

**Table of Concordance:  
Comparison of *Provincial Capital Markets Act* (August 2014  
consultation draft) and British Columbia, New Brunswick, Ontario and  
Saskatchewan securities legislation**

The following Table of Concordance compares provisions in the consultation draft of the *Provincial Capital Markets Act* with corresponding provisions from British Columbia, Ontario, Saskatchewan and New Brunswick securities legislation. It is intended to serve as a guide to assist readers in their review of the consultation draft and includes references to provisions that may be relevant to consultation draft provisions, as well as references to provisions that are more directly on point. It is not an official publication and should not be viewed as an authoritative source.

Following Prince Edward Island's recent decision to join the Cooperative Capital Markets Regulatory System, this Table of Concordance will be expanded to include corresponding provisions of PEI's *Securities Act*.

### Table of Concordance

PCMA Section		Ontario	British Columbia	New Brunswick	Saskatchewan
1.	Purposes of Act	s.1.1	---	s.2	s.3.1(1)
2.	Definitions	Definitions	Definitions	Definitions and Interpretation	Interpretation
2.	"adviser "	s.1(1) "adviser"	s.1(1) "adviser"	s.1(1) "adviser"	s.2(1)(a.1) "adviser"
2.	"appeal court"	---	---	Relevant: s.1(1) "Court of Appeal"	---
2.	"associate"	s.1(1) "associate"	s.1(1) "associate"	s.1(1) "associate"	s.2(1)(b) "associate"
2.	"Authority"	---	---	---	---
2.	"benchmark"	---	---	---	---
2.	"Canadian financial institution"	---	---	---	---
2.	"capital markets law"	s.1(1) "Ontario securities law"	---	s.1(1) "New Brunswick securities law"	s.2(1)(rr.1) "Saskatchewan securities laws"
2.	"Chief Regulator"	---	---	---	---
2.	"clearing agency"	s.1(1) "clearing agency"	Relevant: s.1(1) "clearing agency"	s.1(1) "clearing agency"	s.2(1)(d.1) "clearing agency" and s.3(3)(d.1) of <i>The Securities Amendment Act, 2013</i> , S.S. 2013, c.33 (not yet proclaimed)
2.	"company"	s.1(1) "company"	---	Relevant: s.1(1) "corporation"	s.2(1)(h) "company"
2.	"control person"	s.1(1) "control person"	s.1(1) "control person"	s.1(1) "control person"	s.2(1)(k) "control person"
2.	"Council of Ministers"	---	---	---	---
2.	"court"	---	---	Relevant: s.1(1) "Court of Queen's Bench"	Relevant: s.2(1)(l) "Court of Queen's Bench"
2.	"credit rating"	s.1(1) "credit rating"	---	s.1(1) "credit rating"	s.2(1)(l.1) "credit rating"
2.	"credit rating organization"	s.1(1) "credit rating organization"	---	s.1(1) "credit rating organization"	s.2(1)(l.2) "credit rating organization"
2.	"dealer"	s.1(1) "dealer"	Relevant: s.1(1) "dealer"	s.1(1) "dealer"	s.2(1)(n) "dealer"
2.	"debt security"	s.1(1) "debt security"	---	---	Relevant: s.2(1)(ss)(v)
2.	"decision"	s.1(1) "decision"	s.1(1) "decision"	s.1(1) "decision"	s.2(1)(o) "decision"
2.	"derivative"	s.1(1) "derivative"	Relevant: s.1(1) "commodity", "futures contract", "exchange contract"	s.1(1) "derivative"	Relevant: s.2(1)(s.2) "exchange contract", (t.1) "futures contract" and s.3(6) of <i>The Securities Amendment Act, 2013</i> , S.S. 2013, c.33 (not yet proclaimed)
2.	"designated derivative"	s.1(1) "designated derivative"	---	---	Relevant: s.3(6)(0.1) of <i>The Securities Amendment Act, 2013</i> , S.S. 2013, c.33 (not yet proclaimed)
2.	"designated entity"	---	---	Relevant: s.1(1) "designated credit rating organization", s.1.1	s.26, Part V.1 Designation of Entities "Interpretation of Part"
2.	"director"	s.1(1) "director"	s.1(1) "director"	s.1(1) "director"	s.2(1)(q) "director"
2.	"distribution"	s.1(1) "distribution"	s.1(1) "distribution"	s.1(1) "distribution"	s.2(1)(r) "distribution"
2.	"form of proxy"	s.1(1) "form of proxy"	s.116 "form of proxy"	s.1(1) "form of proxy"	s.2(1)(t) "form of proxy"
2.	"forward-looking information"	s.1(1) "forward-looking information"	s.1(1) "forward-looking information"	s.1(1) "forward-looking information"	s.2(1)(t.01) "forward-looking information"
2.	"individual"	s.1(1) "individual"	s.1(1) "individual"	s.1(1) "individual"	s.2(1)(v) "individual"

PCMA Section		Ontario	British Columbia	New Brunswick	Saskatchewan
2.	"insider"	s.1(1) "insider"	s.1(1) "insider"	s.1(1) "insider"	s.2(1)(w) "insider"
2.	"investment fund"	s.1(1) "investment fund"	s.1(1) "investment fund"	s.1(1) "investment fund"	s.2(1)(w.1) "investment fund"
2.	"investment fund manager"	s.1(1) "investment fund manager"	s.1(1) "investment fund manager"	s.1(1) "investment fund manager"	s.2(1)(w.2) "investment fund manager"
2.	"investor relations activities"	---	s.1(1) "investor relations activities"	s.1(1) "investor relations activities"	---
2.	"issuer"	s.1(1) "issuer"	s.1(1) "issuer"	s.1(1) "issuer"	s.2(1)(x) "issuer"
2.	"issuer bid"	s.89(1) "issuer bid"	s.92 "issuer bid"	s.106 "issuer bid"	s.98(b) "issuer bid"
2.	"market participant"	s.1(1) "market participant"	---	s.1(1) "market participant"	---
2.	"market place"	---	---	---	---
2.	"material change"	s.1(1) "material change"	s.1(1) "material change"	s.1(1) "material change"	s.2(1)(y) "material change"
2.	"material fact"	s.1(1) "material fact"	s.1(1) "material fact"	s.1(1) "material fact"	s.2(1)(z) "material fact"
2.	"Memorandum of Agreement"	---	---	---	--
2.	"misrepresentation"	s.1(1) "misrepresentation"	s.1(1) "misrepresentation"	s.1(1) "misrepresentation"	s.2(1)(cc) "misrepresentation"
2.	"mutual fund"	s.1(1) "mutual fund"	s.1(1) "mutual fund"	s.1(1) "mutual fund"	s.2(1)(dd) "mutual fund"
2.	"non-redeemable investment fund"	s.1(1) "non-redeemable investment fund"	s.1(1) "non-redeemable investment fund"	s.1(1) "non-redeemable investment fund"	s.2(1)(ee.1) "non-redeemable investment fund"
2.	"offer to acquire"	s.89(1) "offer to acquire"	---	---	s.98(b.1) "offer to acquire"
2.	"officer"	s.1(1) "officer"	s.1(1) "officer"	s.1(1) "officer"	s.2(1)(gg) "officer"
2.	"participating province or territory"	---	---	---	---
2.	"person"	s.1(1) "person"	s.1(1) "person"	s.1(1) "person"	s.2(1)(hh) "person"
2.	"prescribed"	---	---	---	---
2.	"promoter"	s.1(1) "promoter"	s.1(1) "promoter"	s.1(1) "promoter"	s.2(1)(mm) "promoter"
2.	"proxy"	s.1(1) "proxy"	s. 116 "proxy"	s.1(1) "proxy"	s.2(1)(nn) "proxy"
2.	"recognized auditor oversight organization"	---	Relevant: s.1(1) "auditor oversight body"	Relevant: s.1(1) "auditor oversight body", s.35(1)(e)	s.21(a) "recognized auditor oversight organization", relevant: s.2(1)(b.1) "auditor oversight organization"
2.	"recognized clearing agency"	s.1(1) "recognized clearing agency"	Relevant: s.1(1) "clearing agency"	Relevant: s.1(1) "clearing agency", s.35(1)(d)	Relevant: s.2(1)(d.1) "clearing agency" and s.21.3(1)(d)
2.	"recognized entity"	Relevant: s.21(2), 21.1(1), 21.2 (1)	---	Relevant: s.35(1)	s.21(b) "recognized entity" and s.21.3
2.	"recognized exchange"	s.1(1) "recognized exchange"	---	Relevant: s.1(1) "exchange", s.35(1)(a)	Relevant: s.41 (Trading on a recognized exchange outside of Saskatchewan)
2.	"recognized self-regulatory organization"	s.1(1) "recognized self-regulatory organization"	Relevant: s.1(1) "self-regulatory body"	Relevant: s.1(1) "self-regulatory organization", s.35(1)(b)	Relevant: s.2(1)(ss.1) "self-regulatory organization"
2.	"record"	---	---	---	---
2.	"registrant"	s.1(1) "registrant"	s.1(1) "registrant"	s.1(1) "registrant"	s.2(1)(pp) "registrant"
2.	"regulation"	s.1(1) "regulations"	Relevant: s.1(1) "regulation"	s.1(1) "regulation"	Relevant: s.154
2.	"related financial instrument"	s.1(1) "related financial instrument"	s.1(1) "related financial instrument"	s.1(1) "related financial instrument"	s.2(1)(pp.1) "related financial instrument"
2.	"reporting issuer"	s.1(1) "reporting issuer"	s.1(1) "reporting issuer"	s.1(1) "reporting issuer"	s.2(1)(qq) "reporting issuer"

PCMA Section		Ontario	British Columbia	New Brunswick	Saskatchewan	
2.		"security"	s.1(1) "security"	s.1(1) "security"	s.1(1) "security"	s.2(1)(ss) "security" and s.3(18) of <i>The Securities Amendment Act, 2013</i> , S.S. 2013, c.33 (not yet proclaimed)
2.		"spouse"	---	s.1(1) "spouse"	Relevant: s.1(1) "common-law partner"	Relevant: s.2(1)(uu) "spousal equivalent"
2.		"subsidiary"	s.89(1) "subsidiary"	s.1(1) "subsidiary"	Relevant: s.1(4)	s.2(4)
2.		"take-over bid"	s.89(1) "take-over bid"	s. 92(1) "take over bid"	s.106 "take-over bid"	s.98(c)
2.		"trade"	s.1(1) "trade"	s.1(1) "trade"	s.1(1) "trade"	s.2(1)(vv) "trade"
2.		"trade repository"	s.1(1) "trade repository"	---	s. 1(1) "trade repository"	Relevant: s.3(20) of <i>The Securities Amendment Act, 2013</i> , S.S. 2013, c.33 (not yet proclaimed)
2.		"Tribunal"	---	---	s. 1(1) "Tribunal"	---
2.		"underwriter"	s.1(1) "underwriter"	s.1(1) "underwriter"	s.1(1) "underwriter"	s.2(1)(ww) "underwriter"
2.		"voting security"	s.1(1) "voting security"	s.1(1) "voting security"	s.1(1) "voting security"	s.2(1)(xx) "voting security"
3.		Affiliation	s.1(2)	s.1(2)	s.1(2)	s.2(2)
4.		Control	s.1(3)	s.1(3)	s.1(3)	s.2(3)
5.		Beneficial ownership	s.1(5), (6)	s.1(4)	s.1(5)	s.2(5) and s.2(6)
6.		Insiders of a mutual fund	s.1(7)	s.2(1)	---	Relevant: s.128 (Trades by mutual fund insiders)
7.		Special relationships	s.76(5)	s.3	s.147(1)	s.85(1)(a) (person or company in a special relationship with a reporting issuer)
8.		Requirement to be recognized				
	(1)	As exchange	s.21(1)	s.25	s.36	s.21.1
	(2)	As clearing agency	s.21.2(0.1)	s.25	s.36	s.21.2
9.	(1)	Recognition of entities	s.21(2), 21.1(1), 21.2 (1)	s. 24(a), s. 24(b), s. 24(d)	s.35(1)	s.21.3(1)
	(2)	Conditions	s.21(3), 21.1(2), 21.2(2)	s.161(1)(f), s.172	s.35(2)	s.21.3(2) and s.21.3(4)
	(3)	Surrender of recognition	s.21.4	---	s.40	---
10.		Duty to provide information	---	Relevant: s. 26(2)	Relevant: s. 170(2)	Relevant: s.14.1
11.		Duty of recognized self-regulatory organizations, recognized exchanges	s.21(4), 21.1(3)	s. 26(1)	s.38(1)	s.21.4
12.		Power to make decisions re recognized entities, recognized exchanges	s.21(5), 21.1(4), 21.2(3), relevant: s.21.0.1	s.27(1)(a), (b), s.27(1)(c), s.27(1)(d), s.27(1)(e)-(f), s.27(1)(g)	s.39	s.21.6
13.	(1)	Review of decisions of recognized entities	s.21.7(1) Relevant: s.8	s.28(1)	s.44	s.21.7(1)
	(2)	Time	s.21.7(2) and s.8(1)	s. 28(1), s. 165(3)	s.44	s.21.7(2)
	(3)	Parties	s.21.7(2) and s.8(2)	s. 28(1), s. 165(6), s. 165(7), s. 165(8)	s.44	---
	(4)	Disposition on review	s.21.7(2) and s.8(3)	s.165(4)	s.44	s.21.7(3) and s.10(3)
	(5)	Stay of decision	Relevant: s.21.7(2) and s.8(4)	s.165(5)	---	s.21.7(3) and s.10(3)
	(6)	Stay of decision of clearing agency	Relevant: s.21.7(2) and s.8(4)	---	---	s.21.7(3) and s.10(3)

PCMA Section		Ontario	British Columbia	New Brunswick	Saskatchewan
	(7)	Definition of "decision"	---	Relevant: s.28(1)	Relevant: s.1(1) "decision" s.2(1)(o) "decision"
14.	(1)	Delegation to recognized self-regulatory organization	s.21.5(1), (2)	s.184(2)(e)	s.41(1), (2) s.23(1)
	(2)	Same	---	---	Relevant: s.23(4)
	(3)	Authority retained	s.21.5(3)	s.184(3)	s.41(3) s.23(3)
15.	(1)	Powers and duties of recognized auditor oversight organization	---	s.32.1	s.38.1 s.21.5(1) and s.21(5),(2)
	(2)	Adoption of by-laws, etc.	---	s.32.2	s.38.2 s.21.5(3)
	(3)	Duty to provide information, etc.	---	s.26(2), s. 183(45.4)	s.170(2)(n.7) s.23(1), relevant: s.34
16.	(1)	Duty to provide information, etc., to auditor oversight organization	---	s.32.3(1)	s.38.3(1) s.24(1)
	(2)	Same	---	s.32.3(2)	s.38.3(2) ---
	(3)	Privileged information or records	---	s.32.3(3)	s.38.3(3) s.24(2)
	(4)	Consent to disclosure	---	s.32.3(4)	s.38.3 (4) ---
	(5)	Restriction on disclosure	---	---	--- s.24(2)
	(6)	Testimony in civil proceedings	---	s.32.4	s.38.4 s.25
17.	(1)	Designation of entities	s.22(2) (designation of credit rating organizations), s.21.2.2 (1)(designation of trade repositories), relevant: s.21.0.1 (alternative trading systems)	---	s.44.1(1) (designation of credit rating organizations) s.26.1(1)
	(2)	Conditions	Relevant: s.22(3), (4) (credit rating organizations), s.21.2.2(2)(trade repositories)	Relevant: 172	Relevant: s.44.1(2) (credit rating organizations) s.26.1(2) and s.26.1(4)
	(3)	Voluntary surrender of designation	s.21.4 (designated trade repositories)	---	---
18.		Duty to provide information	---	---	Relevant: 170(2) ---
19.		Restriction re credit ratings, procedures, etc.	s.24(1)	---	s.44.3 s.26.2
20.		Authority to make decisions re designated entities	s.21.2.2(3) (trade repositories)	---	---
21.	(1)	Authority to make decisions re other market places	Relevant: s.21.0.1 (alternative trading systems)	---	---
	(2)	Same	Relevant: s.21.0.1 (alternative trading systems)	---	---
22.		Requirement to be registered	s.25(1) - (4)	s.34	s.45 s.27(2)
23.	(1)	Registration	s.27(1)	s.35(1)(a)	s.48(1) s.28(1)
	(2)	Condition, etc., of registration	s.27(3)	s.35(3), s.36(1), s.36(2), s.172	s.48(2), (4) s.28(2) and s.28(3)
24.		Duty to submit further information, etc.	s.33.1	s.38	s.50 s.34
25.	(1)	Automatic suspension of registration	s.29	Relevant: s.40	s.52 ---
	(2)	Discretionary suspension	s.28, s.31	Relevant: s.40.1(1)	s.53(1) s.28(2)
	(3)	Temporary suspension	---	s.40.1(2)	--- s.28(2)

PCMA Section			Ontario	British Columbia	New Brunswick	Saskatchewan
26.	(1)	Surrender of registration	s.30(1)	s.41(1)	s.51	s.29(1)
	(2)	Suspension or conditions	s.30(2)	Relevant: s.41(2)	Relevant: s.48(2)	Relevant: s.29(2)
	(3)	Temporary suspension or conditions, etc.	---	---	Relevant: s.51(2)	s.29(2)
27.	(1)	Requirement to file prospectus, etc.	s.53(1)	s.61(1)	s.71(1)	s.58(1)
	(2)	Voluntary filing	s.53(2)	s.62	s.71(2)	s.58(2)
28.		Restriction on distribution of information, record or thing	s.69	Relevant: s.82	s.86	Relevant: s.77
29.	(1)	Preliminary prospectus requirements	s.54(1)	s.61(2), s.63	s.72(1), (2)	s.59
	(2)	Receipt for preliminary prospectus	s.55	s.65(1)	s.73(2)	s.60
30.	(1)	Prospectus requirements	s.56(1)	s.61(2), s.63	s.74(1)	s.61
	(2)	Receipt for prospectus	s.61(1), (2)	s.65(2)	s.75(1), (2), (6)	s.70(1) and s.70(2)
	(3)	Opportunity to make representations	s.61(3)	s.65(3)	s.75(3)	s.70(3)
31.	(1)	Requirements for prescribed disclosure document	---	---	---	---
	(2)	Receipt	---	---	---	---
	(3)	Opportunity to make representations	---	---	---	---
32.		Requirement to provide further information, etc.	---	s.64(1)	s.75(0.1), s.73(1)	Relevant: s.60.1
33.		Order to provide information re distribution of previously issued securities	s.64(1)	s.72(1)	s.81(1), (2)	s.72(1) and s.72(2)
34.		Permitted activities under preliminary prospectus	s.65	Relevant: s.78(2)	s.82	s.73
35.	(1)	Exception: defective preliminary prospectus	s.68	s.81	s.85	s.76
	(2)	Duration of order	s.68	s.81	s.85	s.76
36.	(1)	Order to cease trading	s.70(1), (2)	---	s.87(1)	s.78(1)
	(2)	Temporary order	s.70(2)	---	s.87(2)	s.78(2) and s.78(3)
	(3)	Notice	s.70(3)	---	s.87(3)	s.78(4)
	(4)	Duty to comply	s.70(3)	---	---	s.78(5)
37.	(1)	Obligation to send prospectus, etc.	s.71	s.83(1)	s.88(1)	s.79(1) and s.79(2)
	(2)	Obligation to send prospectus, etc.	---	---	---	---
	(3)	Obligation to send prescribed disclosure document	---	---	---	---
38.	(1)	Requirement re trades in designated derivatives	s.64.1 (not yet in force)	---	---	Relevant: s.21(1) of <i>The Securities Amendment Act, 2013</i> , S.S. 2013, c.33, (not yet proclaimed)
	(2)	Receipt	S.64.1(3) (not yet in force)	---	---	Relevant: s.21(2) of <i>The Securities Amendment Act, 2013</i> , S.S. 2013, c.33, (not yet proclaimed)
	(3)	Opportunity to make representations	S.64.1(4) (not yet in force)	---	---	Relevant: s.21(3) of <i>The Securities Amendment Act, 2013</i> , S.S. 2013, c.33, (not yet proclaimed)
39.		Duty to provide information	---	---	s.170(2)(n.3)	Relevant: s.14.1(1)
40.		Exemption from Part 5 for trades in derivatives	s.64.1(5) (not yet in force)	---	Relevant: s.80(1)	---

PCMA Section		Ontario	British Columbia	New Brunswick	Saskatchewan	
41.		Derivatives that are securities for prescribed purposes	s.64.2(1) (not yet in force)	---	---	Relevant: s.3(1) of <i>The Securities Amendment Act, 2013</i> , S.S. 2013, c.33, (not yet proclaimed)
42.		Effect of failure to comply	s.64.2(2) (not yet in force)	---	s. 70.3	---
43.		Requirement to disclose	Relevant: s.78(1), s.75	Relevant: s.85	s.89	s.84.1
44.		Reports, etc., by insiders	s.107	s.87	s.135	s.116
45.		Information from directors, etc.	---	s.90	s.170(2)(i), (j)	s.14.1(1)(e)
46.		Requirement to solicit proxies	s.85	---	---	---
47.		Information circular	s.86	---	---	---
48.		Definition of "interested person"	s.103 "interested person"	s.92(1) "interested person"	s.106 "interested person"	s.98(a)
49.		Requirement re take-over bid, issuer bid	---	s.98	s.112	s.99
50.	(1)	Requirement re recommendation	s.95	s.99(1)	s.124(1)	s.100(1)
	(2)	Individual recommendation	s.96	s.99(2)	s.124(2)	s.100(2)
51.		Power to vary period	s.104(2)	---	---	---
52.	(1)	Application to Tribunal - compliance orders	s.104(1); s.104(2)(b)	s.114(1)	s.129(1), (2)	s.101
	(2)	Notice to Chief Regulator	---	---	---	---
53.	(1)	Application to court - compliance orders	s.105	s.115(1)	s.130	s.102(1)(Application to the Court of Queen's Bench)
	(2)	Notice to Chief Regulator	---	s.115(2)	s. 130(3), (4)	s.102(2)
54.	(1)	Requirement to keep records	s.19(1)	Relevant: s.57.7	s.162(1)	s.20.2(1) and s.20.2(2)(a)
	(2)	Same	---	Relevant: s.57.7	---	---
	(3)	Duty to provide records	s.19(3)	Relevant: s.141(2)	s.162(2)	s.20.2(2)(b) and relevant: s.14.1
55.		Duty to client	OSC Rule 31-505, relevant: s.2.1	BC Reg 194/97, s.14(1)	s.54	s.33.1(1)
56.		Duty to investment fund	s.116	s.125	s.54(3)	s.33.1(2)
57.		Conflicts of interest - registrant, etc.	Relevant: s.32(1)(g), s.143(1) para 2(ii)	Relevant: s.183(6)(vi)	Relevant: s.200(1)(e)(ii) and (eee)(xii)	---
58.		Conflicts of interest - offeror, etc.	---	---	Relevant: s.200(1)(bbb)	---
59.	(1)	False or misleading statements	s.126.2(1)	s.50(1)(d)	s.181	s.55.11(1)
	(2)	Remedy	s.126.2(2)	---	---	s.55.11(2)
60.	(1)	Prohibited representations	s.38(1), s.38(1.1)	ss.50(1)(a)(i), (ii)	s.58(1)	s.44(1)
	(2)	Exceptions	s.38(1), s.38(1.1)	s.50(2)	s. 58(1.1)	s.44(1.1)
	(3)	Future value or price	s.38(2)	s.50(1)(b)	s.58(2)	s.44(2)
	(4)	Prohibited representations - exchange	s.38(3)	s.50(1)(c)(i); Relevant: s.50(1)(c)(ii)	s.58(3)	s.44(3)
	(5)	Exceptions	Relevant: s.38(4)(a)	Relevant: s.50(1)(c)(ii), s.50(2)	Relevant: s.58(2), (3)(d)	s.44(3)
61.	(1)	Prohibited representations - derivatives	s.38(1.1)	---	s. 58(1), (1.2)	Relevant: s.44(1), and s.3(1) of <i>The Securities Amendment Act, 2013</i> , S.S. 2013, c.33, (not yet proclaimed)

PCMA Section		Ontario	British Columbia	New Brunswick	Saskatchewan	
	(2)	Future value	s.38(2)	---	s.58(2)	Relevant: s.44(2), and s.3(1) of <i>The Securities Amendment Act, 2013</i> , S.S. 2013, c.33, (not yet proclaimed)
	(3)	Exceptions	Relevant: s.38(4)(b)	---	Relevant: s.58(2)	Relevant: s.44(2), and s.3(1) of <i>The Securities Amendment Act, 2013</i> , S.S. 2013, c.33, (not yet proclaimed)
62.	(1)	Market manipulation	s.126.1(1)	Relevant: s.57(a)	s.69	s.55.1(a)
	(2)	Attempt	s.126.1(2)	---	---	---
63.	(1)	Unjust deprivation, fraud	Relevant: s.126.1(1)(fraud)	Relevant: s.57(b)(fraud)	Relevant: s.69 (fraud)	s.55.1(b) (fraud)
	(2)	Same	---	---	---	---
	(3)	Attempt	s.126.1(2)	---	---	---
64.	(1)	Benchmark - false or misleading information	---	---	---	---
	(2)	Attempt	---	---	---	---
65.	(1)	Benchmark manipulation	---	---	---	---
	(2)	Attempt	---	---	---	---
66.	(1)	Insider trading	s.76(1)	Relevant: s.57.2(1), (2)	s.147(2)	s.85(3)
	(2)	Tipping	s.76(2)	s.57.2(3)	s.147(4)	s.85(4)
	(3)	Tipping - take-over or other action	s.76(3)	s.57.2(4)	s.147(5)	s.85(5)
	(4)	Recommending	---	s.57.2(5)	s.147(4.1)	s.85(3.1)
67.		Front-running				
	(1)	Definitions				
	(1)	"investor"	---	s.57.3(1)	---	---
	(1)	"material order information"	---	s.57.3(1)	s.147.2(1)	s.55.12(1) "material order information"
	(1)	"order"	---	s.57.3(1)	---	---
	(2)	Connection to investor	---	s.57.3(2)	---	---
	(3)	Trading	---	s.57.3(3)	s.147.2(2)	s.55.12(2)
	(4)	Tipping	---	s.57.3(4)	s.147.2(3)	s.55.12(3)
	(5)	Recommending	---	s.57.3(5)	s. 147.2(2)	s.55.12(2)
68.		Defences				
	(1)	Defence to trading, tipping or recommending	s.76(4)	s.57.4(2)	---	s.85(6)(a)
	(2)	Defence to trading - other person's knowledge	Ont. Reg. 1015 - s.175(5)	s.57.4(1)	s.147.1(1)	s.85(6)(b)
	(3)	Defence to trading - automatic plan or legal obligation	Ont. Reg. 1015 - s.175(2)	s.57.4(3)	s.147.1(5)(a), (b), s.147.3(5)(a),(b)	---
	(4)	Defence to trading - agent or trustee	Ont. Reg. 1015 - s.175(2)	s.57.4(4)	s.147.1(5)(c), s.147.3(5)(c)	---
	(5)	Defence to trading or recommending	Ont. Reg. 1015 - s.175(1)	s.57.4(5)	s.147.1(2), s.147.3(3)	---
	(6)	Defence to tipping	Ont. Reg. 1015 - s.175(5)	s.57.4(2)	s.147.1(2)	s.85(6)(b)



PCMA Section			Ontario	British Columbia	New Brunswick	Saskatchewan
	(7)	Defence to front-running	---	s.57.4(6)	s.147.3(2)	---
	(8)	Onus	Ont. Reg. 1015 - s.175(1) - (5)	---	---	---
69.		Meaning of entering into a transaction	---	---	---	---
70.		Unfair practice	---	s.50(1)(e), s.50(3)(d) and ss.50(4)(a) and (b)	s.58.2(1), (2)	s.44.1
71.		Using name of another registrant	s.43	s.53	s.63	s.49
72.	(1)	Representation of registration	s.44(1)	s.54(1)	s.64(1)	s.50(1)
	(2)	False or misleading statements	s.44(2)	s.54(2)	s.64(2)	s.50(2)
73.		Representation re approval by Authority	s.46	s.55	s.65	s.52
74.	(1)	Disclosure of investor relations activities	---	s.52(1)	s.62(1)	---
	(2)	Investor relations activities	---	s.52(2)	s.62(2)	---
75.	(1)	Declaration of short position	s.48	s.56(1)	s.67	s.54
	(2)	Placement through agent	s.48	s.56(1)	s.67	s.54
76.	(1)	Obstruction	---	s.57.5	Relevant: s.165(1)	s.20(4), s.135.7(1) and s.135.7(3)
	(2)	Same	---	---	Relevant: s.165(1)	s.135.7(2)
77.	(1)	No reprisal by employer	---	---	---	---
	(2)	Same	---	---	---	---
78.		Breach of trust	---	---	---	---
79.		Duty to comply with decision	---	Relevant: s. 162(a)(ii)	Relevant: s.179(2)(d)	s.55.14
80.		Duty to comply with undertaking	---	s.57.6	Relevant: s.179(2)(e), s.191(2)	s.55.15
81.	(1)	False or misleading statements to the Chief Regulator, etc.	s.122(1)(a), s.122(1)(b)	s.168.1(1)	s.179(2)(a), (b)	s.55.13(1)
	(2)	Exception	s.122(2)	s.168.1(2)	s.179(3)	s.55.13(2)
	(3)	Onus	---	---	---	---
82.	(1)	Contravention by directors, officers, etc.	s.129.2	s.168.2(1)	---	Relevant: s.135.1(4)(a)
	(2)	Contravention by investment fund manager	---	s.168.2(2)	---	Relevant: s.135.1(4)(b)
83.		Contravention re: actions of employees, agents	---	---	---	---
84.		Aiding and abetting, counselling	---	---	---	---
85.		Conspiracy	---	---	---	---
86.	(1)	Cease-trade order - extraordinary circumstances	s.2.2(2)	---	---	---
	(2)	Order	s.2.2(3)	---	---	---
	(3)	Duration	s.2.2(5)	---	---	---
	(4)	Notice to the Council of Ministers	s.2.2(1)	---	---	---
	(5)	Public notice	s.2.2(6)	---	---	---
	(6)	Opportunity to make representations	s.2.2(7)	---	---	---
	(7)	Revocation or variation of order	s.2.2(8)	---	---	---

PCMA Section		Ontario	British Columbia	New Brunswick	Saskatchewan
	(8)	Extension of order	s.2.2(12)	---	---
87.		Cease-trade order - market fluctuations			
	(1)	Securities	---	s.89(1)	---
	(2)	Derivatives	---	---	---
	(3)	Notice to issuer	---	s.89(2)	---
	(4)	Notice to market place	---	s.89(3)	---
	(5)	Duration	---	s.89(1)	---
	(6)	Extension of order	---	s.89(4)	---
88.		Cease-trade order - non-compliance			
	(1)	Securities	Relevant: s.127(1) para. 2	ss.164(1), (2)	s.188.2(1), (2)
	(2)	Derivatives	Relevant: s.127(1) para. 2	---	Relevant: s.134.1(1) and s.134.1(2)
	(3)	Revocation of order	---	s.164(2)	s.188.2(3)
	(4)	Order to be sent	---	s.164(3)	s.188.2(4)
89.	(1)	Orders of Tribunal - general	s.127(1)	s.161(1)	s.184(1)
	(2)	Order on consent	---	Relevant: s. 162.2	---
	(3)	Orders based on findings by another authority	s.127(10)	s.161(6)	s.184(1.1)
	(4)	Order without delay	s.127(5)	s.161(2)	s.184(5)
	(5)	Duration	s.127(6)	s.161(2)	s.184(6)
	(6)	Extension by the Tribunal	s.127(7), Relevant: s.127(8)	s.161(3)	s.184(7)
	(7)	Notice	s.127(9)	s.161(4)	s.184(9)
90.	(1)	Order to pay administrative monetary penalty, etc.	s.127(1), paras. 9, 10	s.161(1)(g), s.162	s.186
	(2)	Compensation or restitution	---	---	Relevant: s.188.1
	(3)	Payment	---	---	---
	(4)	Order on consent	---	---	Relevant: s.135.3
91.	(1)	Freeze order	s.126(1)	s.151(1), s.151(2)	s.183(1)
	(2)	Non-application	s.126(3)	s.151(4)	s.183(3)
	(3)	Registration of order	s.126(4)	s.151(7)	s.183(8), (9)
	(4)	Effect of registration	s.126(4)	s.151(7)	s.183(10)
	(5)	Notice of order	s.126(6)	---	s.183(5)
	(6)	Duration	Relevant: s.126(5)	---	Relevant: s.183(4)
	(7)	Extension of order	Relevant: s.126(5)	---	Relevant: s.183(4)
92.		Court orders - general			
	(1)	Declaration of non-compliance	s.128(1)	s.157(1)	s.187(1)
	(2)	Same	s.128(2)	Relevant: s. 157(3)	s.187(2)

PCMA Section			Ontario	British Columbia	New Brunswick	Saskatchewan
	(3)	Orders	s.128(3)	s.157(3)	s.187(4)	s.133(1)
	(4)	Same	s.128(3)	s.157(1)	s.187(4)	s.133(1)
	(5)	Interim orders	s.128(4)	s.157(2)	s.187(5)	---
93.	(1)	Court appointment of receiver, etc.	s.129(1), (2)	s.151(1), ss.152(1), (2)	s.188(1),(2)	s.135.5(1) and s.135.5(2)
	(2)	Evidence	---	s.152(5)	---	---
	(3)	Application without notice	s.129(3)	s.152(3)	s.188(3)	s.135.5(3)
	(4)	Application to continue order	s.129(4)	s.152(3)	s.188(4)	Relevant: s.135.5(5)
	(5)	Powers of appointee	s.129(5)	s.152(4)(a)	s.188(5)	s.135.5(4)
	(6)	Same	s.129(5)	s.152(4)(b)	s.188(5)	s.135.5(4)
	(7)	Directors' powers	s.129(6)	---	---	---
	(8)	Fees and expenses	s.129(7)	---	s.188(6)	---
	(9)	Variation or revocation of order	s.129(8)	---	s.188(7)	s.135.5(5)
94.		Exemption orders	Relevant: s.147, s.1(10), s.1(13), s.34 - s.35.3, s.74, s.80, s.88(2), s.100 - s.101.7	Relevant: s.3.1, s.33(1), s.48(1), s.60(1), s.76(1)(a), s.84(1), s.91(1)	Relevant: s. 44.02, s. 70.5, s. 81(3), s. 92, s.105, s.129(2), s.148, s.195.4, s.208	s.147.41, s.160, relevant: s.83(1)(a)
95.		Designation orders				
	(1)	Removing status	Relevant: s.1(10)	Relevant: s.3.1	Relevant: s.1.1(1)	s.11.1(1) and, s.83(1)(c)
	(2)	Designation orders - according status	Relevant: s.1(11)	Relevant: s.3.2	Relevant: s.1.1(2)	s.11.1(1), s.83(1)(b) and s.83(1)(c)
	(3)	Restriction	Relevant: s.1(14)	---	---	---
96.	(1)	Duration of class orders	---	---	---	---
	(2)	Exception	---	---	---	---
	(3)	Public notice	---	---	---	---
97.		Order to extend a period	Relevant: s.104(2)(b), s.62(5), s.143(1) paras 28(ix) and 56	---	Relevant: s.200(1)(zzz)	---
98.		Order re: when distribution concluded	s.74(2)	Relevant: s.76(3)	s.80(3)	s.83(1)(d)
99.	(1)	Review of Chief Regulator's decision	s.8(2)	s.165(3)	s.193(1)	s.10(2)
	(2)	Time limit	s.8(2)	s.165(3)	---	s.10(2)
	(3)	Chief Regulator	---	s.165(6)	s.193(4)	---
	(4)	Disposition on review	s.8(3)	s.165(4)	s.193(6)	s.10(3)
	(5)	Stay of decision	s.8(4)	s.165(5)	s.193(7)	s.10(5)
100.	(1)	Appeal of Tribunal's decision	s.9(1)	Relevant: s.167	s.195(1), (1.1), Financial and Consumer Services Commission Act (FCSCA): s.48(1)	s.11(1) and s.11(2)
	(2)	Exception	---	---	---	---
	(3)	Chief Regulator	Relevant: s.9(4), (4.1)	---	Relevant: s. 195(4)	---
	(4)	Stay of decision	s.9(2)	s. 167(2)	s.195(2), FCSCA: s.48(4)	s.11(8)
	(5)	Disposition of appeal	s.9(5)	s. 167(3)	s.195(6), FCSCA: s.48(7)	s.11(6)

PCMA Section		Ontario	British Columbia	New Brunswick	Saskatchewan	
	(6)	New material	s.9(6)	s. 167(4)	s.195(7), FCSCA: s.48(9)	s.11(7)
101.		Complaints and dispute resolution	---	---	---	---
102.	(1)	Order to provide information, etc.	---	s.141(1)	s.170(1)	s.14.1(2)
	(2)	Same	---	s.141(2)	s.170(2), (4)	s.14.1(1) and s.14.1(4)
	(3)	Verification	---	s.141(3)	s.170(3)	s.14.1(3)
103.		Review of market participant				
	(1)	Designation	s.20(1), (2), (3)	ss.141.1, 141.2, 141.3, 141.4	s.163(1)	s.20(1)(a) and s.20(1)(a.1)
	(2)	Review	s.20(1), (2), (3)	ss.141.1, 141.2, 141.3, 141.4	s.163(1)	s.20(1)(a) and s.20(1)(a.1)
	(3)	Requirement to provide records	s.20(1) - (4)	Relevant: s.141.1(2)(b), s.141.2(2)(b), s.141.3(2)(a), s.141.4(2)(b)	s.163(3)	s.20(3)
	(4)	Authority to enter, etc.	s.20(4)	Relevant: s.141.1(2)(c), (d), (e), s.141.2(c), (d), (e), s.141.3(2)(b), s.141.4(c), (d)	s.163(3), s.163(4), Relevant: s.163(5)	s.20(2)(a)
	(5)	Business hours	s.20(4)	s.141.1(2)(a), s.141.2(2)(a), s.141.4(2)(a)	s.163(3)(a)	s.20(2)(a)
	(6)	Authority to inquire	s.20(4)	s.141.1(2)(e), s.141.2(2)(e), s.141.3(2)(b), s.141.4(2)(d)	s.163(3)(d)	Relevant: s.20(2)(c)
	(7)	Fees	s.20(5)	s.141.1(5), s.141.2(5), s.141.3(3), s.141.4(5)	s.167, s.169	---
104.	(1)	Investigation - order authorizing exercise of powers	s.11(1)	Relevant: s.142(1)	s.171(1)	s.12(1) and s.12(2)
	(2)	Same	s.11(2)	s.142(2)	s.171(2)	s.12(3)
	(3)	Scope of investigation	s.11(3)	s.143(1)	s.172(1)	s.12(4)
	(4)	Summons and production	s.11(4), s.13(1)	s.144(1)	s.173(1)	s.12(5) and s.12(4.1)
	(5)	Power of contempt	s.13(1)	s.144(2)	s.173(2)	s.12(6)
	(6)	Representation by counsel	s.13(2)	s.144(4)	s.173(3)	s.12(8)
	(7)	Authority to inspect business premises	s.13(3)	---	s.172(2), (3)	---
	(8)	Authority to search, etc.	Relevant: s.13(4), (5), s.13(6), s.14	Relevant: s.143(2)-(3)	Relevant: s.172(3)	Relevant: s.12(9)
	(9)	Permitted hours of entry	Relevant: s.13(6)	s.143(2)(a)	s.172(3)	---
	(10)	Production of authorization	Relevant: s.13(6)	---	Relevant: s.172(3)	---
	(11)	Prohibition on communication	Relevant: s.16, s.17	Relevant: s.148	Relevant: s.177(1)	Relevant: s.15(1)
105.		Duty to assist	---	---	---	---
106.		Warrant for dwelling-house	Relevant: s.13(9)	Relevant: s.141.5(1)	Relevant: s.163(6), (7)	Relevant: s.12(9)
107.		Authority to issue warrant	Relevant: s.13(4), (5), (9)	s.141.5(2)	Relevant: s.163(6), (7)	Relevant: s.12(9)
108.	(1)	Entry on private property	---	---	---	---
	(2)	Same	---	---	---	---
	(3)	Same	---	---	---	---
109.		Use of force	Relevant: s.13(6)	---	---	---
110.	(1)	Order for production of names	---	---	---	---
	(2)	Conditions for making order	---	---	---	---

PCMA Section		Ontario	British Columbia	New Brunswick	Saskatchewan	
	(3)	Terms	---	---	---	
	(4)	Power to revoke or vary	---	---	---	
111.	(1)	Order for production of information, etc.	---	---	---	
	(2)	Conditions for making order	---	---	---	
	(3)	Terms	---	---	---	
	(4)	Power to revoke or vary	---	---	---	
112.	(1)	Offences and penalties	s.122(1)(c)	Relevant: s.155(1)	s.179(2)	s.131(2)
	(2)	Exception	---	---	Relevant: s.179(2)(f)	---
	(3)	Order to pay	s.122.1(1)	s.155.1	---	s.131(6)
	(4)	Enforcement of order to pay	s.122.1(3), (4)	s.155.2	---	---
113.	(1)	Liability of directors, officers, employees, agents	s.122(3)	Relevant: s.155(4)	---	s.131(3)
	(2)	Liability of investment fund managers	---	s.155(4.1)	---	---
114.		Offences re: actions of employees, agents	---	---	---	---
115.	(1)	Increased fines for specified contraventions	s.122(4)	Relevant: s.155(5)	s.179(4),(5)	Relevant: s.131(4)
	(2)	Exception	s.122(5)	---	s.179(6)	s.131(5)
	(3)	Calculating profit made or loss avoided	s.122(6)	---	s.179(7)	s.131(1)
	(4)	Exception	---	---	---	Relevant: s.131(6)(b)
116.		Definition of "expert"	Relevant: s.138.1	---	Relevant: s.161.1	Relevant: s.136.01(d) "expert"
117.	(1)	Actions relating to prospectus or prescribed disclosure document	s.130(1)	ss.131(1), (2)	s.149(1), (2)	s.137(1) and s.137(2)
	(2)	Depreciation resulting from the misrepresentation	s.130(7)	s.131(10)	s.149(8)	s.137(8)
	(3)	Liability of underwriter	s.130(6)	s.131(9)	s.149(7)	s.137(7)
	(4)	Amount recoverable	s.130(9)	s.131(13)	s.149(11)	s.137(11)
	(5)	Joint and several liability	s.130(8)	s.131(11)	s.149(9)	s.137(9)
	(7)	Contributions	s.130(8)	s.131(12)	s.149(9)	s.137(9) and s.137(10)
118.	(1)	Actions relating to special warrants	---	---	---	---
	(2)	Rescission	---	---	---	---
	(3)	Amount recoverable	---	---	---	---
	(4)	Joint and several liability	---	---	---	---
	(5)	Contributions	---	---	---	---
119.	(1)	No liability - prospectus or prescribed disclosure document	s.130(2)	s.131(4)	s.149(3)	s.137(3)
	(2)	No liability - other circumstances	s.130(3)	s.131(5)	s.149(4)	s.137(4)
	(3)	Liability - purported authority of expert	s.130(4)	Relevant: s.131(6)	s.149(5)	s.137(5)
	(4)	Liability - no purported authority of expert	s.130(5)	Relevant: s.131(7)	s.149(6)	s.137(6)
120.	(1)	Actions relating to take-over or issuer bid circular	s.131(1)	s.132(1)	s.153(1)	s.139(1)

PCMA Section		Ontario	British Columbia	New Brunswick	Saskatchewan	
	(2)	Actions relating to other circulars	s.131(2)	s.132(3)	s.153(2)	s.139(2)
	(3)	Depreciation resulting from the misrepresentation	s.131(9)	s.132(11)	s.153(9)	s.139(10)
	(4)	Joint and several liability	s.131(8)	s.132(9)	s.153(8)	s.139(8)
	(5)	Contributions	s.131(8)	s.132(10)	s.153(8)	s.139(8) and s.139(9)
	(6)	Deemed issuer bid circular	s.131(10)	---	---	---
121.	(1)	No liability - circular	s.131(4)	s.132(4)	s.153(4)	s.139(4)
	(2)	No liability - other circumstances	s.131(5)	ss.132(5), (8)	s.153(5)	s.139(5)
	(3)	Liability - purported authority of expert	s.131(6)	s.132(6)	s.153(6)	s.139(6)
	(4)	Liability - no purported authority of expert	s.131(7)	s.132(7)	s.153(7)	s.139(7)
122.	(1)	Actions relating to prescribed disclosure document	s.130.1(1)	ss.132.1(1), (2)	s.150(1), s.153.1(1), 153.1(2)	s.138(1) and s.138(2)
	(2)	Depreciation resulting from the misrepresentation	s.130.1(3)	s.132.1(7)	s.150(3), s.153.1(7)	s.138(8)
	(3)	Amount recoverable	s.130.1(6)	s.132.1(10)	s.150(6), s.153.1(9)	s.138(11)
	(4)	Joint and several liability	s.130.1(4)	s.132.1(8)	s.150(4), s.153.1(8)	s.138(9)
	(5)	Contributions	s.130.1(4)	s.132.1(9)	s.150(4), s.153.1(8)	s.138(9) and s.138(10)
	(6)	Exception	s.130.1(5)	---	s.150(5)	---
123.	(1)	No liability - prescribed disclosure document	s.130.1(2)	s.132.1(3)	s.153.1(3)	s.138(3)
	(2)	No liability - other circumstances	---	s.132.1(4)	s.153.1(4)	s.138(4)
	(3)	Liability - no purported authority of expert	---	s.132.1(5)	s.153.1(5)	s.138(6)
124.	(1)	No derogation - rights of action	s.130.1(7), s.131(11)	s.131(14), s.132(13), s.132.1(11)	s.149(12), s.150(7), s.153(11), s.153.1(10)	s.137(12), s.138(12) and s.139(12)
	(2)	No derogation - defences	---	---	---	---
125.		Records incorporated by reference	---	s.131(15), s.132.1(12)	s.149(13), s.153.1(11)	---
126.	(1)	Defence - forward-looking information	s.132.1(1)	s.131(8.1), s.132(8.1), s.132.1(7.1)	s.154.1(1)	s.139.1
	(2)	Exception	s.132.1(2)	s.131(8.2)	s.154.1(2)	---
127.		Standard of reasonableness	s.132	s.133	s.154	s.140
128.		Liability of trader, offeror or issuer	s.133	s.135, s.135.1	s.155	s.141
129.	(1)	Action for damages - insider trading, etc.	ss.134(1), (2)	s.136	s.157(2), (3), (4.1)	s.142(1) and s.142(2)
	(2)	Amount of damages	s.134(6)	s.136(3)	s.157(8)	s.142(6)
	(3)	Loss incurred by plaintiff	---	s.136(4)	---	---
	(4)	Other measure of damages	s.134(6)	---	s.157(8)(c)	s.142(7)
130.	(1)	Payment of benefit - insider trading, etc.	s.134(4)	s.136.1(1)	s.157(6)	s.142(4)
	(2)	Payment of benefit - front-running	---	s.136.1(2)	s.157(4.2)	---
	(3)	Payment of benefit - improper use of information, investment funds	s.134(3)	---	s.157(5)	s.142(3)
	(4)	Payment of benefit - improper use of information, discretionary investment portfolios	s.134(3.1)	---	s.157(5)	s.142(3)
131.	(1)	Action on behalf of issuer - insider trading, etc.	s.135(1)	s.137(1)	s.158(1)	s.143(1)

PCMA Section			Ontario	British Columbia	New Brunswick	Saskatchewan
	(2)	Exception	s.135(1)	s.137(1)	s.158(1)	s.143(1)
132.	(1)	Action on behalf of investor - front-running	---	s.137(2)	---	---
	(2)	Exception	---	s.137(2)	---	---
133.	(1)	Action on behalf of investment fund - improper use of information	s.135(2)	---	s.158(2)	s.143(2)
	(2)	Exception	s.135(2)	---	s.158(2)	s.143(2)
134.		Notice of application	s.135(7)	Relevant: s.137(7)	s.158(7)	s.143(7)
135.		Order to cooperate	s.135(8)	s.137(8)	s.158(8)	s.143(8)
136.		Orders as to costs				
	(1)	Costs of Chief Regulator	s.135(5)	Relevant: s.137(5)	s.158(5)	s.143(5)
	(2)	Costs of security holder	s.135(4)	Relevant: s.137(4)	s.158(4)	s.143(4)
	(3)	Determination of best interests	s.135(6)	s.137(6)	s.158(6)	s.143(6)
137.		Rescission - registered dealer				
	(1)	Intending to act as principal	s.136(1)	s.138(1)	---	s.144(1) and s.144(2)
	(2)	Acting as principal	s.136(2)	s.138(2)	---	s.144(3) and s.144(4)
	(3)	Exception	s.136(4)	---	---	---
	(4)	Onus	s.136(5)	s.138(3)	---	s.144(6)
	(5)	Time limit	s.136(6)	s.138(4)	---	s.144(7)
138.	(1)	Rescission of purchase - prospectus or prescribed disclosure document	s.71(2)	Relevant: s.83(3)	s.88(2)	s.79(3)
	(2)	Exceptions	s.71(3)	s.83(4)	s.88(3)	s.79(4)
	(3)	Onus	s.71(8)	Relevant: s.83(8)	s.88(10)	s.79(9)
139.	(1)	Rescission of purchase - continuous distribution	---	---	---	Relevant: s.80.01
	(2)	Sales charges	---	---	---	---
140.	(1)	Rescission of purchase - mutual fund security	s.137(1)	Relevant: s.139(1)	s.160(1)	s.145(1)
	(2)	Amount recoverable	s.137(1)	s.139(2)	s.160(1)	s.145(2)
	(3)	Sales charges	s.137(5)	s.139(4)	s.160(3)	s.145(6)
141.	(1)	Rescission of purchase - scholarship plan, etc.	---	---	---	---
	(2)	Amount recoverable	---	---	---	---
	(3)	Exception - sales charges	---	---	---	---
142.		Rescission of purchase - prescribed disclosure document	Relevant: s.71(2)	Relevant s.138.1	Relevant: s.88(2)	Relevant: s.79(3)
143.	(1)	Class proceeding	---	---	---	---
	(2)	Notice of date - application	---	---	---	---
	(3)	Notice of appeal - certification	---	---	---	---
144.	(1)	Notice of date - trial	---	---	---	---
	(2)	Notice of appeal - trial decision	---	---	---	---

PCMA Section		Ontario	British Columbia	New Brunswick	Saskatchewan
145.		Intervention by Chief Regulator	---	---	---
146.		Limitation period	s.138	s.140	s.161
147.		Definitions			
147.		"document"	s.138.1 "document"	s.140.1 "document"	s.161.1 "document"
147.		"expert"	s.138.1 "expert"	s.140.1 "expert"	s.161.1 "expert"
147.		"failure to make timely disclosure"	s.138.1 "failure to make timely disclosure"	s.140.1 "failure to make timely disclosure"	s.161.1 "failure to make timely disclosure"
147.		"influential person"	s.138.1 "influential person"	s.140.1 "influential person"	s.161.1 "influential person"
147.		"public oral statement"	s.138.1 "public oral statement"	s.140.1 "public oral statement"	s.161.1 "public oral statement"
147.		"release"	s.138.1 "release"	s.140.1 "release"	s.161.1 "release"
147.		"responsible issuer"	s.138.1 "responsible issuer"	s.140.1 "responsible issuer"	s.161.1 "responsible issuer"
147.		"responsible issuer's security"	s.138.1 "issuer's security"	s.140.1 "issuer's security"	s.161.1 "issuer's security"
148.		Non-application	s.138.2	s.140.2	s.161.11
149.		Documents released by responsible issuer	s.138.3(1)	s.140.3(1)	s.161.2(1)
150.		Public oral statements by responsible issuer	s.138.3(2)	s.140.3(2)	s.161.2(2)
151.		Influential persons	s.138.3(3)	s.140.3(3)	s.161.2(3)
152.		Failure to make timely disclosure	s.138.3(4)	s.140.3(4)	s.161.2(4)
153.		Multiple roles	s.138.3(5)	s.140.3(5)	s.161.2(5)
154.		Multiple misrepresentations	s.138.3(6)	s.140.3(6)	s.161.2(6)
155.		No implied or actual authority	s.138.3(7)	s.140.3(7)	s.161.2(7)
156.	(1)	Conditions for liability - certain misrepresentations	s.138.4(1)	s.140.4(1)	s.161.21(1)
	(2)	Exception - expert's liability and core documents	s.138.4(2)	s.140.4(2)	s.161.21(2)
	(3)	Definition of "management's discussion and analysis"	s.138.1 "management's discussion and analysis"	s.140.1 "management's discussion and analysis"	s.161.1 "management's discussion and analysis"
157.	(1)	Conditions for liability - failure to make timely disclosure	s.138.4(3)	s.140.4(3)	s.161.21(3)
	(2)	Exception	s.138.4(4)	s.140.4(4)	s.161.21(4)
158.	(1)	No liability for misrepresentation - reasonable investigation	s.138.4(6)(a)	Relevant: ss.140.4(6)(a)	s.161.21(6)(a)
	(2)	No liability for misrepresentation - forward-looking information	s.138.4(9)	s.140.4(9)	s.161.21(9)
	(3)	Elements - forward-looking information	s.138.4(9.1)	s.140.4(10)	s.161.21(10)
	(4)	Certain documents presumed readily available	s.138.4(9.2)	s.140.4(11)	s.161.21(11)
	(5)	Financial statements and initial public offerings	s.138.4(10)	s.140.4(12)	s.161.21(12)
	(6)	No liability - person other than expert	s.138.4(11)	s.140.4(13)	s.161.21(13)
	(7)	Exception	s.138.4(11)	s.140.4(13)	s.161.21(13)
	(8)	No liability - expert	s.138.4(12)	s.140.4(14)	s.161.21(14)
	(9)	No liability - unanticipated release	s.138.4(13)	s.140.4(15)	s.161.21(15)
	(10)	No liability - other circumstances	s.138.4(14)	s.140.4(16)	s.161.21(16)



PCMA Section			Ontario	British Columbia	New Brunswick	Saskatchewan
159.	(1)	No liability for failure to make timely disclosure - confidential filing	s.138.4(8)	s.140.4(8)	s.161.21(8)	s.136.2(8)
	(2)	No liability - reasonable investigation	s.138.4(6)(b)	s.140.4(6)(b)	s.161.21(6)(b)	s.136.2(6)(b)
160.		Circumstances to be considered	s.138.4(7)	s.140.4(7)	s.161.21(7)	s.136.2(7)
161.		No liability - plaintiff's knowledge	s.138.4(5)	s.140.4(5)	s.161.21(5)	s.136.2(5)
162.		No liability - immediate notice	s.138.4(15)	s.140.4(17)	s.161.21(17)	s.136.2(17)
163.	(1)	Assessment of damages - acquisition of securities	s.138.5(1)	s.140.5(1)	s.161.3(1)	s.136.21(1)
	(2)	Assessment - disposal of securities	s.138.5(2)	s.140.5(2)	s.161.3(2)	s.136.21(2)
	(3)	Exception	s.138.5(3)	s.140.5(3)	s.161.3(3)	s.136.21(3)
	(4)	Definitions				
	(4)	"principal market"	Relevant: s. 143(1)55.3	---	---	---
	(4)	"trading day"	s.138.1 "trading day"	s.138.1 "trading day"	---	s.136.01(m) "trading day"
164.	(1)	Proportionate liability	s.138.6(1)	s.140.6(1)	s.161.31(1)	s.136.3(1)
	(2)	Exception	s.138.6(2)	s.140.6(2)	s.161.31(2)	s.136.3(2)
	(3)	Joint and several liability	s.138.6(3)	s.140.6(3)	s.161.31(3)	s.136.3(3)
	(4)	Contribution	s.138.6(4)	s.140.6(4)	s.161.31(4)	s.136.3(4)
165.	(1)	Liability limit	s.138.7(1)	s.140.7(1)	s.161.4(1), (2)	s.136.31(1)
	(2)	Exception	s.138.7(2)	s.140.7(2)	s.161.4(3)	s.136.31(2)
	(3)	Definition of "compensation"	s.138.1 "compensation"	s.140.1 "compensation"	s.161.1 "compensation"	s.136.01(a) "compensation"
166.	(1)	Leave required	s.138.8(1)	s.140.8(1)	s.161.41(1)	s.136.4(1)
	(2)	Conditions for leave	s.138.8(1)	s.140.8(2)	s.161.41(1)	s.136.4(2)
	(3)	Affidavits	s.138.8(2)	Relevant: s.140.8(3)	s.161.41(2)	s.136.4(3)
	(4)	Examination permitted	s.138.8(3)	s.140.8(4)	---	s.136.4(4)
	(5)	Copies to Chief Regulator	s.138.8(4)	s.140.8(5)	s.161.41(2)	s.136.4(5)
	(6)	Notice of date	s.138.8(5)	---	---	Relevant: s.136.41(b) (Notice to Authority within 7 days)
	(7)	Notice of appeal	s.138.8(6)	---	---	---
167.	(1)	Notice	s.138.9(1)	s.140.9	s.161.5	s.136.41
	(2)	Notice of appeal	s.138.9(2)	---	---	---
168.	(1)	Restriction on discontinuation	s.138.10	s.140.91	s.161.51(1)	s.136.5(1)
	(2)	Consideration	s.138.10	s.140.91	s.161.51(2)	s.136.5(2)
169.		Intervention by Chief Regulator	s.138.12	s.140.92	s.161.7	s.136.6
170.		No derogation	s.138.13	s.140.93	s.161.8	s.136.7
171.	(1)	Limitation period	s.138.14(1), 138.14(2)	s.140.94	s.161.9(1)	Relevant: s.136(2)
	(2)	Same	---	---	s.169.9(2)	---

PCMA Section			Ontario	British Columbia	New Brunswick	Saskatchewan
172.	(1)	Power of Authority re: decisions	---	s.172	---	s.158(2.1)
	(2)	Power to revoke or vary decisions	s.144	s.171	---	s.158(3)
173.	(1)	Powers of Chief Regulator re decisions	---	s.172	---	s.158(2.1)
	(2)	Power to revoke or vary decisions	s.144	s.171	---	s.158(4)
174.	(1)	Powers of Tribunal re: decisions	---	s.172	---	s.158(2.1)
	(2)	Power to revoke or vary decisions	s.144	s.171	---	s.158(3)
175.	(1)	Limitation period	s.129.1	s.159	s.192	s.136
	(2)	Same	---	---	---	---
176.		Privative clauses				
	(1)	Decisions of Authority	---	s.167	---	---
	(2)	Decisions of Chief Regulator	---	s.165	---	---
	(3)	Decisions of Tribunal	---	s.167	---	---
	(4)	Decisions of certain others	---	s.166	---	---
177.		Admissibility in evidence of certified statements	s.139	s.168	s.196(1)	s.151
178.		Decisions, etc., in other participating provinces and territories				
	(1)	Authority	---	---	---	---
	(2)	Chief Regulator	---	---	---	---
	(3)	Tribunal	---	---	---	---
179.	(1)	Evidence to be taken in another jurisdiction	s.152(1)	ss.175(1), (3)	s.211(1)	s.16.1
	(2)	Practice and procedure	s.152(2)	s.175(10)	s.211(2)	s.16.1(10)
	(3)	Admissibility of evidence	s.152(3)	s.175(9)	s.211(3)	s.16.1(9)
180.		Evidence request from another jurisdiction	s.152(4)	s.176	s.211(4)	s.16.2
181.	(1)	Execution of warrant issued in another province	s.125(1)	s.156(1)	s.182(1)	s.132(1)
	(2)	Same	s.125(1)	s.156(2)	s.182(2)	s.132(2)
	(3)	Same	s.125(2)	s.156(3)	s.182(3)	s.132(3)
182.		Filing of records	s.140(1)	s.169	s.198(1)	s.156.1
183.		Linguistic versions of records	---	Relevant: s.182(2)	---	---
184.		Alternative format, method for filing, etc.	---	Relevant: s.182(2)	---	---
185.		Record as amended	---	s.181	---	---
186.		Duty to keep and provide records, etc.	Relevant: s.19(1), (3), s.32(1)(e), s.143(1)(paras 10, 49)	Relevant: ss.183(33), (34)	Relevant: s.162(1),(2), s.200(1)(para. m)	Relevant: s.20.2(1) and s.20.2(2), s.154(1)(f), s.154(1)(h) and s.154(1)(u.5)
187.		Duty to provide records to Authority	Relevant: s.19(3)	---	Relevant: s.162(1),(2)	Relevant: s.20.2(1) and s.20.2(2), s.154(1)(f), s.154(1)(h), s.154(1)(u.5)
188.	(1)	Immunity re disclosure to Authority	Relevant: s.141(2)	Relevant: s.170(2)	---	Relevant: s.153(2)

PCMA Section		Ontario	British Columbia	New Brunswick	Saskatchewan	
	(2)	Effect of disclosure	s.154	Relevant: s.172(2)	---	s.152.2
189.		Permission to disclose to Authority	---	---	---	---
190.		Collection of personal information	s.3.11	Relevant: s.169.1 and s.183(45.2)	---	Relevant: s.152.1(4)
191.		Public consultation of records	s.140	ss.169(3), (4)	s.198(3),(4),(6)	s.152(2)
192.		Public list of non-compliant persons	s.83	s.77	s.97	s.80.21 (reporting issuer-defaults)
193.	(1)	Duty of confidentiality	Relevant: s.16(2), 20.1(3), s.140(2), s.153	s.11	---	Relevant: s.152.1
	(2)	Disclosure	Relevant: s.17, s.153	Relevant: s.11, s.169.1(2)	Relevant: 199.1(3), (4)	Relevant: s.152.1
	(3)	Same	Relevant: s.17, s.153	Relevant: s.11	Relevant: 199.1(3), (4)	---
194.		Disclosure outside Canada	---	---	---	---
195.		Prohibition re: privileged information	---	---	---	---
196.		Disclosure of compelled evidence	s.17(1), (2), (2.1), (3), (6), (7) relevant: s.18	---	Relevant: s.173(4)	Relevant: s.15(4)
197.		Publication of notices, etc., by Authority	s.143.14	---	---	Relevant: s.9(3.4)(b), s.129 and s.134(4)(b)
198.	(1)	Methods for delivery of notices	---	s.180(1)	s.199(1)	s.156.01(1)
	(2)	Same	---	s.180(2)	s.199(1.1)	s.156.01(2)
	(3)	Personal delivery to the Chief Regulator	---	s.180(3)	s.199(2)	Relevant: s.152(1)
	(4)	Deemed receipt	---	s.180(4)	s.199(3)	s.156.01(3)
	(5)	Effect of returned mail	---	s.180(5)	s.199(4)	Relevant: s.158.2(b)
199.		Enforcement by court	s.151(1)	s.163	s.189(1)	s.151.2(3)
200.	(1)	Collection from third party	---	s.162.1(1)	---	---
	(2)	Duty to pay	---	s.162.1(2)	---	---
	(3)	Effect of payment	---	s.162.1(3)	---	---
	(4)	Effect of non-payment	---	s.162.1(4)	---	---
	(5)	Notice of demand	---	s.162.1(5)	---	---
201.		Immunity from proceedings for damages				
	(1)	Immunity of the Authority, Tribunal members	s.141(1)	s.170(1)	s.195.6	s.153(1)(a), s.153(1)(b), s.153(1)(c), relevant: s.147.6(3) et s.147.7(3)
	(2)	Immunity of recognized auditor oversight organizations	---	s.170	s.44.01	s.153(1)(b.1)
	(3)	Immunity of recognized self-regulatory organization	---	s.170	s.195.6	Relevant: s.147.6(3) and s.147.7(3)
202.	(1)	Regulations	s.143(1)	s.183, 184	s.200(1)	Relevant: s.154(1)
203.	(1)	Incorporation by reference	s.143(6)	s.183(32)	s.200(7)	Relevant: s.147.4(1)
	(2)	Public access	---	---	---	---
	(3)	No finding of guilt or administrative sanction	---	---	---	---
204.	(1)	Forms	---	s.182(1)	---	---
	(2)	Same	---	s.182(2)	---	---
	(3)	Publication	---	---	---	---

PCMA Section			Ontario	British Columbia	New Brunswick	Saskatchewan
205.	(1)	Notice of proposed regulation	s.143.2(1)	Rule Making Procedure Regulation, s.3(c)	NB Reg. 2010-127, s.3(a),(b)	---
	(2)	Content of notice	s.143.2(2)	Rule Making Procedure Regulation, ss.3(a), (b)	NB Reg. 2010-127, s.3(a),(b)	---
	(3)	Same	s.143.2(4)	Rule Making Procedure Regulation, s.3(c)	NB Reg. 2010-127, s.3(a),(b)	---
	(4)	Exception to publication	s.143.2(5)	Rule Making Procedure Regulation, s.6	NB Reg. 2010-127, s.4	---
	(5)	Changes to proposal	ss.143.2(7), (8)	Rule Making Procedure Regulation, s.4	NB Reg. 2010-127, s.5	---
	(6)	Comments regarding changes	s.143.2(9)	Rule Making Procedure Regulation, s.4	NB Reg. 2010-127, s.5	---
206.	(1)	Submission of regulations to Council of Ministers	s.143.3(1)	Relevant: Rule Making Procedure Regulation, s.5	---	---
	(2)	Submission after comment period	s.143.2(10)	Relevant: Rule Making Procedure Regulation, s.5	---	---
	(3)	Publication	s.143.3(2)	Relevant: Rule Making Procedure Regulation, s.7	---	---
	(4)	Approval	Relevant: s.143.3(3), s.143.4(2)	Relevant: Rule Making Procedure Regulation, s.5	---	---
207.	(1)	Submission of expedited regulations to Council of Ministers	Relevant: s.143.2(5), s.143.3(1)	Relevant: Rule Making Procedure Regulation, s.6	---	---
	(2)	Approval	Relevant: s.143.3(3), s.143.4(2)	Relevant: Rule Making Procedure Regulation, s.5	---	---
208.		Returned for consideration	s.143.5(1)	---	---	---
209.	(1)	Coming into force of regulations	Relevant: s.143.4(1), (2)	---	---	---
	(2)	Publication of order	Relevant: s.143.4(7)	Relevant: Rule Making Procedure Regulation, s.7(2)	---	---
210.	(1)	Automatic revocation of certain regulations	Relevant: s.143.4(6)	---	---	---
	(2)	Extension	---	---	---	---
	(3)	Exception	---	---	---	---
	(4)	Publication of statement	---	Relevant: Rule Making Procedure Regulation, s.7(2)	---	---
211.	(1)	Request by Council of Ministers	s.143.7(1)	---	s.202	---
	(2)	Report	---	---	---	---
212.	(1)	Guidance from Chief Regulator	Relevant: s.143.8	s.188	s.203	s.154.1
	(2)	Policy statements	Relevant: s.143.8(2), (3), (5)	---	---	s.154.1
213.		Public access to regulations, etc.	Relevant: s.143.8(3), (4)	---	Relevant: s.201(2)	---
214.		Proof of the regulations	---	---	---	---
215.		No finding of guilt or administrative sanction	---	Relevant: Rule Making Procedure Regulation, s.7(3)	---	---