

(3) If any brokerage transactions involving the client brokerage commissions of the mutual fund have been or might be directed to a dealer in return for the provision of any good or service, by the dealer or a third party, other than order execution, state that the name of any other dealer or third party that provided a good or service referred to in paragraph (2)(a), that was not disclosed under paragraph (2)(b), will be provided upon request by contacting the mutual fund or mutual fund family at [insert telephone number] or at [insert mutual fund or mutual fund family e-mail address].

INSTRUCTIONS:

Terms defined in Regulation 23-102 respecting Use of Client Brokerage Commissions approved by Ministerial Order No. 2010-02 dated January 31, 2010 (2010, G.O. 2, 582) have the same meaning where used in this Item.”.

3. This Regulation comes into force on June 30, 2010.

9845

M.O., 2010-10

Order number I-14.01-2010-10 of the Minister of Finance, June 1st, 2010

Derivatives Act
(R.S.Q., c. I-14.01)

CONCERNING Regulation to amend the Derivative Regulation concordant to Regulation 23-102 respecting use of client brokerage commissions approved by ministerial order no. 2010-02 dated January 31, 2010

WHEREAS subparagraphs 1, 2, 3, 11, 12, 13 and 29 of paragraph 1 of section 175 of the Derivatives Act (R.S.Q., c. I-14.01) stipulate that the Autorité des marchés financiers may make regulations concerning the matters referred to in those paragraphs;

WHEREAS the fourth and fifth paragraphs of section 175 of the said Act stipulate that a draft regulation shall be published in the Bulletin de l’Autorité des marchés financiers, accompanied with the notice required under section 10 of the Regulations Act (R.S.Q., c. R-18.1) and may not be submitted for approval or be made before 30 days have elapsed since its publication;

WHEREAS the second and sixth paragraphs of the said section stipulate that every regulation made under section 175 must be approved, with or without amendment, by the Minister of Finance and comes into force on the date of its publication in the *Gazette officielle du Québec* or any later date specified in the regulation;

WHEREAS the Derivative Regulation has been approved by ministerial order no. 2009-01 dated January 15, 2009 (2009, G.O. 2, 33A);

WHEREAS there is cause to amend this regulation;

WHEREAS the draft Regulations to amend the Derivative Regulation was published in the Bulletin de l’Autorité des marchés financiers, volume 6, no. 40 of October 9, 2009;

WHEREAS the Autorité des marchés financiers made on May 10, 2010, by the decision no. 2010-PDG-0087, Regulation to amend the Derivative Regulation;

WHEREAS there is cause to approve this regulation without amendment;

CONSEQUENTLY, the Minister of Finance approves without amendment Regulation to amend the Derivatives Regulation appended hereto.

June 1st, 2010

Minister of Finance,
RAYMOND BACHAND

Regulation to amend the Derivatives Regulation*

Derivatives Act
(R.S.Q., c. I-14.01, s. 175, par. 1, subpars. (1), (2), (3), (11), (12), (13) and (29))

1. The Derivatives Regulation is amended by adding the following after Division II.1:

“DIVISION II.2

“CLIENT BROKERAGE COMMISSIONS

“11.22. Regulation 23-102 respecting Use of Client Brokerage Commissions, approved by Ministerial Order No. 2010-02 dated January 31, 2010 (2010, G.O. 2, 582), applies, with the necessary modifications, to dealers and advisers governed by the Act.”

2. This Regulation comes into force on June 30, 2010.

9846

* The Derivatives Regulation, which was approved by Ministerial Order No. 2009-01 dated January 15, 2009 (2009, G.O. 2, 33A), was amended solely by the Regulation to amend the Derivatives Regulation, which was approved by Ministerial Order No. 2009-07 dated September 9, 2009 (2009, G.O. 2, 3690A).