

## **ANNEX D1**

### **GENERAL ORDER 13-802**

IN THE MATTER OF *THE SECURITIES ACT, 1988*

IN THE MATTER OF  
VOLUNTARY SEDAR FILING OF CERTAIN DISTRIBUTION MATERIALS

### **ORDER**

WHEREAS Financial and Consumer Affairs Authority of Saskatchewan (the Authority) has assigned to the Director of the Securities Division (the Director) the power to make exemption orders under provisions of *The Securities Act, 1988* (the Act) including orders of general application;

AND WHEREAS staff of the Authority have applied to the Director for an Order pursuant to section 160 of the Act exempting certain persons and companies from the prohibition contained in section 2.1(5) of National Instrument 13-101 *System for Electronic Document Analysis and Retrieval (SEDAR)* (NI 13-101);

AND WHEREAS terms defined in the Act and National Instrument 14-101 *Definitions* have the same meaning in this Order;

AND WHEREAS section 2.1(5) of NI 13-101 prohibits a person or company that is not required to comply with NI 13-101 from filing a document on SEDAR (the SEDAR prohibition);

AND WHEREAS changes have been made to NI 13-101 (the NI 13-101 changes) that will become effective on May 24, 2016 (the Effective Date);

AND WHEREAS the NI 13-101 changes will require certain material currently filed in paper format to instead be filed electronically through SEDAR;

AND WHEREAS the Director is satisfied that, it would be in the public interest to allow issuers to electronically file certain distribution-related materials in advance of the Effective Date in order to enable such issuers to become familiar with the new filing system;

AND WHEREAS the Director is of the opinion that it would not be prejudicial to the public interest to make this Order;

IT IS HEREBY ORDERED, pursuant to section 160 of the Act, persons and companies that file the following materials through SEDAR prior to the Effective Date shall be exempt from section 2.1(5) of NI 13-101:

1. reports of exempt distribution;
2. documents required to be filed pursuant to section 2.9 of National Instrument 45-106 *Prospectus Exemptions*;
3. annual financial statements of non-reporting issuers;
4. interim financial statements or reports of non-reporting issuers;
5. change in yearend filings of non-reporting issuers; and
6. offering documents and other materials related to offerings and reports of exempt distributions filed pursuant to Saskatchewan General Order 45-929;

IT IS HEREBY FURTHER ORDERED that this Order shall take effect on December 7, 2015 and expire on the Effective Date.

Dated at Regina, Saskatchewan on December 4, 2015.

*"Dean Murrison"*

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Dean Murrison  
Director,  
Securities Division