



Document Type: Amendment Instrument
Document N°: 11-101CP
Subject: Amendment Instrument for *Principal Regulator System*
Publication Date: 17 March 2008
Effective Date: 17 March 2008

**Amendments to
Companion Policy 11-101CP *Principal Regulator System***

1 *Companion Policy 11-101CP Principal Regulator System is amended by*

(a) *repealing section 1.1(1) and substituting;*

The Instrument provides an exemption from the registration requirement for a firm or individual to continue dealing with a client that moves to a different jurisdiction, and with family members of that client. As long as the registrant is registered in its principal jurisdiction and has a minimal number of clients and minimal amount of assets under management in the other jurisdiction, the registrant will not have to become registered in the other jurisdiction. Because Ontario has not adopted the Instrument, the exemption is not available to a registrant in another jurisdiction whose clients move to Ontario. Under the Instrument, the exemption is not available to a firm with a head office in Ontario or to an individual with a working office in Ontario.

(b) *repealing sections 1.1(2), 1.1(3), 1.2, 1.3, 1.4, 2.1, 2.2(1), 2.3(1), and 2.3(3);*

(c) *striking out in section 2.3(5) “and section 3.5 of NP 43-201”;*

(d) *repealing Parts 3 and 4;*

(e) *repealing section 5.3; and*

(f) *repealing Appendix A.*

2 *These amendments come into effect on 17 March 2008.*