



Local Staff Notice 41-701 – *Change to the criminal record check process where New Brunswick is the principal regulator*

November 9, 2022

The New Brunswick Financial and Consumer Services Commission (the “Commission”) is unable to obtain criminal record checks for registration or capital raising purposes, such as prospectus filings that require personal information forms (“PIF”) or Community Economic Development Corporations and Cooperatives applications.

For prospectus filings, this means you are now responsible to obtain your own criminal record check and file them concurrently with your PIFs. To obtain a criminal record check, please contact your local [RCMP](#) detachment or municipal police service, or use an [approved criminal record check vendor](#). Your criminal record check should be conducted within a 90-day period before you file your preliminary prospectus on the System for Electronic Document Analysis and Retrieval (“SEDAR”).

If a PIF is required, the issuer must submit your PIF with your criminal record check attached through SEDAR when filing its preliminary prospectus materials. These materials should be filed together as a PIF filing on SEDAR.

If you have any questions regarding this policy change, please contact:

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