

## **CSA Staff Notice 11-337**

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

**December [7], 2017**

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

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

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

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

Kari Horn  
Alberta Securities Commission  
Tel: 403-297-4698  
kari.horn@asc.ca

Sylvia Pateras  
Autorité des marchés financiers  
Tel: 514-395-0337, extension 2536  
sylvia.pateras@lautorite.qc.ca

Chris Besko  
The Manitoba Securities Commission  
Tel: 204-945-2561  
Chris.Besko@gov.mb.ca

Simon Thompson  
Ontario Securities Commission  
Tel: 416-593-8261  
sthompson@osc.gov.on.ca

Susan Powell  
Financial and Consumer Services  
Commission (New Brunswick)  
Tel: 506-643-7697  
susan.powell@fcnb.ca

Steven Dowling  
Securities Division, Prince Edward Island  
Tel: 902-368-4551  
sddowling@gov.pe.ca

Jeff Mason  
Office of Superintendent of Securities,  
Nunavut  
Tel: 867-975-6591  
JMason@gov.nu.ca

John O'Brien, Superintendent of Securities  
Office of the Superintendent of Securities,  
Service NL  
Tel: (709) 729-4909  
johnobrien@gov.nl.ca

Sonne Udemgba  
Financial and Consumer Affairs Authority of  
Saskatchewan  
Tel: 306-787-5879  
sonne.udemgba@gov.sk.ca

H. Jane Anderson  
Nova Scotia Securities Commission  
Tel: 902-424-0179  
jane.anderson@novascotia.ca

Rhonda Horte  
Office of the Yukon Superintendent of  
Securities  
Tel: 867-667-5466  
rhonda.horte@gov.yk.ca

Thomas Hall  
Department of Justice  
Government of the Northwest Territories  
Tel: (867) 767-9260 ext. 82180  
tom\_hall@gov.nt.ca

## ANNEX A

### Local Amendments to Multilateral Instrument 11-102 *Passport System* in Alberta, Manitoba and New Brunswick

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

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

*with the following:*

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

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

## ANNEX B

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

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

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

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

ANNEX C

**Local Amendments to National Instrument 13-101 *System for Electronic Document Analysis and Retrieval (SEDAR)* in Alberta, Manitoba and New Brunswick**

**1. *National Instrument 13-101 System for Electronic Document Analysis and Retrieval (SEDAR) is amended by this Instrument.***

**2. *Appendix A – Mandated Electronic Filings, section II Other Issuers (Reporting/Non-reporting), under C. Securities Acquisitions is amended by replacing item 3. with the following:***

3. Issuer Bid Reports Alta, Man, Ont, Que & NB.

**3. *Appendix A – Mandated Electronic Filings, section II Other Issuers (Reporting/Non-reporting), under D. Going Private and Related Party Transactions is amended by replacing items 1. and 2. with the following:***

1. Going Private Transaction Filings Alta, Man, Ont, Que & NB  
2. Related Party Transaction Filings Alta, Man, Ont, Que & NB.

**4. *Appendix A – Mandated Electronic Filings, section III Third Party Filers is amended by replacing item 5. with the following:***

5. Take-over Bid Reports Alta, Man, Ont, Que & NB.

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

**ANNEX D**

**Local Amendment to National Instrument 14-101 *Definitions*  
in New Brunswick**

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

This amendment became effective on February 1, 2017.