

**Schedule B****APPENDIX D  
Equivalent provisions**

All references are to provisions of the *Securities Act* of the relevant jurisdiction unless otherwise noted. All references to ‘NI’ are to ‘National Instruments’. All references to ‘MI’ are to ‘Multilateral Instruments’.

<b>Provision</b>	<b>British Columbia</b>	<b>Alberta</b>	<b>Saskatchewan</b>	<b>Manitoba</b>	<b>Québec</b>	<b>Nova Scotia</b>	<b>New Brunswick</b>	<b>Prince Edward Island</b>	<b>Newfoundland and Labrador</b>	<b>Yukon</b>	<b>Northwest Territories</b>	<b>Nunavut</b>	<b>Ontario</b>
SEDAR	NI 13-101												
Marketplace operation	NI 21-101 (only Parts 6, 7 – 11, as they apply to an ATS, and 13)												
Trading rules	NI 23-101 (only Parts 4 and 8 – 11)												
Institutional trade matching and settlement	NI 24-101 n/aNI 24-101												
National registration database (NRD)	NI 31-102												
<u>Registration requirements</u>	<u>NI 31-103</u> (except as noted below) (not yet in force)												
<u>Dealer and underwriter categories</u>	s.2.1 of NI 31-103												
<u>Adviser categories</u>	s.2.3 of NI 31-103												
	ss.25(1) and 26(2), (3) and (4)												
	ss.25(2) and 26(5)												

Provision	British Columbia	Alberta	Saskatchewan	Manitoba	Québec	Nova Scotia	New Brunswick	Prince Edward Island	Newfoundland and Labrador	Yukon	Northwest Territories	Nunavut	Ontario
<u>Investment fund manager category</u>	<u>s.2.6 of NI 31-103</u>												<u>s.25(3)</u>
<u>Individual categories</u>	<u>s.2.7 of NI 31-103</u>												<u>s.25(1 and 2)</u>
<u>UDP registration</u>	<u>s.2.9(1) of NI 31-103</u>	<u>ss.75(2) (c) and 75.1 of Securities Act (not yet in force) and s.2.9(1) of NI 31-103</u>	<u>s.2.9(1) of NI 31-103</u>		<u>s.149 of Securities Act (not yet in force, as amended) and s.2.9(1) of NI 31-103</u>	<u>s.2.9(1) of NI 31-103</u>	<u>s.87 of Securities Act (not yet in force) and s.2.9(1) of NI 31-103</u>	<u>ss.26(2)(c) and 26.1 of Securities Act (not yet in force) and s.2.9(1) of NI 31-103</u>	<u>s.87 of Securities Act (not yet in force) and s.2.9(1) of NI 31-103</u>	<u>s.87 of Securities Act (not yet in force) and s.2.9(1) of NI 31-103</u>	<u>s.87 of Securities Act (not yet in force) and s.2.9(1) of NI 31-103</u>	<u>s.21(4) of Securities Act (not yet in force) and s.2.9(1) of NI 31-103</u>	
<u>CCO registration</u>	<u>s.2.10(1) of NI 31-103</u>	<u>ss.75(2) (c) and 75.1 of Securities Act (not yet in force) and s.2.10(1) of NI 31-103</u>	<u>s.2.10(1) of NI 31-103</u>		<u>s.149 of Securities Act (not yet in force, as amended) and s.2.10(1) of NI 31-103</u>	<u>s.2.10(1) of NI 31-103</u>	<u>s.87 of Securities Act (not yet in force) and s.2.10(1) of NI 31-103</u>	<u>ss.26(2)(c) and 26.1 of Securities Act (not yet in force) and s.2.10(1) of NI 31-103</u>	<u>s.87 of Securities Act (not yet in force) and s.2.10(1) of NI 31-103</u>	<u>s.87 of Securities Act (not yet in force) and s.2.10(1) of NI 31-103</u>	<u>s.87 of Securities Act (not yet in force) and s.2.10(1) of NI 31-103</u>	<u>s.21(5) of Securities Act (not yet in force) and s.2.10(1) of NI 31-103</u>	

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<u>MFDA membership for mutual fund dealers</u>		<u>s.3.2 of NI 31-103</u>			n/a				<u>s.3.2 of NI 31-103</u>				
<u>Insurance – scholarship plan dealer only</u>		<u>s. 4.21 of NI 31-103</u>			n/a				<u>s.4.21 of NI 31-103</u>				
<u>Complaint handling</u>		<u>s. 5.28 of NI 31-103</u>			<u>s.168.1.1 of Securities Act and s.5.28 of NI 31-103</u>				<u>s.5.28 of NI 31-103</u>				
<u>Complaint handling</u>		<u>s. 5.29 of NI 31-103</u>			<u>s.168.1.3 of Securities Act and s.5.29 of NI 31-103</u>				<u>s.5.29 of NI 31-103</u>				
<u>Complaint handling</u>		<u>s.5.30 of NI 31-103</u>			<u>s.168.1.1 of Securities Act and s.5.30 of NI 31-103</u>				<u>s.5.30 of NI 31-103</u>				

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<u>Complaint handling</u>	<u>s.5.31 of NI 31-103</u>				<u>s.168.1.2 of Securities Act and s.5.31 of NI 31-103</u>	<u>s.5.31 of NI 31-103</u>							
<u>Suspension of IDA approval</u>	<u>s. 7.3 of NI 31-103</u>											<u>s.30(1), paragraphs 2 and 3</u>	
<u>Suspension of MFDA approval</u>	<u>s. 7.4 of NI 31-103</u>				<u>n/a</u>	<u>s. 7.4 of NI 31-103</u>						<u>s.30(1), paragraphs 2 and 3</u>	
<u>Advising generally</u>	<u>s.8.14(2) of NI 31-103</u>											<u>s.34(2)</u>	
Underwriting conflicts	NI 33-105												
Registrant information	NI 33-109												
Prospectus disclosure requirements	NI 41-101 (except as noted below)												
Certificate of issuer	s.5.3(1) of NI 41-101											s.58	
Certificate of corporate issuer	s.5.4(1) of NI 41-101											s.58	

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Certificate of issuer involved in reverse takeover						s.5.8 of NI 41-101						n/a	
Certificate of underwriter						s.5.9(1) of NI 41-101						s.59(1)	
Certificate of promoter						s.5.11(1) of NI 41-101						s.58(1)	
Delivery of amendments						s.6.4 of NI 41-101						s.57(3)	
Amendment to a preliminary prospectus						s.6.5(1) of NI 41-101						s.57(1)	
Amendment to a final prospectus						s.6.6(1) of NI 41-101						s.57(1)	
Amendment to a final prospectus						s.6.6(2) of NI 41-101						s.57(2)	
Regulator must issue receipt						s.6.6(3) of NI 41-101						s.57(2.1)	
Regulator must not refuse a receipt						s.6.6(4) of NI 41-101						ss.57(2.1) and 61(3)	
Prohibition against distribution						s.6.6(5) of NI 41-101						s.57(2.2)	

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Distribution of preliminary prospectus and distribution list	s.16.1 of NI 41-101												ss.66 and 67
<u>Lapse date</u>	<u>s.17.2 of NI 41-101</u>												<u>s.62</u>
Statement of rights	s.18.1 of NI 41-101												s.60
Disclosure standards for mineral projects	NI 43-101												
Short form prospectus distribution requirements	NI 44-101												
Shelf prospectus requirements	NI 44-102												
Post receipt pricing	NI 44-103												
Rights offering requirements	NI 45-101												
Resale of securities	NI 45-102												
Standards of disclosure for oil and gas activities	NI 51-101 n/a NI 51-101												
Continuous disclosure obligations	NI 51-102 (except as noted below) n/a NI 51-102 (except as noted below)												

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Publication of material change	s. 7.1 of NI 51-102- <del>n/a</del>												s.75 of <i>Securities Act</i> and s.3(1.1) of Regulation 1015 (General)
Accounting principles, auditing standards and reporting currency requirements	NI 52-107 <u>(except as noted below)</u>												
<u>Acceptable accounting principles</u>	<u>s.3.1 of NI 52-107</u>												<u>s.2(1) of Regulation 1015 (General) and s.3.1 of NI 52-107</u>
Auditor oversight	NI 52-108												
Certification of disclosure in annual and interim filings	NI 52-109												
Audit committees	NI 52-110												

Provision	British Columbia	Alberta	Saskatchewan	Manitoba	Québec	Nova Scotia	New Brunswick	Prince Edward Island	Newfoundland and Labrador	Yukon	Northwest Territories	Nunavut	Ontario
Communication with beneficial owners	NI 54-101n/aNI 54-101												
System for electronic disclosure by insiders (SEDI)	NI 55-102n/aNI 55-102												
Insider reporting for certain derivative transactions (EM) - Reporting requirement	ss. 87(2), (5) and (6)	s. 2.1 of MI 55-103n/a										s.2.1 of MI 55-103	
EM – Existing agreements which continue in force	s.87.1	s.2.3 of MI 55-103n/a										s.2.3 of MI 55-103	
EM – Existing agreements entered into prior to becoming insider	s.87(2) and (6)	s.2.4 of MI 55-103n/a										s.2.4 of MI 55-103	

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EM – Form and timing of report	s. 87(2), (5) and (6) of <i>Securities Act</i> and s. 155.1(1), (2) and (3) of Securities Rules	s.3.1 of MI 55-103-n/a										s.3.1 of MI 55-103	
EM – Form and timing of report for existing agreements	s. 87.1 of <i>Securities Act</i> and s. 155.1(4) of Securities Rules	s.3.2 of MI 55-103-n/a										s.3.2 of MI 55-103	
EM – Form and timing of report for existing agreements entered into prior to becoming insider	s. 87 (2) and (6) of <i>Securities Act</i> and s. 155.1(1) and (3) of Securities Rules	s.3.3 of MI 55-103-n/a										s.3.3 of MI 55-103	
Disclosure of corporate governance practices	NI 58-101n/aNI 58-101												

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Protection of minority security holders in special transactions			n/a		MI 61-101				n/a				MI 61-101
Early warning reports and other take-over bid and insider reporting requirements	NI 62-103 n/a NI 62-103												
Take-over bids and issuer bid requirements (TOB/IB) – Restrictions on acquisitions during take-over bid	s.2.2(1) of MI 62-104												s.93.1(1)
TOB/IB – Restrictions on acquisitions during issuer bid	s.2.3(1) of MI 62-104												s.93.1(4)
TOB/IB – Restrictions on acquisitions before take-over bid	s.2.4(1) of MI 62-104												s.93.2(1)

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TOB/IB – Restrictions on acquisitions after bid													s.2.5 of MI 62-104	s.93.3(1)
TOB/IB – Restrictions on sales during formal bid													s.2.7(1) of MI 62-104	s.97.3(1)
TOB/IB – Duty to make bid to all security holders													s.2.8 of MI 62-104	s.94
TOB/IB – Commencement of bid													s.2.9 of MI 62-104	s.94.1(1) and (2)
TOB/IB – Offeror’s circular													s.2.10 of MI 62-104	s.94.2(1) - (4) of <i>Securities Act</i> and s.3.1 of OSC Rule 62-504
TOB/IB – Change in information													s.2.11(1) of MI 62-104	s.94.3(1)

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TOB/IB – Notice of change													s.2.11(4) of MI 62-104	s.94.3(4) of <i>Securities Act</i> and s.3.4 of OSC Rule 62-504
TOB/IB – Variation of terms													s.2.12(1) of MI 62-104	s.94.4(1)
TOB/IB – Notice of variation													s.2.12(2) of MI 62-104	s.94.4(2) of <i>Securities Act</i> and s.3.4 of OSC Rule 62-504
TOB/IB – Expiry date of bid if notice of variation													s.2.12(3) of MI 62-104	s.94.4(3)
TOB/IB – No variation after expiry													s.2.12(5) of MI 62-104	s.94.4(5)

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TOB/IB – Filing and sending notice of change or notice of variation													s.2.13 of MI 62-104	s.94.5
TOB/IB – Change or variation in advertised take-over bid													s.2.14(1) of MI 62-104	s.94.6(1)
TOB/IB – Consent of expert – bid circular													s.2.15(2) of MI 62-104	s.94.7(1)
TOB/IB – Delivery and date of bid documents													s.2.16(1) of MI 62-104	s.94.8(1)
TOB/IB – Duty to prepare and send directors' circular													s.2.17 of MI 62-104	s.95(1) – (4) of <i>Securities Act</i> and s.3.2 of OSC Rule 62-504

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TOB/IB – Notice of change													s.2.18 of MI 62-104	s.95.1(1) and (2) of <i>Securities Act</i> and s.3.4 of OSC Rule 62-504
TOB/IB – Filing directors' circular or notice of change													s.2.19 of MI 62-104	s.95.2
TOB/IB – Change in information in director's or officer's circular or notice of change													s.2.20(2) of MI 62-104	s.96(2)
TOB/IB – Form of director's or officer's circular													s.2.20(3) of MI 62-104	s.96(3) of <i>Securities Act</i> and s.3.3 of OSC Rule 62-504



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TOB/IB – Delivery and date of offeree issuer’s documents													s.2.22(1) of MI 62-104	s.96.2(1)
TOB/IB – Consideration													s.2.23(1) of MI 62-104	s.97(1)
TOB/IB – Variation of consideration													s.2.23(3) of MI 62-104	s.97(3)
TOB/IB – Prohibition against collateral agreements													s.2.24 of MI 62-104	s.97.1(1)
TOB/IB – Proportionate take up and payment													s.2.26(1) of MI 62-104	s.97.2(1)
TOB/IB – Financing arrangements													s.2.27(1) of MI 62-104	s.97.3(1)
TOB/IB – Minimum deposit period													s.2.28 of MI 62-104	s.98(1)
TOB/IB – Prohibition on take up													s.2.29 of MI 62-104	s.98(2)

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TOB/IB – Obligation to take up and pay for deposited securities													s.2.32 of MI 62-104	s.98.3
TOB/IB – Return of deposited securities													s.2.33 of MI 62-104	s.98.5
TOB/IB – News release on expiry of bid													s.2.34 of MI 62-104	s.98.6
TOB/IB – Language of bid documents													s.3.1 of MI 62-104	n/a
TOB/IB – Filing of documents by offeror													s.3.2(1) of MI 62-104	s.98.7 of <i>Securities Act</i> and s.5.1(1) of OSC Rule 62-504
TOB/IB – Filing of documents by offeree issuer													s.3.2(2) of MI 62-104	s.5.1(2) of OSC Rule 62-504
TOB/IB – Time period for filing													s.3.2(3) of MI 62-104	s.5.1(3) of OSC Rule 62-504



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TOB/IB – Application of <i>Canada Business Corporations Act</i>	s.3.4(2) of MI 62-104												s.99.1(2)
TOB/IB – Early Warning	s.5.2 of MI 62-104												s.102.1(1) – (4) of <i>Securities Act</i> and s.7.1 of OSC Rule 62-504
TOB/IB – Acquisitions during bid	s.5.3 of MI 62-104												s.102.2(1) and (2) of <i>Securities Act</i> and s.7.2(1) of OSC Rule 62-504
TOB/IB – Copies of news release and report	s.5.5 of MI 62-104												s.7.2(3) of OSC Rule 62-504
Multi-jurisdictional disclosure system	NI 71-101												

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Mutual fund prospectus disclosure	NI 81-101 <u>(except as noted below)</u>												
<u>Amendment to a preliminary simplified prospectus</u>	<u>s.2.2.1(1) of NI 81-101</u>												<u>s.57(1)</u>
<u>Delivery of amendments</u>	<u>s.2.2.2 of NI 81-101</u>												<u>s.57(3)</u>
<u>Amendment to a simplified prospectus</u>	<u>s.2.2.3(1) of NI 81-101</u>												<u>s.57(1)</u>
<u>Amendment to a simplified prospectus</u>	<u>s.2.2.3(2) of NI 81-101</u>												<u>s.57(2)</u>
<u>Regulator must issue receipt</u>	<u>s.2.2.3(3) of NI 81-101</u>												<u>s.57(2.1)</u>
<u>Regulator must not refuse a receipt</u>	<u>s.2.2.3(4) of NI 81-101</u>												<u>ss.57(2.1) and 61(3)</u>
<u>Lapse date</u>	<u>s.2.5 of NI 81-101</u>												<u>s.62</u>
<u>Statement of rights</u>	<u>s.2.8 of NI 81-101</u>												<u>s.60</u>
<u>Distribution of preliminary simplified prospectus and distribution list</u>	<u>s.3.2(3) of NI 81-101</u>												<u>ss.66 and 67</u>

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<u>Certificate of mutual fund</u>	<u>s.5.1.3(1) of NI 81-101</u>												<u>s.58</u>
<u>Certificate of promoter</u>	<u>s.5.1.6(1) of NI 81-101</u>												<u>s.58</u>
<u>Certificate of corporate mutual fund</u>	<u>s.5.1.7(1) of NI 81-101</u>												<u>s.58</u>
Mutual fund requirements	NI 81-102												
Commodity pools	NI 81-104												
Mutual fund sales practices	NI 81-105												
Investment fund continuous disclosure	NI 81-106												
Independent review committee	NI 81-107												
<b>Registration</b>													
Dealer/ underwriter registration requirement	<u>sss.34(1)(a) and 34(1)(d) (not yet in force)</u>	<u>sss. 75(1) (a) and 75(2)(a) (not yet in force)</u>	<u>s.27(1)(a) (not yet in force)</u>	<u>sss.6(1)(a) and 6(1)(d) (not yet in force)</u>	<u>ss.148 &amp; 149 (not yet in force, as amended)</u>	<u>s.31(1)(a) (not yet in force)</u>	<u>sss.45(a) and 45(d) (not yet in force)</u>	<u>sss. 86(1) (a) and 86(2) (not yet in force)</u>	<u>s.26(1)(a) (not yet in force)</u>	<u>sss. 86(1)(a) and 86(2) (not yet in force)</u>	<u>sss.-486(1)(a) and 86(2) (not yet in force)</u>	<u>sss.-486(1) (a) and 86(2) (not yet in force)</u>	<u>s.25(1) (a) not yet in force)</u>
Underwriter registration requirement	s.34(1)(b)	s-75(1)(a)	n/a	s.6(1)	s.148	s.31(1)(b)	n/a	s. 86(2)	s.26(1)(b)	s.86(2)	n/a	n/a	s. 25(1)(a)

Provision	British Columbia	Alberta	Saskatchewan	Manitoba	Québec	Nova Scotia	New Brunswick	Prince Edward Island	Newfoundland and Labrador	Yukon	Northwest Territories	Nunavut	Ontario
Adviser registration requirement	<u>s.34(1)(eb)</u> (not yet in force)	<u>sss. 75(1) (b) and 75(2)(b)</u> (not yet in force)	<u>s.27(e1)(b)</u> (not yet in force)	<u>sss.6(7)1)(b)</u> (not yet in force)	<u>ss.148 &amp;and 149</u> (not yet in force, as amended)	<u>s.31(1)(e2)(a)</u> (not yet in force)	<u>s.45(b)</u> (not yet in force)	<u>s.86(1)(b)</u> (not yet in force)	<u>s.26(1)(eb)</u> (not yet in force)	<u>s.86(1)(b)</u> (not yet in force)	<u>s.-486(1)(b)</u> (not yet in force)	<u>s.-486(1)(b)</u> (not yet in force)	<u>s.25(12)(e)</u> not yet in force)
Investment fund manager registration requirement	<u>s.34(1)(c)</u> (not yet in force)	<u>s.75(1)(c)</u> (not yet in force)	<u>s.27(1)(c)</u> (not yet in force)	<u>s.6(1)(c)</u> (not yet in force)	<u>s.148</u> (not yet in force, as amended)	<u>s.31(3)(a)</u> (not yet in force)	<u>s.45(c)</u> (not yet in force)	<u>s.86(3)</u> (not yet in force)	<u>s.26(1)(c)</u> (not yet in force)	<u>s.86(3)</u> (not yet in force)	<u>s.86(3)</u> (not yet in force)	<u>s.86(3)</u> (not yet in force)	<u>s.25(3)</u> (not yet in force)
Compensation or contingency trust fund	<u>s.23 of Securities Rules</u>	<u>s.28 of ASC Rules (General)</u>	<u>s.23 of Regulations</u>	n/a	<u>s.196 of Securities Regulation</u> (not yet in force, as amended)	<u>s.27 of General Securities Rules</u>	n/a	n/a	<u>s.98 of Regulation</u>	n/a			<u>s.110 of Regulation 1015 (General)</u>
<b>Requirements when using registration exemptions</b>													
<u>Offering memorandum in required form</u>	<u>s.3.9(5) of NI 45-106</u>												n/a
<u>Requirement to file offering memorandum within prescribed time</u>	<u>s.3.9(14) of NI 45-106</u>												n/a
<b>Trading in Securities Generally</b>													

Provision	British Columbia	Alberta	Saskatchewan	Manitoba	Québec	Nova Scotia	New Brunswick	Prince Edward Island	Newfoundland and Labrador	Yukon	Northwest Territories	Nunavut	Ontario
Registered dealer acting as principal	s.51	s.94 <u>n/a</u>	s.45	s.70	s.163 of <i>Securities Act</i> and s.234.3 of <i>Securities Regulation n/a</i>	s.45	s.59 <u>n/a</u>		s.40	n/an/an/a			s.39
Disclosure of investor relations activities	s.52	n/an/an/an/a					s.62	n/an/an/an/an/a					
Use of name of another registrant	s.53	s.99	s.49	s.73	n/a	s.49	s.63	n/a	s.44	n/an/an/a			s.43
<b>Trading in Exchange Contracts</b>													
Trading exchange contracts on an exchange in jurisdiction	s.58	s.106 & 107	s.40		n/a		n/an/as.70. <u>1</u> (not yet in force)	n/an/an/an/an/an/a					
Trading exchange contracts on an exchange outside jurisdiction	s.59	s.108 & 109	s.41		n/a		n/an/as.70. <u>2</u> (not yet in force)	n/an/an/an/an/an/a					
<b>Prospectus</b>													
Prospectus requirement	s.61	s.110	s.58	s.37	ss.11 and 12	s.58	s.71(1)	s.94	s.54	s.94	s.2794 (not yet in force)	s.2794 (not yet in force)	s.53

Provision	British Columbia	Alberta	Saskatchewan	Manitoba	Québec	Nova Scotia	New Brunswick	Prince Edward Island	Newfoundland and Labrador	Yukon	Northwest Territories	Nunavut	Ontario
Contents of prospectus (full, true & plain disclosure)	s.63	s.113	s.61	s.41	ss.13 and 20	s.61	s.74	s. 99	s.57	s.99	<del>n/as.99</del> (not yet in force)	<del>n/as.99</del> (not yet in force)	s.56
Waiting period communications	s.78	s.123	s.73	s.38	ss.21 & 22	s.70	s.82	s. 97	s.66	s.97	<del>n/as.97</del> (not yet in force)	<del>n/as.97</del> (not yet in force)	s.65(2)
Obligation to send prospectus	s.83	s.129	s.79	s.64	ss.29, 30, 31 and 32	s.76	s.88	s. 101(1)	s.72	s.101 (1)	<del>s.28101(1)</del> (not yet in force)	<del>s.28101(1)</del> (not yet in force)	s.71(1)
<b>Requirements when using prospectus exemptions</b>													
Filing disclosure documents in connection with exemption	<del>s.2.9(5) of NI 45-106</del>	<del>s.127.2 of ASC Rules and s.2.9(5) of NI 45-106</del>	<del>s.80.1 and s.2.9(5) of NI 45-106</del>	<del>s.2.9(5) of NI 45-106</del>	<del>s.37.2 of Securities Regulation and s.2.9(5) of NI 45-106</del>	<del>s.2.9(5) of NI 45-106</del>	<del>s.2.3 of Local Rule 45-802 and s.2.9(5) of NI 45-106</del>	<del>s.2.9(5) of NI 45-106</del>	<del>n/a</del>	<del>s.2.9(5) of NI 45-106</del>	<del>s.6.4 of OSC Rule 45-501</del>	<del>s.6.4 of OSC Rule 45-501</del>	<del>s.6.4 of OSC Rule 45-501</del>
<u>Offering memorandum in required form</u>	<u>s.2.9(5) of NI 45-106</u>												<u>n/a</u>
<u>Requirement to file offering memorandum within prescribed time</u>	<u>s. 2.9(14) of NI 45-106</u>												<u>n/a</u>

Provision	British Columbia	Alberta	Saskatchewan	Manitoba	Québec	Nova Scotia	New Brunswick	Prince Edward Island	Newfoundland and Labrador	Yukon	Northwest Territories	Nunavut	Ontario
Filing report of exempt distribution	s.139 of Securities Rules and ss. 6.1 and 6.3 of NI 45-106	s.129.1 of ASC Rules ( <u>General</u> ) and ss. 6.1 and 6.3 of NI 45-106	ss.6.1 and 6.3 of NI 45-106	s.7 of Regulation and ss. 6.1 and 6.3 of NI 45-106	ss.6.1 and 6.3 of NI 45-106	ss.6.1 and 6.3 of NI 45-106	ss.6.1 and 6.3 of NI 45-106	ss.6.1 and 6.3 of NI 45-106	ss.6.1 and 6.3 of NI 45-106	ss.6.1 and 6.3 of NI 45-106 n/a/n/a			s. 7.1 of OSC Rule 45-501 and ss.6.1 and 6.3 of NI 45-106
<b>Continuous Disclosure</b>													
Voting if proxies provided	s.118	s.157	s.96	s.105	n/a	s.93	ss.102 and 103(2)	n/a	s.88	n/a/n/a/n/a			s 87
Shares in name of registrant not to be voted	s. 182 of Securities Rules	s.104	s.55	s.79	s.164 and 165	s.55	s.103(3) – (7)	s.163	s.50	s.163	n/a s.163 (not yet in force)	n/a s.163 (not yet in force)	s.49
<b>Insider Reporting</b>													
Insider reports – filing upon becoming an insider of a reporting issuer	s.87(2) other than as it applies to a related financial instrument	s.182(1)	s.116(1)	s.109	s.96	ss.113(1) of <i>Securities Act</i> and 172 of General Securities Rules	s.135(1)	s.1(1) of Local Rule 55-501	s.108(1)	n/a s.1(1) of Local Rule 55-501	n/a Local Rule 55-501 (not yet in force)	n/a Local Rule 55-501 (not yet in force)	s.107(1)
Insider reports – filing upon acquisition or change in securities	s.87 (5) other than as it applies to a related financial instrument	s.182(2)	s.116(2)	s.109	s.97	s.113(2)	s.135(2)	s.1(2) of Local Rule 55-501	s.108(2)	n/a s.1(2) of Local Rule 55-501	n/a Local Rule 55-501 (not yet in force)	n/a Local Rule 55-501 (not yet in force)	s.107(2)

Provision	British Columbia	Alberta	Saskatchewan	Manitoba	Québec	Nova Scotia	New Brunswick	Prince Edward Island	Newfoundland and Labrador	Yukon	Northwest Territories	Nunavut	Ontario
Insider reports – filing upon being deemed an insider	s.87 (6) other than as it applies to a related financial instrument	s.182(3)	s.116(3)	s.109	s.98	s.113(4)	s.135(3)	s.1(3) of Local Rule 55-501	s.108(3)	<u>n/a</u> s.1(3) of Local Rule 55-501	<u>n/a</u> Local Rule 55-501 (not yet in force)	<u>n/a</u> Local Rule 55-501 (not yet in force)	s.107(3)
Time periods for filing insider reports	s.155.1 of Securities Rules other than as it applies to a related financial instrument	s.190 of ASC Rules (General)	s.165(1) of Regulations	s.109	ss.171, 171.1, 172 & 174 of Securities Regulation	s.113	s.5 of Local Rule 11-502	s.1(4) of Local Rule 55-501	s.108	<u>n/a</u> s.1(4) of Local Rule 55-501	<u>n/a</u> Local Rule 55-501 (not yet in force)	<u>n/a</u> Local Rule 55-501 (not yet in force)	s.107
Transfer reports	n/a	s.182(2)	s.117	n/a	s.102	s.116	s.136	n/a	s.109	n/a			s.108 of Securities Act and s.167 of Regulation 1015 (General)
Nominee reports	n/a	s.183	s.118	n/a	s.103	s.117	n/a		s.110	n/a			s.109 of Securities Act and s.168 of Regulation 1015 (General)
<b>Take-Over Bids and Issuer Bids</b>													

Provision	British Columbia	Alberta	Saskatchewan	Manitoba	Québec	Nova Scotia	New Brunswick	Prince Edward Island	Newfoundland and Labrador	Yukon	Northwest Territories	Nunavut	Ontario
Directors must make recommendation on bid	s.99(1)(a)	s.160	s.100	s.90	ss.113 & 114	s.105(2)	s.124	s. 108	s.92	s.108	<u>n/as.108 (not yet in force)</u>	<u>n/a s.108 (not yet in force)</u>	ss.95 and 96
<b>Investment Funds – Self Dealing</b>													
Investments of mutual funds	s.121	s.185	s.120	n/as.236 of Securities Regulation		s.119	s.137	n/a	<u>n/as.112</u>	n/an/an/a			s.111
Indirect investment	s.122	s.186	s.121	n/an/a		s.120	s.138	n/a	<u>n/as.113</u>	n/an/an/a			s.112
Fees on investment for mutual fund	s.124	s.189	s.124	n/an/a		s.123	s.141	n/a	<u>n/as.116</u>	n/an/an/a			s.115
Report of mutual fund manager	s.126	s.191	s.126	n/an/a		s.125	s.143	n/a	<u>n/as.118</u>	n/an/an/a			s.117
Restrictions on transactions with responsible persons	s.127	s.192	s.127	n/as.236 of Securities Regulation		s.126	s.144	n/a	<u>n/as.119</u>	n/an/an/a			s.118
<b>General</b>													
Confidentiality	s.169	s.221	s.152	s.149(q)	s.296	s.148	s.198	s. 26	s.140	<u>s.2526</u>	<u>s. 4426 (not yet in force)</u>	<u>s. 4426 (not yet in force)</u>	s.140
Accounting principles, auditing standards and reporting requirements (other than in NI 52-107)	<u>s. 3(3) of Securities Rules</u>	n/a	n/a	n/a	ss.116 and 121 of Securities Regulation	<u>s.3(4) of Reg.</u>	n/a	n/a	n/a	n/a	n/a	n/a	<u>s. 2(1) of Regulation 1015 (General)</u>