>Use of Client Brokerage Commissions</i> |
| 6.2 | National Instrument 23-103 | <i>Electronic Trading</i> |
| 7. | National Instrument 24-101 | <i>Institutional Trade Matching and Settlement</i> |
| 7.1 | National Instrument 24-102 | <i>Clearing Agency Requirements</i> |
| 8. | National Instrument 25-101 | <i>Designated Rating Organizations</i> |
| 9. | National Instrument 31-102 | <i>National Registration Database</i> |
| 10. | National Instrument 31-103 | <i>Registration Requirements, Exemptions and Ongoing Registrant Obligations</i> |
| 11. | National Instrument 33-105 | <i>Underwriting Conflicts</i> |
| 12. | National Instrument 33-109 | <i>Registration Information</i> |
| 13. | National Instrument 35-101 | <i>Conditional Exemption from Registration for United States Broker-Dealers and Agents</i> |
| 14. | National Instrument 41-101 | <i>General Prospectus Requirements</i> |
| 15. | National Instrument 43-101 | <i>Standards of Disclosure for Mineral Projects</i> |
| 16. | National Instrument 44-101 | <i>Short Form Prospectus Distributions</i> |
| 17. | National Instrument 44-102 | <i>Shelf Distributions</i> |
| 18. | National Instrument 44-103 | <i>Post-Receipt Pricing</i> |
| 19. | <i>Repealed 2015-12-08</i> | |
| 20. | National Instrument 45-102 | <i>Resale of Securities</i> |
| 21. | National Instrument 45-106 | <i>Prospectus Exemptions</i> |
| 22. | Multilateral Instrument 45-107 | <i>Listing Representation and Statutory Rights of Action Disclosure Exemptions</i> |
| 23. | National Instrument 51-101 | <i>Standards of Disclosure for Oil and Gas Activities</i> |
| 24. | National Instrument 51-102 | <i>Continuous Disclosure Obligations</i> |
| 23.1 | Multilateral Instrument 51-105 | <i>Issuers Quoted in the U.S. Over-the-Counter Markets</i> |
| 25. | National Instrument 52-107 | <i>Acceptable Accounting Principles and Auditing Standards</i> |
| 26. | National Instrument 52-108 | <i>Auditor Oversight</i> |
| 27. | National Instrument 52-109 | <i>Certification of Disclosure in Issuers' Annual and Interim Filings</i> |
| 28. | National Instrument 52-110 | <i>Audit Committees</i> |
| 29. | National Instrument 54-101 | <i>Communication With Beneficial Owners of Securities of a Reporting Issuer</i> |
| 30. | <i>Repealed</i> | |
| 31. | National Instrument 55-102 | <i>System for Electronic Disclosure by Insiders (SEDI)</i> |
| 32. | National Instrument 55-104 | <i>Insider Reporting Requirements and Exemptions</i> |
| 33. | National Instrument 58-101 | <i>Disclosure of Corporate Governance Practices</i> |
| 34. | National Instrument 62-103 | <i>The Early Warning System and Related Take-Over Bid and Insider Reporting Issues</i> |
| 35. | Multilateral Instrument 62-104 | <i>Take-Over Bids and Issuer Bids</i> |
| 36. | National Instrument 71-101 | <i>The Multijurisdictional Disclosure System</i> |

| No. | NI/MI | Description |
|-----|-------|--|
| 37. | | National Instrument 71-102 <i>Continuous Disclosure and Other Exemptions Relating to Foreign Issuers</i> |
| 38. | | National Instrument 81-101 <i>Mutual Fund Prospectus Disclosure</i> |
| 39. | | National Instrument 81-102 <i>Investment Funds</i> |
| 40. | | National Instrument 81-104 <i>Commodity Pools</i> |
| 41. | | National Instrument 81-105 <i>Mutual Fund Sales Practices</i> |
| 42. | | National Instrument 81-106 <i>Investment Fund Continuous Disclosure</i> |
| 43. | | National Instrument 81-107 <i>Independent Review Committee for Investment Funds</i> |
| 44. | | Multilateral Instrument 91-101 <i>Derivatives: Product Determination</i> |
| 45. | | Multilateral Instrument 96-101 <i>Trade Repositories and Derivatives Data Reporting</i> |