

**COMPANION POLICY 33-503CP TO  
SASKATCHEWAN LOCAL INSTRUMENT 33-503  
PERMANENT REGISTRATION SYSTEM**

**List of names**

**1** Clause 3(1)(b) of Saskatchewan Local Instrument 33-503 Permanent Registration System requires registered firms to deliver lists of names of registered directors, partners, officers and other registered individuals and branch office information to the Commission by December 15 of each year. This clause refers to directors, partners, officers and individuals who are registered in Saskatchewan, and to branch offices in Saskatchewan. In October of each year, Commission staff will send to each registered firm lists of this information as it appears in the Commission's records. Registered firms can use the Commission's lists to prepare their own lists required under clause 3(1)(b).

**Additional filing requirements**

**2** Section 3 of the local instrument requires registered firms to file information and fees with the Commission by December 15 of each year. Saskatchewan securities laws requires registered firms to file with the Commission other information at other times. These main requirements are:

(a) the requirement in section 37 of the Act for registered firms and individuals to send the Commission notice within five days of certain changes occurring; and

(b) the requirements in sections 49 and 51 of the Regulations for certain registered firms to file financial statements and financial reports within 90 days of the end of their financial year.

**Delivery requirements for firms on the NRD**

**3** Section 3 the local instrument requires firms to deliver documents and fees to the Commission. For firms registered on the National Registration Database, such documents and fees should be filed and delivered through the National Registration Database.