

Schedule 4-A of the CSA Notice announcing amendments to NI 81-102 dated 07 Oct 2021

**AMENDMENTS TO
NATIONAL INSTRUMENT 41-101 GENERAL PROSPECTUS REQUIREMENTS**

1. **National Instrument 41-101 General Prospectus Requirements is amended by this Instrument.**
2. **Subparagraph 9.1(1)(b)(ii) is replaced with the following:**
 - (ii) **Personal Information Form and Authorization to Collect, Use and Disclose Personal Information** – a completed personal information form for,
 - (A) each director and executive officer of the issuer,
 - (B) each promoter of the issuer, and
 - (C) if the promoter is not an individual,
 - (I) in the case of an issuer that is not an investment fund, each director and executive officer of the promoter, and
 - (II) in the case of an issuer that is an investment fund, and the promoter is not the manager of the investment fund, each director and executive officer of the promoter; and.
3. **Section 9.1 is amended by adding the following subsection after 9.1(1):**
 - (1.1) Despite subparagraph 9.1(1)(b)(ii), an investment fund is not required to deliver a personal information form for an individual referred to in subparagraph (1)(b)(ii) if the individual has submitted a Form 33-109F4 *Registration of Individuals and Review of Permitted Individuals* under National Instrument 33-109 *Registration Information*..

Effective Date

4. (1) This Instrument comes into force on January 5, 2022.
- (2) In Saskatchewan, despite subsection (1), if this Instrument is filed with the Registrar of Regulations after January 5, 2022, this Instrument comes into force on the day on which it is filed with the Registrar of Regulations.