

Note: [09 Jun 2023] – Changes to NP 11-207 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 11-207 FAILURE-TO-FILE CEASE TRADE ORDERS AND
REVOCATIONS IN MULTIPLE JURISDICTIONS**

1. *National Policy 11-207 Failure-to-File Cease Trade Orders and Revocations in Multiple Jurisdictions is changed by this Document.*

2. *Section 3 is changed by*

(a) *deleting the definition of “SEDAR”, and*

(b) *adding the following definition:*

“SEDAR+” means System for Electronic Data Analysis and Retrieval +;

3. *The Policy is changed by adding the following section:*

5.1. *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 this policy..

4. *Section 13 is changed by replacing “SEDAR” with “SEDAR+”.*

5. *Subsection 16(1) is changed by replacing “circulate” with “provide”.*

6. *Subsection 19(2) is changed by deleting “a copy of”.*
7. *Section 28 is changed by replacing “to hold an annual meeting requirement” with “to hold an annual meeting”.*
8. *Paragraph 33(1)(e) is changed by replacing “SEDAR” with “SEDAR+”.*
9. *Section 37 is replaced with the following:*

Filing

37. A filer should send the application materials, including the draft order together with the fees, where applicable, to
 - (a) the principal regulator or
 - (b) the principal regulator and the OSC, in the case of a dual application..
10. *Subsection 40(2) is changed by replacing “mark” with “treat”.*
11. *Subsection 45(1) is changed by replacing “circulate” with “provide”.*

Effective Date

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