



FINANCIAL AND CONSUMER SERVICES COMMISSION

LOCAL RULE 51-504

NEW BRUNSWICK CORPORATIONS LISTED OR QUOTED ON CERTAIN MARKETPLACES

PART 1
DEFINITIONS

1. In this Instrument

“Listed or quoted issuer” means a corporation that has a class of securities listed or quoted on a marketplace outside New Brunswick and is:

- (a) a corporation as defined in the *Business Corporations Act*, S.N.B. 1981, c. B-9.1; or
- (b) a corporation as defined in the *Canada Business Corporations Act*, R.S.C., 1985, c. C-44 whose registered office is in the province of New Brunswick.

“marketplace” means

- (a) an exchange;
- (b) a quotation and trade reporting system;
- (c) a person or company not included in paragraph (a) or (b) that
 - i. constitutes, maintains or provides a market or facility for bringing together buyers and sellers of securities;
 - ii. brings together the orders for securities of multiple buyers and sellers; and
 - iii. uses established, non-discretionary methods under which the orders interact with each other, and the buyers and sellers entering the orders agree to the terms of the trade, or
- (d) a dealer that executes a trade of an exchange-traded security outside of a marketplace, but does not include an inter-dealer bond broker.



**PART 2
APPLICATION**

2. This Instrument does not apply to a reporting issuer.

**Part 3
REPORTING REQUIREMENTS**

3. (1) A listed or quoted issuer must file the following information within 10 days after the date of the listing or quotation:
- (a) the full name of the listed or quoted issuer issuing the security and the address and telephone number of its registered office;
 - (b) the name of the marketplace outside New Brunswick on which the securities are listed or quoted; and
 - (c) a copy of any documents that were required to be filed in furtherance of the listing or quotation on the marketplace.
- (2) Following receipt of the information filed under subsection (1), the Executive Director of the Commission may also request any other information or material that is considered relevant.
- (3) Any information required under subsection (2) must be provided within 10 days of the request.

**Part 4
COMING INTO FORCE**

4. This Instrument comes into force on 8 December 2014.