

AMENDMENTS TO NATIONAL INSTRUMENT 23-101 TRADING RULES

PART 1 AMENDMENTS

1.1 Amendments

- (1) This Instrument amends National Instrument 23-101 Trading Rules.
- (2) Part 2 is amended by striking out “the rules, policies and other similar instruments” in section 2.1 and substituting “similar requirements”.
- (3) Part 8 is amended by:
 - (a) amending subsection 8.4(c) by adding “in its capacity as a regulation services provider” after “directions made by the regulation services provider”; and
 - (b) repealing section 8.5.
- (4) Part 9 is amended by repealing subsection 9.3(2).
- (5) Part 10 is amended by repealing section 10.3.
- (6) Part 11 is amended by:
 - (a) striking out “and” at the end of paragraph 11.2(1)(p);
 - (b) striking out “.” and adding “; and” at the end of paragraph 11.2(1)(q);
 - (c) adding the following paragraph:

“(r) an insider marker.”;
 - (d) adding in subsection 11.2(5) “a securities regulatory authority or” before “a regulation services provider”;
 - (e) adding in subsection 11.2(5) “the securities regulatory authority or” before each reference to “the regulation services provider”;
 - (f) striking out “After December 31, 2003,” in subsection 11.2(6);
 - (g) adding in subsection 11.2(6) “a securities regulatory authority or” before “a regulation services provider”; and
 - (h) striking out “.” in subsection 11.2(6) after “form” and adding the following:

“by the earlier of January 1, 2007 and the date on which a self-regulatory entity or a regulation services provider implements a rule, policy or other similar instrument to which the dealer is subject that requires transmission of the record in electronic form.”.

PART 2 EFFECTIVE DATE

2.1 Effective Date – This Instrument comes into force on December 31, 2003.

