

Schedule B to Staff Notice 13-703 Access to Records under The Securities Act, 1988

Inventory of Records

This is an inventory of the records that are created, collected or filed under *The Securities Act, 1988*. For each record, the table below sets out

1. The provision of the Act or other authority under which the record was collected or filed;
2. Whether the record contains personal information under FOIPP Act;
3. Whether the record contains confidential information under the FOIPP Act;
4. Whether the record contains confidential information under the Act; and
5. Whether the record can be made available to the public.

The classification of a record as a confidential record under *The FOIPP Act* in the table is a preliminary classification. When we receive a request for access under *The FOIPP Act* we will examine the record to ensure that the exemption stated in the table correctly applies to that record.

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Type of Record	Authority (refers to <i>The Securities Act, 1988</i> unless otherwise noted)	Personal information under The FOIPP Act?	Confidential information under The FOIPP Act?	Confidential information under The Securities Act?	Public document?
Prospectus Filings					
General Inquiry Filings					
-pre-filing correspondence and support materials	None	No	Yes. Sec. 19(1)	Y. Sec. 152.1	No
-general inquiry correspondence and support materials	None	No	Yes. Sec. 19(1)	Y. Sec. 152.1	No
-complaints relating to issuer disclosure	None	No	Yes. Sec.15(1)(f)	Y. Sec. 152.1	No
Pre-Filing & Waiver Applications					
-covering letter(s) and support materials	NP 43-201	No	Yes. Sec. 19(1)	Y. Sec. 152.1	No
-principal regulators memos outlining proposed disposition	NP 43-201	No	Yes. Sec. 19(1)	Y. Sec. 152.1	No
-memos from non-principals advising of agreement	NP 43-201	No	Yes. Sec. 13(1) & 19(1)	Y. Sec. 152.1	No
-principal regulators memos outlining final disposition	NP 43-201	No	Yes. Sec. 19(1)	Y. Sec. 152.1	No
Preliminary Prospectus/Proforma Prospectus/Preliminary Short Form Prospectus					
-covering letters	n/a	No	Yes. Sec. 19(1)	Y. Sec. 152.1	No
File the following:					
-signed copy of preliminary/prel. Short form prospectus	GRO 41-901	No	No	No	Yes
-proforma prospectus/blacklined proforma prospectus	OSC 41-501	No	Yes. Sec. 19(1)	Y. Sec. 152.1	No
-qualification certificate as applicable	NI 44-101	No	No	No	Yes
-material incorporated by reference & not previously filed	Section 71	No	No	No	Yes
-material documents & material contracts	As above	No	No	No	Yes
-documents affecting the rights of security holders	As above	No	No	No	Yes
-mining reports and consents under NI 43-101	NI 43-101	No	No	No	Yes
-reports and valuations (oil and gas) and consents	NI 51-101	No	No	No	Yes
-all advertising/sales materials if required	OSC 41-501	No	No	No	Yes

Type of Record	Authority (refers to <i>The Securities Act, 1988</i> unless otherwise noted)	Personal information under The FOIPP Act?	Confidential information under The FOIPP Act?	Confidential information under The Securities Act?	Public document?
Deliver the following:					
-confirmation under 7.2 of NP 43-201	NP 43-201	No	No	Y. Sec. 152.1	No
-Authorization to collect/use/disclose personal information	Section 70	Yes. Sec. 24	Yes. Sec. 29	Y. Sec. 152.1	No
-Auditor's comfort letter re: audited financial statements	Various	No	No	Y. Sec. 152.1	No
Amendments to Preliminary or Final Prospectuses/Short Form Prospectuses	Subsec.62& 63 , NI 44-101, GRO 41-901 / OSC 51- 501				
-covering letter	n/a	No	Yes. Sec. 19(1)	Y. Sec 152.1	No
File the following:					
-signed amendment or amended and restated prospectus	As above	No	No	No	Yes
Deliver the following:					
-confirmation under 10.2 of NP 43-201 as applicable	NP 43-201	No	No	Y. Sec 152.1	No
-confirmation under 10.6 of NP 43-201 as applicable.	NP 43-201	No	No	Y. Sec 152.1	No
Review Process					
-MRRS decision document for preliminary prospectus / receipt for preliminary prospectus	Sec.60,NP43-201	No	No	No	Yes
-MRRS decision document for amendments to preliminary / receipt for amendment to preliminary prospectus	Sec.62,NP43-201	No	No	No	Yes
-comment letters from regulators	NP 43-201	No	Yes. Sec. 19(1)	Y. Sec. 152.1	No
-correspondence between regulators	NP 43-201	No	Yes. Sec. 13(1)	Y. Sec. 152.1	No
-response letters and supporting materials	NP 43-201	No	Yes. Sec. 19(1)	Y. Sec. 152.1	No
-results of collection of personal information	Section 70	Yes. Sec. 24	Yes. Sec. 29	Y. Sec. 152.1	No
-MRRS decision document for final prospectus / receipt for final prospectus	Sec.70,NP43-201	No	No	No	Yes
-MRRS decision document for amendments to final / receipt for amendment to final prospectus	Sec.64,NP43-201	No	No	No	Yes

Type of Record	Authority (refers to <i>The Securities Act, 1988</i> unless otherwise noted)	Personal information under The FOIPP Act?	Confidential information under The FOIPP Act?	Confidential information under The Securities Act?	Public document?
Final Prospectus & Final Short Form Prospectus					
-cover letter	n/a	No	Yes. Sec. 19(1)	Y. Sec 152.1	No
File the following:					
-signed copy of the final/final short form prospectus	GRO 41-901	No	No	No	Yes
-material incorporated by reference not previously filed	OSC 41-501	No	No	No	Yes
-material documents/contracts not previously filed	NI 44-101	No	No	No	Yes
-mining reports and consents under NI 43-101	NI 43-101	No	No	No	Yes
-reports and valuations not previously filed	As Above	No	No	No	Yes
-issuer's submission to jurisdiction	As Above	No	No	No	Yes
-experts consents (solicitor/auditor/engineer/appraiser etc.)	As Above	No	No	No	Yes
-credit supporters consent	As Above	No	No	No	Yes
-undertaking in respect of credit supporter disclosure	As Above	No	No	No	Yes
Deliver the following:					
-confirmation under 7.4 of NP 43-201	NP 43-201	No	No	Y. Sec. 152.1	No
-blacklined prospectus	As Above	No	No	Y. Sec. 152.1	No
Continuous Disclosure					
Continuous Disclosure – General					
-complaints relating to issuer disclosure	None	No	Yes. Sec. 15(1)(f)	Y. Sec. 152.1	No
-general inquiries on status of issuers	None	No	Yes. Sec. 19(1)	Y. Sec. 152.1	No
-staff response letters to the above	None	No	Yes. Sec.15(1)(f)	Y. Sec. 152.1	No
Continuous Disclosure – Required Filings					
Reporting Issuers must file:					
-interim financial statements	NI 51-102 &	No	No	No	Yes

Type of Record	Authority (refers to <i>The Securities Act, 1988</i> unless otherwise noted)	Personal information under The FOIPP Act?	Confidential information under The FOIPP Act?	Confidential information under The Securities Act?	Public document?
-annual audited financial statements	NI 81-106	No	No	No	Yes
-annual independent valuation of venture investments	As above	No	No	No	Yes
-interim MD&A	As above	No	No	No	Yes
-interim management report of fund performance	As above	No	No	No	Yes
-annual MD&A	As above	No	No	No	Yes
-annual management report of fund performance	As above	No	No	No	Yes
-change in corporate structure filings	As above	No	No	No	Yes
-change in legal structure filings	As above	No	No	No	Yes
-change in auditor filings	As above	No	No	No	Yes
-change in year end filings	As above	No	No	No	Yes
-annual information forms	As above	No	No	No	Yes
-press releases	As above	No	No	No	Yes
-material change reports	As above	No	No	No	Yes
-confidential material change reports	As above	No	Yes. Sec. 19(1)	Y. Sec. 152.1	No
-business acquisition reports	As above	No	No	No	Yes
-notice of shareholders meetings	As above	No	No	No	Yes
-proxy solicitation materials	As above	No	No	No	Yes
-information circulars	As above	No	No	No	Yes
-additional filing requirements for materials sent to security holders in addition to required filings	As above	No	No	No	Yes
-change of status reports (RI vs Venture Issuer)	As above	No	No	No	Yes
-voting results	As above	No	No	No	Yes
-financial press releases	As above	No	No	No	Yes
-documents affecting the rights of securityholders	As above	No	No	No	Yes
-material contracts	As above	No	No	No	Yes
-interim certification of issuer's filings	As above	No	No	No	Yes
-annual certification of issuer's filings	As above	No	No	No	Yes
-audit committee disclosure by venture issuers	As above	No	No	No	Yes
-notifications of reliance on previously granted exemptions	As above	No	No	No	Yes

Type of Record	Authority (refers to <i>The Securities Act, 1988</i> unless otherwise noted)	Personal information under The FOIPP Act?	Confidential information under The FOIPP Act?	Confidential information under The Securities Act?	Public document?
-technical reports for mineral properties/projects	NI 43-101	No	No	No	Yes
-certificates and consents of qualified persons	NI 43-101	No	No	No	Yes
-Form 51-101F1 – Statement of Reserves Data	NI 51-101	No	No	No	Yes
-Form 51-101F2 – Report of Independent qualified Reserves Evaluator or Auditor	NI 51-101	No	No	No	Yes
-Form 51-101F3 – Report of Management and Directors	NI 51-101	No	No	No	Yes
Continuous Disclosure Review Related					
-cover letters	Subsec. 81(15)	No	Yes. Sec. 19(1)	Yes. Sec. 152.1	No
-certificates of non-default	Subsec. 81(15)	No	No	No	Yes
-staff CD review letters	Sub. 134.1(1)(b)	No	Yes. Sec. 15(1) & 19(1)	Yes. Sec. 152.1	No
-issuers response letters and support materials	Sub. 134.1(1)(b)	No	Yes. Sec. 15(1) & 19(1)	Yes. Sec. 152.1	No
-reporting issuers in default listing	Sub. 81(16)	No	No	No	Yes
-filing deficiency letters	Sub.134.1(1)(a)	No	Yes. Sec. 19(1)	Yes. Sec. 152.1	No
-cease trade orders	Sub. 134.1(1)	No	No	No	Yes
-issuers responses/support materials to cease trade orders	Sub. 134.1	No	Yes. Sec. 19(1)	Yes. Sec 152.1	No
-revocation orders	Subsec. 158(4)	No	No	No	Yes
Insider Trading					
Form 55-102F1 – Insider Profile	NI 55-102	Yes. Sec. 24	Yes. Sec. 29	See Schedule A to CP 55-102 for a list	See Schedule A to CP 55-102 for a list

Type of Record	Authority (refers to <i>The Securities Act, 1988</i> unless otherwise noted)	Personal information under The FOIPP Act?	Confidential information under The FOIPP Act?	Confidential information under The Securities Act?	Public document?
				of items not to be made public.	of items not to be made public.
Form 55-102F2 – Insider Report – SEDI Format	As Above	Partially. Sec. 24	Partially. Sec. 29	As Above	As Above
Form 55-102F3 - Issuer profile supplement - SEDI format	As Above	Partially. Sec. 24	Partially. Sec. 29	As Above	As Above
Form 55-102F4 – Issuer Event Report	As Above	Partially. Sec. 24	Partially. Sec. 29	As Above	As Above
Form 55-102F5- SEDI User Registration Form	As Above	Yes. Sec. 24	Yes. Sec. 29	As Above	As Above
Form 55-102F6 – Insider Report – Paper Format	As Above	Partially. Sec. 24	Partially. Sec. 29	As Above	As Above
Exemptions					
Application for discretionary exemption	Any exemption provision and NP 12-601	No	Yes Section 19(1)	Yes Section 152.1	No
Supporting materials	Any exemption provision and NP 12-601	No	Yes Section 19(1)	Yes Section 152.1	No
Draft decision document	Any exemption provision and NP 12-601	No	Yes Section 19(1)	Yes Section 152.1	No
Correspondence to and from the applicant	Any exemption provision and NP 12-601	No	Yes Section 19(1)	Yes Section 152.1	No
Correspondence with other jurisdictions	NP 12-201	No	Yes Section 19(1)	Yes Section 152.1	No

Type of Record	Authority (refers to <i>The Securities Act, 1988</i> unless otherwise noted)	Personal information under The FOIPP Act?	Confidential information under The FOIPP Act?	Confidential information under The Securities Act?	Public document?
Memorandum to decision maker	NP 12- 201	No	Yes Section 19(1)	Yes Section 152.1	No
Decision document	None	No	No	No	Yes
Form 45-106F1 Report of Trade	NI 45-106	No	No	No Section 152	Yes
Schedule I Form 45-106F1 Report of Trade	NI 45-106	Yes	Yes Section 29	Yes Section 152.1	No
Correspondence to and from filer	NI 45-106	Yes	Yes Section 29	Yes Section 152.1	No
Monitoring correspondence	NI 45-106	Yes	Yes Section 29	Yes Section 152.1	No
Other NI 45-106 Offering memorandum	NI 45-106	No	No	No Section 152	Yes
Rights offering circulars	NI 45-106 and NI 45-101	No	No	Yes Section 152.1	Yes
Correspondence to and from the filer	NI 45-106 and NI 45-101	No	Yes Section 19(1)	Yes Section 152.1	No
Correspondence with other jurisdictions	NI 45-106 and NI 45-101	No	Yes Section 19(1)	Yes Section 152.1	No
Approval letter	None	No	No	No	Yes
NI 45-106 section 2.42 Notice re: Conversion	NI 45-106	No	Yes Section 19(1)	Yes Section 152.1	No
Correspondence to and from the filer	NI 45-106	No	Yes Section 19(1)	Yes Section 152.1	No
Approval letter	None	No	No	No	Yes
Notes from public inquiries	N/A	No	Yes Section 19(1)	Yes Section	No

Type of Record	Authority (refers to <i>The Securities Act, 1988</i> unless otherwise noted)	Personal information under The FOIPP Act?	Confidential information under The FOIPP Act?	Confidential information under The Securities Act?	Public document?
				152.1	
Email	N/A	No	Yes Section 19(1)	Yes Section 152.1	No
NI 11-102 Notice of PR	NI 11-101	No	No	No Section 152	Yes
NI 45-102 Form 45-102F1	NI 45-102	Yes	Yes Section 29	No Section 152	No
45-106 Offering Memorandums					
covering letter					
signed copy of offering memorandum	NI 45-106	No	No	No	Yes
comment letters	As above	No	Yes. Sec. 15(1) & 19(1)	Yes	No
response letters and support materials	As above	No	Yes. Sec. 15(1) & 19(1)	Yes	No
material agreements	As above	No	Yes. Sec. 19(1)	Yes	No
supporting technical reports	As above	No	Yes. Sec. 19(1)	Yes	No
revised final offering memorandum	As above	No	No	No	Yes
copies of letters from issuers to their security holders	As above	No	No	No	Yes
correspondence with other jurisdictions	As above	No	Yes. Sec. 13(1)	Yes	No
Registration					
Application for registration for firm	NI 31-103	No	Yes Section 19(1)	Yes Section 152.1	No
Correspondence to and from the applicant	Section 28	No	Yes Section 19(1)	Yes Section 152.1	No
Correspondence with other jurisdictions	Section 28	No	Yes Section 19(1)	Yes Section	No

Type of Record	Authority (refers to <i>The Securities Act, 1988</i> unless otherwise noted)	Personal information under The FOIPP Act?	Confidential information under The FOIPP Act?	Confidential information under The Securities Act?	Public document?
				152.1	
Supporting materials	Section 28	No	Yes Section 19(1)	Yes Section 152.1	No
FIB and Surety Bonds	NI 31-103	No	No	Yes Section 152.1	Yes
Financial Statements of Firms	NI 31-103	No	Yes Section 19(1)	Yes Section 152.1	No
Direction to auditors	NI 31-103	No	Yes Section 19(1)	Yes Section 152.1	No
Director's resolutions with respect to bonding and insurance	NI 31-103	No	Yes Section 19(1)	Yes Section 152.1	No
Statutory declarations with respect to bonding and insurance	NI 31-103	No	Yes Section 19(1)	Yes Section 152.1	No
Application for Withdrawal of Registration	NI 31-103	No	Yes Section 19(1)	Yes Section 152.1	No
Financial Questionnaire and Reports	NI 31-103	No	Yes Section 19(1)	Yes Section 152.1	No
Misc. NRD submissions updating information	NI 33-109	No	Yes Section 19(1)	Yes Section 152.1	No
GRO 35-901 filings	GRO 35-901	No	No	No Section 152	Yes
Certificate of registration	None	No	No	No	Yes
Application for registration for individual	NI 33-109	Yes	Yes Section 29	Yes Section 152.1	No
Transfers	NI 33-109	Yes	Yes Section 29	Yes Section 152.1	No
UTNs	NI 33-109	Yes	Yes Section 29	Yes Section 152.1	No
Misc. NRD submissions updating information	NI 33-109	Yes	Yes Section 29	Yes Section 152.1	No

Type of Record	Authority (refers to <i>The Securities Act, 1988</i> unless otherwise noted)	Personal information under The FOIPP Act?	Confidential information under The FOIPP Act?	Confidential information under The Securities Act?	Public document?
Correspondence to and from the applicant	NI 33-109	Yes	Yes Section 29	Yes Section 152.1	No
Correspondence with other jurisdictions	NI 33-109	Yes	Yes Section 29	Yes Section 152.1	No
Supporting materials if not filed on	Section 28	Yes	Yes Section 29	Yes Section 152.1	No
CPIC searches	NI 33-109	Yes	Yes Section 29	Yes Section 152.1	No
Deposit Agents reporting form including trust audit	Bus Pract Rules	Yes	Yes Section 29	No Section 152	No
Financial Institutions reporting form	Bus Pract Rules	No	Yes Section 19(1)	Yes Section 152.1	No
Sub-Agent reporting form	Bus Pract Rules	Yes	Yes Section 29	Yes Section 152.1	No
Notice of PR	MI 11-102	No	No	No Section 152	Yes
MI 11-102 filings re: Mobility Exemption - firm	MI 11-102	No	No	Yes Section 152.1	Yes
MI 11-102 filings re: Mobility Exemption - individual	MI 11-102	No	No	Yes Section 152.1	Yes
Terrorism Reports	United Nations Suppression of Terrorism Regulations (Section 7)	No	Yes Section 19(1)	Yes Section 152.1	No
NI 21-101 Applications for recognition	NI 21-201	No	Yes Section 19(1)	No Section 152	No
Form 31-101F1 Election To Use NRS and Determination of Principal Regulator	NI 31-101	No	No	Yes Section 152.1	Yes

Type of Record	Authority (refers to <i>The Securities Act, 1988</i> unless otherwise noted)	Personal information under The FOIPP Act?	Confidential information under The FOIPP Act?	Confidential information under The Securities Act?	Public document?
Form 31-101F2 Notice Of Change	NI 31-101	No	No	Yes Section 152.1	Yes
Form 33-109F1 (Notice of Termination);	MI 33-109	Yes	Yes Section 29	Yes Section 152.1	No
Form 33-109F2 (Change or Surrender of Individual Categories)	MI 33-109	Yes	Yes Section 29	Yes Section 152.1	No
Form 33-109F3 (Business Locations Other Than Head Office)	MI 33-109	No	Yes Section 19(1)	Yes Section 152.1	No
Form 33-109F4 (Registration Information for an Individual) or a change to any information previously submitted in respect of Form 33-109F4	MI 33-109	Yes	Yes Section 29	Yes Section 152.1	No
Form 33-109F5 (Change of Registration Information)	MI 33-109	No	Yes Section 19(1)	Yes Section 152.1	No
NI 35-101 filings	NI 35-101	No	Yes Section 19(1)	Yes Section 152.1	No
Take-over and Issuer Bids					
Bid circular	Section 109	No	No	No Section 152	Yes
Directors' circular	Section 109	No	No	No Section 152	Yes
Director's circular	Section 109	No	No	No Section 152	Yes
Notice of change	Section 109	No	No	No Section 152	Yes

Type of Record	Authority (refers to <i>The Securities Act, 1988</i> unless otherwise noted)	Personal information under The FOIPP Act?	Confidential information under The FOIPP Act?	Confidential information under The Securities Act?	Public document?
Correspondence to or from the offeror or offeree	None	No	Yes Section 19(1)	Yes Section 152.1	No
Correspondence with other jurisdictions	None	No	Yes Section 19(1)	Yes Section 152.1	No
Early Warning reports and press releases	Sections 110 and 111	No	No	No Section 152	Yes
Enforcement					
Intake Complaints (telephone, mail, interviews)	Voluntary	Yes	Yes. 15(1) FOIPP /19(1)(b)	Yes. 15 152.1	No
SMS (Investigation Narrative Reports)	13 Sec.	Some	Yes. 15(1)	Yes. 15 152.1	No
Investigation Request Memos	12(1)	Yes	Yes. 15(1)	Yes. 152.1	No
Investigation Orders	12(1) 14	Yes	Yes. 15(1)	Yes. 15	No
Summons of Witness	12(5)(a)	Yes	Yes. 15(1)	Yes. 15	No
Summons of Documents	12(5)(c)	Yes	Yes. 15(1)	Yes. 15	No
Search Warrant Request (Information to Obtain)	12(9)	Yes	Yes. 15(1)	Yes. 152.1 /15	No
Search Warrants	12(9)	Yes	Yes. 15(1)	Yes. 12(9) / 15	No
Investigators Notes	13	Yes	Yes. 15(1)	Yes. 13 / 15(3)	No
Interview materials (notes, transcripts, recordings)	13	Yes	Yes. 15(1)	Yes. 13 / 15	No
Cease Trade request memos	12(1)	Yes	Yes. 15(1)	Yes. 15 / 152.1	No
Cease Trade Orders	134	No		No	Yes
Freeze Order Requests	12(1) Sec.	Yes	Yes. 15(1)	Yes. 15 /	No

Type of Record	Authority (refers to <i>The Securities Act, 1988</i> unless otherwise noted)	Personal information under The FOIPP Act?	Confidential information under The FOIPP Act?	Confidential information under The Securities Act?	Public document?
				152.1	
Freeze Orders	134 Sec	Yes	Yes. 15(1)	Yes. 15 / 152.1	No
Exhibit inventory reports	13 (b) Sec.	Yes	Yes. 15(1)	Yes. 15 / 152.1	No
Exhibits (Originals and copies)		Yes	Yes. 15(1)		No
Witness Information	12 Sec.	Yes	Yes. 15(1)	Yes. 15(1)	No
Internet Documentation		Yes			Yes
Working papers	13 Sec.	Yes	Yes. 15(1)	Yes. 15 / 152.1	No
CPIC / 3 rd Party Law enforcement Info		Yes	Yes. 13(1) / 15(1)		No
Hearings					
Witness details (age, contact info, occupation, education, marital status, financial info including family income and overall estate value)	Section 12, 14 or voluntarily	Yes	Clause 15(1)(b) or (c)	Subsection 152.1(1)	No
Notes from witness interviews	Section 12, 14 or voluntarily	Yes	Clause 15(1)(b) or (c)	Subsection 152.1(1)	No
Transcripts from witnesses and/or respondent	Section 12, 14 or voluntarily	Yes	Clause 15(1)(b) or (c)	Subsection 152.1(1)	No
Transcripts from other commissions for witnesses, related parties and/or respondent	Section 12, 14 or voluntarily	Yes	Clause 15(1)(b) or (c)	Subsection 152.1(1)	No
Case binder that includes witness exam-in-chief questions, witness cross-exam questions, opening and closing arguments	Section 12, 14 or voluntarily	Yes	Section 22	Subsection 152.1(1)	No
Corporate info – incorp docs, bylaws, certificates of incorp	Section 12, 14 or voluntarily		Clause 15(1)(b) or (c)	Subsection 152.1(1)	Yes
Research (case law)		No	Section 22	No	Yes
Research - memos from other commissions or other depts.	Voluntarily	No	Section 22	Yes	No

Type of Record	Authority (refers to <i>The Securities Act, 1988</i> unless otherwise noted)	Personal information under The FOIPP Act?	Confidential information under The FOIPP Act?	Confidential information under The Securities Act?	Public document?
Notes between other commissions or depts. and legal counsel	Section 12, 14 or voluntarily	Yes	Clause 15(1)(b) or (c) or section 22	Subsection 152.1(1)	No
Notes between staff and opposing counsel		Yes	Section 22	Subsection 152.1(1)	No
Details from other commissions or regulatory agencies/bodies about status of their case (involving the same parties), strategies, documents, research		Yes	Clause 15(1)(b) or (c) or section 22	Subsection 152.1(1)	No
All documents for a scheduled hearing are disclosed in the ordinary course of disclosure prior to the hearing. All documents filed at the hearing with hearing panel are public once they are filed (unless unique circumstances exist and hearing is NOT open to the public).					Yes
Notice of Hearing		Yes	No	Subsection 152.1(1)	Yes
Subpoenas and service info Affidavits of service and service info		Yes	No	Subsection 152.1(1)	Yes
Evidence tendered during course of hearing (exhibits)		Yes	No	Subsection 152.1(1)	Yes
Brief of Law Brief of Argument		Yes	No	Subsection 152.1(1)	Yes
Preliminary applications (before commission panel or court of Queen's Bench)		Yes	No	Subsection 152.1(1)	Yes
Subpoenas and service info for preliminary applications Affidavits of service and service info for preliminary applications		Yes	No	Subsection 152.1(1)	Yes
Compliance					
1. A list of current clients of the Registrant	The Securities Act, 1988	Yes	Section 20	The Securities	No.

Type of Record	Authority (refers to <i>The Securities Act, 1988</i> unless otherwise noted)	Personal information under The FOIPP Act?	Confidential information under The FOIPP Act?	Confidential information under The Securities Act?	Public document?
	Section 20			Act, 1988 Section 152.1 (1)	
2. Copies/excerpts of the minutes from Investment Committee, Board of Directors or other committees for the Registrant	The Securities Act, 1988 Section 20	No	Section 20	The Securities Act, 1988 Section 152.1 (1)	No.
3. Copies of the Registrant's Audited Financial Statements	The Securities Act, 1988 Section 20	No	Section 20	The Securities Act, 1988 Section 152.1 (1)	No.
4. Copies of various information that support review procedures (client statements, IMA's, KYC information)	The Securities Act, 1988 Section 20	Yes	Section 20	The Securities Act, 1988 Section 152.1 (1)	No.
5. Copies of employee personal securities transactions	The Securities Act, 1988 Section 20	Yes	Section 20	The Securities Act, 1988 Section 152.1 (1)	No.
6. Trade blotter of the Registrant (all client transactions).	The Securities Act, 1988 Section 20	Yes	Section 20	The Securities Act, 1988 Section 152.1 (1)	No.
7. Examination Report	The Securities Act, 1988	No	Section 20	The Securities	No.

Type of Record	Authority (refers to <i>The Securities Act, 1988</i> unless otherwise noted)	Personal information under The FOIPP Act?	Confidential information under The FOIPP Act?	Confidential information under The Securities Act?	Public document?
	Section 20			Act, 1988 Section 152.1 (1)	
8. Self Regulatory Organization (SRO) – Oversight review working papers	The Securities Act, 1988 Section 21	No	Section 19 & 20	The Securities Act, 1988 Section 152.1 (1)	No.
9. SRO Examination Report	The Securities Act, 1988 Section 21	No	Section 19 & 20	The Securities Act, 1988 Section 152.1 (1)	Yes
10. Multi jurisdictional correspondence relating to SRO activity (policy, procedures and regulatory activity)	The Securities Act, 1988 Section 21	No	Section 19	The Securities Act, 1988 Section 152.1 (1)	No.
11. SRO correspondence relating to reporting requirements set out in Terms of Recognition (Annual self assessment, Strategic Plans, Annual Audited Financial Statements and Budget, monthly reporting requirements, Examination programs – Financial Review, Operation Review, Sales Compliance)	The Securities Act, 1988 Section 21	No	Section 19	The Securities Act, 1988 Section 152.1 (1)	No.
Operational					
Annual operational plan		No	No	No	Yes
Individual employee work plans		Yes	No	No	No

Type of Record	Authority (refers to <i>The Securities Act, 1988</i> unless otherwise noted)	Personal information under The FOIPP Act?	Confidential information under The FOIPP Act?	Confidential information under The Securities Act?	Public document?
Agendas and related material for Deputy Director and other staff meetings		No	No	Yes	Yes
Manuals and other procedural documents		No	No	Yes	Yes
Policy					
Local Instruments, policies, notices and GROs					
Draft of instruments and related documents		No	Yes. s 17 – advice from officials	Yes	No
Working papers		No	Yes. s 17 – advice from officials	Yes	No
Memo and related material to the Commission seeking approval where required		No	Yes. s 17 – advice from officials	Yes	No
Comments received on publication for comments and response		No	Yes. s 17 – advice from officials	No	Yes
Memos to officials and minister requesting approval		Yes	Yes. s 17 – advice from officials	Yes	No
National Instruments, companion policies, policies and notices					
Committee working papers		No	s 13 – records from other governments	Yes	No
Draft of instruments and related documents		No	s 13 – records from other governments	Yes	No
Memos to the Commission and related documents seeking approval		No	s 13 – records from other governments	Yes	No

Type of Record	Authority (refers to <i>The Securities Act, 1988</i> unless otherwise noted)	Personal information under The FOIPP Act?	Confidential information under The FOIPP Act?	Confidential information under The Securities Act?	Public document?
Comments received on publication for comments and response		No		No	Yes
Memos to officials and minister requesting approval		No	s 17 – advice from officials	Yes	No
Legislation					
Working papers		No	s 16 – advice from officials	Yes	No
Draft bills, regulations		No	s 16 – advice from officials	Yes	No
Results of consultations		No	s 16 – advice from officials	Yes	No
Papers relating to Legislative Instruments Committee, caucus and the like		No	s 16 – advice from officials	Yes	No