

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

**AMENDMENTS TO
National Instrument 81-101 *Mutual Fund Prospectus Disclosure***

1. *National Instrument 81-101 Mutual Fund Prospectus Disclosure is amended by this Instrument.*

2. *Subparagraph 2.3(1)(b)(ii) is replaced with the following:*

- (ii) a personal information form for all of the following:
 - (A) each director and executive officer of the mutual fund;
 - (B) each promoter of the mutual fund;
 - (C) if the promoter is not an individual and is not the manager of the mutual fund, each director and executive officer of the promoter,.

3. *The following is added after subsection 2.3(1):*

- (1.0.1) Despite subparagraph 2.3(1)(b)(ii), a mutual 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*..

4. *Subparagraph 2.3(2)(b)(iv) is replaced with the following:*

- (iv) a personal information form for all of the following:
 - (A) each director and executive officer of the mutual fund;
 - (B) each promoter of the mutual fund;
 - (C) if the promoter is not an individual and is not the manager of the mutual fund, each director and executive officer of the promoter, and.

5. *The following is added after subsection 2.3(2):*

- (2.0.1) Despite subparagraph 2.3(2)(b)(iv), a mutual fund is not required to deliver a personal information form for an individual referred to in subparagraph (2)(b)(iv) 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

- 6. (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.