

CANADIAN SECURITIES ADMINISTRATORS STAFF NOTICE 31-401

Registration Forms Relating to the National Registration Database

The Canadian Securities Administrators (the "CSA") are requesting comment on three forms (the "Forms") relating to the application for registration of dealer firms, adviser firms and individuals to replace Form 3, Form 4 and Form 1-U-2000. The Forms are available at <http://www.msc.gov.mb.ca/legislation/31401nrdforms.pdf>.

The Forms will be used for the electronic filing of applications in all jurisdictions except Quebec following the implementation of the National Registration Database system ("NRD"). Although the Commission des valeurs mobilières du Québec (the "CVMQ") is not a participant in the NRD, the CVMQ will adopt the Forms concurrent with their adoption by the other provincial and territorial securities regulatory authorities.

The NRD will be a Web-based system which will permit firm and individual registrants to file application information in electronic format. Information on the NRD will be accessible to regulators, registrants and, to a limited extent, the public.

The CSA request comments on the Forms at this time to facilitate the development of the NRD. Rules and instruments associated with the implementation of NRD will be published for comment at a later date. The Forms will be republished for comment at that time.

Comments

Interested parties are invited to make written submissions with respect to the Forms. Submissions received by September 15, 2000 will be considered.

Submissions should be addressed to all of the Canadian securities regulatory authorities listed below and sent, in duplicate, in care of the Ontario Securities Commission, as indicated below:

British Columbia Securities Commission
Alberta Securities Commission
Saskatchewan Securities Commission
The Manitoba Securities Commission
Ontario Securities Commission
Office of the Administrator, New Brunswick
Registrar of Securities, Prince Edward Island
Nova Scotia Securities Commission
Securities Commission of Newfoundland
Registrar of Securities, Northwest Territories
Registrar of Securities, Yukon
Registrar of Securities, Nunavut

c/o John Stevenson, Secretary
Ontario Securities Commission
20 Queen Street West
Suite 800, Box 55
Toronto, Ontario M5H 3S8
jstevenson@osc.gov.on.ca

Submissions should also be addressed to the Commission des valeurs mobilières du Québec as follows:

Claude St Pierre, Secrétaire
Commission des valeurs mobilières du Québec
800 Victoria Square
Stock Exchange Tower
P.O. Box 246, 22nd Floor
Montréal, Québec H4Z 1G3
claud.stpierre@cvmq.com

A diskette (or an e-mail attachment) containing the submission (in DS or Windows format, preferably WordPerfect) should also be submitted.

Comment letters submitted in response to requests for comments are placed on the public file in certain jurisdictions and form part of the public record, unless confidentiality is requested. Comment letters will be circulated among the securities regulatory authorities, whether or not confidentiality is requested. Although comment letters requesting confidentiality will not be placed on the public file, freedom of information legislation in certain jurisdictions may require the securities regulatory authorities in those jurisdictions to make comment letters available. Persons submitting comment letters should therefore be aware that the press and members of the public may be able to obtain access to any comment letters.

Questions may be referred to any of:

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