

Saskatchewan Staff Notice 31-701

Forms 4s Not Required for Certain Non-Trading Officers

This notice applies only to firms that are not registered on the National Registration Database.

Staff of the Commission no longer require firms that do not have their head office in Saskatchewan to submit Form 4 Uniform Application for Registration/Approval for their new officers and directors who are not trading in Saskatchewan.

Firms that have their head-office in Saskatchewan will continue to submit Form 4s for their non-trading officers and directors as they are hired. Staff of the Commission review these forms to ensure that there is nothing that would make them unsuitable to be an officer or director of a registered firm. No fee is required to submit Form 4s for non-trading officers.

Date: April 30, 2001
Amended May 9, 2003

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