



Saskatchewan Staff Notice 33-709 Annual delivery of registration fees and documents

Saskatchewan Local Instrument 33-503 Permanent Registration System requires registered firms to deliver fees and specified documents to the Commission by December 15 of each year. The process for annual filing of documents and payment of fees will change now that the National Registration Database (“NRD”) is in operation.

If you use NRD and have a bank account set up for NRD, you will not receive any notification from us containing a list of your registered individuals or branch offices as you have in the past. You can rely on the information on NRD. If the information on NRD is not correct you should file the appropriate submissions on NRD to correct the information.

If you use NRD and have a bank account set up for NRD, there is no requirement for you to forward us any annual filing documents or marked up lists of your registrants or branch offices as you have in the past. You are not required to forward us any annual fees. The fees will be paid by electronic funds transfer through NRD on December 31, 2003. You must ensure that sufficient funds are in your bank account on December 31, 2003 to cover the NRD annual fee pull. There will be information on NRD on December 1, 2003 indicating what annual fees will be pulled through NRD on December 31, 2003 for your firm. You should review this information to ensure it is correct. If this information is not correct you should correct the information on NRD by filing the appropriate submissions on NRD. If you feel the submissions will not be processed by December 31, 2003 an annual fee exclusion submission should be submitted on NRD as well.

Annual fees for Saskatchewan that will be pulled by NRD on December 31, 2003 are:

- \$750 for the firm,
- \$250 for each of its registered individuals, and
- \$100 for each of its Saskatchewan branch offices.

You should note we will not send new certificates of registration for either firms or individuals. There is no expiry date on the registration of firms and individuals in Saskatchewan.

If you either use NRD, but do not have a bank account set up for NRD, or do not use the NRD, then you will receive the same annual filing package from us you did last year. The process will be the same as it was last year. You must forward fees directly to our office by firm cheque for all annual fees payable to the Minister of Finance by December 15, 2003.

In all cases you must ensure that you have forwarded us:

- a certified copy of current bonding as required by section 20 of *The Securities Regulations*;
- a current directors’ insurance resolution as required by section 20 of *The Securities Regulations*; and

- current annual financial information as required by *The Securities Regulations*.

November 24, 2003

Contact:

Senior Registration Officer
(306) 787-5843.