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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.*