

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

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.**