

ALBERTA SECURITIES COMMISSION

COORDINATED BLANKET ORDER 13-930

**Citation: Re Exemptions from Certain Filing Requirements in Connection with the Launch of the System for Electronic Data Analysis and Retrieval +, 2023 ABASC 67**

**Date: 20230511**

**Definitions**

1. Terms defined in the *Securities Act* (Alberta) (the **Act**) and National Instrument 14-101 *Definitions* have the same meanings in this Order.
2. In this Order:  
  
"cutover period" means the period beginning on June 9, 2023 and ending on the cutover end date;  
  
"cutover end date" means the earlier of the date on which SEDAR+ becomes available for filing and June 16, 2023.

**Background**

3. The National Systems Renewal Program is an initiative of the CSA that will replace existing CSA national systems with a centralized system, the System for Electronic Data Analysis and Retrieval + (**SEDAR+**). The first phase of SEDAR+ will replace the System for Electronic Document Analysis and Retrieval (**SEDAR**), the National Cease Trade Order Database, the Disciplined List, and certain filings in the British Columbia Securities Commission's eServices system and the Ontario Securities Commission's electronic filing portal.
4. In connection with the launch of SEDAR+, the Commission is adopting National Instrument 13-103 *System for Electronic Data Analysis and Retrieval + (SEDAR+)* (**NI 13-103**). NI 13-103 will require a person or company to transmit through SEDAR+ certain documents required or permitted under securities legislation to be filed with or delivered to a securities regulatory authority or regulator.
5. On June 9, 2023, NI 13-103 will come into force and National Instrument 13-101 *System for Electronic Document Analysis and Retrieval (SEDAR)* will be repealed. Accordingly, as of June 9, 2023, SEDAR will no longer be available for filing.
6. In order to accommodate the transfer of required system data, SEDAR+ will not be available during the cutover period.
7. During the cutover period, filers will not be able to comply with the requirement in NI 13-103 to file a document with, or deliver a document to, the securities regulatory authority or regulator by transmitting it through SEDAR+.

8. This Order does not relieve a filer from any requirement under securities legislation to issue a news release or deliver a document to securityholders.

### **Order**

#### **Exemption from the requirement to file or deliver a document during the cutover period**

9. The Commission, considering that to do so would not be prejudicial to the public interest, orders under section 213 of the Act that, in respect of a document that is required to be transmitted through SEDAR+ under NI 13-103, a person or company is exempt from the requirement to file the document with, or deliver the document to, the securities regulatory authority or regulator under securities legislation during the cutover period, provided that the person or company files or delivers the document through SEDAR+ no later than 2 business days after the cutover end date.

#### **Exemption from the requirement to transmit a document through SEDAR+ during the cutover period**

10. The Commission, considering that to do so would not be prejudicial to the public interest, orders under section 213 of the Act that a person or company is exempt from the requirement in section 2 of NI 13-103 to transmit a document through SEDAR+ during the cutover period, provided that the person or company transmits the document to the securities regulatory authority or regulator
- (a) as set out in the Appendix to this Order, and
  - (b) through SEDAR+ no later than 2 business days after the cutover end date.

#### **Deemed issuance of receipt**

11. The Commission, considering that to do so would not be prejudicial to the public interest, orders under section 213 of the Act that a person or company is exempt from the requirement in paragraph 3.3(1)(b) of Multilateral Instrument 11-102 *Passport System (MI 11-102)* during the cutover period, provided the person or company
- (a) files the preliminary prospectus in accordance with paragraph 10(a) of this Order, and advises the regulator in a cover letter that the person or company is filing the preliminary prospectus under MI 11-102, and
  - (b) at the time of filing the preliminary prospectus through SEDAR+, indicates that the person or company is filing the preliminary prospectus under MI 11-102.
12. The Commission, considering that to do so would not be prejudicial to the public interest, orders under section 213 of the Act that a person or company is exempt from the requirement in paragraph 3.3(2)(b) of MI 11-102 during the cutover period, provided the person or company

- (a) files the prospectus in accordance with paragraph 10(a) of this Order, and advises the regulator in a cover letter that the person or company is filing the prospectus under MI 11-102, and
- (b) at the time of filing the prospectus through SEDAR+, indicates that the person or company is filing the prospectus under MI 11-102.

**Relief from local fee rule**

13. The Commission, considering that to do so would not be prejudicial to the public interest, orders under section 213 of the Act that in respect of a document that is required to be transmitted through SEDAR+ under NI 13-103, a person or company filing the document with, or delivering a document to, the securities regulatory authority or regulator as contemplated in paragraph 10(a) of this Order is exempt from paying the fee required for the document pursuant to Alberta Securities Commission Rule 13-501 *Fees*. For clarity, the person or company will be required to pay the relevant fee at the time the document is filed or delivered through SEDAR+.

**Effective date**

14. This Order comes into effect on May 11, 2023.

**For the Commission:**

*"original signed by"*

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Tom Cotter  
Vice-Chair

*"original signed by"*

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Kari Horn  
Vice-Chair

## APPENDIX

Jurisdictions	General filing methods	Exceptions to general filing methods
British Columbia	<a href="mailto:cutover@besc.bc.ca">cutover@besc.bc.ca</a>	An application that is not a full or partial revocation application, an MCTO application, a prospectus pre-filing or a waiver application, is to be filed through eServices
Alberta	<a href="mailto:transition@asc.ca">transition@asc.ca</a>	Submit an application to the Commission or the Executive Director to <a href="mailto:legalapplications@asc.ca">legalapplications@asc.ca</a>
Saskatchewan	<a href="mailto:corpfin@gov.sk.ca">corpfin@gov.sk.ca</a>	N/A
Manitoba	<a href="mailto:securities@gov.mb.ca">securities@gov.mb.ca</a>	N/A
Ontario	For investment funds: <a href="mailto:IF_SEDARplus_cutover@osc.gov.on.ca">IF_SEDARplus_cutover@osc.gov.on.ca</a>  and for all other cases: <a href="mailto:CF_SEDARplus_cutover@osc.gov.on.ca">CF_SEDARplus_cutover@osc.gov.on.ca</a>	N/A
Québec	For investment funds: <a href="mailto:Fonds_dinvestissement@lautorite.qc.ca">Fonds_dinvestissement@lautorite.qc.ca</a>  and for all other cases: <a href="mailto:Dispenses.passeport@lautorite.qc.ca">Dispenses.passeport@lautorite.qc.ca</a>	CPC qualifying transaction filings are to be filed by email at the general email address or in paper at 800, rue du Square-Victoria, 22e étage, C.P. 246, Place Victoria, Montréal (Québec) H4Z 1G3
New Brunswick	<a href="mailto:transition@fcnb.ca">transition@fcnb.ca</a>	Community Economic Development (CEDC) filings (forms under local NB rule 45-509) are to be filed by email at the general email or in paper at 300-85 Charlotte Street, Saint John, NB E2L 2J2

Jurisdictions	General filing methods	Exceptions to general filing methods
Nova Scotia	<a href="mailto:NSSC_Corp_Finance@novascotia.ca">NSSC_Corp_Finance@novascotia.ca</a>	An application that is not a full or partial revocation application is to be filed at <a href="mailto:NSSCEXEMPTIONS@novascotia.ca">NSSCEXEMPTIONS@novascotia.ca</a>
Prince Edward Island	<a href="mailto:ccis@gov.pe.ca">ccis@gov.pe.ca</a>	N/A
Newfoundland and Labrador	<a href="mailto:SecuritiesExemptions@gov.nl.ca">SecuritiesExemptions@gov.nl.ca</a>	N/A
Yukon	<a href="mailto:securities@yukon.ca">securities@yukon.ca</a>	N/A
Northwest Territories	<a href="mailto:Securitiesregistry@gov.nt.ca">Securitiesregistry@gov.nt.ca</a>	N/A
Nunavut	<a href="mailto:securities@gov.nu.ca">securities@gov.nu.ca</a>	N/A