

Securities Act
R.S.P.E.I. 1988, Cap-S-3.1

Document Type: Implementing and Amending Instrument
Document No: 11-803
Subject: Implementation of Updated CSA National and Multilateral Instruments
Effective Date: September 30, 2024

RULE 11-803
Implementation of Updated CSA Instruments

PART 1 DEFINITIONS

1.1 In this Rule,

- (a) "**Act**" means the *Securities Act*, R.S.P.E.I. 1988, Cap. S-3.1;
- (b) "**CSA**" means the Canadian Securities Administrators;
- (c) "**CSA Instruments**" means the national and multilateral instruments, including related forms, made by the CSA and in effect as rules or regulations under securities legislation in other provinces or territories of Canada, but does not include notices or staff notices issued by the CSA;
- (d) "**multilateral**" in relation to CSA Instruments means those instruments made by the CSA that are implemented by some but not all provinces and territories;
- (e) "**national**" in relation to CSA Instruments means those instruments made by the CSA that are implemented by all provinces and territories;
- (f) "**rules**" has the same meaning as in the Act; and
- (g) "**Superintendent**" means the Superintendent of Securities appointed under the Act.

PART 2 NUMBERING SYSTEM

2.1 CSA Instruments made as rules under section 169 of the Act may be referred to by their CSA number

- (a) preceded by "national instrument" or the abbreviation "NI";

- (b) preceded by "multilateral instrument" or the abbreviation "MI"; or
- (c) preceded by "form" and followed by the abbreviation "F" with a number, as appropriate.

2.2 Rules made under section 169 of the Act which do not implement a single CSA Instrument may be numbered according to the five digit numbering system followed by the CSA and may be referred to by number preceded by "local rule" or "Prince Edward Island rule" or "Prince Edward Island local rule".

PART 3 IMPLEMENTATION OF CSA INSTRUMENTS

- 3.1 The CSA Instruments listed in the attached Schedule "A", as amended, are hereby made as rules under section 169 of the Act.
- 3.2 CSA Instruments listed in the attached Schedule "A" which were previously implemented in Prince Edward Island as rules under section 169 the Act, are hereby varied, restated and amended in accordance with the current consolidated CSA Instruments in effect.

PART 4 EFFECTIVE DATE

- 4.1 This instrument comes into effect on September 30, 2024.

Dated at Charlottetown, Prince Edward Island, this 10th day of September 2024.

"Bloyce Thompson" (original signature on file)

Bloyce Thompson,
Minister of Justice and Public Safety

SCHEDULE A

Index of Updated CSA National and Multilateral Instruments Implemented as Rules under the *Securities Act*, R.S.P.E.I. 1988, Cap. S-3.1

(Instruments previously implemented as rules are also included for convenience of reference)

Document	Type	Name
11-102	Multilateral Instrument	Passport System
11-103	Multilateral Instrument	Failure-to-File Cease Trade Orders in Multiple Jurisdictions
13-102	Multilateral Instrument	System Fees for SEDAR and NRD
13-103	National Instrument	System for Electronic Document Analysis and Retrieval + (SEDAR+)
14-101	National Instrument	Definitions
21-101	National Instrument	Marketplace Operation
23-101	National Instrument	Trading Rules
23-102	National Instrument	Use of Client Brokerage Commissions
23-103	National Instrument	Electronic Trading and Direct Access to Marketplaces
24-101	National Instrument	Institutional Trade Matching and Settlement
24-102	National Instrument	Clearing Agency Requirements
25-101	National Instrument	Designated Rating Organizations
31-102	National Instrument	National Registration Database
31-103	National Instrument	Registration Requirements, Exemptions and Ongoing Registrant Obligations
31-202	Multilateral Policy	Registration Requirement for Investment Fund Managers
33-105	National Instrument	Underwriting Conflicts
33-109	National Instrument	Registration Information
35-101	National Instrument	Conditional Exemption from Registration for United States Broker-Dealers and Agents

Document	Type	Name
41-101	National Instrument	General Prospectus Requirements
43-101	National Instrument	Standards of Disclosure for Mineral Projects
44-101	National Instrument	Short Form Prospectus Distributions
44-102	National Instrument	Shelf Distributions
44-103	National Instrument	Post-Receipt Pricing
45-102	National Instrument	Resale of Securities
45-106	National Instrument	Prospectus Exemptions
45-107	Multilateral Instrument	Listing Representation and Statutory Rights of Action Disclosure Exemptions
45-110	National Instrument	Start-Up Crowdfunding Registration and Prospectus Exemptions
51-101	National Instrument	Standards of Disclosure for Oil and Gas Activities
51-102	National Instrument	Continuous Disclosure Obligations
51-105	Multilateral Instrument	Issuers Quoted in the U.S. Over-the-Counter Markets
52-107	National Instrument	Acceptable Accounting Principles and Auditing Standards
52-108	National Instrument	Auditor Oversight
52-109	National Instrument	Certification of Disclosure in Issuers' Annual and Interim Filings
52-110	National Instrument	Audit Committees
52-112	National Instrument	Non-GAAP and Other Financial Measures Disclosure
54-101	National Instrument	Communication with Beneficial Owners of Securities of a Reporting Issuer
55-102	National Instrument	System for Electronic Disclosure by Insiders (SEDI)
55-104	National Instrument	Insider Reporting Requirements and Exemptions
58-101	National Instrument	Disclosure of Corporate Governance Practices

Document	Type	Name
62-103	National Instrument	The Early Warning System and Related Take-Over Bid and Insider Reporting Issues
62-104	Multilateral Instrument	Take-Over Bids and Issuer Bids
71-101	National Instrument	The Multijurisdictional Disclosure System
71-102	National Instrument	Continuous Disclosure and Other Exemptions Relating to Foreign Issuers
81-101	National Instrument	Mutual Fund Prospectus Disclosure
81-102	National Instrument	Investment Funds
81-105	National Instrument	Mutual Fund Sales Practices
81-106	National Instrument	Investment Fund Continuous Disclosure
81-107	National Instrument	Independent Review Committee for Investment Funds
91-101	Multilateral Instrument	Derivatives: Product Determination
91-102	Multilateral Instrument	Prohibition of Binary Options
94-101	National Instrument	Mandatory Central Counterparty Clearing of Derivatives
94-102	National Instrument	Derivatives: Customer Clearing and Protection of Customer Collateral and Positions
96-101	Multilateral Instrument	Trade Repositories and Derivatives Data Reporting