

chapter V-1.1, r. 2.3

REGULATION 13-103 RESPECTING SYSTEM FOR ELECTRONIC DATA ANALYSIS AND RETRIEVAL + (SEDAR+)

Securities Act

(chapter V-1.1, s. 331.1, par. (1), (2), (3), (4.1), (8), (11) and (34))

Derivatives Act

(chapter I-14.01, s. 175, 1st par., subpar. (27))

Definitions

1. (1) In this Regulation:

“deliver” includes deposit, furnish, provide, send or submit;

“document” includes information and material that is required or permitted to be filed with or delivered to a regulator, except in Québec, or securities regulatory authority;

“profile” means a set of information providing a profile of a person;

“SEDAR+” means the system for the transmission of documents known as the System for Electronic Data Analysis and Retrieval +.

(2) In this Regulation, a reference to a document that is permitted to be filed includes an application for a decision of the regulator, except in Québec, or securities regulatory authority.

M.O. 2023-10, s. 1.

Transmission of documents through SEDAR+

2. Subject to section 3, if a person is required or permitted, under securities legislation or under a decision of the regulator, except in Québec, or securities regulatory authority, to file a document with, or deliver a document to, the regulator, except in Québec, or securities regulatory authority, the person must file or deliver the document by transmitting it through SEDAR+.

M.O. 2023-10, s. 2.

Transmission of documents outside of SEDAR+

3. Unless a decision made under securities legislation provides for filing or delivery through SEDAR+, a person must not file or deliver the following through SEDAR+:

(a) a document required or permitted to be filed with or delivered to the regulator, except in Québec, or securities regulatory authority in connection with a hearing, compliance review, proceeding or investigation;

(b) a letter required to be delivered under subsection 4.11(8) or (9) of Regulation 51-102 respecting Continuous Disclosure Obligations (chapter V-1.1, r. 24);

(c) a Form 51-102F3 filed on a confidential basis under subsection 7.1(2) of Regulation 51-102 respecting Continuous Disclosure Obligations, subsection 11.2(2) of Regulation 81-106 respecting Investment Fund Continuous Disclosure (chapter V-1.1, r. 42) or, in Ontario, subsection 75(3) of the Ontario Securities Act (R.S.O. 1990, c. S.5);

(d) a notice under subsection 7.1(5) of Regulation 51-102 respecting Continuous Disclosure Obligations, subsection 11.2(4) of Regulation 81-106 respecting Investment Fund Continuous Disclosure or, in Ontario, subsection 75(4) of the Ontario Securities Act;

(e) a notice under subsection 13.2(2) of Regulation 51-102 respecting Continuous Disclosure Obligations;

(f) a notice under subsection 5(1) or 6(1) of Regulation 52-108 respecting Auditor Oversight (chapter V-1.1, r. 26.1);

(g) a Form 62-104F1 filed by an offeror in respect of a take-over bid to acquire securities of an issuer that is not a reporting issuer and that has not filed a profile under subsection 4(1);

(h) a notice under subsection 18.6(2) of Regulation 81-106 respecting Investment Fund Continuous Disclosure;

(i) a document that a person is required or permitted to file or deliver pursuant to a provision of, or a decision of the regulator, except in Québec, or securities regulatory authority issued in respect of, securities legislation listed in Column A of the Appendix, other than the exceptions listed in Column B of the Appendix.

M.O. 2023-10, s. 3.

Profile requirements

4. (1) Before a person transmits a document through SEDAR+ for the first time, the person must file a profile by transmitting it through SEDAR+.

(2) If information contained in a profile becomes inaccurate, the person must file an updated profile with the accurate information by transmitting it through SEDAR+ at the earlier of

(a) the next time the person transmits a document through SEDAR+ after the date on which the person knew or reasonably should have known that the information contained in the profile is inaccurate, and

(b) ten days after the date on which the person knew or reasonably should have known that the information contained in the profile is inaccurate.

M.O. 2023-10, s. 4.

Payment of fees

5. (1) At the time that a person transmits a document through SEDAR+, a person must pay through SEDAR+:

(a) the prescribed fee for that document, other than a fee prescribed under Regulation 13-102 respecting System Fees (chapter V-1.1, r. 2.1) or, in Manitoba, an equivalent regulation, to the regulator, except in Québec, or securities regulatory authority, and

(b) the fee for that document prescribed under Regulation 13-102 respecting System Fees or, in Manitoba, an equivalent regulation, to the person's principal regulator if the principal regulator is the securities regulatory authority in the local jurisdiction.

(2) For the purposes of subsection (1), if the person is transmitting through SEDAR+ a document to which Regulation 11-102 respecting Passport System (chapter V-1.1, r. 1) applies, "principal regulator" has the meaning set out in Part 3, 4, 4A, 4B or 4C of Regulation 11-102 respecting Passport System, as applicable.

(3) For the purposes of subsection (1), if the person is transmitting through SEDAR+ a document to which Regulation 11-102 respecting Passport System does not apply, the principal regulator is the regulator, except in Québec, or securities regulatory authority that would be the principal regulator if Part 3 of Regulation 11-102 respecting Passport System applied.

(4) Despite subsection (3), if the person is transmitting through SEDAR+ a Form 45-106F1, and the person does not have a head office in Canada or is an investment fund with an investment fund manager that does not have a head office in Canada, the principal regulator is the regulator, except in Québec, or securities regulatory authority of the jurisdiction with which the person has the most significant connection.

M.O. 2023-10, s. 5.

Temporary hardship exemption

6. (1) If technical difficulties prevent a person from transmitting a document through SEDAR+ within the time required or permitted under securities legislation, the person may file the document with or deliver the document to the regulator, except in Québec, or securities regulatory authority outside of SEDAR+ no later than two business days after the date on or by which the person was required or permitted to file the

document with, or deliver the document to, the regulator, except in Québec, or securities regulatory authority.

(2) A person must include the following legend in capital letters at the top of the first page of a document filed or delivered outside of SEDAR+ in reliance on subsection (1):

“IN ACCORDANCE WITH SECTION 6 OF REGULATION 13-103 RESPECTING SYSTEM FOR ELECTRONIC DATA ANALYSIS AND RETRIEVAL + (SEDAR+), THIS [SPECIFY DOCUMENT] IS BEING FILED OR DELIVERED OUTSIDE OF SEDAR+ UNDER A TEMPORARY HARDSHIP EXEMPTION.”.

(3) If a person files or delivers a document to the regulator, except in Québec, or securities regulatory authority in the manner and within the time prescribed by this section, the person is exempt from the requirement to file or deliver the document by the date prescribed in securities legislation.

(4) If a person files or delivers a document to the regulator, except in Québec, or securities regulatory authority outside of SEDAR+ in reliance on this section, the person must transmit the document to the regulator, except in Québec, or securities regulatory authority through SEDAR+ as soon as practicable and in any event within three business days of the date on which the technical difficulties have been resolved, and must include the following legend in capital letters at the top of the first page of the document:

“THIS DOCUMENT IS A COPY OF [SPECIFY DOCUMENT] FILED WITH OR DELIVERED TO [LIST ALL SECURITIES REGULATORY AUTHORITIES OR REGULATORS WITH WHOM THE DOCUMENT WAS FILED OR TO WHOM IT WAS DELIVERED] ON [DATE] UNDER A TEMPORARY HARDSHIP EXEMPTION UNDER SECTION 6 OF REGULATION 13-103 RESPECTING SYSTEM FOR ELECTRONIC DATA ANALYSIS AND RETRIEVAL + (SEDAR+).”.

M.O. 2023-10, s. 6.

Decisions

7. (1) Despite paragraph 3(i), if a decision made under securities legislation requires a person to file a document with, or deliver a document to, the securities regulatory authority or regulator through the System for Electronic Document Analysis and Retrieval (SEDAR), the person must file or deliver the document by transmitting it through SEDAR+.

(2) In British Columbia, subsection (1) does not apply.

M.O. 2023-10, s. 7.

Exemptions

8. (1) The regulator, except in Québec, or securities regulatory authority may grant an exemption from this Regulation, in whole or in part, subject to such conditions or restrictions as may be imposed in the exemption.

(2) Despite subsection (1), in Ontario only the regulator may grant an exemption from this Regulation.

(3) Except in Alberta and Ontario, an exemption referred to in subsection (1) is granted under the statute referred to in Appendix B of Regulation 14-101 respecting Definitions (chapter V-1.1, r. 3) opposite the name of the local jurisdiction.

M.O. 2023-10, s. 8.

Repeal of former regulation

9. Regulation 13-101 respecting System for Electronic Document Analysis and Retrieval (SEDAR) (chapter V-1.1, r. 2) is repealed.

M.O. 2023-10, s. 9.

Effective date

10. This Regulation comes into force on 9 June 2023.

M.O. 2023-10, s. 10.

APPENDIX

Securities legislation pursuant to which documents must not be transmitted through SEDAR+ (Paragraph 3(i))

Column A	Column B
Regulations pursuant to which documents must not be filed or delivered through SEDAR+	Exceptions to Column A: Filers who must file or deliver the document through SEDAR+
Part 4A Registration and Part 4B Application to Become a Designated Rating Organization of Regulation 11-102 respecting Passport System (chapter V-1.1, r. 1)	N/A
Regulation 21-101 respecting Marketplace Operation (chapter V-1.1, r. 5)	N/A
Regulation 23-101 respecting Trading Rules (chapter V-1.1, r. 6)	N/A
Regulation 23-102 respecting Use of Client Brokerage Commissions (chapter V-1.1, r. 7)	N/A
Regulation 23-103 respecting Electronic Trading and Direct Electronic Access to Marketplace (chapter V-1.1, r. 7.1)	N/A
Regulation 24-101 respecting Institutional Trade Matching and Settlement (chapter V-1.1, r. 8)	N/A
Regulation 24-102 respecting Clearing Agency Requirements (chapter V-1.1, r. 8.01)	N/A
Regulation 25-101 respecting Designated Rating Organizations (chapter V-1.1, r. 8.1)	N/A
Regulation 31-102 respecting National Registration Database (chapter V-1.1, r. 9)	N/A
Regulation 31-103 respecting Registration Requirements, Exemptions and Ongoing Registrant Obligations (chapter V-1.1, r. 10)	N/A
Regulation 32-102 respecting Registration Exemptions for Non-Resident Investment Fund Managers (chapter V-1.1, r. 10.1)	N/A

Column A	Column B
Regulations pursuant to which documents must not be filed or delivered through SEDAR+	Exceptions to Column A: Filers who must file or deliver the document through SEDAR+
Regulation 33-105 respecting Underwriting Conflicts (chapter V-1.1, r. 11)	N/A
Regulation 33-109 respecting Registration Information (chapter V-1.1, r. 12)	N/A
National Instrument 35-101: Conditional Exemption From Registration For United States Broker-Dealers and Agents (chapter V-1.1, r. 13)	N/A
Regulation 45-108 respecting Crowdfunding (chapter V-1.1, r. 21.02)	An issuer filing or delivering a document under section 15, section 16 or section 17 An issuer filing an application for an exemption under section 44
Regulation 45-110 respecting Start-Up Crowdfunding Registration and Prospectus Exemptions (chapter V-1.1, r. 21.03)	An issuer filing a document under section 6 An issuer filing an application for an exemption under section 7
Regulation 52-107 respecting Acceptable Accounting Principles and Auditing Standards (chapter V-1.1, r. 25)	An issuer filing an application for an exemption under subsection 5.1(1)
National Instrument 55-102, System for Electronic Disclosure by Insiders (SEDI) (chapter V-1.1, r. 30)	An issuer filing an application for an exemption under subsection 6.1(1)
Regulation 55-104 respecting Insider Reporting Requirements and Exemptions (chapter V-1.1, r. 31)	An issuer filing an application for an exemption under subsection 10.1(1)
Multilateral Instrument 91-101 Derivatives: Product Determination	N/A
Regulation 91-102 respecting Prohibition of Binary Options (chapter I-14.01, r. 1.01)	N/A
Regulation 91-506 respecting Derivatives Determination (chapter I-14.01, r. 0.1)	N/A

Column A	Column B
Regulations pursuant to which documents must not be filed or delivered through SEDAR+	Exceptions to Column A: Filers who must file or deliver the document through SEDAR+
Regulation 91-507 respecting Trade Repositories and Derivatives Data Reporting (chapter I-14.01, r. 1.1)	N/A
Regulation 94-101 respecting Mandatory Central Counterparty Clearing of Derivatives (chapter I-14.01, r. 0.01)	N/A
Regulation 94-102 respecting Derivatives: Customer Clearing and Protection of Customer Collateral and Positions (chapter I-14.01, r. 0.001)	N/A
Multilateral Instrument 96-101 Trade Repositories and Derivatives Data Reporting	N/A

Column A	Column B
British Columbia securities legislation pursuant to which documents must not be filed or delivered through SEDAR+	Exceptions to Column A: Filers who must file or deliver the document through SEDAR+
Exemption orders (Part 1) – section 3.1 of the Securities Act (R.S.B.C. 1996, c 418)	An issuer filing an application for an order under section 3.1 An issuer required or permitted to file or deliver a document pursuant to an exemption order
Designations (Part 1) – section 3.2 of the Securities Act	A person filing an application under paragraph 3.2(1)(b) for an order that a person or a person within a class of persons is a mutual fund, a non-redeemable investment fund or a reporting issuer An issuer required or permitted to file or deliver a document pursuant to a designation order
Benchmark Administrators, Clearing Agencies, Exchanges, Information Processors, Quotation and Trade Reporting Systems, Self-Regulatory Bodies and Trade Repositories (Part 4) – sections 23-33 of the Securities Act	N/A
Registration (Part 5) – sections 34-41 of the Securities Act	N/A
Exemption order by commission or executive director (Part 6) – section 48 of the Securities Act	A person filing an application for an exemption from the prospectus requirement
Trading in Derivatives (Part 8) – sections 58 – 60 of the Securities Act	N/A
Initial and subsequent insider report – section 87 of the Securities Act	N/A
Exemption order by commission or executive director (Part 12) – section 91 of the Securities Act	An issuer filing an application under section 91 for an exemption order other than an application for an exemption from the insider reporting requirement An issuer required or permitted to file or deliver a document pursuant to an exemption order

Column A	Column B
British Columbia securities legislation pursuant to which documents must not be filed or delivered through SEDAR+	Exceptions to Column A: Filers who must file or deliver the document through SEDAR+
Filing and inspection of records (Part 20) – section 169 of the Securities Act	An issuer filing an application under section 169
Discretion to revoke or vary decision (Part 20) – section 171 of the Securities Act	An issuer filing an application under section 171 An issuer required or permitted to file or deliver a document pursuant to an order
Administrative powers respecting commission rules (Part 20) – section 187 of the Securities Act	An issuer filing an application under section 187 An issuer required or permitted to file or deliver a document pursuant to an order

Column A	Column B
Alberta securities legislation pursuant to which documents must not be filed or delivered through SEDAR+	Exceptions to Column A: Filers who must file or deliver the document through SEDAR+
Form 4 Report by a Registered Owner of Securities Beneficially Owned by an Insider Under Section 183 of the Securities Act – section 17 of Alberta Securities Commission Rules (General)	N/A
Designation orders – section 10 of the Securities Act (RSA 2000, c. S-4)	An issuer filing an application under section 10
Regulation, Recognition and Designation of Entities and Benchmarks – Part 4 of the Securities Act	N/A
Surrender of registration – section 78 of the Securities Act	N/A
Further Information – section 82 of the Securities Act	N/A
Trading in Securities and Derivatives Generally – Part 7 of the Securities Act	N/A
Discretionary exemptions – section 144 of the Securities Act	A person or company filing an application for relief from the prospectus requirement
Applications to the Commission – section 179 of the Securities Act	An issuer filing an application under section 179
General Exemption – section 213 of the Securities Act	An issuer filing an application under section 213, other than a registrant An issuer transmitting a document pursuant to a blanket order
Revoke or vary decisions – section 214 of the Securities Act	An issuer filing an application under section 214
Filing and confidentiality – section 221 of the Securities Act	An issuer filing an application under section 221
Alberta Securities Commission Rule 13-501 Fees	An issuer filing any of the following: <ul style="list-style-type: none"> • an application under section 3

Column A	Column B
Alberta securities legislation pursuant to which documents must not be filed or delivered through SEDAR+	Exceptions to Column A: Filers who must file or deliver the document through SEDAR+
	<ul style="list-style-type: none"> • Form 13-501F1 Class 1 Reporting Issuers and Class 3B Reporting Issuers – Participation Fee • Form 13-501F2 Class 2 Reporting Issuers – Participation Fee • Form 13-501F3 Adjustment of Fee Payment for Class 2 Reporting Issuer • Form 13-501F4 Class 3A Reporting Issuers – Participation Fee • Form 13-501F5 <i>Investment Fund – Participation Fee</i> • Form 13-501F6 Subsidiary Exemption Notice
Alberta Securities Commission Rule 91-504 Strip Bonds	A person or company filing an application for exemption under section 4.1, other than a person or company that is a registrant, or would be a registrant but for reliance on the rule
Compensation fund or contingency trust fund – section 6 of Alberta Securities Commission Rules (General)	N/A
Trading in Securities and Derivatives Generally – Part 4 of Alberta Securities Commission Rules (General)	N/A

Column A	Column B
Saskatchewan securities legislation pursuant to which documents must not be filed or delivered through SEDAR+	Exceptions to Column A: Filers who must file or deliver the document through SEDAR+
Designation – section 11.1 of The Securities Act, 1988 (SS 1988-89, c S-42.2)	An issuer filing an application for an order pursuant to section 11.1
Recognition of Entities (Part V) – sections 21-25 of The Securities Act, 1988	N/A
Designation of Entities (Part V.1) of The Securities Act, 1988	N/A
Voluntary surrender of registration – section 29 of The Securities Act, 1988	N/A
Trading in Securities and Derivatives (Part IX) of The Securities Act, 1988	N/A
Saskatchewan General Ruling/Order 91-906 Strip Bonds	A person or company other than a registrant filing an application pursuant to Saskatchewan General Ruling/Order 91-906 Strip Bonds
Order relieving reporting issuer of status as reporting issuer, section 92 of The Securities Act, 1988	An issuer filing an application for an order pursuant to section 92
Applications to the Commission-section 101 of The Securities Act, 1988	N/A
Part XVIII-Enforcement-section 135.6 of The Securities Act, 1988	N/A
Order re exemption or declaration-section 83 of The Securities Act, 1988	An issuer filing an application pursuant to section 83

Column A	Column B
Saskatchewan securities legislation pursuant to which documents must not be filed or delivered through SEDAR+	Exceptions to Column A: Filers who must file or deliver the document through SEDAR+
Filing in other Jurisdictions- section 130 of The Securities Act, 1988	An issuer filing an application pursuant to section 130
Filing and Inspection of material-section 152 (1) of The Securities Act, 1988	An issuer filing an application pursuant to section 152
Revoke or vary decisions-section 158(3) of The Securities Act, 1988	An issuer filing an application pursuant to section 158(3)
General Exemption-section 160 of The Securities Act, 1988	An issuer filing an application pursuant to section 160

Column A	Column B
Manitoba securities legislation pursuant to which documents must not be filed or delivered through SEDAR+	Exceptions to Column A: Filers who must file or deliver the document through SEDAR+
Exemption by commission – section 20 of the Securities Act (C.C.S.M. c.S50)	An issuer filing an application under section 20
Blanket Order – section 20 of the Securities Act	A person or company required or permitted to file or deliver a document through SEDAR pursuant to the blanket order. An issuer required or permitted to file or deliver a document pursuant to the blanket order.
Self-regulatory organizations (Part IV.1) – sections 31.1, 31.3 and 31.4 of the Securities Act	N/A
Trade repositories and clearing agencies (Part IV.2) – sections 31.6, 31.11 and 31.12 of the Securities Act	N/A
Trading in derivatives (Part VIII.1) – section 79.1 of the Securities Act	N/A
Designating a person or company as an insider – section 108.1 of the Securities Act	A person or company filing an application for an order that an issuer or class of issuers is, or is not, a mutual fund or a non-redeemable investment fund
Exemption and extension orders section 116 of the Securities Act	An issuer filing an application under section 116
Audit oversight bodies (Part XX) – sections 204 and 206 of the Securities Act	N/A

Column A	Column B
Ontario securities legislation pursuant to which documents must not be filed or delivered through SEDAR+	Exceptions to Column A: Filers who must file or deliver the document through SEDAR+
Relieving orders – subsection 1(10) of the Securities Act (R.S.O. 1990, c. S.5)	An issuer filing an application for an order under subsection 1(10)
Designation – subsection 1(11) of the Securities Act	An issuer filing an application for an order under subsection 1(11)
Exchanges, alternative trading systems, self-regulatory organizations, clearing agencies, quotation and trade reporting systems, information processors – Part VIII of the Securities Act	N/A
Credit rating organizations – Part IX of the Securities Act	N/A
Benchmarks – Part X of the Securities Act	N/A
Registration – Part XI of the Securities Act	N/A
Disclosure of trade information to the Commission – subsection 36(2) of the Securities Act	N/A
Exemption order – subsection 74(1) of the Securities Act	A person or company filing an application for relief from the prospectus requirement An issuer required or permitted to file or deliver a document pursuant to an exemption order
Insider reporting – section 107 of the Securities Act	N/A
Report of transfer by insider – section 109 of the Securities Act	N/A
Filing in other jurisdictions – section 121 of the Securities Act	An issuer filing an application under section 121
Filing and inspection of material – section 140 of the Securities Act	An issuer filing an application under section 140

Column A	Column B
Ontario securities legislation pursuant to which documents must not be filed or delivered through SEDAR+	Exceptions to Column A: Filers who must file or deliver the document through SEDAR+
Class order exemption – subsection 143.11(2) of the Securities Act	A person or company required or permitted to file or deliver a document through SEDAR pursuant to a class order An issuer required or permitted to file or deliver a document pursuant to a class order
Revocation or variation of decision – section 144 of the Securities Act	An issuer filing an application under section 144
Exemption – section 147 of the Securities Act	An issuer filing an application under section 147
Ontario Securities Commission Rule 11-501 Electronic Delivery of Documents to the Ontario Securities Commission	N/A
Ontario Securities Commission Rule 13-502 Fees	An issuer filing any of the following: <ul style="list-style-type: none"> • Form 13-502F1 Class 1 and Class 3B Reporting Issuers – Participation Fee • Form 13-502F2 Class 2 Reporting Issuers – Participation Fee • Form 13-502F2A Adjustment of Fee for Class 2 Reporting Issuers • Form 13-502F3A Class 3A Reporting Issuers – Participation Fee • Form 13-502F6 Subsidiary Exemption Notice • an application under section 8.1
Ontario Securities Commission Rule 31-505 Conditions of Registration	N/A
Ontario Securities Commission Rule 32-501 Direct Purchase Plans	N/A
Ontario Securities Commission Rule 32-505 Conditional Exemption from Registration for United States Broker-Dealers and Advisers Servicing U.S. Clients from Ontario	N/A

Column A	Column B
Ontario securities legislation pursuant to which documents must not be filed or delivered through SEDAR+	Exceptions to Column A: Filers who must file or deliver the document through SEDAR+
Ontario Securities Commission Rule 35-502 Non-Resident Advisers	An issuer filing an application under Ontario Securities Commission Rule 35-502
Ontario Securities Commission Rule 91-501 Strip Bonds	A person or company other than a registrant filing an application under Ontario Securities Commission Rule 91-501
Ontario Securities Commission Rule 91-502 Trades in Recognized Options	N/A
Ontario Securities Commission Rule 91-507 Trade Repositories and Derivatives Data Reporting	N/A

Column A	Column B
Québec securities legislation pursuant to which documents must not be filed or delivered through SEDAR+	Exceptions to Column A: Filers who must file or deliver the document through SEDAR+
Insider reports – sections 89 to 98 of the Securities Act (chapter V-1.1)	N/A
Surrender of registration – section 153 of the Securities Act	N/A
Self-Regulatory Organizations, Securities Exchange or Clearing Activities, Credit rating Organization, Benchmarks and Benchmark Administrators – sections 169 to 186.6 of the Securities Act	N/A
Exemption order by the Autorité des marchés financiers – section 263 of the Securities Act	<p>An issuer filing an application for an exemption</p> <p>A person filing an application for an exemption from the prospectus requirement</p> <p>An issuer required or permitted to file or deliver a document pursuant to an exemption order</p>
Blanket order by Autorité des marchés financiers – section 263 of the Securities Act	An issuer required or permitted to file or deliver a document pursuant to a blanket order
Designation – section 272.2 of the Securities Act	<p>A person filing an application to be designated a non-redeemable investment fund, a mutual fund or a reporting issuer</p> <p>An issuer required or permitted to file or deliver a document pursuant to a designation order</p>
Derivatives Act (chapter I-14.01)	N/A
An Act Respecting the Regulation of the Financial Sector (chapter E-6.1)	N/A

Column A	Column B
New Brunswick securities legislation pursuant to which documents must not be filed or delivered through SEDAR+	Exceptions to Column A: Filers who must file or deliver the document through SEDAR+
Designations – section 1.1(1) of the Securities Act (SNB 2004, c S-5.5.)	An issuer filing an application for an order under section 1.1(1) An issuer required or permitted to file or deliver a document pursuant to a designation order
Self-Regulated Organizations and other regulated entities – sections 35-39 of the Securities Act	N/A
Exemption orders – section 44.02(1) of the Securities Act	N/A
Further information – section 50 of the Securities Act	N/A
Surrender of registration– section 51(1) of the Securities Act	N/A
Exemption order – section 55(1) of the Securities Act	A person filing an application that also includes relief from the prospectus requirement
Derivatives – section 70.5(1) of the Securities Act	N/A
Prospectus and distribution – section 80(1) of the Securities Act	A person required or permitted to file or deliver a document through SEDAR pursuant to an exemption order An issuer required or permitted to file or deliver a document pursuant to an exemption order.
Continuous Disclosure – section 92(1) of the Securities Act	An issuer filing an application under section 92 for an exemption from the insider reporting requirement An issuer required or permitted to file or deliver a document pursuant to an exemption order

Column A	Column B
New Brunswick securities legislation pursuant to which documents must not be filed or delivered through SEDAR+	Exceptions to Column A: Filers who must file or deliver the document through SEDAR+
Insider trading and self-dealing – section 148(1) of the Securities Act	<p>A person required or permitted to file or deliver a document through SEDAR pursuant to an exemption order</p> <p>An issuer required or permitted to file or deliver a document pursuant to an exemption order</p>
Filing and inspection of material – section 198 of the Securities Act	An issuer filing an application under section 198
Powers to revoke or vary decision – section 205.1(1) of the Securities Act	<p>An issuer filing an application under section 205.1(1)</p> <p>An issuer required or permitted to file or deliver a document pursuant to an order</p>
General – Exemption order – section 208(1) of the Securities Act	<p>An issuer filing an application under section 208(1)</p> <p>An issuer required or permitted to file or deliver a document pursuant to an order</p>

Column A	Column B
Nova Scotia securities legislation pursuant to which documents must not be filed or delivered through SEDAR+	Exceptions to Column A: Filers who must file or deliver the document through SEDAR+
Recognition of self-regulatory organizations – section 30 of the Securities Act (R.S.N.S. 1989, c. 418), as amended	N/A
Designation – section 30 A of the Securities Act, as amended	A person or company filing an application under section 30 A to be designated a mutual fund, non-redeemable investment fund or reporting issuer
Designation of credit rating agencies – sections 30 EA and 30 F of the Securities Act, as amended	N/A
Recognition of exchanges, quotation and trade reporting systems, clearing agencies, derivatives trading facilities, and derivative trade repositories – section 30 I of the Securities Act, as amended	N/A
Designation of benchmarks and benchmark administrators –sections 30 N and 30 O of the Securities Act, as amended	N/A
Voluntary surrender or suspension of registration –section 33 of the Securities Act, as amended	N/A
Discretionary exemptions – section 79 of the Securities Act, as amended	A person or company filing an application for relief from the prospectus requirement
Commission orders – section 98 of the Securities Act, as amended	An issuer filing an application under section 98
Relieving orders – section 121 of the Securities Act, as amended	An issuer filing an application under section 121
Exemption Order – section 128 of the Securities Act	An issuer filing an application under section 128
Filing and confidentiality – subsection 148(2) of the Securities Act, as amended	An issuer filing an application under subsection 148(2)
Revocation or variation of a decision – section 151 of the Securities Act, as amended	An issuer filing an application under section 151

Column A	Column B
Nova Scotia securities legislation pursuant to which documents must not be filed or delivered through SEDAR+	Exceptions to Column A: Filers who must file or deliver the document through SEDAR+
Discretionary exemptions – section 151A of the Securities Act, as amended	An issuer filing an application under section 151A
Blanket order – section 151A of the Securities Act, as amended	<p>A person or company required or permitted to file or deliver a document through SEDAR pursuant to the blanket order.</p> <p>An issuer required or permitted to file or deliver a document pursuant to the blanket order.</p>

Column A	Column B
Prince Edward Island securities legislation pursuant to which documents must not be filed or delivered through SEDAR+	Exceptions to Column A: Filers who must file or deliver the document through SEDAR+
Recognition orders – sections 72 and 73 of the Securities Act (R.S.P.E.I., 1988, c. S-3.1)	N/A
Designation orders – sections 6 and 71 of the Securities Act	N/A
Authorization orders – section 76 of the Securities Act	N/A
Exemption orders – section 16 of the Securities Act	N/A
Superintendent orders – subsection 15(1) of the Securities Act	N/A
Insider filings – subsection 104(2) and section 105 of the Securities Act	N/A
Exchanges and quotation and trade reporting systems – section 70 of the Securities Act	N/A

Column A	Column B
Newfoundland and Labrador securities legislation pursuant to which documents must not be filed or delivered through SEDAR+	Exceptions to Column A: Filers who must file or deliver the document through SEDAR+
Trading in Securities Generally – Part XII of the Securities Act (R.S.N.L., 1990, S-13)	N/A
Exemptions from Registration Requirements – Part XI of the Securities Act	A person or company filing an application for relief from the prospectus requirement
Exemption – section 142.1 of the Securities Act	An issuer filing an application under section 142.1
Surrender of registration – section 28 of the Securities Act	N/A
Self-regulation – Part VIII of the Securities Act	N/A
Investigations and Examinations – Part VI of the Securities Act	N/A
Applications to superintendent – section 93 of the Securities Act	An issuer filing an application under section 93
Further information – section 32 of the Securities Act	N/A
Filing and inspection of material – section 140 of the Securities Act	An issuer filing an application under section 140

Column A	Column B
Yukon securities legislation pursuant to which documents must not be filed or delivered through SEDAR+	Exceptions to Column A: Filers who must file or deliver the document through SEDAR+
Recognition orders – sections 72 and 73 of the Securities Act (S.Y. 2007, c. 16)	N/A
Designation orders – sections 6 and 71 of the Securities Act	N/A
Authorization orders – section 76 of the Securities Act	N/A
Exemption orders – section 16 of the Securities Act	N/A
Superintendent orders – subsection 15(1) of the Securities Act	N/A
Designation of credit rating organizations – section 83.1 of the Securities Act	N/A
Insider filings – subsection 104(2) and section 105 of the Securities Act	N/A
Exchanges and quotation and trade reporting systems – section 70 of the Securities Act	N/A

Column A	Column B
Nunavut securities legislation pursuant to which documents must not be filed or delivered through SEDAR+	Exceptions to Column A: Filers who must file or deliver the document through SEDAR+
Recognition orders – sections 72 and 73 of the Securities Act (S. Nu. 2008, c. 12)	N/A
Designation orders – sections 6 and 71 of the Securities Act	N/A
Authorization orders – section 76 of the Securities Act	N/A
Exemption orders – section 16 of the Securities Act	N/A
Superintendent orders – subsection 15(1) of the Securities Act	N/A
Designation of credit rating organizations – section 83.1 of the Securities Act	N/A
Insider filings – subsection 104(2) and section 105 of the Securities Act	N/A

Column A	Column B
Northwest Territories securities legislation pursuant to which documents must not be filed or delivered through SEDAR+	Exceptions to Column A: Filers who must file or deliver the document through SEDAR+
Recognition orders – sections 72 and 73 of the Securities Act (S.N.W.T. 2008, c. 10)	N/A
Designation orders – sections 6 and 71 of the Securities Act	N/A
Authorization orders – section 76 of the Securities Act	N/A
Exemption orders – section 16 of the Securities Act	N/A
Superintendent orders – subsection 15(1) of the Securities Act	N/A
Designation of credit rating organizations – section 83.1 of the Securities Act	N/A
Insider filings – subsection 104(2) and section 105 of the Securities Act	N/A
Exchanges and quotation and trade reporting systems – section 70 of the Securities Act	N/A

Décision 2023-PDG-0014, 2023-04-27
Bulletin de l'Autorité: 2023-06-01, Vol. 20, n° 21
M.O. 2023-10, 2023 G.O. 2, 1019