



Province of Saskatchewan

Registrar of Regulations	
Filed	JUN 20 2023
SR	47/2023

### Minister's Order

The Minister of Justice and Attorney General, pursuant to section 7 of *The Securities Commission (Regulation Procedures) Regulations*, approves *The Securities Commission (Adoption of National Instruments) (NI 13-103 and Consequential Amendments to Instruments) Amendment Regulations, 2023* in accordance with the attached Schedule.

Dated at the City of Regina, the 9<sup>th</sup> day of June, 2023.

Minister of Justice and Attorney General

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(For administrative purposes only)

**Authority:**

*The Securities Commission (Regulation Procedures) Regulations* - section 7



**Province of Saskatchewan**

**Commission Order**

The Financial and Consumer Affairs Authority of Saskatchewan, pursuant to section 154 of *The Securities Act, 1988*, makes *The Securities Commission (Adoption of National Instruments) (NI 13-103 and Consequential Amendments to Instruments) Amendment Regulations, 2023* in accordance with the attached Schedule.

Dated at the City of Regina, the 27 day of April, 2023.

Chairperson  
Financial and Consumer Affairs Authority of Saskatchewan

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(For administrative purposes only)

**Authority:** *The Securities Act, 1988* - section 154

## SCHEDULE

### **Title**

**1** These regulations may be cited as *The Securities Commission (Adoption of National Instruments) (NI 13-103 and Consequential Amendments to Instruments) Amendment Regulations, 2023*.

### **RRS c S-42.2 Reg 3 amended**

**2** *The Securities Commission (Adoption of National Instruments) Regulations* are amended in the manner set forth in these regulations.

### **Section 2 amended**

**3(1)** Clause 2(d) is repealed.

**(2)** New clause 2(ppp) is added after clause 2(ooo):

“(ppp) National Instrument 13-103, entitled System for Electronic Data Analysis and Retrieval+ (SEDAR+), as set out in Part LXVIII of the Appendix”.

### **Part IV repealed**

**4** Part IV of the Appendix is repealed.

### **Part V amended**

**5(1)** Part V of the Appendix is amended in the manner set forth in this section.

**(2)** Form 81-101F1 in Appendix A is amended by striking out “www.sedar.com” and substituting “www.sedarplus.com” in the following provisions:

**(a)** in Part A, Item 3;

**(b)** in Part B, Item 12(2).

**(3)** Form 81-101F2 in Appendix B is amended in Item 24(2) by striking out “www.sedar.com” and substituting “www.sedarplus.com”.

**APPROVED**  
**LEGISLATIVE DRAFTING SECTION**



April 18, 2023 - 9:28 a.m.

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**Part XII amended**

- 6(1) Part XII of the Appendix is amended in the manner set forth in this section.
- (2) Schedule 1 – Part A of Appendix A is amended under the heading “General Instructions” by striking out “System for Electronic Document Analysis and Retrieval (SEDAR)” and substituting “System for Electronic Data Analysis and Retrieval + (SEDAR+)”.
- (3) Form 41-101F1 after Appendix F is amended in Item 36A.1(3)(b)(ii) by striking out “www.sedar.com” and substituting “www.sedarplus.com”.
- (4) Form 41-101F1 is amended in Item 36A.1(5) by striking out “SEDAR” and substituting “SEDAR+”.
- (5) Form 41-101F2 is amended in Item 37.1 by striking out “www.sedar.com” and substituting “www.sedarplus.com”.
- (6) Form 41-101F3 is amended in Part B by striking out “www.sedar.com” and substituting “www.sedarplus.com” in the following provisions:
- (a) Item 4.1(1);
- (b) Item 15.1(2).

**Part XIII amended**

- 7(1) Part XIII of the Appendix is amended in the manner set forth in this section.
- (2) Section 1.1 is amended:
- (a) by repealing the definition of “NI 13-101”; and
- (b) by adding the following definition in alphabetical order:
- “ ‘SEDAR+’ has the same meaning as in National Instrument 13-103 *System for Electronic Data Analysis and Retrieval + (SEDAR+)*;”.
- (3) Paragraph 2.2(a) is repealed and the following substituted:
- “(a) the issuer is required to transmit documents through SEDAR+”.
- (4) Paragraph 2.3(1)(a) is repealed and the following substituted:
- “(a) the issuer is required to transmit documents through SEDAR+”.
- (5) Paragraph 2.6(1)(a) is repealed and the following substituted:
- “(a) the issuer is required to transmit documents through SEDAR+”.
- (6) Form 44-101F1 is amended in Item 1.3 by striking out “www.sedar.com” and substituting “www.sedarplus.com”.



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(7) Form 44-101F1 is amended in Item 11.6(3)(b)(ii) by striking out “www.sedar.com” and substituting “www.sedarplus.com”.

**Part XIV amended**

8 Part XIV of the Appendix is amended in clause 9A.3(7)(b)(iv)(B) by striking out “www.sedar.com” and substituting “www.sedarplus.com”.

**Part XVI amended**

9 Part XVI of the Appendix is amended in paragraph 6.4(1)(b) by striking out “SEDAR” and substituting “SEDAR+”.

**Part XX amended**

10(1) Part XX of the Appendix is amended in the manner set forth in this section.

(2) Section 1.1 is amended in the definition of “*SEDI issuer*” by striking out “that is required to comply with National Instrument 13-101 *System for Electronic Document Analysis and Retrieval* (SEDAR), including a foreign issuer referred to under paragraph 2 of subsection 2.1(1) of that Instrument” and substituting “that is required to comply with National Instrument 13-103 *System for Electronic Data Analysis and Retrieval* + (SEDAR+)”.

(3) Form 55-102F1 is amended in Item 9 by striking out “SEDAR” wherever it appears and in each case substituting “SEDAR+”.

(4) Form 55-102F3 is amended in Item 1:

(a) by striking out “SEDAR” wherever it appears and in each case substituting “SEDAR+”; and

(b) by striking out “See National Instrument 13-101 *System for Electronic Document Analysis and Retrieval* (SEDAR)”.

**Part XXI amended**

11(1) Part XXI of the Appendix is amended in the manner set forth in this section.

(2) Section 1.1 is amended by repealing the definition of “SEDAR”.

(3) Paragraph 2.8(3)(b) is amended by striking out “on SEDAR”.

(4) Paragraph 2.11(a) is amended by striking out “on SEDAR”.

(5) Paragraph 2.12(a) is amended by striking out “on SEDAR”.

(6) Form 45-102F1 is amended under “INSTRUCTIONS” by striking out “electronically through SEDAR”.

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**Part XXIV amended**

12(1) Part XXIV of the Appendix is amended in the manner set forth in this section.

(2) Section 1.1 is amended by adding the following definition in alphabetical order:

“ ‘**SEDAR+**’ has the same meaning as in National Instrument 13-103 *System for Electronic Data Analysis and Retrieval* + (SEDAR+)”.

(3) Subsection 2.7.1(1) is amended:

(a) by striking out “SEDAR” and substituting “SEDAR+” in the following provisions:

- (i) Item (a)(iii);
- (ii) paragraph (c);
- (iii) Item (d)(i);
- (iv) Item (d)(ii); and

(b) in Item (a)(iii) by striking out “non-SEDAR” and substituting “non-SEDAR+”.

(4) Section 2.7.2 is amended by striking out “SEDAR” and substituting “SEDAR+”.

**Part XXXI amended**

13(1) Part XXXI of the Appendix is amended in the manner set forth in this section.

(2) Paragraph 5.18(2)(c) is amended in the portion preceding Item (i) by striking out “SEDAR” and substituting “SEDAR+”.

(3) Form 51-101F4 is amended:

(a) by striking out “SEDAR” wherever it appears and in each case substituting “SEDAR+”; and

(b) by striking out “www.sedar.com” and substituting “www.sedarplus.com”.

**Part XXXVI amended**

14(1) Part XXXVI of the Appendix is amended in the manner set forth in this section.

(2) Subsection 1.1(1) is amended by repealing the definition of “electronic format”.

(3) Paragraph 4.9(i) is amended by striking out “in electronic format” and substituting “electronically”.

(4) Item 5.8(3)(b)(iii) is amended by striking out “www.sedar.com” and substituting “www.sedarplus.com”.

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**(5) Item 5.8(6)(b)(iii) is amended by striking out “www.sedar.com” and substituting “www.sedarplus.com”.**

**(6) Subsection 9.1.1(1) is amended:**

**(a) by striking out “SEDAR” and substituting “SEDAR+” in the following provisions:**

**(i) Item (a)(iii);**

**(ii) paragraph (c);**

**(iii) Item (d)(i);**

**(iv) Item (d)(ii); and**

**(b) in Item (a)(iii) by striking out “non-SEDAR” and substituting “non-SEDAR+”.**

**(7) Paragraph 9.2(5)(b) is amended by striking out “SEDAR” and substituting “SEDAR+”.**

**(8) Paragraph 9.2(6)(b) is amended by striking out “SEDAR” and substituting “SEDAR+”.**

**(9) Paragraph 12.1(2)(b) is amended by striking out “in an acceptable electronic format” and substituting “electronically”.**

**(10) Paragraph 13.3(2)(d) is amended by striking out “in electronic format” wherever it appears and in each case substituting “electronically”.**

**(11) Subsection 13.4(2) is amended by striking out “in electronic format” wherever it appears and substituting “electronically” in the following provisions:**

**(a) paragraph (d);**

**(b) paragraph (g).**

**(12) Form 51-102F1 is amended in Item 1.15(a) by striking out “SEDAR at www.sedar.com” and substituting “SEDAR+ at www.sedarplus.com”.**

**(13) Form 51-102F2 is amended in Part 1 under “Incorporating Information by Reference”:**

**(a) by striking out “SEDAR” wherever it appears and in each case substituting “SEDAR+”; and**

**(b) by striking out “www.sedar.com” and substituting “www.sedarplus.com”.**

**(14) Form 51-102F2 is amended in Item 17.1(1) by striking out “SEDAR at www.sedar.com” and substituting “SEDAR+ at www.sedarplus.com”.**

**(15) Form 51-102F3 is amended in Item 5.2(ii) under “INSTRUCTIONS” by striking out “SEDAR at www.sedar.com” and substituting “SEDAR+ at www.sedarplus.com”.**

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**(16) Form 51-102F4 is amended in Part 1 under “Incorporating Material by Reference” by striking out “SEDAR at www.sedar.com” and substituting “SEDAR+ at www.sedarplus.com”.**

**(17) Form 51-102F5 is amended in Part 1 under “Incorporating Material by Reference” by striking out “SEDAR at www.sedar.com” and substituting “SEDAR+ at www.sedarplus.com”.**

**(18) Form 51-102F5 is amended in Item 16.1 of Part 2 by striking out “SEDAR at www.sedar.com” and substituting “SEDAR+ at www.sedarplus.com”.**

**Part XL amended**

**15(1) Part XL of the Appendix is amended in the manner set forth in this section.**

**(2) Paragraph 5.2(5)(d) is amended by striking out “SEDAR” and substituting “SEDAR+”.**

**(3) Paragraph 5.3(4)(b) is amended by striking out “SEDAR” and substituting “SEDAR+”.**

**(4) Paragraph 9.4(2.2)(f) is amended by striking out “www.sedar.com” and substituting “www.sedarplus.com”.**

**(5) Section 12.2.1 is amended:**

**(a) in Item (a)(iii) by striking out “SEDAR and the non-SEDAR” and substituting “SEDAR+ and the non-SEDAR+”; and**

**(b) by striking out “SEDAR” and substituting “SEDAR+” in the following provisions:**

**(i) paragraph (f);**

**(ii) Item (g)(i);**

**(iii) clause (g)(ii)(B);**

**(iv) Item (i)(ii).**

**(6) Form 81-106F1 is amended in Item 1 of Part B by striking out “SEDAR at www.sedar.com” and substituting “SEDAR+ at www.sedarplus.com”.**

**(7) Form 81-106F1 is amended in Item 5(9) of Part B under “INSTRUCTIONS” by replacing “www.sedar.com” with “www.sedarplus.com”.**

**(8) Form 81-106F1 is amended in Item 1 of Part C by replacing “SEDAR at www.sedar.com” with “SEDAR+ at www.sedarplus.com”.**

**Part XLI amended**

**16(1) Part XLI of the Appendix is amended in the manner set forth in this section.**

**(2) Section 1.1 is amended by repealing the definition of “SEDAR” and substituting the following:**

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“‘**SEDAR+**’ has the same meaning as in National Instrument 13-103 *System for Electronic Data Analysis and Retrieval + (SEDAR+)*”.

(3) Section 2.3 is amended by striking out “SEDAR” and substituting “SEDAR+”.

(4) Form 58-101F1 is amended under “**INSTRUCTIONS**” in Item (5) by striking out “*SEDAR*” and substituting “*SEDAR+*”.

**Part XLIII amended**

17(1) Part XLIII of the Appendix is amended in the manner set forth in this section.

(2) Section 1.1 is amended:

(a) in the definition of “qualifying issuer” by repealing paragraph (a); and

(b) by repealing the definition of “SEDAR filer”.

(3) Paragraph 5.2(b) is repealed.

(4) Clause 5A.2(k)(i)(B) is amended by striking out “www.sedar.com” and substituting “www.sedarplus.com”.

(5) Form 45-106F1 is repealed and the following substituted:

**“Form 45-106F1 Report of Exempt Distribution**

<b>A. General Instructions</b>
--------------------------------

**1. Filing instructions**

An issuer or underwriter that is required to file a report of exempt distribution and pay the applicable filing fee must pay the filing fee and file the information required by this form in the manner and using the templates specified in the System for Electronic Data Analysis and Retrieval + (SEDAR+) in accordance with National Instrument 13-103 *System for Electronic Data Analysis and Retrieval + (SEDAR+)* (in Québec, Regulation 13-103 respecting System for Electronic Data Analysis and Retrieval + (SEDAR +)).

The issuer or underwriter must file the report in a jurisdiction of Canada if the distribution occurs in the jurisdiction, and the issuer or underwriter is relying on a specific exemption from the prospectus requirement set out in section 6.1 of the Instrument. The requirement to file this report might also be a condition of a prospectus exemption provided in a national, multilateral or local rule or instrument, or a condition of an exemptive relief order. If a distribution is made in more than one jurisdiction of Canada, the issuer or underwriter may satisfy its obligation to file the report by completing a single report identifying all purchasers, and file the report in each jurisdiction of Canada in which the distribution occurs. Filing fees payable in a particular jurisdiction are not affected by identifying all purchasers in a single report.

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In order to determine the applicable filing fee in a particular jurisdiction of Canada, consult the securities legislation of that jurisdiction. The issuer or underwriter must pay the filing fee through SEDAR+ in accordance with National Instrument 13-103 *System for Electronic Data Analysis and Retrieval + (SEDAR+)*(NI 13-103)(in Québec, Regulation 13-103 respecting System for Electronic Data Analysis and Retrieval + (SEDAR+)).

**2. Issuers located outside of Canada**

If an issuer located outside of Canada determines that a distribution has taken place in a jurisdiction of Canada, include information about purchasers resident in that jurisdiction only.

**3. Multiple distributions**

An issuer may use one report for multiple distributions occurring within 10 days of each other, provided the report is filed on or before the 10th day following the first distribution date. However, an investment fund issuer that is relying on the exemptions set out in subsection 6.2(2) of NI 45-106 (in Québec, Regulation 45-106 respecting Prospectus Exemptions) may file the report annually in accordance with that subsection.

**4. References to purchaser**

References to a purchaser in this form are to the beneficial owner of the securities.

However, if a trust company, trust corporation, or registered adviser described in paragraph (p) or (q) of the definition of “accredited investor” in section 1.1 of NI 45-106 (in Québec, Regulation 45-106 respecting Prospectus Exemptions) has purchased the securities on behalf of a fully managed account, provide information about the trust company, trust corporation or registered adviser only; do not include information about the beneficial owner of the fully managed account.

Joint purchasers may be treated as one purchaser for the purposes of Item 7(f) of this form.

**5. References to issuer**

References to ‘issuer’ in this form include an investment fund issuer and a non-investment fund issuer, unless otherwise specified.

**6. Investment fund issuers**

If the issuer is an investment fund, complete Items 1-3, 6-8, 10, 11 and Schedule 1 of this form.

**7. Mortgage investment entities**

If the issuer is a mortgage investment entity, complete all applicable items of this form other than Item 6.

**8. Language**

The report must be filed in English or in French. In Québec, the issuer or underwriter must comply with linguistic rights and obligations prescribed by Québec law.

**9. Currency**

All dollar amounts in the report must be in Canadian dollars. If the distribution was made or any compensation was paid in connection with the distribution in a foreign currency, convert the currency to Canadian dollars using the daily exchange rate of the Bank of Canada on the distribution date. If the distribution date occurs on a date when the daily exchange rate of the Bank of Canada is not available, convert the currency to Canadian dollars using the most recent daily exchange rate of the Bank of Canada available before the distribution date. For investment funds in continuous distribution, convert the currency to Canadian dollars using the average daily exchange rate of the Bank of Canada for the distribution period covered by the report.

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If the distribution was not made in Canadian dollars, provide the foreign currency in Item 7(a) of the report.

**10. Date of information in report**

Unless otherwise indicated in this form, provide the information as of the distribution end date.

**11. Date of formation**

For the date of formation, provide the date on which the issuer was incorporated, continued or organized (formed). If the issuer resulted from an amalgamation, arrangement, merger or reorganization, provide the date of the most recent amalgamation, arrangement, merger or reorganization.

**12. Security codes**

Wherever this form requires disclosure of the type of security, use the following security codes:

Security code	Security type
BND	Bonds
CER	Certificates ( <i>including pass-through certificates, trust certificates</i> )
CMS	Common shares
CVD	Convertible debentures
CVN	Convertible notes
CVP	Convertible preferred shares
DCT	Digital coins or tokens
DEB	Debentures
DRS	Depository receipts ( <i>such as American or Global depository receipts/shares</i> )
FTS	Flow-through shares
FTU	Flow-through units
LPU	Limited partnership units and limited partnership interests ( <i>including capital commitments</i> )
MTG	Mortgages ( <i>other than syndicated mortgages</i> )
NOT	Notes ( <i>include all types of notes except convertible notes</i> )
OPT	Options
PRS	Preferred shares
RTS	Rights
SMG	Syndicated mortgages
SUB	Subscription receipts
UBS	Units of bundled securities ( <i>such as a unit consisting of a common share and a warrant</i> )
UNT	Units ( <i>exclude units of bundled securities, include trust units and mutual fund units</i> )

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Security code	Security type
WNT	Warrants ( <i>including special warrants</i> )
OTH	Other securities not included above ( <i>if selected, provide details of security type in Item 7d</i> )

**13. Distributions by more than one issuer of a single security**

If two or more issuers distributed a single security, provide the full legal names of the co-issuers in Item 3.

**B. Terms used in the form**

**1. For the purposes of this form:**

**‘designated foreign jurisdiction’** means Australia, France, Germany, Hong Kong, Italy, Japan, Mexico, the Netherlands, New Zealand, Singapore, South Africa, Spain, Sweden, Switzerland or the United Kingdom of Great Britain and Northern Ireland;

**‘eligible foreign security’** means a security offered primarily in a foreign jurisdiction as part of a distribution of securities in either of the following circumstances:

- (a) the security is issued by an issuer
  - (i) that is incorporated, formed or created under the laws of a foreign jurisdiction,
  - (ii) that is not a reporting issuer in a jurisdiction of Canada,
  - (iii) that has its head office outside of Canada, and
  - (iv) that has a majority of the executive officers and a majority of the directors ordinarily resident outside of Canada;
- (b) the security is issued or guaranteed by the government of a foreign jurisdiction;

**‘foreign public issuer’** means an issuer where any of the following apply:

- (a) the issuer has a class of securities registered under section 12 of the 1934 Act;
- (b) the issuer is required to file reports under section 15(d) of the 1934 Act;
- (c) the issuer is required to provide disclosure relating to the issuer and the trading in its securities to the public, to security holders of the issuer or to a regulatory authority and that disclosure is publicly available in a designated foreign jurisdiction;

**‘legal entity identifier’** means a unique identification code assigned to the person

- (a) in accordance with the standards set by the Global Legal Entity Identifier System, or
- (b) that complies with the standards established by the Legal Entity Identifier Regulatory Oversight Committee for pre-legal entity identifiers;

**‘NRD’** means National Registration Database;



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**‘permitted client’** has the same meaning as in National Instrument 31-103 *Registration Requirements, Exemptions and Ongoing Registrant Obligations* (in Québec, Regulation 31-103 respecting *Registration Requirements, Exemptions and Ongoing Registrant Obligations*);

**‘SEDAR+’** has the same meaning as in National Instrument 13-103 *System for Electronic Data Analysis and Retrieval + (SEDAR+)* (in Québec, Regulation 13-103 respecting *System for Electronic Data Analysis and Retrieval + (SEDAR+)*);

**‘SEDAR+ profile’** means a profile required under section 4 of National Instrument 13-103 *System for Electronic Data Analysis and Retrieval + (SEDAR+)* (in Québec, Regulation 13-103 respecting *System for Electronic Data Analysis and Retrieval + (SEDAR+)*).

2. For the purposes of this form, a person is connected with an issuer or an investment fund manager if either of the following applies:
- (a) one of them is controlled by the other;
  - (b) each of them is controlled by the same person.

**“FORM 45-106F1 Report of Exempt Distribution**

**ITEM 1 – REPORT TYPE**

☐

New report

☐

Amended report If amended, provide filing date of report that is being amended.

(YYYY-MM-DD)

**ITEM 2 – PARTY CERTIFYING THE REPORT**

Indicate the party certifying the report (select only one). For guidance regarding whether an issuer is an investment fund, refer to section 1.1 of National Instrument 81-106 *Investment Fund Continuous Disclosure and the companion policy to NI 81-106* (in Québec, Regulation 81-106 respecting *Investment Fund Continuous Disclosure and Policy Statement to Regulation 81-106* respecting *Investment Fund Continuous Disclosure*).

☐

Investment fund issuer

☐

Issuer (other than an investment fund)

☐

Underwriter

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**ITEM 3 – ISSUER NAME AND OTHER IDENTIFIERS**

*Provide the following information about the issuer, or if the issuer is an investment fund, about the fund.*

Full legal name

Previous full legal name

*If the issuer's name changed in the last 12 months, provide most recent previous legal name.*

Website

(if applicable)

*If the issuer has a legal entity identifier, provide below. Refer to Part B of the Instructions for the definition of "legal entity identifier".*

Legal entity identifier

*If two or more issuers distributed a single security, provide the full legal name(s) of the co-issuer(s) other than the issuer named above.*

Full legal name(s) of co-issuer(s)

(if applicable)

**ITEM 4 – UNDERWRITER INFORMATION**

*If an underwriter is completing the report, provide the underwriter's full legal name, firm NRD number, and SEDAR+ profile number.*

Full legal name

Firm NRD number

(if applicable)

SEDAR+ profile  
number

**ITEM 5 – ISSUER INFORMATION**

***If the issuer is an investment fund, do not complete Item 5. Proceed to Item 6.***

**a) Primary industry**

*Provide the issuer's North American Industry Classification Standard (NAICS) code (6 digits only) that in your reasonable judgment most closely corresponds to the issuer's primary business activity.*

NAICS industry code

*If the issuer is in the mining industry, indicate the stage of operations. This does not apply to issuers that provide services to issuers operating in the mining industry. Select the category that best describes the issuer's stage of operations.*

☐

Exploration

☐

Development

☐

Production

*Is the issuer's primary business to invest all or substantially all of its assets in any of the following? If yes, select all that apply.*

☐

Mortgages

☐

Real estate

☐

Commercial/business debt

☐

Consumer debt

☐

Private companies

☐

Cryptoassets

**b) Number of employees**

Number of employees

☐

0 – 49

☐

50 – 99

☐

100 – 499

☐

500 or more

**c) SEDAR+ profile number**

*Provide the issuer's SEDAR+ profile number*

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**ITEM 6 – INVESTMENT FUND ISSUER INFORMATION**

*If the issuer is an investment fund, provide the following information:*

**a) Investment fund manager information**

Full legal name

Firm NRD number

(if applicable)

SEDAR+ profile  
number

**b) Type of investment fund**

*Type of investment fund that most accurately identifies the issuer (select only one).*

☐

Money market

☐

Equity

☐

Fixed income

☐

Balanced

☐

Alternative strategies

☐

Cryptoasset

☐

Other (describe)

*Indicate whether one or both of the following apply to the investment fund.*

☐

Invests primarily in other investment fund issuers.

☐

Is a UCITS Fund <sup>1</sup>

<sup>1</sup> Undertaking for the Collective Investment of Transferable Securities funds (UCITS Funds) are investment funds regulated by the European Union (EU) directives that allow collective investment schemes to operate throughout the EU on a passport basis on authorization from one member state.

**c) Net asset value (NAV) of the investment fund**

*Select the NAV range of the investment fund as of the date of the most recent NAV calculation (Canadian \$).*

☐

\$0 to under \$5M

☐

\$5M to under \$25M

☐

\$25M to under \$100M

☐

\$100M to under \$500M

☐

\$500M to under \$1B

☐

\$1B or over

Date of NAV calculation:

YYYY MM DD

**ITEM 7 – INFORMATION ABOUT THE DISTRIBUTION**

*If an issuer located outside of Canada completes a distribution in a jurisdiction of Canada, include in Item 7 and Schedule 1 information about purchasers resident in that jurisdiction of Canada only. Do not include in Item 7 securities issued as payment of commissions or finder's fees in connection with the distribution, which must be disclosed in Item 8. The information provided in Item 7 must reconcile with the information provided in Schedule 1 of the report.*

**a) Currency**

*Select the currency or currencies in which the distribution was made. All dollar amounts provided in the report must be in Canadian dollars.*

☐

Canadian dollar

☐

US dollar

☐

Euro

Other (describe)

**b) Distribution date(s)**

*State the distribution start and end dates. If the report is being filed for securities distributed on only one distribution date, provide the distribution date as both the start and end dates. If the report is being filed for securities distributed on a continuous basis, include the start and end dates for the distribution period covered by the report.*

Start

YYYY

MM

DD

End

YYYY

MM

DD

**c) Detailed purchaser information**

**Complete Schedule 1 of this form for each purchaser.**

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**d) Types of securities distributed**

Provide the following information for all distributions reported on a per security basis. Refer to Part A(12) of the Instructions for how to indicate the security code. If providing the CUSIP number, indicate the full 9-digit CUSIP number assigned to the security being distributed.

Security code	CUSIP number (if applicable)	Description of security	Number of securities	Canadian \$		
				Single or lowest price	Highest price	Total amount

**e) Details of rights and convertible/exchangeable securities**

If any rights (e.g. warrants, options) were distributed, provide the exercise price and expiry date for each right. If any convertible/exchangeable securities were distributed, provide the conversion ratio and describe any other terms for each convertible/exchangeable security.

Convertible / exchangeable security code	Underlying security code	Exercise price (Canadian \$)		Expiry date (YYYY-MM-DD)	Conversion ratio	Describe other terms (if applicable)
		Lowest	Highest			

**f) Summary of the distribution by jurisdiction and exemption**

State the total dollar amount of securities distributed and the number of purchasers for each jurisdiction of Canada and foreign jurisdiction where a purchaser resides and for each exemption relied on in Canada for that distribution. However, if an issuer located outside of Canada completes a distribution in a jurisdiction of Canada, include distributions to purchasers resident in that jurisdiction of Canada only.

This table requires a separate line item for: (i) each jurisdiction where a purchaser resides, (ii) each exemption relied on in the jurisdiction where a purchaser resides, if a purchaser resides in a jurisdiction of Canada, and (iii) each exemption relied on in Canada, if a purchaser resides in a foreign jurisdiction.

For jurisdictions within Canada, state the province or territory, otherwise state the country.

Province or country	Exemption relied on	Number of unique purchasers <sup>2a</sup>	Total amount (Canadian \$)
Total dollar amount of securities distributed			
Total number of unique purchasers <sup>2b</sup>			

<sup>2a</sup> In calculating the number of unique purchasers per row, count each purchaser only once. Joint purchasers may be counted as one purchaser.

<sup>2b</sup> In calculating the total number of unique purchasers to which the issuer distributed securities, count each purchaser only once, regardless of whether the issuer distributed multiple types of securities to, and relied on multiple exemptions for, that purchaser.

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**c) Relationship to issuer or investment fund manager**

Indicate the person's relationship with the issuer or investment fund manager (select all that apply). Refer to the meaning of "connected" in Part B(2) of the Instructions and the meaning of "control" in section 1.4 of NI 45-106 (in Québec, Regulation 45-106 respecting Prospectus Exemptions) for the purposes of completing this section.

- ☐ Connected with the issuer or investment fund manager
- ☐ Insider of the issuer (other than an investment fund)
- ☐ Director or officer of the investment fund or investment fund manager
- ☐ Employee of the issuer or investment fund manager
- ☐ None of the above

**d) Compensation details**

Provide details of all compensation paid, or to be paid, to the person identified in Item 8(a) in connection with the distribution. Provide all amounts in Canadian dollars. Include cash commissions, securities-based compensation, gifts, discounts or other compensation. Do not report payments for services incidental to the distribution, such as clerical, printing, legal or accounting services. An issuer is not required to ask for details about, or report on, internal allocation arrangements with the directors, officers or employees of a non-individual compensated by the issuer.

Cash commissions paid

Value of all securities distributed as compensation<sup>4</sup>

Security codes

Security code 1	Security code 2	Security code 3

Describe terms of warrants, options or other rights

Other compensation<sup>5</sup>

Describe

Total compensation paid

☐

Check box if the person will or may receive any deferred compensation (describe the terms below).

<sup>4</sup> Provide the aggregate value of all securities distributed as compensation, excluding options, warrants or other rights exercisable to acquire additional securities of the issuer. Indicate the security codes for all securities distributed as compensation, including options, warrants or other rights exercisable to acquire additional securities of the issuer.

<sup>5</sup> Do not include deferred compensation.

**ITEM 9 – DIRECTORS, EXECUTIVE OFFICERS AND PROMOTERS OF THE ISSUER**

If the issuer is an investment fund, do not complete Item 9. Proceed to Item 10.

Indicate whether the issuer is any of the following (select the one that applies – if more than one applies, select only one).

- ☐ Reporting issuer in any jurisdiction of Canada
- ☐ Foreign public issuer
- ☐ Wholly owned subsidiary of a reporting issuer in any jurisdiction of Canada<sup>6</sup>

Provide name of reporting issuer

☐

Wholly owned subsidiary of a foreign public issuer<sup>6</sup>

Provide name of reporting issuer

☐

Issuer distributing only eligible foreign securities and the distribution is to permitted clients only<sup>7</sup>

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**If the issuer is at least one of the above, do not complete Item 9(a) – (c). Proceed to Item 10.**

<sup>6</sup> An issuer is a wholly owned subsidiary of a reporting issuer or a foreign public issuer if all of the issuer's outstanding voting securities, other than securities that are required by law to be owned by its directors, are beneficially owned by the reporting issuer or the foreign public issuer, respectively.

<sup>7</sup> Check this box if it applies to the current distribution even if the issuer made previous distributions of other types of securities to non-permitted clients. Refer to the definitions of "eligible foreign security" and "permitted client" in Part B(1) of the Instructions.

☐

**If the issuer is none of the above, check this box and complete Item 9(a) – (c).**

**a) Directors, executive officers and promoters of the issuer**

Provide the following information for each director, executive officer and promoter of the issuer. For locations within Canada, state the province or territory, otherwise state the country. For "Relationship to issuer", "D" - Director, "O" - Executive Officer, "P" - Promoter.

Organization or company name	Family name	First given name	Secondary given names	Business location of non-individual or residential jurisdiction of individual	Relationship to issuer (select all that apply)		
				Province or country	D	O	P

**b) Promoter information**

If the promoter listed above is not an individual, provide the following information for each director and executive officer of the promoter. For locations within Canada, state the province or territory, otherwise state the country. For "Relationship to promoter", "D" - Director, "O" - Executive Officer.

Organization or company name	Family name	First given name	Secondary given names	Residential jurisdiction of individual	Relationship to promoter (select one or both if applicable)	
				Province or country	D	O

**c) Residential address of each individual**

**Complete Schedule 2 of this form, including the full residential address of each individual whose name appears in Item 9(a) or (b). Schedule 2 also requires information to be provided about control persons.**

**ITEM 10 – CERTIFICATION**

Provide the following certification and business contact information of an officer, director or agent of the issuer or underwriter. If the issuer or underwriter is not a company, an individual who performs functions similar to that of a director or officer may certify the report. For example, if the issuer is a trust, the report may be certified by the issuer's trustee. If the issuer is an investment fund, a director or officer of the investment fund manager (or, if the investment fund manager is not a company, an individual who performs similar functions) may certify the report if the director or officer has been authorized to do so by the investment fund.

The certification may be delegated, but only to an agent that has been authorized by an officer or director of the issuer or underwriter to prepare and certify the report on behalf of the issuer or underwriter. If the report is being certified by an agent on behalf of the issuer or underwriter, provide the applicable information for the agent in the boxes below.

If the individual completing and filing the report is different from the individual certifying the report, provide the name and contact details for the individual completing and filing the report in Item 11.

The signature on the report must be in typed form rather than handwritten form. The report may include an electronic signature provided the name of the signatory is also in typed form.

Securities legislation requires an issuer or underwriter that makes a distribution of securities under certain prospectus exemptions to file a completed report of exempt distribution.



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By completing the information below, I certify, on behalf of the issuer/underwriter/investment fund manager, to the securities regulatory authority or regulator, as applicable, that I have reviewed this report and to my knowledge, having exercised reasonable diligence, the information provided in this report is true and, to the extent required, complete.

Name of issuer/underwriter/ investment fund manager/agent	<input style="width: 100%;" type="text"/>		
Full legal name of individual	<input style="width: 30%;" type="text"/>	<input style="width: 30%;" type="text"/>	<input style="width: 30%;" type="text"/>
	Family name	First given name	Secondary given names
Title	<input style="width: 100%;" type="text"/>		
Telephone number	<input style="width: 30%;" type="text"/>	Email address	<input style="width: 30%;" type="text"/>
Signature	<input style="width: 30%;" type="text"/>	Date	<div style="display: flex; justify-content: space-between;"><div><input style="width: 20%;" type="text"/> YYYY</div><div><input style="width: 20%;" type="text"/> MM</div><div><input style="width: 20%;" type="text"/> DD</div></div>

**ITEM 11 – CONTACT PERSON**

*Provide the following business contact information for the individual that the securities regulatory authority or regulator may contact with any questions regarding the contents of this report, if different than the individual certifying the report in Item 10.*

☐ Same as individual certifying the report

Full legal name	<input style="width: 30%;" type="text"/>	<input style="width: 30%;" type="text"/>	<input style="width: 30%;" type="text"/>
	Family name	First given name	Secondary given names
Name of company	<input style="width: 100%;" type="text"/>		
Telephone number	<input style="width: 30%;" type="text"/>	Email address	<input style="width: 30%;" type="text"/>

**Notice – Collection and use of personal information**

The personal information required under this form is collected on behalf of and used by the securities regulatory authority or regulator under the authority granted in securities legislation for the purposes of the administration and enforcement of the securities legislation.

If you have any questions about the collection and use of this information, contact the securities regulatory authority or regulator in the local jurisdiction(s) where the report is filed, at the address(es) listed at the end of this form.

Schedules 1 and 2 may contain personal information of individuals and details of the distribution(s). The information in Schedules 1 and 2 will not be placed on the public file of any securities regulatory authority or regulator. However, freedom of information legislation may require the securities regulatory authority or regulator to make this information available if requested.

By signing this report, the issuer/underwriter confirms that each individual listed in Schedule 1 or 2 of the report who is resident in a jurisdiction of Canada:

- a) has been notified by the issuer/underwriter of the delivery to the securities regulatory authority or regulator of the information pertaining to the individual as set out in Schedule 1 or 2, that this information is being collected by the securities regulatory authority or regulator under the authority granted in securities legislation, that this information is being collected for the purposes of the administration and enforcement of the securities legislation of the local jurisdiction, and of the title, business address and business telephone number of the public official in the local jurisdiction, as set out in this form, who can answer questions about the security regulatory authority's or regulator's indirect collection of the information, and
- b) has authorized the indirect collection of the information by the securities regulatory authority or regulator..



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**SCHEDULE 1 TO FORM 45-106F1 (CONFIDENTIAL PURCHASER INFORMATION)**

**Schedule 1 must be filed in the format of an Excel spreadsheet in a form acceptable to the securities regulatory authority or regulator.**

The information in this schedule will not be placed on the public file of any securities regulatory authority or regulator. However, freedom of information legislation may require the securities regulatory authority or regulator to make this information available if requested.

**a) General information (provide only once)**

1. Name of issuer
2. Certification date (YYYY-MM-DD)

*Provide the following information for each purchaser that participated in the distribution. For each purchaser, create separate entries for each distribution date, security type and exemption relied on for the distribution.*

**b) Legal name of purchaser**

*If two or more individuals have purchased a security as joint purchasers, provide information for each purchaser under the columns for family name, first given name and secondary given names, if applicable, and separate the individuals' names with an ampersand. For example, if Jane Jones and Robert Smith are joint purchasers, indicate "Jones & Smith" in the family name column.*

1. Family name
2. First given name
3. Secondary given names (if applicable)
4. Full legal name of non-individual (if applicable)

**c) Contact information of purchaser**

1. Residential street address
2. Municipality
3. Province/State
4. Postal code/Zip code
5. Country
6. Telephone number
7. Email address (if available)

**d) Details of securities purchased**

1. Date of distribution (YYYY-MM-DD)
2. Number of securities
3. Security code
4. Amount paid (Canadian \$)

**e) Details of exemption relied on**

1. Rule, section and subsection number
2. If relying on section 2.3 [Accredited investor] of NI 45-106 (in Québec, Regulation 45-106 respecting Prospectus Exemptions), provide the paragraph number in the definition of "accredited investor" in section 1.1 of NI 45-106 (in Québec, Regulation 45-106 respecting Prospectus Exemptions) that applies to the purchaser. *(select only one - if the purchaser is a permitted client that is not an individual, "NIPC." can be selected instead of the paragraph number)*
3. If relying on section 2.5 [Family, friends and business associates] of NI 45-106 (in Québec, Regulation 45-106 respecting Prospectus Exemptions), provide:
  - a. the paragraph number in subsection 2.5(1) that applies to the purchaser (select only one); and
  - b. if relying on paragraphs 2.5(1)(b) to (i), provide:
    - i. the name of the director, executive officer, control person, or founder of

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the issuer or affiliate of the issuer claiming a relationship to the purchaser. *(Note: if Item 9(a) has been completed, the name of the director, executive officer or control person must be consistent with the name provided in Item 9 and Schedule 2.)*

- ii. the position of the director, executive officer, control person, or founder of the issuer or affiliate of the issuer claiming a relationship to the purchaser.
4. If relying on subsection 2.9(2) or, in Alberta, New Brunswick, Nova Scotia, Ontario, Québec, or Saskatchewan, subsection 2.9(2.1) [Offering memorandum] of NI 45-106 (in Québec, Regulation 45-106 respecting Prospectus Exemptions) and the purchaser is an eligible investor, provide the paragraph number in the definition of "eligible investor" in section 1.1 of NI 45-106 (in Québec, Regulation 45-106 respecting Prospectus Exemptions) that applies to the purchaser. *(select only one)*

**f) Other information**

*Paragraphs f)1. and f)2. do not apply if any of the following apply:*

- (a) the issuer is a foreign public issuer;
  - (b) the issuer is a wholly owned subsidiary of a foreign public issuer;
  - (c) the issuer is distributing only eligible foreign securities and the distribution is to permitted clients only.
1. Is the purchaser a registrant? (Y/N)
  2. Is the purchaser an insider of the issuer? (Y/N) (not applicable if the issuer is an investment fund)
  3. Full legal name of person compensated for distribution to purchaser. If a person compensated is a registered firm, provide the firm NRD number only. *(Note: the names must be consistent with the names of the persons compensated as provided in Item 8.)*

**INSTRUCTIONS FOR SCHEDULE 1**

Any securities issued as payment for commissions or finder's fees must be disclosed in Item 8 of the report, not in Schedule 1.

**Details of exemption relied on** – When identifying the exemption the issuer relied on for the distribution to each purchaser, refer to the rule, statute or instrument in which the exemption is provided and identify the specific section and, if applicable, subsection or paragraph. For example, if the issuer is relying on an exemption in a National Instrument, refer to the number of the National Instrument, and the subsection or paragraph number of the specific provision. If the issuer is relying on an exemption in a local blanket order, refer to the blanket order by number.

For exemptions that require the purchaser to meet certain characteristics, such as the exemption in section 2.3 [Accredited investor], section 2.5 [Family, friends and business associates] or subsection 2.9(2) or, in Alberta, New Brunswick, Nova Scotia, Ontario, Québec, or Saskatchewan, subsection 2.9(2.1) [Offering memorandum] of NI 45-106 (in Québec, Regulation 45-106 respecting Prospectus Exemptions), provide the specific paragraph in the definition of those terms that applies to each purchaser.

**Reports filed under paragraph 6.1(1)(j) [TSX Venture Exchange offering] of NI 45-106 (in Québec, Regulation 45-106 respecting Prospectus Exemptions)** - For reports filed under paragraph 6.1(1)(j) [TSX Venture Exchange offering] of NI 45-106 (in Québec, Regulation 45-106 respecting Prospectus Exemptions), Schedule 1 must list the total number of purchasers by jurisdiction only, and is not required to include the name, residential address, telephone number or email address of the purchasers.

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**SCHEDULE 2 TO FORM 45-106F1 (CONFIDENTIAL DIRECTOR, EXECUTIVE OFFICER, PROMOTER  
AND CONTROL PERSON INFORMATION)**

**Schedule 2 must be filed in the format of an Excel spreadsheet in a form acceptable to the securities regulatory authority or regulator.**

Complete the following only if Item 9(a) is required to be completed. **This schedule also requires information to be provided about control persons of the issuer at the time of the distribution.**

The information in this schedule will not be placed on the public file of any securities regulatory authority or regulator. However, freedom of information legislation may require the securities regulatory authority or regulator to make this information available if requested.

**a) General information (provide only once)**

1. Name of issuer
2. Certification date (YYYY-MM-DD)

**b) Business contact information of Chief Executive Officer (if not provided in Item 10 or 11 of report)**

1. Email address
2. Telephone number

**c) Residential address of directors, executive officers, promoters and control persons of the issuer**

*Provide the following information for each individual who is a director, executive officer, promoter or control person of the issuer at the time of the distribution. If the promoter or control person is not an individual, provide the following information for each director and executive officer of the promoter and control person. (Note: names of directors, executive officers and promoters must be consistent with the information in Item 9 of the report, if required to be provided.)*

1. Family name
2. First given name
3. Secondary given names
4. Residential street address
5. Municipality
6. Province/State
7. Postal code/Zip code
8. Country
9. Indicate whether the individual is a control person, or a director and/or executive officer of a control person (if applicable)

**d) Non-individual control persons (if applicable)**

*If the control person is not an individual, provide the following information. For locations within Canada, state the province or territory, otherwise state the country.*

1. Organization or company name
2. Province or country of business location

**Questions:**

Refer any questions to:

**Alberta Securities Commission**  
Suite 600, 250 - 5th Street SW  
Calgary, Alberta T2P 0R4

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Telephone: 403-297-6454  
Facsimile: 403-297-6156  
Toll free in Canada: 1-877-355-0585  
Public official contact regarding indirect collection of information: FOIP Coordinator

**British Columbia Securities Commission**

P.O. Box 10142, Pacific Centre  
701 West Georgia Street  
Vancouver, British Columbia V7Y 1L2  
Inquiries: 604-899-6854  
Toll free in Canada: 1-800-373-6393  
Facsimile: 604-899-6506  
Email: FOI-privacy@bcsc.bc.ca  
Public official contact regarding indirect collection of information: Privacy Officer

**The Manitoba Securities Commission**

500 - 400 St. Mary Avenue  
Winnipeg, Manitoba R3C 4K5  
Telephone: 204-945-2561  
Toll free in Manitoba: 1-800-655-5244  
Facsimile: 204-945-0330  
Public official contact regarding indirect collection of information: Director

**Financial and Consumer Services Commission (New Brunswick)**

85 Charlotte Street, Suite 300  
Saint John, New Brunswick E2L 2J2  
Telephone: 506-658-3060  
Toll free in Canada: 1-866-933-2222  
Facsimile: 506-658-3059  
Email: info@fcnb.ca  
Public official contact regarding indirect collection of information: Chief Executive Officer and Privacy Officer

**Government of Newfoundland and Labrador  
Office of the Superintendent**

Department of Digital Government and Service NL  
P.O. Box 8700  
Confederation Building  
2nd Floor, West Block  
Prince Philip Drive  
St. John's, Newfoundland and Labrador A1B 4J6  
Attention: Superintendent of Securities  
Telephone: 709-729-2571  
Facsimile: 709-729-6187  
Public official contact regarding indirect collection of information: Superintendent of Securities

**Government of the Northwest Territories**

Office of the Superintendent of Securities  
P.O. Box 1320  
Yellowknife, Northwest Territories X1A 2L9  
Telephone: 867-767-9305  
Facsimile: 867-873-0243  
Public official contact regarding indirect collection of information: Superintendent of Securities

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**Nova Scotia Securities Commission**

Suite 400, 5251 Duke Street  
Duke Tower  
P.O. Box 458  
Halifax, Nova Scotia B3J 2P8  
Telephone: 902-424-7768  
Facsimile: 902-424-4625  
Public official contact regarding indirect collection of information: Executive Director

**Government of Nunavut Office of the Superintendent of Securities**

Legal Registries Division  
P.O. Box 1000, Station 570  
4th Floor, Building 1106  
Iqaluit, Nunavut X0A 0H0  
Telephone: 867-975-6590  
Facsimile: 867-975-6594  
Public official contact regarding indirect collection of information: Superintendent of Securities

**Ontario Securities Commission**

20 Queen Street West, 22nd Floor  
Toronto, Ontario M5H 3S8  
Telephone: 416-593-8314  
Toll free in Canada: 1-877-785-1555  
Facsimile: 416-593-8122  
Email: [exemptmarketfilings@osc.gov.on.ca](mailto:exemptmarketfilings@osc.gov.on.ca)  
Public official contact regarding indirect collection of information: Inquiries Officer

**Prince Edward Island Securities Office**

95 Rochford Street, 4th Floor Shaw Building  
P.O. Box 2000  
Charlottetown, Prince Edward Island C1A 7N8  
Telephone: 902-368-4569  
Facsimile: 902-368-5283  
Public official contact regarding indirect collection of information: Superintendent of Securities

**Autorité des marchés financiers**

800, rue du Square-Victoria, 22e étage  
C.P. 246, Place Victoria  
Montréal, Québec H4Z 1G3  
Telephone: 514-395-0337 or 1-877-525-0337  
Facsimile: 514-873-6155 (For filing purposes only)  
Facsimile: 514-864-6381 (For privacy requests only)  
Email: [financementdessocietes@lautorite.qc.ca](mailto:financementdessocietes@lautorite.qc.ca) (For corporate finance issuers);  
[fonds\\_dinvestissement@lautorite.qc.ca](mailto:fonds_dinvestissement@lautorite.qc.ca) (For investment fund issuers)  
Public official contact regarding indirect collection of information: Corporate Secretary

**Financial and Consumer Affairs Authority of Saskatchewan**

Suite 601 – 1919 Saskatchewan Drive  
Regina, Saskatchewan S4P 4H2  
Telephone: 306-787-5842  
Facsimile: 306-787-5899  
Public official contact regarding indirect collection of information: Executive Director, Securities Division

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**Office of the Superintendent of Securities  
Government of Yukon  
Department of Community Services**

307 Black Street, 1st Floor  
P.O. Box 2703, C-6  
Whitehorse, Yukon Y1A 2C6  
Telephone: 867-667-5466  
Facsimile: 867-393-6251  
Email: securities@yukon.ca

Public official contact regarding indirect collection of information: Superintendent of Securities”.

**(6) Form 45-106F3 is amended in Item 2.2 by striking out “SEDAR website at www.sedar.com” and substituting “SEDAR+ website at www.sedarplus.com”.**

**(7) Form 45-106F3 is amended in Item 2.3 by striking out “SEDAR” and substituting “SEDAR+”.**

**(8) Form 45-106F3 is amended in paragraph 1 of Item C by striking out “SEDAR” and substituting “SEDAR+”.**

**(9) Form 45-106F3 is amended in paragraph 2 of Item D by striking out “SEDAR” and substituting “SEDAR+”.**

**(10) Form 45-106F14 is amended in Item 9 of Part 2 by striking out “SEDAR” and substituting “SEDAR+”.**

**(11) Form 45-106F15 is amended in Item 40 of Part 11 by striking out “SEDAR” and substituting “SEDAR+”.**

**(12) Form 45-106F19 is amended in Item 14 of Part 6 by striking out “www.sedar.com” and substituting “www.sedarplus.com”.**

**Part XLVII amended**

**18(1)** Part XLVII of the Appendix is amended in the manner set forth in this section.

**(2) Subsection 3.2(5) is amended by striking out “National Instrument 13-101 *System for Electronic Document Analysis and Retrieval* (SEDAR)” and substituting “National Instrument 13-103 *System for Electronic Data Analysis and Retrieval* + (SEDAR+)”.**

**(3) Subsection 3.2(6) is amended by striking out “in an acceptable electronic format under National Instrument 13-101 *System for Electronic Document Analysis and Retrieval* (SEDAR)” and substituting “electronically under National Instrument 13-103 *System for Electronic Data Analysis and Retrieval* + (SEDAR+)”.**

**(4) Form 62-104F1 is amended in Part 1(b) by striking out “SEDAR at www.sedar.com” and substituting “SEDAR+ at www.sedarplus.com”.**

**(5) Form 62-104F2 is amended in Part 1(b) by striking out “SEDAR at www.sedar.com” and substituting “SEDAR+ at www.sedarplus.com”.**

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**Part XLVIII amended**

19(1) Part XLVIII of the Appendix is amended in the manner set forth in this section.

**(2) Section 1.1 is amended by repealing the definition of “SEDAR” and substituting the following:**

“ ‘SEDAR+’ has the same meaning as in National Instrument 13-103 *System for Electronic Data Analysis and Retrieval* + (SEDAR+)”.

**(3) Paragraph 3.3(1)(b) is amended by striking out “SEDAR” and substituting “SEDAR+”.**

**(4) Item 3.3(2)(b)(ii) is amended by striking out “SEDAR” and substituting “SEDAR+”.**

**(5) Appendix D is amended in the first row of the table:**

**(a) in the “Provisions” column by striking out “SEDAR” and substituting “SEDAR+”; and**

**(b) in the columns listing the jurisdictions by striking out “NI 13-101” and substituting “NI 13-103”.**

**Part XLVIII.1 amended**

20(1) Part XLVIII.1 of the Appendix is amended in the manner set forth in this section.

**(2) Paragraph 6.2(a) is amended by striking out “SEDAR” and substituting “SEDAR+”.**

**(3) Paragraph 6.3(e) is amended by striking out “SEDAR” and substituting “SEDAR+”.**

**(4) Section 7.3 is amended by striking out “SEDAR” and substituting “SEDAR+”.**

**Part LII amended**

21(1) Part LII of the Appendix is amended in the manner set forth in this section.

**(2) Paragraph 5(a) is repealed and the following substituted:**

“(a) National Instrument 13-103 *System for Electronic Data Analysis and Retrieval* + (SEDAR+)”.

**(3) Subsection 7(2) is amended by striking out “in electronic format under section 2.2 of National Instrument 13-101 *System for Electronic Document Analysis and Retrieval* (SEDAR)” and substituting “in accordance with National Instrument 13-103 *System for Electronic Data Analysis and Retrieval* + (SEDAR+)”.**

**(4) Subsection 8(3) is amended by striking out “in electronic format in accordance with National Instrument 13-101 *System for Electronic Document Analysis and Retrieval* (SEDAR)” and substituting “in accordance with National Instrument 13-103 *System for Electronic Data Analysis and Retrieval* + (SEDAR+)”.**



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(5) Form 51-105F3A is amended in the General Instructions under “Delivery” by striking out “System for Electronic Document Analysis and Retrieval (SEDAR)” and substituting “System for Electronic Data Analysis and Retrieval + (SEDAR+)”.

**Part LX amended**

22 Part LX of the Appendix is amended in Item 10 of Form 45-108F1 by striking out “SEDAR website at www.sedar.com” and substituting “SEDAR+ website at www.sedarplus.com”.

**Part LXVI amended**

23 Part LXVI of the Appendix is amended in paragraph 5(2)(c) by striking out “SEDAR at www.sedar.com” and substituting “SEDAR+ at www.sedarplus.com”.

**New Part LXVIII**

24 The Appendix is amended by adding the following Part after Part LXVII:

“PART LXVIII  
[clause 2(ppp)]

“NATIONAL INSTRUMENT 13-103  
SYSTEM FOR ELECTRONIC DATA ANALYSIS AND RETRIEVAL +  
(SEDAR+)”

**Definitions and Interpretation**

1 (1) In this Instrument:

“**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 securities regulatory authority or regulator;

“**profile**” means a set of information providing a profile of a person or company;

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

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

**Transmission of documents through SEDAR+**

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



**Transmission of documents outside of SEDAR+**

- 3 Unless a decision made under securities legislation provides for filing or delivery through SEDAR+, a person or company must not file or deliver the following through SEDAR+:
- (a) a document required or permitted to be filed with or delivered to the securities regulatory authority or regulator 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 National Instrument 51-102 *Continuous Disclosure Obligations*;
  - (c) a Form 51-102F3 *Material Change Report* filed on a confidential basis under subsection 7.1(2) of National Instrument 51-102 *Continuous Disclosure Obligations*, subsection 11.2(2) of National Instrument 81-106 *Investment Fund Continuous Disclosure* or, in Ontario, subsection 75(3) of the *Securities Act* (Ontario);
  - (d) a notice under subsection 7.1(5) of National Instrument 51-102 *Continuous Disclosure Obligations*, subsection 11.2(4) of National Instrument 81-106 *Investment Fund Continuous Disclosure* or, in Ontario, subsection 75(4) of the *Securities Act* (Ontario);
  - (e) a notice under subsection 13.2(2) of National Instrument 51-102 *Continuous Disclosure Obligations*;
  - (f) a notice under subsection 5(1) or 6(1) of National Instrument 52-108 *Auditor Oversight*;
  - (g) a Form 62-104F1 *Take-Over Bid Circular* 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 National Instrument 81-106 *Investment Fund Continuous Disclosure*;
  - (i) a document that a person or company is required or permitted to file or deliver pursuant to a provision of, or a decision of the securities regulatory authority or regulator issued in respect of, securities legislation listed in Column A of the Appendix, other than the exceptions listed in Column B of the Appendix.

**Profile requirements**

- 4 (1) Before a person or company transmits a document through SEDAR+ for the first time, the person or company must file a profile by transmitting it through SEDAR+.
- (2) If information contained in a profile becomes inaccurate, the person or company must file an updated profile with the accurate information by transmitting it through SEDAR+ at the earlier of
- (a) the next time the person or company transmits a document through SEDAR+ after the date on which the person or company knew or reasonably should have known that the information contained in the profile is inaccurate, and

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- (b) 10 days after the date on which the person or company knew or reasonably should have known that the information contained in the profile is inaccurate.

**Payment of fees**

- 5 (1) At the time that a person or company transmits a document through SEDAR+, a person or company must pay through SEDAR+
- (a) the prescribed fee for that document, other than a fee prescribed under Multilateral Instrument 13-102 *System Fees* or, in Manitoba, an equivalent regulation, to the securities regulatory authority or regulator, and
  - (b) the fee for that document prescribed under Multilateral Instrument 13-102 *System Fees* or, in Manitoba, an equivalent regulation, to the person or company'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 or company is transmitting through SEDAR+ a document to which Multilateral Instrument 11-102 *Passport System* applies, 'principal regulator' has the meaning set out in Part 3, 4, 4A, 4B or 4C of Multilateral Instrument 11-102 *Passport System*, as applicable.
- (3) For the purposes of subsection (1), if the person or company is transmitting through SEDAR+ a document to which Multilateral Instrument 11-102 *Passport System* does not apply, the principal regulator is the securities regulatory authority or regulator that would be the principal regulator if Part 3 of Multilateral Instrument 11-102 *Passport System* applied.
- (4) Despite subsection (3), if the person or company is transmitting through SEDAR+ a Form 45-106F1 *Report of Exempt Distribution*, and the person or company 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 securities regulatory authority or regulator of the jurisdiction with which the person or company has the most significant connection.

**Temporary hardship exemption**

- 6 (1) If technical difficulties prevent a person or company from transmitting a document through SEDAR+ within the time required or permitted under securities legislation, the person or company may file the document with or deliver the document to the securities regulatory authority or regulator outside of SEDAR+ no later than 2 business days after the date on or by which the person or company was required or permitted to file the document with, or deliver the document to, the securities regulatory authority or regulator.
- (2) A person or company 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 NATIONAL INSTRUMENT 13-103 *SYSTEM FOR ELECTRONIC DATA ANALYSIS AND RETRIEVAL* + (SEDAR+), THIS [*SPECIFY DOCUMENT*] IS BEING FILED OR DELIVERED OUTSIDE OF SEDAR+ UNDER A TEMPORARY HARDSHIP EXEMPTION.

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- (3) If a person or company files or delivers a document to the securities regulatory authority or regulator in the manner and within the time prescribed by this section, the person or company is exempt from the requirement to file or deliver the document by the date prescribed in securities legislation.
- (4) If a person or company files or delivers a document to the securities regulatory authority or regulator outside of SEDAR+ in reliance on this section, the person or company must transmit the document to the securities regulatory authority or regulator through SEDAR+ as soon as practicable and in any event within 3 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 NATIONAL INSTRUMENT 13-103 *SYSTEM FOR ELECTRONIC DATA  
ANALYSIS AND RETRIEVAL* + (SEDAR+).

#### Decisions

- 7 (1) Despite paragraph 3(i), if a decision made under securities legislation requires a person or company 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 or company must file or deliver the document by transmitting it through SEDAR+.
- (2) In British Columbia, subsection (1) does not apply.

#### Exemptions

- 8 (1) The securities regulatory authority or regulator may grant an exemption from this Instrument, 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 Instrument.
- (3) Except in Alberta and Ontario, an exemption referred to in subsection (1) is granted under the statute referred to in Appendix B of National Instrument 14-101 Definitions opposite the name of the local jurisdiction.

#### Repeal of former instrument

- 9 National Instrument 13-101 *System for Electronic Document Analysis and Retrieval (SEDAR)* is repealed.

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**“APPENDIX  
TO  
NATIONAL INSTRUMENT 13-103  
SYSTEM FOR ELECTRONIC DATA ANALYSIS AND RETRIEVAL +  
(SEDAR+)**

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

<b>Column A</b>	<b>Column B</b>
<b>National and multilateral instruments pursuant to which documents must not be filed or delivered through SEDAR+</b>	<b>Exceptions to Column A: Filers who must file or deliver the document through SEDAR+</b>
Part 4A Registration and Part 4B Application to Become a Designated Rating Organization of Multilateral Instrument 11-102 Passport System	N/A
National Instrument 21-101 <i>Marketplace Operation</i>	N/A
National Instrument 23-101 <i>Trading Rules</i>	N/A
National Instrument 23-102 <i>Use of Client Brokerage Commissions</i>	N/A
National Instrument 23-103 <i>Electronic Trading and Direct Electronic Access to Marketplace</i>	N/A
National Instrument 24-101 <i>Institutional Trade Matching and Settlement</i>	N/A
National Instrument 24-102 <i>Clearing Agency Requirements</i>	N/A
National Instrument 25-101 <i>Designated Rating Organizations</i>	N/A
National Instrument 31-102 <i>National Registration Database</i>	N/A
National Instrument 31-103 <i>Registration Requirements, Exemptions and Ongoing Registrant Obligations</i>	N/A
Multilateral Instrument 32-102 <i>Registration Exemptions for Non-Resident Investment Fund Managers</i>	N/A
National Instrument 33-105 <i>Underwriting Conflicts</i>	N/A
National Instrument 33-109 <i>Registration Information</i>	N/A
National Instrument 35-101 <i>Conditional Exemption From Registration For United States Broker-Dealers and Agents</i>	N/A

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Column A	Column B
<b>National and multilateral instruments pursuant to which documents must not be filed or delivered through SEDAR+</b>	<b>Exceptions to Column A: Filers who must file or deliver the document through SEDAR+</b>
Multilateral Instrument 45-108 <i>Crowdfunding</i>	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
National Instrument 45-110 <i>Start-Up Crowdfunding Registration and Prospectus Exemptions</i>	An issuer filing a document under section 6 An issuer filing an application for an exemption under section 7
National Instrument 52-107 <i>Acceptable Accounting Principles and Auditing Standards</i>	An issuer filing an application for an exemption under subsection 5.1(1)
National Instrument 55-102 <i>System for Electronic Disclosure by Insiders (SEDI)</i>	An issuer filing an application for an exemption under subsection 6.1(1)
National Instrument 55-104 <i>Insider Reporting Requirements and Exemptions</i>	An issuer filing an application for an exemption under subsection 10.1(1)
Multilateral Instrument 91-101 <i>Derivatives: Product Determination</i>	N/A
Multilateral Instrument 91-102 <i>Prohibition of Binary Options</i>	N/A
Multilateral Instrument 91-506 <i>Derivatives: Product Determination</i>	N/A
Multilateral Instrument 91-507 <i>Trade Repositories and Derivatives Data Reporting</i>	N/A
National Instrument 94-101 <i>Mandatory Central Counterparty Clearing of Derivatives</i>	N/A
National Instrument 94-102 <i>Derivatives: Customer Clearing and Protection of Customer Collateral and Positions</i>	N/A
Multilateral Instrument 96-101 <i>Trade Repositories and Derivatives Data Reporting</i>	N/A

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Column A	Column B
<b>British Columbia securities legislation pursuant to which documents must not be filed or delivered through SEDAR+</b>	<b>Exceptions to Column A: Filers who must file or deliver the document through SEDAR+</b>
Exemption orders (Part 1) – section 3.1 of the <i>Securities Act</i> 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 <i>Securities Act</i> R.S.B.C. 1996, c 418	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 <i>Securities Act</i> R.S.B.C. 1996, c 418	N/A
Registration (Part 5) – sections 34-41 of the <i>Securities Act</i> R.S.B.C. 1996, c 418	N/A
Exemption order by commission or executive director (Part 6) – section 48 of the <i>Securities Act</i> R.S.B.C. 1996, c 418	A person filing an application for an exemption from the prospectus requirement
Trading in Derivatives (Part 8) – sections 58-60 of the <i>Securities Act</i> R.S.B.C. 1996, c 418	N/A
Initial and subsequent insider report – section 87 of the <i>Securities Act</i> R.S.B.C. 1996, c 418	N/A
Exemption order by commission or executive director (Part 12) – section 91 of the <i>Securities Act</i> R.S.B.C. 1996, c 418	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

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Column A	Column B
<b>British Columbia securities legislation pursuant to which documents must not be filed or delivered through SEDAR+</b>	<b>Exceptions to Column A: Filers who must file or deliver the document through SEDAR+</b>
Filing and inspection of records (Part 20) – section 169 of the <i>Securities Act</i> R.S.B.C. 1996, c 418	An issuer filing an application under section 169
Discretion to revoke or vary decision (Part 20) – section 171 of the <i>Securities Act</i> R.S.B.C. 1996, c 418	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 <i>Securities Act</i> R.S.B.C. 1996, c 418	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
<b>Alberta securities legislation pursuant to which documents must not be filed or delivered through SEDAR+</b>	<b>Exceptions to Column A: Filers who must file or deliver the document through SEDAR+</b>
Form 4 Report by a Registered Owner of Securities Beneficially Owned by an Insider Under Section 183 of the <i>Securities Act</i> – section 17 of <i>Alberta Securities Commission Rules (General)</i>	N/A
Designation orders – section 10 of the <i>Securities Act</i> 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 <i>Securities Act</i> RSA 2000, c S-4	N/A
Surrender of registration – section 78 of the <i>Securities Act</i> RSA 2000, c S-4	N/A
Further Information – section 82 of the <i>Securities Act</i> RSA 2000, c S-4	N/A
Trading in Securities and Derivatives Generally – Part 7 of the <i>Securities Act</i> RSA 2000, c S-4	N/A
Discretionary exemptions – section 144 of the <i>Securities Act</i> RSA 2000, c S-4	A person or company filing an application for relief from the prospectus requirement



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Column A	Column B
<b>Alberta securities legislation pursuant to which documents must not be filed or delivered through SEDAR+</b>	<b>Exceptions to Column A: Filers who must file or deliver the document through SEDAR+</b>
Applications to the Commission – section 179 of the <i>Securities Act</i> RSA 2000, c S-4	An issuer filing an application under section 179
General Exemption – section 213 of the <i>Securities Act</i> RSA 2000, c S-4	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 <i>Securities Act</i> RSA 2000, c S-4	An issuer filing an application under section 214
Filing and confidentiality – section 221 of the <i>Securities Act</i> RSA 2000, c S-4	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"> <li>• an application under section 3</li> <li>• Form 13-501F1 <i>Class 1 Reporting Issuers and Class 3B Reporting Issuers – Participation Fee</i></li> <li>• Form 13-501F2 <i>Class 2 Reporting Issuers – Participation Fee</i></li> <li>• Form 13-501F3 <i>Adjustment of Fee Payment for Class 2 Reporting Issuer</i></li> <li>• Form 13-501F4 <i>Class 3A Reporting Issuers – Participation Fee</i></li> <li>• Form 13-501F5 <i>Investment Fund – Participation Fee</i></li> <li>• Form 13-501F6 <i>Subsidiary Exemption Notice</i></li> </ul>



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Column A	Column B
<b>Alberta securities legislation pursuant to which documents must not be filed or delivered through SEDAR+</b>	<b>Exceptions to Column A: Filers who must file or deliver the document through SEDAR+</b>
Alberta Securities Commission Rule 91-504 <i>Strip Bonds</i>	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 <i>Alberta Securities Commission Rules (General)</i>	N/A
Trading in Securities and Derivatives Generally – Part 4 of <i>Alberta Securities Commission Rules (General)</i>	N/A

Column A	Column B
<b>Saskatchewan securities legislation pursuant to which documents must not be filed or delivered through SEDAR+</b>	<b>Exceptions to Column A: Filers who must file or deliver the document through SEDAR+</b>
Designation – section 11.1 of <i>The Securities Act, 1988</i> 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) of <i>The Securities Act, 1988</i> SS 1988-89, c S-42.2	N/A
Designation of Entities (Part V.1) of <i>The Securities Act, 1988</i> SS 1988-89, c S-42.2	N/A
Voluntary surrender of registration – section 29 of <i>The Securities Act, 1988</i> SS 1988-89, c S-42.2	N/A
Trading in Securities and Derivatives (Part IX) of <i>The Securities Act, 1988</i> SS 1988-89, c S-42.2	N/A
Saskatchewan General Ruling/Order 91-906 <i>Strip Bonds</i>	A person or company other than a registrant filing an application pursuant to Saskatchewan General Ruling/Order 91-906 <i>Strip Bonds</i>

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Column A	Column B
<b>Saskatchewan securities legislation pursuant to which documents must not be filed or delivered through SEDAR+</b>	<b>Exceptions to Column A: Filers who must file or deliver the document through SEDAR+</b>
Order relieving reporting issuer of status as reporting issuer, section 92 of <i>The Securities Act, 1988</i> SS 1988-89, c S-42.2	An issuer filing an application for an order pursuant to section 92
Applications to the Commission – section 101 of <i>The Securities Act, 1988</i> SS 1988-89, c S-42.2	N/A
Part XVIII-Enforcement – section 135.6 of <i>The Securities Act, 1988</i> SS 1988-89, c S-42.2 Financial compensation	N/A
Order re exemption or declaration – section 83 of <i>The Securities Act, 1988</i> SS 1988-89, c S-42.2	An issuer filing an application pursuant to section 83
Filing in other Jurisdictions – section 130 of <i>The Securities Act, 1988</i> SS 1988-89, c S-42.2	An issuer filing an application pursuant to section 130
Filing and Inspection of material – section 152 (1) of <i>The Securities Act, 1988</i> SS 1988-89, c S-42.2	An issuer filing an application pursuant to section 152
Revoke or vary decisions – section 158(3) of <i>The Securities Act, 1988</i> SS 1988-89, c S-42.2	An issuer filing an application pursuant to section 158(3)
General Exemption – section 160 of <i>The Securities Act, 1988</i> SS 1988-89, c S-42.2	An issuer filing an application pursuant to section 160

Column A	Column B
<b>Manitoba securities legislation pursuant to which documents must not be filed or delivered through SEDAR+</b>	<b>Exceptions to Column A: Filers who must file or deliver the document through SEDAR+</b>
Exemption by commission – section 20 of the <i>Securities Act</i> C.C.S.M. c.S50	An issuer filing an application under section 20
Blanket Order – section 20 of the <i>Securities Act</i> C.C.S.M. c.S50	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.

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Column A	Column B
<b>Manitoba securities legislation pursuant to which documents must not be filed or delivered through SEDAR+</b>	<b>Exceptions to Column A: Filers who must file or deliver the document through SEDAR+</b>
Self-regulatory organizations (Part IV.1) – sections 31.1, 31.3 and 31.4 of the <i>Securities Act</i> C.C.S.M. c.S50	N/A
Trade repositories and clearing agencies (Part IV.2) – sections 31.6, 31.11 and 31.12 of the <i>Securities Act</i> C.C.S.M. c.S50	N/A
Trading in derivatives (Part VIII.1) – section 79.1 of the <i>Securities Act</i> C.C.S.M. c.S50	N/A
Designating a person or company as an insider – section 108.1 of the <i>Securities Act</i> C.C.S.M. c.S50	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 <i>Securities Act</i> C.C.S.M. c.S50	An issuer filing an application under section 116
Audit oversight bodies (Part XX) – sections 204 and 206 of the <i>Securities Act</i> C.C.S.M. c.S50	N/A

Column A	Column B
<b>Ontario securities legislation pursuant to which documents must not be filed or delivered through SEDAR+</b>	<b>Exceptions to Column A: Filers who must file or deliver the document through SEDAR+</b>
Relieving orders – subsection 1(10) of the <i>Securities Act</i> , RSO 1990, c S.5	An issuer filing an application for an order under subsection 1(10)
Designation – subsection 1(11) of the <i>Securities Act</i> , RSO 1990, c S.5	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 <i>Securities Act</i> , RSO 1990, c S.5	N/A
Credit rating organizations – Part IX of the <i>Securities Act</i> , RSO 1990, c S.5	N/A

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Column A	Column B
<b>Ontario securities legislation pursuant to which documents must not be filed or delivered through SEDAR+</b>	<b>Exceptions to Column A: Filers who must file or deliver the document through SEDAR+</b>
Benchmarks – Part X of the <i>Securities Act</i> , RSO 1990, c S.5	N/A
Registration – Part XI of the <i>Securities Act</i> , RSO 1990, c S.5	N/A
Disclosure of trade information to the Commission – subsection 36(2) of the <i>Securities Act</i> , RSO 1990, c S.5	N/A
Exemption order – subsection 74(1) of the <i>Securities Act</i> , RSO 1990, c S.5	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 <i>Securities Act</i> , RSO 1990, c S.5	N/A
Report of transfer by insider – section 109 of the <i>Securities Act</i> , RSO 1990, c S.5	N/A
Filing in other jurisdictions – section 121 of the <i>Securities Act</i> , RSO 1990, c S.5	An issuer filing an application under section 121
Filing and inspection of material – section 140 of the <i>Securities Act</i> , RSO 1990, c S.5	An issuer filing an application under section 140
Class order exemption – subsection 143.11(2) of the <i>Securities Act</i> , RSO 1990, c S.5	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 <i>Securities Act</i> , RSO 1990, c S.5	An issuer filing an application under section 144
Exemption – section 147 of the <i>Securities Act</i> , RSO 1990, c S.5	An issuer filing an application under section 147
OSC Rule 11-501 Electronic Delivery of Documents to the Ontario Securities Commission	N/A

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Column A	Column B
<b>Ontario securities legislation pursuant to which documents must not be filed or delivered through SEDAR+</b>	<b>Exceptions to Column A: Filers who must file or deliver the document through SEDAR+</b>
OSC Rule 13-502 Fees	<p>An issuer filing any of the following:</p> <ul style="list-style-type: none"> <li>• Form 13-502F1 <i>Class 1 and Class 3B Reporting Issuers – Participation Fee</i></li> <li>• Form 13-502F2 <i>Class 2 Reporting Issuers – Participation Fee</i></li> <li>• Form 13-502F2A <i>Adjustment of Fee for Class 2 Reporting Issuers</i></li> <li>• Form 13-502F3A <i>Class 3A Reporting Issuers – Participation Fee</i></li> <li>• Form 13-502F6 <i>Subsidiary Exemption Notice</i></li> <li>• an application under section 8.1</li> </ul>
OSC Rule 31-505 <i>Conditions of Registration</i>	N/A
OSC Rule 32-501 <i>Direct Purchase Plans</i>	N/A
OSC Rule 32-505 <i>Conditional Exemption from Registration for United States Broker-Dealers and Advisers Servicing U.S. Clients from Ontario</i>	N/A
OSC Rule 35-502 <i>Non-Resident Advisers</i>	An issuer filing an application under OSC Rule 35-502
OSC Rule 91-501 <i>Strip Bonds</i>	A person or company other than a registrant filing an application under OSC Rule 91-501
OSC Rule 91-502 <i>Trades in Recognized Options</i>	N/A
OSC Rule 91-507 <i>Trade Repositories and Derivatives Data Reporting</i>	N/A

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Column A	Column B
<b>Québec securities legislation pursuant to which documents must not be filed or delivered through SEDAR+</b>	<b>Exceptions to Column A: Filers who must file or deliver the document through SEDAR+</b>
Insider reports – sections 89 to 98 of the <i>Securities Act</i> , CQLR, c. V-1.1	N/A
Surrender of registration – section 153 of the <i>Securities Act</i> , CQLR, c. V-1.1	N/A
Self-Regulatory Organizations, Securities Exchange or Clearing Activities, Credit rating Organization, Benchmarks and Benchmark Administrators – sections 169 to 186.6 of the <i>Securities Act</i> , CQLR, c. V-1.1	N/A
Exemption order by the Autorité des marchés financiers – section 263 of the <i>Securities Act</i> , CQLR, c. V-1.1	An issuer filing an application for an exemption A person filing an application for an exemption from the prospectus requirement An issuer required or permitted to file or deliver a document pursuant to an exemption order
Blanket order by Autorité des marchés financiers – section 263 of the <i>Securities Act</i> , CQLR, c. V-1.1	An issuer required or permitted to file or deliver a document pursuant to a blanket order
Designation – section 272.2 of the <i>Securities Act</i> , CQLR, c. V-1.1	A person filing an application to be designated a non-redeemable investment fund, a mutual fund or a reporting issuer An issuer required or permitted to file or deliver a document pursuant to a designation order
<i>Derivatives Act</i> , CQLR, c. I-14.01	N/A
<i>An Act Respecting the Regulation of the Financial Sector</i> , CQLR, c. A-33.2	N/A

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Column A	Column B
<b>New Brunswick securities legislation pursuant to which documents must not be filed or delivered through SEDAR+</b>	<b>Exceptions to Column A: Filers who must file or deliver the document through SEDAR+</b>
Designations – section 1.1(1) of the <i>Securities Act</i> 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 <i>Securities Act</i> SNB 2004, c S-5.5.	N/A
Exemption orders – section 44.02(1) of the <i>Securities Act</i> SNB 2004, c S-5.5.	N/A
Further information – section 50 of the <i>Securities Act</i> SNB 2004, c S-5.5.	N/A
Surrender of registration – section 51(1) of the <i>Securities Act</i> SNB 2004, c S-5.5.	N/A
Exemption order – section 55(1) of the <i>Securities Act</i> SNB 2004, c S-5.5.	A person filing an application that also includes relief from the prospectus requirement
Derivatives – section 70.5(1) of the <i>Securities Act</i> SNB 2004, c S-5.5.	N/A
Prospectus and distribution – section 80(1) of the <i>Securities Act</i> SNB 2004, c S-5.5.	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 <i>Securities Act</i> SNB 2004, c S-5.5.	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



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Column A	Column B
<b>New Brunswick securities legislation pursuant to which documents must not be filed or delivered through SEDAR+</b>	<b>Exceptions to Column A: Filers who must file or deliver the document through SEDAR+</b>
Insider trading and self-dealing – section 148(1) of the <i>Securities Act</i> SNB 2004, c S-5.5.	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
Filing and inspection of material – section 198 of the <i>Securities Act</i> SNB 2004, c S-5.5.	An issuer filing an application under section 198
Powers to revoke or vary decision – section 205.1(1) of the <i>Securities Act</i> SNB 2004, c S-5.5	An issuer filing an application under section 205.1(1) An issuer required or permitted to file or deliver a document pursuant to an order
General – Exemption order – section 208(1) of the <i>Securities Act</i> SNB 2004, c S-5.5.	An issuer filing an application under section 208(1) An issuer required or permitted to file or deliver a document pursuant to an order

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Column A	Column B
<b>Nova Scotia securities legislation pursuant to which documents must not be filed or delivered through SEDAR+</b>	<b>Exceptions to Column A: Filers who must file or deliver the document through SEDAR+</b>
Recognition of self-regulatory organizations – section 30 of the <i>Securities Act</i> , RSNS 1989, c. 418, as amended	N/A
Designation – section 30 A of the <i>Securities Act</i> , RSNS 1989, c. 418, 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 <i>Securities Act</i> , RSNS 1989, c. 418, 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 <i>Securities Act</i> , RSNS 1989, c. 418, as amended	N/A
Designation of benchmarks and benchmark administrators – sections 30 N and 30 O of the <i>Securities Act</i> , RSNS 1989, c. 418, as amended	N/A
Voluntary surrender or suspension of registration – section 33 of the <i>Securities Act</i> , RSNS 1989, c. 418, as amended	N/A
Discretionary exemptions – section 79 of the <i>Securities Act</i> , RSNS 1989, c. 418, as amended	A person or company filing an application for relief from the prospectus requirement
Commission orders – section 98 of the <i>Securities Act</i> , RSNS 1989, c. 418, as amended	An issuer filing an application under section 98
Relieving orders – section 121 of the <i>Securities Act</i> , RSNS 1989, c. 418, as amended	An issuer filing an application under section 121
Exemption Order – section 128 of the <i>Securities Act</i> , RSNS 1989, c.418, as amended	An issuer filing an application under section 128
Filing and confidentiality – subsection 148(2) of the <i>Securities Act</i> , RSNS 1989, c. 418, as amended	An issuer filing an application under subsection 148(2)
Revocation or variation of a decision – section 151 of the <i>Securities Act</i> , RSNS 1989, c.418, as amended	An issuer filing an application under section 151
Discretionary exemptions – section 151A of the <i>Securities Act</i> , RSNS 1989, c. 418, as amended	An issuer filing an application under section 151A

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Column A	Column B
<b>Nova Scotia securities legislation pursuant to which documents must not be filed or delivered through SEDAR+</b>	<b>Exceptions to Column A: Filers who must file or deliver the document through SEDAR+</b>
Blanket order – section 151A of the <i>Securities Act</i> , RSNS 1989, c.418, as amended	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.

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

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

Column A	Column B
<b>Yukon securities legislation pursuant to which documents must not be filed or delivered through SEDAR+</b>	<b>Exceptions to Column A: Filers who must file or deliver the document through SEDAR+</b>
Recognition orders – sections 72 and 73 of the <i>Securities Act</i> S.Y. 2007, c.16	N/A
Designation orders – sections 6 and 71 of the <i>Securities Act</i> S.Y. 2007, c.16	N/A
Authorization orders – section 76 of the <i>Securities Act</i> S.Y. 2007, c.16	N/A
Exemption orders – section 16 of the <i>Securities Act</i> S.Y. 2007, c.16	N/A
Superintendent orders – subsection 15(1) of the <i>Securities Act</i> S.Y. 2007, c.16	N/A

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Column A	Column B
<b>Yukon securities legislation pursuant to which documents must not be filed or delivered through SEDAR+</b>	<b>Exceptions to Column A: Filers who must file or deliver the document through SEDAR+</b>
Designation of credit rating organizations – section 83.1 of the <i>Securities Act</i> S.Y. 2007, c.16	N/A
Insider filings – subsection 104(2) and section 105 of the <i>Securities Act</i> S.Y. 2007, c.16	N/A
Exchanges and quotation and trade reporting systems – section 70 of the <i>Securities Act</i> S.Y. 2007, c.16	N/A

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

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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 <i>Securities Act</i> , SNWT 2008, c. 10	N/A
Designation orders – sections 6 and 71 of the <i>Securities Act</i> , SNWT 2008, c. 10	N/A
Authorization orders – section 76 of the <i>Securities Act</i> , SNWT 2008, c. 10	N/A
Exemption orders – section 16 of the <i>Securities Act</i> , SNWT 2008, c. 10	N/A
Superintendent orders – subsection 15(1) of the <i>Securities Act</i> , SNWT 2008, c. 10	N/A
Designation of credit rating organizations – section 83.1 of the <i>Securities Act</i> , SNWT 2008, c. 10	N/A
Insider filings – subsection 104(2) and section 105 of the <i>Securities Act</i> , SNWT 2008, c. 10	N/A
Exchanges and quotation and trade reporting systems – section 70 of the <i>Securities Act</i> , SNWT 2008, c. 10	N/A

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**Coming into force**

25(1) Subject to subsection (2), these regulations come into force on June 9, 2023.

(2) If these regulations are filed with the Registrar of Regulations after June 9, 2023, these regulations comes into force on the day on which they are filed with the Registrar of Regulations.

*Am*