

**CHANGES TO  
NATIONAL POLICY 11-203 PROCESS FOR EXEMPTIVE RELIEF APPLICATIONS IN  
MULTIPLE JURISDICTIONS**

1. *National Policy 11-203 Process for Exemptive Relief Applications in Multiple Jurisdictions is changed by this Document.*
2. *Part 2 is changed by adding “AND INTERPRETATION” at the end of its title.*
3. *The Policy is changed by adding the following section:*

**2.3 Electronic transmission** – National Instrument 13-103 *System for Electronic Data Analysis and Retrieval + (SEDAR+)* prescribes that each document that is required or permitted to be provided to a securities regulatory authority or regulator must be transmitted to the securities regulatory authority or regulator electronically through the System for Electronic Data Analysis and Retrieval + (SEDAR+).

The reference to a document includes any report, form, application, information, material and notice, as well as a copy thereof, and applies to documents that are required or permitted to be filed or deposited with, or delivered, furnished, sent, provided, submitted or otherwise transmitted to, a securities regulatory authority or regulator.

To reflect the phased implementation of SEDAR+, the Appendix of National Instrument 13-103 *System for Electronic Data Analysis and Retrieval + (SEDAR+)* sets out securities legislation under which documents are excluded from being filed or delivered in SEDAR+.

National Instrument 13-103 *System for Electronic Data Analysis and Retrieval + (SEDAR+)* should be consulted when providing any document to a securities regulatory authority or regulator under MI 11-102 and this policy..

4. *Subsection 3.8(5) is deleted.*
5. *Section 4.2 is changed by*
  - (a) *deleting “by letter”, and*
  - (b) *deleting “in the pre-filing”.*
6. *Subsections 4.3(1) and 4.4(1) are changed by deleting “in the pre-filing”.*
7. *Section 5.1 is changed by replacing “In its application, the” with “The”.*
8. *Section 5.3 is changed*

- (a) *in its heading by replacing “sections 4.7 and 4.8” with “section 4.7”,*
- (b) *by deleting subsection (2),*
- (c) *in subsection (3) by deleting “or 4.8” and “and 4.8”,*
- (d) *in paragraph (4)(a) by deleting “or 4.8(1)”,*
- (e) *by replacing paragraph (4)(b) with the following:*
  - (b) include the date of the decision of the principal regulator for the initial application if the notice is given under section 4.7(1)(c) of MI 11-102., *and*
- (f) *in subsection (6) by deleting “or (2)”.*

**9. Section 5.5 is replaced with the following:**

**5.5 Filing**

- (1) As indicated in section 2.3 of this policy, National Instrument 13-103 *System for Electronic Data Analysis and Retrieval + (SEDAR+)* should be consulted when providing any document to a securities regulatory authority or regulator under MI 11-102 or this policy. A filer should consult the Appendix of National Instrument 13-103 *System for Electronic Data Analysis and Retrieval + (SEDAR+)* to determine whether pre-filing or application materials are excluded from being filed or delivered in the System for Electronic Data Analysis and Retrieval + (SEDAR+).
- (2) When pre-filing or application materials are to be transmitted through the System for Electronic Data Analysis and Retrieval + (SEDAR+), a filer should send the application materials together with the fees to
  - (a) the principal regulator, in the case of a passport application,
  - (b) the principal regulator and the OSC, in the case of a dual application, or
  - (c) each regulator from which the filer seeks exemptive relief, in the case of a coordinated review application.
- (3) When pre-filing or application materials are excluded from being transmitted through the System for Electronic Data Analysis and Retrieval + (SEDAR+), a filer should send the application materials together with the fees to
  - (a) the principal regulator, in the case of a passport application,
  - (b) the principal regulator and the OSC, in the case of a dual application, or
  - (c) each regulator from which the filer seeks exemptive relief, in the case of a coordinated review application.

Filing the application concurrently in all required jurisdictions will make it easier for the principal regulator and non-principal regulators, if applicable, to process the application expeditiously.

When pre-filing or application materials are excluded from being transmitted through the System for Electronic Data Analysis and Retrieval + (SEDAR+), filers should send pre-filing or application materials using the relevant e-mail address or addresses listed below or by following the instructions at the linked web page below:

British Columbia	<a href="http://www.bcsc.bc.ca">www.bcsc.bc.ca</a> (click on BCSC e-services and follow the steps)
Alberta	<a href="mailto:legalapplications@asc.ca">legalapplications@asc.ca</a>
Saskatchewan	<a href="mailto:exemptions@gov.sk.ca">exemptions@gov.sk.ca</a>
Manitoba	<a href="mailto:exemptionsmsc@gov.mb.ca">exemptionsmsc@gov.mb.ca</a>
Ontario	<a href="https://www.osc.ca/en/filing-documents-online">https://www.osc.ca/en/filing-documents-online</a>
Québec	<a href="mailto:Dispenses-Passeport@lautorite.qc.ca">Dispenses-Passeport@lautorite.qc.ca</a>
New Brunswick	<a href="mailto:Passport-passeport@nbsc-cvmnb.ca">Passport-passeport@nbsc-cvmnb.ca</a>
Nova Scotia	<a href="mailto:nsscexemptions@gov.ns.ca">nsscexemptions@gov.ns.ca</a>
Prince Edward Island	<a href="mailto:CCIS@gov.pe.ca">CCIS@gov.pe.ca</a>
Newfoundland and Labrador	<a href="mailto:securitiesexemptions@gov.nl.ca">securitiesexemptions@gov.nl.ca</a>
Yukon	<a href="mailto:Corporateaffairs@gov.yk.ca">Corporateaffairs@gov.yk.ca</a>
Northwest Territories	<a href="mailto:SecuritiesRegistry@gov.nt.ca">SecuritiesRegistry@gov.nt.ca</a>
Nunavut	<a href="mailto:legal.registries@gov.nu.ca">legal.registries@gov.nu.ca</a>

**10. Section 5.7 is changed by**

- (a) *deleting* “, fax number”, *and*
- (b) *replacing* “tell the filer, in the acknowledgement,” *with* “notify the filer of”.

**11. Subsection 5.8(2) is changed by replacing “mark” with “treat”.**

**12. Subsection 7.2(1) is changed by replacing “circulate” with “provide”.**

**13. Subsection 8.1(2) is changed by deleting “or 4.8(1)(c)”.**

**14. Part 9 is changed by deleting sections 9.2 and 9.3.**

**Effective Date**

15. These changes become effective on June 9, 2023.