

*Note: [09 Jun 2023] – Changes to NP 11-206 arising from NI 13-103. Refer to Annex E of the CSA Notice announcing NI 13-103 dated 23 Mar 2023.*

## **CHANGES TO NATIONAL POLICY 11-206 *PROCESS FOR CEASE TO BE A REPORTING ISSUER APPLICATIONS***

1. *National Policy 11-206 Process for Cease to be a Reporting Issuer Applications is changed by this Document.*
2. *Part 2 is changed by adding “AND INTERPRETATION” in its title.*
3. *The Policy is changed by adding the following section:*
  - 4.1. **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 Multilateral Instrument 11-102 *Passport System* and this policy..
4. *Subsection 10(1) is deleted.*
5. *Section 16 is changed by*
  - (a) *deleting “by letter”, and*
  - (b) *deleting “in the pre-filing”.*
6. *Subsection 17(1) is changed by deleting “in the pre-filing”.*

7. *Subsection 22(1) is changed by replacing “In its application, the” with “The”.*
8. *Section 27 is replaced with the following:*

**Filing**

27. A filer should send the application materials together with the fees to
  - (a) the principal regulator, in the case of a passport application, or
  - (b) the principal regulator and the OSC, in the case of a dual application..
9. *Subsection 30(2) is changed by replacing “mark” with “treat”.*
10. *Subsection 34(1) is changed by replacing “circulate” with “provide”.*
11. *Part 10 is changed*
  - (a) *in its title by deleting “TRANSITION AND”, and*
  - (b) *by deleting section 40.*

**Effective Date**

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