

## ANNEX A

### National Instrument 13-103 [System Replacement Rule]

#### Definitions

1. (1) In this Instrument:

“deliver” includes deposit, furnish, provide, send or submit;

“document” includes information and material that is required or permitted to be filed with or delivered to a securities regulatory authority or regulator;

“profile” means the information identifying a person or company, as specified in the [Renewed System];

“[Renewed System]” means the system for the transmission, receipt, acceptance and dissemination of documents known as [Name of renewed system].

(2) For the purposes of this Instrument, a reference to a document that is permitted to be filed includes an application for a decision of the regulator or securities regulatory authority [under securities legislation].

#### Electronic transmission of documents

2. Subject to section 3, if a person or company is required or permitted, under securities legislation or under a decision of the securities regulatory authority or regulator, to file a document with, or deliver a document to, the securities regulatory authority or regulator, the person or company must file or deliver the document by transmitting it through the [Renewed System].

#### Transmission of documents outside of the [Renewed System]

3. A person or company must not file or deliver the following through the [Renewed System]:
- (a) a document required or permitted to be filed with or delivered to the securities regulatory authority or regulator in connection with a hearing, compliance review, proceeding or investigation;
  - (b) a letter required to be delivered under subsection 4.11(8) or (9) of National Instrument 51-102 *Continuous Disclosure Obligations*;

- (c) a notice under subsection 13.2(2) of National Instrument 51-102 *Continuous Disclosure Obligations*;
- (d) a notice under section 18.6 of National Instrument 81-106 *Investment Fund Continuous Disclosure*;
- (e) a notice under subsection 5(1) or 6(1) of National Instrument 52-108 *Auditor Oversight*;
- (f) a document that a person or company is required or permitted to file or deliver pursuant to a provision of, or a decision of the securities regulatory authority or regulator issued in respect of, securities legislation listed in the Appendix.

### **Profile requirements**

- 4. (1) At the time that a person or company uses the [Renewed System] for the first time, the person or company must file a profile by transmitting it through the [Renewed System].
- (2) If information contained in a profile becomes inaccurate, the person or company must file an updated profile with the accurate information by transmitting it through the [Renewed System] at the earlier of
  - (a) the next time the person or company transmits a document through the [Renewed System], and
  - (b) 10 days after the date on which the information contained in the profile becomes inaccurate.
- (3) A person or company must not have more than one profile in the [Renewed System].

### **Payment of fees**

- 5. (1) At the time that a person or company transmits a document through the [Renewed System], a person or company must pay through the [Renewed System]
  - (a) all prescribed fees, other than fees prescribed under Multilateral Instrument 13-102 *System Fees* or equivalent regulation, to the securities regulatory authority or regulator, and
  - (b) all fees prescribed under Multilateral Instrument 13-102 *System Fees* or equivalent regulation to the person or company's principal regulator if the principal regulator is the securities regulatory authority in the local jurisdiction.
- (2) For the purposes of subsection (1), if the person or company is transmitting through the [Renewed System] a document to which Multilateral Instrument 11-102 *Passport System* applies, "principal regulator" has the meaning set out in Part 3, 4, 4A, 4B or 4C of Multilateral Instrument 11-102 *Passport System*, as applicable.

- (3) For the purposes of subsection (1), if the person or company is transmitting through the [Renewed System] a document to which Multilateral Instrument 11-102 *Passport System* does not apply, the principal regulator is the securities regulatory authority or regulator that would be the principal regulator if Part 3 of Multilateral Instrument 11-102 *Passport System* applied.
- (4) Despite subsection (3), if the person or company is transmitting through the [Renewed System] Form 45-106F1 *Report of Exempt Distribution*, and the person or company does not have a head office in Canada or is an investment fund with an investment fund manager that does not have a head office in Canada, the principal regulator is the securities regulatory authority or regulator of the jurisdiction with which the person or company has the most significant connection.

### **Temporary hardship exemption**

6. (1) If unanticipated technical difficulties prevent a person or company from transmitting a document through the [Renewed System] within the time required or permitted under securities legislation, the person or company may file the document with or deliver the document to the securities regulatory authority or regulator outside of the [Renewed System] no later than 2 business days after the date on or by which the person or company was required or permitted to file the document with, or deliver the document to, the securities regulatory authority or regulator.
- (2) A person or company must include the following legend in capital letters at the top of the first page of a document filed or delivered outside of the [Renewed System] in reliance on this section:

IN ACCORDANCE WITH SECTION 6 OF NATIONAL INSTRUMENT  
13-103 [SYSTEM REPLACEMENT RULE], THIS (SPECIFY  
DOCUMENT) IS BEING FILED OR DELIVERED OUTSIDE OF THE  
[RENEWED SYSTEM] UNDER A TEMPORARY HARDSHIP  
EXEMPTION

- (3) If a person or company files or delivers a document to the securities regulatory authority or regulator in the manner and within the time prescribed by this section, the person or company is exempt from the requirement to file or deliver the document by the date prescribed in securities legislation.
- (4) If a person or company files or delivers a document to the securities regulatory authority or regulator outside of the [Renewed System] in reliance on this section, the person or company must transmit the document to the securities regulatory authority or regulator through the [Renewed System] as soon as practicable and in any event within 3 business days of the date on which the unanticipated technical difficulties have been resolved, and must include the following legend in capital letters at the top of the first page of the document transmitted through the [Renewed System]:

THIS DOCUMENT IS A COPY OF (SPECIFY DOCUMENT) FILED  
OR DELIVERED ON (DATE) TO (LIST ALL SECURITIES

REGULATORY AUTHORITIES OR REGULATORS TO WHOM THE DOCUMENT WAS FILED OR DELIVERED) UNDER A TEMPORARY HARDSHIP EXEMPTION UNDER SECTION 6 OF NATIONAL INSTRUMENT 13-103 [*SYSTEM REPLACEMENT RULE*].

**Decisions**

7. (1) If a decision made under securities legislation requires or permits a person or company to file a document on the *System for Electronic Document Analysis and Retrieval*, the decision is deemed, after the effective date of this Instrument, to require or permit the person or company to transmit the document to the securities regulatory authority or regulator through the [Renewed System].
- (2) Subsection (1) does not apply if section 3 applies.
- (3) In British Columbia, subsection (1) does not apply.

**Exemptions**

8. (1) The securities regulatory authority or regulator may grant an exemption from this Instrument, in whole or in part, subject to the conditions or restrictions that may be imposed in the exemption.
- (2) Despite subsection (1), in Ontario only the regulator may grant an exemption from this Instrument.
- (3) Except in Alberta and Ontario, an exemption referred to in subsection (1) is granted under the statute referred to in Appendix B of National Instrument 14-101 *Definitions* opposite the name of the local jurisdiction.

**Repeal of former instrument**

9. National Instrument 13-101 *System for Electronic Document Analysis and Retrieval (SEDAR)* is repealed.

**Effective date**

10. This Instrument comes into force on ●, 2020 [date of Phase 1].

**APPENDIX  
TO  
NATIONAL INSTRUMENT 13-103**

***[SYSTEM REPLACEMENT RULE]***

**Securities legislation pursuant to which documents must not be  
filed or delivered through the [Renewed System]  
(Paragraph 3(f))**

<b>Column A</b>	<b>Column B</b>
<b>National and multilateral instruments pursuant to which documents must not be filed or delivered through the [Renewed System]</b>	<b>Exceptions: Filers who must file or deliver the document through the [Renewed System]</b>
Multilateral Instrument 11-102 <i>Passport System</i> , only Part 4A Registration and Part 4B Application to Become a Designated Rating Organization	N/A
National Instrument 21-101 <i>Marketplace Operation</i>	N/A
National Instrument 23-101 <i>Trading Rules</i>	N/A
National Instrument 23-102 <i>Use of Client Brokerage Commissions</i>	N/A
National Instrument 23-103 <i>Electronic Trading and Direct Electronic Access to Marketplace</i>	N/A
National Instrument 24-101 <i>Institutional Trade Matching and Settlement</i>	N/A
National Instrument 24-102 <i>Clearing Agency Requirements</i>	N/A
National Instrument 25-101 <i>Designated Rating Organizations</i>	N/A
National Instrument 31-102 <i>National Registration Database</i>	N/A
National Instrument 31-103 <i>Registration Requirements, Exemptions and Ongoing Registrant Obligations</i>	N/A
National Instrument 33-105 <i>Underwriting Conflicts</i>	N/A
National Instrument 33-109 <i>Registration Information</i>	N/A
National Instrument 35-101 <i>Conditional Exemption From Registration For United States Broker-Dealers and Agents</i>	N/A

Column A	Column B
<b>National and multilateral instruments pursuant to which documents must not be filed or delivered through the [Renewed System]</b>	<b>Exceptions: Filers who must file or deliver the document through the [Renewed System]</b>
Multilateral Instrument 45-108 <i>Crowdfunding</i>	An issuer filing or delivering a document pursuant to section 15, section 16 or section 17 An issuer filing an application for an exemption pursuant to section 44
National Instrument 52-107 <i>Acceptable Accounting Principles and Auditing Standards</i>	An issuer filing an application for an exemption pursuant to section 5.1(1)
National Instrument 55-102 <i>System for Electronic Disclosure by Insiders (SEDI)</i>	An issuer filing an application for an exemption pursuant to section 6.1(1)
National Instrument 55-104 <i>Insider Reporting Requirements and Exemptions</i>	An issuer filing an application for an exemption pursuant to section 10.1(1)
Multilateral Instrument 91-101 <i>Derivatives: Product Determination</i>	N/A
Multilateral Instrument 91-102 <i>Prohibition of Binary Options</i>	N/A
Multilateral Instrument 91-506 <i>Derivatives: Product Determination</i>	N/A
Multilateral Instrument 91-507 <i>Trade Repositories and Derivatives Data Reporting</i>	N/A
National Instrument 94-101 <i>Mandatory Central Counterparty Clearing of Derivatives</i>	N/A
National Instrument 94-102 <i>Derivatives: Customer Clearing and Protection of Customer Collateral and Positions</i>	N/A
Multilateral Instrument 96-101 <i>Trade Repositories and Derivatives Data Reporting</i>	N/A

Column A	Column B
<b>British Columbia securities legislation pursuant to which documents must not be filed or delivered through the [Renewed System]</b>	<b>Exceptions: Filers who must file or deliver the document through the [Renewed System]</b>
Designation orders – section 3.2 of the <i>Securities Act</i> R.S.B.C. 1996, c 418	A person or company filing an application for an order that a person or a person within a class of persons is a mutual fund, a non-redeemable investment fund or a reporting issuer
Self Regulatory Bodies, Exchanges, Quotation and Trade Reporting Systems and Clearing Agencies (Part 4) – sections 23-33 of the <i>Securities Act</i> R.S.B.C. 1996, c 418	N/A
Further information (Part 5) – section 38 of the <i>Securities Act</i> R.S.B.C. 1996, c 418	N/A
Surrender of registration (Part 5) – section 41 of the <i>Securities Act</i> R.S.B.C. 1996, c 418	N/A
Exemption order by commission or executive director (Part 6) – section 48 of the <i>Securities Act</i> R.S.B.C. 1996, c 418	N/A
Trading in Exchange Contracts (Part 8) – sections 58 – 60 of the <i>Securities Act</i> R.S.B.C. 1996, c 418	N/A
Exemption order by commission or executive director (Part 12) – section 91 of the <i>Securities Act</i> R.S.B.C. 1996, c 418	An issuer filing an application for an exemption from the insider reporting requirements, and all documents in relation to the exemption
Exemptions (Part 15) – section 130 of the <i>Securities Act</i> R.S.B.C. 1996, c 418	N/A
Filing and inspection of records (Part 20) – section 169 of the <i>Securities Act</i> R.S.B.C. 1996, c 418	An issuer filing an application pursuant to section 169
Discretion to revoke or vary decision (Part 20) – section 171 of the <i>Securities Act</i> R.S.B.C. 1996, c 418	An issuer filing an application pursuant to section 171
Administrative powers respecting commission rules (Part 20) – section 187 of the <i>Securities Act</i> R.S.B.C. 1996, c 418	An issuer filing an application pursuant to section 187

Column A	Column B
<b>Alberta securities legislation pursuant to which documents must not be filed or delivered through the [Renewed System]</b>	<b>Exceptions: Filers who must file or deliver the document through the [Renewed System]</b>
Form 4 Report by a Registered Owner of Securities Beneficially Owned by an Insider Under Section 183 of the <i>Securities Act</i> – section 17 of <i>Alberta Securities Commission Rules (General)</i>	N/A
Designation orders – section 10 of the <i>Securities Act</i> RSA 2000, c S-4	An issuer filing an application pursuant to section 10
Regulation, Recognition and Designation of Entities and Benchmarks – Part 4 of the <i>Securities Act</i> RSA 2000, c S-4	N/A
Surrender of registration – section 78 of the <i>Securities Act</i> RSA 2000, c S-4	N/A
Further Information – section 82 of the <i>Securities Act</i> RSA 2000, c S-4	N/A
Trading in Securities and Derivatives Generally – Part 7 of the <i>Securities Act</i> RSA 2000, c S-4	N/A
Discretionary exemptions – section 144 of the <i>Securities Act</i> RSA 2000, c S-4	A person or company filing an application for relief from the prospectus requirement
Applications to the Commission – section 179 of the <i>Securities Act</i> RSA 2000, c S-4	An issuer filing an application pursuant to section 179
General Exemption – section 213 of the <i>Securities Act</i> RSA 2000, c S-4	An issuer filing an application pursuant to section 213
Revoke or vary decisions – section 214 of the <i>Securities Act</i> RSA 2000, c S-4	An issuer filing an application pursuant to section 214
Filing and confidentiality – section 221 of the <i>Securities Act</i> RSA 2000, c S-4	An issuer filing an application pursuant to section 221



Column A	Column B
<p><b>Alberta securities legislation pursuant to which documents must not be filed or delivered through the [Renewed System]</b></p>	<p><b>Exceptions: Filers who must file or deliver the document through the [Renewed System]</b></p>
<p>ASC Rule 13-501 <i>Fees</i></p>	<p>An issuer filing any of the following:</p> <ul style="list-style-type: none"> <li>• Form 13-501F1 <i>Class 1 Reporting Issuers and Class 3B Reporting Issuers – Participation Fee</i></li> <li>• Form 13-501F2 <i>Class 2 Reporting Issuers – Participation Fee</i></li> <li>• Form 13-501F3 <i>Adjustment of Fee Payment for Class 2 Reporting Issuer</i></li> <li>• Form 13-501F4 <i>Class 3A Reporting Issuers – Participation Fee</i></li> <li>• Form 13-501F6 <i>Subsidiary Exemption Notice</i></li> </ul>
<p>ASC Rule 91-504 <i>Strip Bonds</i></p>	<p>A person or company other than a registrant filing an application pursuant to ASC Rule 91-504</p>
<p>Compensation fund or contingency trust fund – section 6 of <i>Alberta Securities Commission Rules (General)</i></p>	<p>N/A</p>
<p>Trading in Securities and Derivatives Generally – Part 4 of <i>Alberta Securities Commission Rules (General)</i></p>	<p>N/A</p>

Column A	Column B
<b>Saskatchewan securities legislation pursuant to which documents must not be filed or delivered through the [Renewed System]</b>	<b>Exceptions: Filers who must file or deliver the document through the [Renewed System]</b>
Designation – section 11.1 of <i>The Securities Act, 1988</i> SS 1988-89, c S-42.2	N/A
Recognition of Entities (Part V) – sections 21-25 of <i>The Securities Act, 1988</i> SS 1988-89, c S-42.2	N/A
Designation of Entities (Part V.1) of <i>The Securities Act, 1988</i> SS 1988-89, c S-42.2	N/A
Voluntary surrender of registration – section 29 of <i>The Securities Act, 1988</i> SS 1988-89, c S-42.2	N/A
Trading in Securities and Derivatives (Part IX) of <i>The Securities Act, 1988</i> SS 1988-89, c S-42.2	N/A
Saskatchewan General Ruling/Order 91-906 <i>Strip Bonds</i>	N/A

Column A	Column B
<b>Manitoba securities legislation pursuant to which documents must not be filed or delivered through the [Renewed System]</b>	<b>Exceptions: Filers who must file or deliver the document through the [Renewed System]</b>
Exemption by commission - section 20 of the <i>Securities Act</i> C.C.S.M. c.S50	An issuer filing an application pursuant to section 20
Self-regulatory organizations (Part IV.1) – sections 31.1, 31.3 and 31.4 of the <i>Securities Act</i> C.C.S.M. c.S50	N/A
Trade repositories and clearing agencies (Part IV.2) – sections 31.6, 31.11 and 31.12 of the <i>Securities Act</i> C.C.S.M. c.S50	N/A
Trading in derivatives (Part VIII.1) – section 79.1 of the <i>Securities Act</i> C.C.S.M. c.S50	N/A
Designating a person or company as an insider - section 108.1 of the <i>Securities Act</i> C.C.S.M. c.S50	A person or company filing an application for an order that an issuer or class of issuers is, or is not, a mutual fund or a non-redeemable investment fund
Exemption and extension orders section 116 of the <i>Securities Act</i> C.C.S.M. c.S50	An issuer filing an application pursuant to section 116
Audit oversight bodies (Part XX) – sections 204 and 206 of the <i>Securities Act</i> C.C.S.M. c.S50	N/A

Column A	Column B
<b>Ontario securities legislation pursuant to which documents must not be filed or delivered through the [Renewed System]</b>	<b>Exceptions: Filers who must file or deliver the document through the [Renewed System]</b>
Relieving orders – subsection 1(10) of the <i>Securities Act</i> , RSO 1990, c S.5	An issuer filing an application for an order pursuant to subsection 1(10)
Designation – subsection 1(11) of the <i>Securities Act</i> , RSO 1990, c S.5	An issuer filing an application for an order pursuant to subsection 1(11)
Exchanges, alternative trading systems, self-regulatory organizations, clearing agencies, quotation and trade reporting systems, information processors – Part VIII of the <i>Securities Act</i> , RSO 1990, c S.5	N/A
Designated rating organizations – section 22 of the <i>Securities Act</i> , RSO 1990, c S.5	N/A
Voluntary surrender of registration – section 30 of the <i>Securities Act</i> , RSO 1990, c S.5	N/A
Further information – section 33.1 of the <i>Securities Act</i> , RSO 1990, c S.5	N/A
Disclosure of trade information to the Commission – subsection 36(2) of the <i>Securities Act</i> , RSO 1990, c S.5	N/A
Exemption order – subsection 74(1) of the <i>Securities Act</i> , RSO 1990, c S.5	A person or company filing an application for relief from the prospectus requirement
Insider reporting – section 107 of the <i>Securities Act</i> , RSO 1990, c S.5	N/A
Report of transfer by insider – section 109 of the <i>Securities Act</i> , RSO 1990, c S.5	N/A
Filing in other jurisdictions – section 121 of the <i>Securities Act</i> , RSO 1990, c S.5	An issuer filing an application pursuant to section 121
Filing and inspection of material – section 140 of the <i>Securities Act</i> , RSO 1990, c S.5	An issuer filing an application pursuant to section 140
Revocation or variation of decision – section 144 of the <i>Securities Act</i> , RSO 1990, c S.5	An issuer filing an application pursuant to section 144

Column A	Column B
<b>Ontario securities legislation pursuant to which documents must not be filed or delivered through the [Renewed System]</b>	<b>Exceptions: Filers who must file or deliver the document through the [Renewed System]</b>
Exemption – section 147 of the <i>Securities Act</i> , RSO 1990, c S.5	An issuer filing an application pursuant to section 147
OSC Rule 11-501 <i>Electronic Delivery of Documents to the Ontario Securities Commission</i>	N/A
OSC Rule 13-502 <i>Fees</i>	<p>An issuer filing any of the following:</p> <ul style="list-style-type: none"> <li>• Form 13-502F1 <i>Class 1 and Class 3B Reporting Issuers – Participation Fee</i></li> <li>• Form 13-502F2 <i>Class 2 Reporting Issuers – Participation Fee</i></li> <li>• Form 13-502F2A <i>Adjustment of Fee for Class 2 Reporting Issuers</i></li> <li>• Form 13-502F3A <i>Class 3A Reporting Issuers – Participation Fee</i></li> <li>• Form 13-502F6 <i>Subsidiary Exemption Notice</i></li> <li>• an application pursuant to section 8.1</li> </ul>
OSC Rule 31-505 <i>Conditions of Registration</i>	N/A
Multilateral Instrument 32-102 <i>Registration Exemptions for Non-Resident Investment Fund Managers</i>	N/A
OSC Rule 32-501 <i>Direct Purchase Plans</i>	N/A
OSC Rule 32-505 <i>Conditional Exemption from Registration for United States Broker-Dealers and Advisers Servicing U.S. Clients from Ontario</i>	N/A
OSC Rule 35-502 <i>Non-Resident Advisers</i>	An issuer filing an application pursuant to OSC Rule 35-502

Column A	Column B
<b>Ontario securities legislation pursuant to which documents must not be filed or delivered through the [Renewed System]</b>	<b>Exceptions: Filers who must file or deliver the document through the [Renewed System]</b>
OSC Rule 91-501 <i>Strip Bonds</i>	A person or company other than a registrant filing an application pursuant to OSC Rule 91-501
OSC Rule 91-502 <i>Trades in Recognized Options</i>	N/A
OSC Rule 91-507 <i>Trade Repositories and Derivatives Data Reporting</i>	N/A

Column A	Column B
<b>Québec securities legislation pursuant to which documents must not be filed or delivered through the [Renewed System]</b>	<b>Exceptions: Filers who must file or deliver the document through the [Renewed System]</b>
Surrender of registration – section 153 of the <i>Securities Act</i> , CQLR, c. V-1.1	N/A
Self-Regulatory Organizations, Securities Exchange or Clearing Activities, Credit rating Organization, Benchmarks and Benchmark Administrators – sections 169 to 186.6 of the <i>Securities Act</i> , CQLR, c. V-1.1	N/A
Exemption order by the Autorité des marchés financiers – section 263 of the <i>Securities Act</i> , CQLR, c. V-1.1	An issuer filing an application for an exemption A person filing an application for an exemption from the prospectus requirement
Designation – section 272.2 of the <i>Securities Act</i> , CQLR, c. V-1.1	A person filing an application to be designated a non-redeemable investment fund, a mutual fund or a reporting issuer
<i>Derivatives Act</i> , CQLR, c. I-14.01	N/A
<i>An Act Respecting the Regulation of the Financial Sector</i> , CQLR, c. A-33.2	N/A

Column A	Column B
<p><b>New Brunswick securities legislation pursuant to which documents must not be filed or delivered through the [Renewed System]</b></p>	<p><b>Exceptions: Filers who must file or deliver the document through the [Renewed System]</b></p>
<p><i>Securities Act</i> Chapter S-5.5:</p> <ul style="list-style-type: none"> <li>• Part 1 Designation Orders, s. 1.1</li> <li>• Part 3 Self-Regulatory Organization and Other Regulated Entities, s. 35 - Recognition</li> <li>• Part 3 Self-Regulatory Organization and Other Regulated Entities, s. 40 – Voluntary Surrender</li> <li>• Part 3.1 Credit Rating Organizations, s. 44.1(1) – Designation</li> <li>• Part 4 Registration, s. 50 – Further Information</li> <li>• Part 4 Registration, s. 51(1) – Surrender of Registration</li> <li>• Part 5 Trading in Securities of Derivatives Generally, s. 68(1) – Submission of advertising and sales literature</li> <li>• Part 10 Insider Trading and Self-Dealing, s.135 – Insider Reporting</li> <li>• Part 14 Enforcement, s. 181.1(1) – Compensation for financial losses</li> <li>• All applications for an exemption from the requirements under the <i>Securities Act</i> Chapter S-5.5</li> </ul>	<p>An issuer must file or deliver through the [Renewed System]</p>



Column A	Column B
<b>Nova Scotia securities legislation pursuant to which documents must not be filed or delivered through the [Renewed System]</b>	<b>Exceptions: Filers who must file or deliver the document through the [Renewed System]</b>
Recognition of self-regulatory organizations – section 30 of the <i>Securities Act</i> , RSNS 1989, c. 418, as amended	N/A
Designation – section 30 A of the <i>Securities Act</i> , RSNS 1989, c. 418, as amended	A person or company filing an application pursuant to section 30 A to be designated a mutual fund, non-redeemable investment fund or reporting issuer
Designation of credit rating agencies – sections 30 EA and 30 F of the <i>Securities Act</i> , RSNS 1989, c. 418, as amended	N/A
Recognition of exchanges, quotation and trade reporting systems, clearing agencies, derivatives trading facilities, and derivative trade repositories – section 30 I of the <i>Securities Act</i> , RSNS 1989, c. 418, as amended	N/A
Designation of benchmarks and benchmark administrators – sections 30 N and 30 O of the <i>Securities Act</i> , RSNS 1989, c. 418, as amended	N/A
Voluntary surrender or suspension of registration –section 33 of the <i>Securities Act</i> , RSNS 1989, c. 418, as amended	N/A
Discretionary exemptions – section 79 of the <i>Securities Act</i> , RSNS 1989, c. 418, as amended	A person or company filing an application for relief from the prospectus requirement
Commission orders – section 98 of the <i>Securities Act</i> , RSNS 1989, c. 418, as amended	An issuer filing an application pursuant to section 98
Relieving orders – section 121 of the <i>Securities Act</i> , RSNS 1989, c. 418, as amended	An issuer filing an application pursuant to section 121
Filing and confidentiality – subsection 148(2) of the <i>Securities Act</i> , RSNS 1989, c. 418, as amended	An issuer filing an application pursuant to subsection 148(2)
Discretionary exemptions – section 151A of the <i>Securities Act</i> , RSNS 1989, c. 418, as amended	An issuer filing an application pursuant to section 151A

<b>Column A</b>	<b>Column B</b>
<b>Nova Scotia securities legislation pursuant to which documents must not be filed or delivered through the [Renewed System]</b>	<b>Exceptions: Filers who must file or deliver the document through the [Renewed System]</b>
Exemption Order – section 128 of the <i>Securities Act</i> , RSNS 1989, c.418, as amended	An issuer filing an application pursuant to section 128
Revocation or variation of a decision – section 151 of the <i>Securities Act</i> , RSNS 1989, c.418, as amended	An issuer filing an application pursuant to section 151

Column A	Column B
<b>Prince Edward Island securities legislation pursuant to which documents must not be filed or delivered through the [Renewed System]</b>	<b>Exceptions: Filers who must file or deliver the document through the [Renewed System]</b>
Recognition orders – sections 72 and 73 of the <i>Securities Act</i> Chapter S-3.1	N/A
Designation orders – sections 6 and 71 of the <i>Securities Act</i> Chapter S-3.1	N/A
Authorization orders – section 76 of the <i>Securities Act</i> Chapter S-3.1	N/A
Exemption orders – section 16 of the <i>Securities Act</i> Chapter S-3.1	N/A
Superintendent orders – subsection 15(1) of the <i>Securities Act</i> Chapter S-3.1	N/A
Insider filings – subsection 104(2) and section 105 of the <i>Securities Act</i> Chapter S-3.1	N/A
Exchanges and quotation and trade reporting systems – section 70 of the <i>Securities Act</i> Chapter S-3.1	N/A

Column A	Column B
<b>Newfoundland and Labrador securities legislation pursuant to which documents must not be filed or delivered through the [Renewed System]</b>	<b>Exceptions: Filers who must file or deliver the document through the [Renewed System]</b>
Trading in Securities Generally – Part XII of the <i>Securities Act</i> RSNL 1990, c S-13	N/A
Exemptions from Registration Requirements – Part XI of the <i>Securities Act</i> RSNL 1990, c S-13	A person or company filing an application for relief from the prospectus requirement
Exemption – section 142.1 of the <i>Securities Act</i> RSNL 1990, c S-13	An issuer filing an application pursuant to section 142.1
Surrender of registration – section 28 of the <i>Securities Act</i> RSNL 1990, c S-13	N/A
Self-regulation – Part VIII of the <i>Securities Act</i> RSNL 1990, c S-13	N/A
Investigations and Examinations – Part VI of the <i>Securities Act</i> RSNL 1990, c S-13	N/A
Applications to superintendent – section 93 of the <i>Securities Act</i> RSNL 1990, c S-13	An issuer filing an application pursuant to section 93
Further information – section 32 of the <i>Securities Act</i> RSNL 1990, c S-13	N/A
Filing and inspection of material – section 140 of the <i>Securities Act</i> RSNL 1990, c S-13	An issuer filing an application pursuant to section 140

Column A	Column B
<b>Yukon securities legislation pursuant to which documents must not be filed or delivered through the [Renewed System]</b>	<b>Exceptions: Filers who must file or deliver the document through the [Renewed System]</b>
Recognition orders – sections 72 and 73 of the <i>Securities Act</i> S.Y. 2007, c.16	N/A
Designation orders – sections 6 and 71 of the <i>Securities Act</i> S.Y. 2007, c.16	N/A
Authorization orders – section 76 of the <i>Securities Act</i> S.Y. 2007, c.16	N/A
Exemption orders – section 16 of the <i>Securities Act</i> S.Y. 2007, c.16	N/A
Superintendent orders – subsection 15(1) of the <i>Securities Act</i> S.Y. 2007, c.16	N/A
Designation of credit rating organizations – section 83.1 of the <i>Securities Act</i> S.Y. 2007, c.16	N/A
Insider filings – subsection 104(2) and section 105 of the <i>Securities Act</i> S.Y. 2007, c.16	N/A
Exchanges and quotation and trade reporting systems – section 70 of the <i>Securities Act</i> S.Y. 2007, c.16	N/A

Column A	Column B
<b>Nunavut securities legislation pursuant to which documents must not be filed or delivered through the [Renewed System]</b>	<b>Exceptions: Filers who must file or deliver the document through the [Renewed System]</b>
Recognition orders – sections 72 and 73 of the <i>Securities Act</i> , SNu 2008, c 12	N/A
Designation orders – sections 6 and 71 of the <i>Securities Act</i> , SNu 2008, c 12	N/A
Authorization orders – section 76 of the <i>Securities Act</i> , SNu 2008, c 12	N/A
Exemption orders – section 16 of the <i>Securities Act</i> , SNu 2008, c 12	N/A
Superintendent orders – subsection 15(1) of the <i>Securities Act</i> , SNu 2008, c 12	N/A
Designation of credit rating organizations – section 83.1 of the <i>Securities Act</i> , SNu 2008, c 12	N/A
Insider filings – subsection 104(2) and section 105 of the <i>Securities Act</i> , SNu 2008, c 12	N/A

Column A	Column B
<b>Northwest Territories securities legislation pursuant to which documents must not be filed or delivered through the [Renewed System]</b>	<b>Exceptions: Filers who must file or deliver the document through the [Renewed System]</b>
Recognition orders – sections 72 and 73 of the <i>Securities Act</i> , SNWT 2008, c. 10	N/A
Designation orders – sections 6 and 71 of the <i>Securities Act</i> , SNWT 2008, c. 10	N/A
Authorization orders – section 76 of the <i>Securities Act</i> , SNWT 2008, c. 10	N/A
Exemption orders – section 16 of the <i>Securities Act</i> , SNWT 2008, c. 10	N/A
Superintendent orders – subsection 15(1) of the <i>Securities Act</i> , SNWT 2008, c. 10	N/A
Designation of credit rating organizations – section 83.1 of the <i>Securities Act</i> , SNWT 2008, c. 10	N/A
Insider filings – subsection 104(2) and section 105 of the <i>Securities Act</i> , SNWT 2008, c. 10	N/A
Exchanges and quotation and trade reporting systems – section 70 of the <i>Securities Act</i> , SNWT 2008, c. 10	N/A