

CSA Staff Notice 11-337

Notice of Local Amendments and Changes in Alberta, Manitoba and New Brunswick

December 7, 2017

From time to time, a local jurisdiction may amend a national or multilateral regulation or change a policy statement that affects activity only in that jurisdiction. The CSA recognize that such a local amendment or change may nonetheless be of interest or importance beyond the local jurisdiction and CSA staff are issuing this Notice to identify amendments and changes implemented in Alberta, Manitoba and New Brunswick. For public convenience, CSA members in other jurisdictions will update the text of the applicable material on their websites to reflect these local amendments and changes.

The local amendments and changes referred to in this notice comprise those shown in Annexes A to D of this notice. These local amendments are to the following instruments:

- *Regulation 11-102 respecting Passport System* (Alberta, Manitoba and New Brunswick);
- *Policy Statement 11-207 respecting Failure-to-File Cease Trade Orders and Revocations in Multiple Jurisdictions* (Manitoba and New Brunswick);
- *Regulation 13-101 respecting the System for Electronic Document Analysis and Retrieval (SEDAR)* (Alberta, Manitoba and New Brunswick); and
- *Regulation 14-101 respecting Definitions* (New Brunswick).

The text of rule and policy consolidations on the websites of CSA members will be updated, as necessary, to reflect these local amendments and changes. You may direct questions regarding this Notice to:

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ANNEX A

Local Amendments to *Regulation 11-102 respecting Passport System* in Alberta, Manitoba and New Brunswick

1. *Regulation 11-102 respecting Passport System is amended by this Regulation.*
2. *Appendix D is amended by replacing the following row:*

<i>Provision</i>	<i>British Columbia</i>	<i>Alberta</i>	<i>Saskatchewan</i>	<i>Manitoba</i>	<i>Quebec</i>	<i>Nova Scotia</i>	<i>New Brunswick</i>	<i>Prince Edward Island</i>	<i>Newfoundland and Labrador</i>	<i>Yukon</i>	<i>Northwest Territories</i>	<i>Nunavut</i>	<i>Ontario</i>
<i>Protection of minority security holders in special transactions</i>		<i>n/a</i>			<i>Regulation 61-101</i>		<i>n/a</i>						<i>Regulation 61-101</i>

with the following:

<i>Provision</i>	<i>British Columbia</i>	<i>Alberta</i>	<i>Saskatchewan</i>	<i>Manitoba</i>	<i>Quebec</i>	<i>Nova Scotia</i>	<i>New Brunswick</i>	<i>Prince Edward Island</i>	<i>Newfoundland and Labrador</i>	<i>Yukon</i>	<i>Northwest Territories</i>	<i>Nunavut</i>	<i>Ontario</i>
<i>Protection of minority security holders in special transactions</i>	<i>n/a</i>	<i>Regulation 61-101</i>	<i>n/a</i>	<i>Regulation 61-101</i>		<i>n/a</i>	<i>Regulation 61-101</i>		<i>n/a</i>				<i>Regulation 61-101</i>

These amendments became effective in Alberta, Manitoba and New Brunswick on July 31, 2017.

ANNEX B

Local Changes to *Policy Statement 11-207 respecting Failure-to-File Cease Trade Orders and Revocations in Multiple Jurisdictions* in Manitoba and New Brunswick

Annex C to Policy Statement 11-207 respecting Failure-to-File Cease Trade Orders and Revocations in Multiple Jurisdictions is changed by adding the following under the headings “Jurisdiction” and “Legislative reference”:

Manitoba	Subsections 148.4(3) to (8)
New Brunswick	Section 184.1

The Manitoba change became effective on June 2, 2017 and the New Brunswick change became effective on June 28, 2016.

ANNEX C

Local Amendments to Regulation 13-101 respecting the System for Electronic Document Analysis and Retrieval (SEDAR) in Alberta, Manitoba and New Brunswick

- 1. Regulation 13-101 respecting the System for Electronic Document Analysis and Retrieval (SEDAR) is amended by this Regulation.**
- 2. Appendix A – Mandated Electronic Filings, section II Other Issuers (Reporting/Non-reporting), under C. Securities Acquisitions is amended by replacing item 3. with the following:**
 3. Issuer Bid Reports Alta, Man, Ont, Que & NB.
- 3. Appendix A – Mandated Electronic Filings, section II Other Issuers (Reporting/Non-reporting), under D. Going Private and Related Party Transactions is amended by replacing items 1. and 2. with the following:**
 1. Going Private Transaction Filings Alta, Man, Ont, Que & NB
 2. Related Party Transaction Filings Alta, Man, Ont, Que & NB.
- 4. Appendix A – Mandated Electronic Filings, section III Third Party Filers is amended by replacing item 5. with the following:**
 5. Take-over Bid Reports Alta, Man, Ont, Que & NB.

These amendments became effective in Alberta, Manitoba and New Brunswick on July 31, 2017.

ANNEX D

**Local Amendment to *Regulation 14-101 respecting Definitions*
in New Brunswick**

Appendix C of Regulation 14-101 respecting Definitions is amended by replacing “New Brunswick Securities Commission” with “Financial and Consumer Services Commission”.

This amendment became effective on February 1, 2017.