

## Chapter 5

# Rules and Policies

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- 5.1.1 Amendments to NI 13-101 System for Electronic Document Analysis and Retrieval (SEDAR), NI 31-102 National Registration Database, NI 55-102 System for Electronic Disclosure by Insiders (SEDI) and OSC Rule 31-509 National Registration Database (Commodity Futures Act)

**AMENDMENTS TO NATIONAL INSTRUMENT 13-101  
SYSTEM FOR ELECTRONIC DOCUMENT ANALYSIS AND RETRIEVAL (SEDAR)**

1. ***National Instrument 13-101 System for Electronic Document Analysis and Retrieval (SEDAR) is amended by this Instrument.***
2. ***Section 1.1 is amended by, in the definition of “SEDAR filing service contractor”, replacing “CDS INC.” with “the Alberta Securities Commission”.***
3. This Instrument comes into force on October 12, 2013.

**AMENDMENTS TO NATIONAL INSTRUMENT 31-102  
NATIONAL REGISTRATION DATABASE**

1. **National Instrument 31-102 National Registration Database is amended by this Instrument.**
2. **Section 1.1 is amended by, in the definition of “NRD administrator”, replacing “CDS INC.” with “the Alberta Securities Commission”.**
3. **Paragraph 4.5(e) is amended by replacing “pays the following fees by submitting a cheque, payable to CDS INC. in Canadian funds, to the firm’s principal regulator within 14 days of the date the payment is due” with “pays the following fees within 14 days of the date the payment is due by submitting a cheque, payable to the Ontario Securities Commission in Canadian currency, to CSA Service Desk, Attn: NRD Administrator, 12 Millennium Blvd, Suite 210, Moncton, NB E1C 0M3”.**
4. This Instrument comes into force on October 12, 2013.

**AMENDMENTS TO NATIONAL INSTRUMENT 55-102  
SYSTEM FOR ELECTRONIC DISCLOSURE BY INSIDERS (SEDI)**

1. **National Instrument 55-102 System for Electronic Disclosure by Insiders (SEDI) is amended by this Instrument.**
2. **Section 1.1 is amended by, in the definition of “SEDI operator”, replacing “CDS INC.” with “the Alberta Securities Commission”.**
3. **Form 55-102F5 – SEDI User Registration Form is amended by**

- (a) **replacing the section titled “Delivery of Signed Copy to SEDI Operator” with the following:**

**Delivery of Signed Copy to SEDI Operator**

Before you may make a valid SEDI filing, you must deliver a manually signed paper copy of the completed user registration form to the SEDI operator for verification purposes. To satisfy this requirement, you may print a copy of the online user registration form once you have certified and submitted it. You must deliver a manually signed and dated copy of the completed user registration form via prepaid mail, personal delivery or facsimile to the SEDI operator at the following address or fax number, as applicable:

CSA Service Desk  
Attn: SEDI Operator  
12 Millennium Blvd, Suite 210  
Moncton, NB E1C 0M3

or at such other address(es) or fax number(s) as may be provided on the SEDI web site ([www.sedi.ca](http://www.sedi.ca)).

- (b) **replacing the section titled “Questions” with the following:**

**Questions**

Questions may be directed to the CSA Service Desk at 1-800-219-5381 or such other number as may be provided on the SEDI web site.

- (c) **in the section titled “Notice – Collection and Use of Personal Information”,**

- (i) **replacing “CDS INC. (the SEDI operator) is retained by CDS INC.” with “the SEDI operator is retained by the SEDI operator”; and**

- (ii) **replacing “the CDS SEDI Administrator” with “the SEDI operator”;**

- (d) **replacing the first paragraph in the section titled “SEDI User Registration Form” with the following:**

Note: Before an individual registering as a SEDI user may make a valid SEDI filing, the registering individual must deliver a manually signed paper copy of the completed user registration form to the SEDI operator for verification purposes. The registering individual may print a copy of the online version using the “Print” function provided for this purpose in SEDI. The signed paper copy must be delivered by prepaid mail, personal delivery or facsimile to:

CSA Service Desk  
Attn: SEDI Operator  
12 Millennium Blvd, Suite 210  
Moncton, NB E1C 0M3

- (e) **replacing, in the section titled “SEDI User Registration Form”, the portion titled “Section 3 – Certification of SEDI User” with the following:**

**Section 3 Certification of SEDI User**

I certify that the foregoing information is true in all material respects. I agree to update the information submitted on this form in SEDI as soon as practicable following any material change in the information. I agree that an executed copy of Form 55-102F5, if delivered to the SEDI operator by facsimile, shall have the same effect as an originally executed copy delivered to the SEDI operator.

4. This Instrument comes into force on October 12, 2013.

**AMENDMENTS TO ONTARIO SECURITIES COMMISSION RULE 31-509  
NATIONAL REGISTRATION DATABASE (COMMODITY FUTURES ACT)**

1. ***Ontario Securities Commission Rule 31-509 National Registration Database (Commodity Futures Act) is amended by this Instrument.***
2. ***Section 1.1 is amended by, in the definition of “NRD administrator”, replacing “CDS INC.” with “the Alberta Securities Commission”.***
3. ***Paragraph 4.5(e) is amended by replacing “pays the following fees by submitting a cheque, payable to CDS INC. in Canadian funds, to the firm’s principal regulator within 14 days of the date the payment is due” with “pays the following fees within 14 days of the date the payment is due by submitting a cheque, payable to the Ontario Securities Commission in Canadian currency, to CSA Service Desk, Attn: NRD Administrator, 12 Millennium Blvd, Suite 210, Moncton, NB E1C 0M3”.***
4. This Instrument comes into force on October 12, 2013.