

## CSA Notice regarding Coordinated Blanket Order 33-930 Exemptions from Requirements to Submit Certain Personal Information Under National Instrument 33-109 *Registration Information*

April 30, 2026

### Introduction

The Canadian Securities Administrators (the **CSA** or **we**) are publishing substantively harmonized exemptions from certain requirements under National Instrument 33-109 *Registration Information* (the **Instrument**) to exempt individuals from the requirements to submit or update certain personal information under the Instrument.

Every member of the CSA is implementing the relief through Coordinated Blanket Order 33-930 *Exemptions from Requirements to Submit Certain Personal Information Under National Instrument 33-109 Registration Information* (the **Coordinated Blanket Order**).

Although the outcome is the same in all CSA jurisdictions, the language of the Coordinated Blanket Order issued by each province or territory may not be identical because each jurisdiction's blanket order must fit within the authority provided for in local securities legislation.

### Background

The information filing requirements under the Instrument are part of the registration regime and apply to (i) firms required to be registered as dealers, advisers, and investment fund managers, and (ii) certain individuals who act on their behalf. Under the Instrument, individuals must submit specified information when applying for registration (including reinstatement) or seeking review as a permitted individual. The Instrument also sets out certain requirements to update previously submitted information.

Information collected under the Instrument is used by the CSA to assess a filer's fitness for registration or for permitted individual status.

For individuals, this information includes (i) eye colour, hair colour, height, and weight information, and (ii) citizenship information (country of citizenship and passport information for individuals who are citizens of countries other than Canada). This information is required to be submitted in Form 33-109F4 *Registration of Individuals and Review of Permitted Individuals* (**Form 33-109F4**).

The CSA has determined that (i) eye colour, hair colour, height, and weight information is not required to identify individuals submitting information under the Instrument or otherwise determine their fitness for registration or permitted individual status, and (ii) while citizenship information is sometimes used to confirm the identity of an individual as part of the registration

process, this information, when needed, can be collected outside of the requirements in the Instrument.

Accordingly, the CSA plans to remove the requirements relating to this information when the Instrument is next amended.

### **Description of the Coordinated Blanket Order**

As an interim measure, CSA members are implementing the Coordinated Blanket Order.

The Coordinated Blanket Order provides relief from the requirements under the Instrument to submit eye colour, hair colour, height, weight, and citizenship information by:

- exempting individuals from the requirements to provide this information in Form 33-109F4 when applying for registration (including reinstatement) or seeking review as a permitted individual; and
- exempting individuals from requirements to notify CSA members of changes to this information previously submitted in respect of an individual's Form 33-109F4.

### **Effective Date and Term**

The Coordinated Blanket Order will come into effect on May 1, 2026 and expire:

- in all jurisdictions except Ontario on the date on which amendments to the Instrument come into force that address substantially the same subject matter as the Coordinated Blanket Order (the **Amendment Date**); and
- in Ontario on the earlier of (i) November 1, 2027 or such later date (if any) to which the Coordinated Blanket Order is extended, and (ii) the Amendment Date.

## Questions

Please refer any questions to any of the following:

### **Alberta Securities Commission**

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**FINANCIAL AND CONSUMER SERVICES COMMISSION OF NEW BRUNSWICK**  
**COORDINATED BLANKET ORDER 33-930**

**Citation: Exemptions from Requirements to Submit Certain Personal Information Under  
National Instrument 33-109 *Registration Information***

(Order under section 208 of the Securities Act)

**Date: April 30, 2026**

**Definitions**

1. Terms defined in the *Securities Act* (New Brunswick) (the **Act**) and National Instrument 33-109 *Registration Information* (**NI 33-109** or **the Instrument**) have the same meaning if used in this Order.

**Background**

2. Information submitted by firms and individuals under NI 33-109 is used by the Financial and Consumer Services Commission of New Brunswick (the **Commission**) and other members of the Canadian Securities Administrators (the **CSA**) to assess a filer's fitness for registration in relation to their solvency, integrity, and proficiency or whether information gives rise to concerns with a filer's permitted individual status.
3. Information submitted by individuals under NI 33-109 includes (i) eye colour, hair colour, height, and weight information, and (ii) citizenship information (including, in some circumstances, passport information).
4. The CSA intends to amend NI 33-109 to remove the requirements to submit this information under the Instrument based on the CSA's determination that (i) eye colour, hair colour, height, and weight information is not required to identify an individual or otherwise determine their fitness for registration or permitted individual status, and (ii) while citizenship information is sometimes used to confirm the identity of an individual as part of the registration process, this information, when needed, can be collected outside of the requirements in NI 33-109.
5. It is expected that amendments will be made to remove the requirements to submit this information under NI 33-109 when the Instrument is next amended.
6. The purpose of this Order is to exempt individuals from the requirements to submit this information under NI 33-109 as an interim measure until NI 33-109 is amended.

**Order**

7. The Executive Director of Securities, considering that to do so would not be prejudicial to the public interest, orders under section 208 of the Act that

- (a) an individual required to submit a completed Form 33-109F4 under NI 33-109 is exempt from the requirement to submit information in any the following items in Form 33-109F4:
  - (i) item 3.4 [*Eye colour*];
  - (ii) item 3.5 [*Hair colour*];
  - (iii) item 3.6 [*Height*];
  - (iv) item 3.7 [*Weight*];
  - (v) item 4 [*Citizenship*] (collectively, the **Specified Items**),
- (b) an individual required to submit a completed Form 33-109F5 under NI 33-109 is exempt from the requirement to submit information relating to any change to information previously submitted in respect of the individual's Form 33-109F4 in any of the Specified Items, and
- (c) an individual is exempt from the requirement in section 4.1 of NI 33-109 to submit a notice of change if the change only relates to information previously submitted in item 4 [*Citizenship*] of the individual's Form 33-109F4.

**Effective Date and Term**

8. This Order takes effect on May 1, 2026, and expires on the date on which amendments to NI 33-109 come into force that address substantially the same subject matter as this Order.

**For the Commission:**

*“Original Signed by”*

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**To-Linh Huynh**  
Executive Director of Securities