

*Note: [28 Sep 2009] – Amendments to NI 14-101 arising from NI 31-103. Refer to Appendix G of CSA Notice announcing the implementation of NI 31-103 dated 17 Jul 2009.*

**AMENDMENTS TO  
NATIONAL INSTRUMENT 14-101 DEFINITIONS**

- 1. National Instrument 14-101 Definitions is amended by this Instrument.**
- 2. Section 1.1(3) is amended**
  - (a) by repealing the definition of “dealer registration requirement” and substituting the following:**

"dealer registration requirement" means:

    - (a) in every jurisdiction except British Columbia, Manitoba and New Brunswick, the requirement in securities legislation that prohibits a person or company from acting as a dealer unless that person or company is registered in the appropriate category of registration under securities legislation, and
    - (b) in British Columbia, Manitoba and New Brunswick, the requirement in securities legislation that prohibits a person or company from trading in a security unless that person or company is registered in the appropriate category of registration under securities legislation,;
  - (b) by adding the following after the definition of “insider reporting requirement”:**

“investment fund manager registration requirement” means the requirement in securities legislation that prohibits a person or company from acting as an investment fund manager unless the person or company is registered in the appropriate category of registration under securities legislation,;
  - (c) by repealing the definition of “person or company” and substituting the following:**

“person or company”, for the purpose of a national instrument or multilateral instrument, means,

    - (a) in British Columbia, a “person” as defined in section 1(1) of the Securities Act (British Columbia);
    - (b) in New Brunswick, a “person” as defined in section 1(1) of the Securities Act (New Brunswick);

- (c) in the Northwest Territories, a “person” as defined in section 1 of the Securities Act (Northwest Territories);
- (d) in Prince Edward Island, a “person” as defined in section 1 of the *Securities Act* (Prince Edward Island);
- (e) in Québec, a “person” as defined in section 5.1 of the *Securities Act* (Québec); and
- (f) in Yukon Territory, a “person” as defined in section 1 of the *Securities Act* (Yukon Territory)., **and**

**(d) *by repealing the definition of “registration requirement” and substituting the following:***

“registration requirement” means all of the following:

- (a) the adviser registration requirement,
- (b) the dealer registration requirement,
- (c) the investment fund manager registration requirement, and
- (d) the underwriter registration requirement; .

**3. *Appendix B is amended by replacing the paragraph opposite Québec with the following:***

Securities Act, An Act respecting the Autorité des marchés financiers (R.S.Q., c. A-33.2), Derivatives Act (S.Q. 2008, c. 24), the regulations under those Acts, and the blanket rulings and orders issued by the securities regulatory authority.

**4. *Appendix C is amended by replacing the paragraph opposite Northwest Territories with the following:***

Superintendent of Securities, Northwest Territories

**5. *Appendix D is amended by replacing the paragraph opposite Northwest Territories with the following:***

Superintendent, as defined under section 1 of the *Securities Act* (Northwest Territories).

**6. *This Instrument comes into force on the day National Instrument 31-103 Registration Requirements and Exemptions comes into force.***