



GENERAL ORDER 31-921

Order Extending Transitional Relief from the Requirement to Provide Dispute Resolution Services Pursuant to Section 13.16 of National Instrument 31-103 *Registration Requirements, Exemptions and Ongoing Registrant Obligations*

IN THE MATTER OF
THE SECURITIES ACT, 1988,

and

IN THE MATTER OF EXTENSION OF TRANSITIONAL RELIEF FROM THE
REQUIREMENT TO PROVIDE DISPUTE RESOLUTION SERVICES
PURSUANT TO SECTION 13.16 OF NATIONAL INSTRUMENT 31-103 *REGISTRATION
REQUIREMENTS, EXEMPTIONS AND ONGOING REGISTRANT OBLIGATIONS*

ORDER

WHEREAS the Saskatchewan Financial Services Commission (the Commission) has assigned to the Director of the Securities Division (the Director) the power to make exemption orders under provisions of *The Securities Act, 1988* (the Act) including orders of general application;

AND WHEREAS the staff of the Commission have applied to the Director for an order pursuant to section 160 of the Act exempting certain persons and companies from the requirements of section 13.16 of National Instrument 31-103 *Registration Requirements, Exemptions and Ongoing Registrant Obligations* (NI 31-103) to provide dispute resolution services;

AND WHEREAS in this decision terms defined in *The Securities Act, 1988*, National Instrument 14-101 *Definitions*, or National Instrument 31-103 *Registration Requirements, Exemptions and Ongoing Registrant Obligations* (NI 31-103) have the same meaning in this order;

AND WHEREAS it has been represented to the Director that:

1. Section 13.16 [*dispute resolution service*] of NI 31-103 provides that a registered firm must ensure independent dispute resolution or mediation services are made available, at the firm's expense, to a client to resolve a complaint made by the client about any trading or advising activity of the firm or one of its representatives and must inform the client as

soon as possible of how to contact and use the dispute resolution or mediation services which are provided to the firm's clients;

2. Section 16.16 [*complaint handling*] of NI 31-103 provides temporary relief from the application of section 13.16 of NI 31-103 until September 28, 2012 to persons or companies that were registered in a jurisdiction of Canada on September 28, 2009 (the Transition Period) ;
3. The Commission is currently reviewing the dispute resolution provisions in section 13.16 of NI 31-103 and therefore it is appropriate to extend the Transition Period.

AND WHEREAS the Director is of the opinion that it would not be prejudicial to the public interest to make this order;

IT IS HEREBY ORDERED pursuant to section 160 of the Act that section 13.16 of NI 31-103 does not apply to a person or company that was a registered firm in a jurisdiction of Canada on September 28, 2009, until the earlier of:

1. September 28, 2014; and
2. the coming into effect of any amendments to section 13.16 of NI 31-103.

Dated September 25, 2012

A handwritten signature in black ink, appearing to read 'Dean Murrison', written over a horizontal line.

Dean Murrison
Director