

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.