

March 1, 2001

S 275. CANADIAN DEALERS/SALESMEN REGISTRATION. TO PROVIDE A LIMITED REGISTRATION PROCEDURE FOR CANADIAN SECURITIES DEALERS AND SALESMEN.

Adds a new section to GS Ch. 78A, Art. 5, providing criteria for registration by Canadian dealers and salesmen who will be representing registered Canadian dealers. Allows certain registered Canadian dealers to effect transactions in securities with or for, or induce or attempt to induce the purchase or sale of securities, by Canadians who either are temporarily residing in NC or are residents of NC. Allows registered salesmen to effect transactions permitted for registered Canadian dealers.

Intro. by Hartsell.

Ref. to Judiciary I	GS 78A
---------------------	--------

March 29, 2001

S 275. CANADIAN DEALERS/SALESMEN REGISTRATION. Intro. 3/1/01. Senate committee substitute makes the following changes to 1st edition. Requires that the dealer be a member of a self-regulatory organization, the Bureau des services financiers, or a stock exchange in Canada (adding the underlined alternative). Changes from December 1 to December 31 the date by which renewal applications must be filed. Makes other technical changes.

June 19, 2001

SL 2001-225 (S 275). CANADIAN DEALERS/SALESMEN REGISTRATION. AN ACT TO PROVIDE A LIMITED REGISTRATION PROCEDURE FOR CANADIAN SECURITIES DEALERS AND SALESMEN. Summarized in *Daily Bulletin* 3/1/01 and 3/29/01. Enacted June 15, 2001. Effective June 15, 2001.