

Chapter 1

Notices / News Releases

1.1 Orders

1.1.1 OSC Staff Notice 11-739 (Revised) – Policy Reformulation Table of Concordance and List of New Instruments

OSC STAFF NOTICE 11-739 (REVISED)

POLICY REFORMULATION TABLE OF CONCORDANCE AND LIST OF NEW INSTRUMENTS

The following revisions have been made to the Table of Concordance and List of New Instruments. A full version of the Table of Concordance and List of New Instruments as of June 30, 2015 has been posted to the OSC Website at www.osc.gov.on.ca.

Table of Concordance

Item Key
The third digit of each instrument represents the following: 1-National/Multilateral Instrument; 2-National/Multilateral Policy; 3-CSA Notice; 4-CSA Concept Release; 5-Local Rule; 6-Local Policy; 7-Local Notice; 8-Implementing Instrument; 9-Miscellaneous

Reformulation

Instrument	Title	Status
	None	

New Instruments

Instrument	Title	Status
11-771	Statement of Priorities – Request for Comments Regarding Statement of Priorities for Financial Year to End March 31, 2016	<i>Published for comment on April 2, 2015</i>
24-312	Preparing for the Implementation of T+2 Settlement	<i>Published April 2, 2015</i>
62-104	Take-Over Bids and Issuer Bids – Amendments	<i>Published for comment on April 2, 2015</i>
62-203	Take-Over Bids and Issuer Bids – Amendments	<i>Published for comment on April 2, 2015</i>
13-102	System Fees for SEDAR and NRD – Amendments	<i>Published for comment on April 2, 2015</i>
43-101	Standards of Disclosure for Mineral Projects – Amendments	<i>Published for comment on April 2, 2015</i>
55-104	Insider Reporting Requirements and Exemptions – Amendments (amendments to companion policy)	<i>Published for comment on April 2, 2015</i>
61-101	Protection of Minority Security Holders in Special Transactions – Amendments	<i>Published for comment on April 2, 2015</i>
62-103	The Early Warning System and Related Take-Over Bid and Insider Reporting Issues	<i>Published for comment on April 2, 2015</i>
43-309	Review of Website Investor Presentations by Mining Issuers	<i>Published April 9, 2015</i>
11-739	Policy Reformulation Table of Concordance and List of New Instruments – Revised	<i>Published April 9, 2015</i>
13-502	Fees – Revocation and Replacement	<i>Notice of Minister's approval published April 9, 2015</i>

New Instruments

Instrument	Title	Status
13-503	(Commodity Futures Act) Fees – Revocation and Replacement	Notice of Minister's approval published April 9, 2015
51-102	Continuous Disclosure Obligations – Amendments	Commission approval published April 9, 2015
41-101	General Prospectus Requirements – Amendments	Commission approval published April 9, 2015
52-110	Audit Committees – Amendments	Commission approval published April 9, 2015
13-502	Fees – Revocation and Replacement	Final instrument published April 16, 2015
13-503	(Commodity Futures Act) Fees – Revocation and Replacement	Final instrument published April 16, 2015
11-206	Process for Cease to be a Reporting Issuer Applications	Published for comment April 16, 2015
11-207	Failure-to-File Cease Trade Orders and Revocations under Passport	Published for comment April 16, 2015
12-202	Revocations of Non-Passport Cease Trade Orders	Published for comment April 16, 2015
12-203	Management Cease Trade Orders	Published for comment April 16, 2015
21-708	OSC Staff Report on the Canadian Fixed Income Market and Next Steps to Enhance Regulation and Transparency of Fixed Income Markets	Published April 23, 2015
32-505	Conditional Exemption from Registration for United States Broker-Dealers and Advisers Servicing U.S. Clients from Ontario	Commission approval published April 23, 2015
25-201	Guidance for Proxy Advisory Firms	Commission approval published April 30, 2015
45-106	Prospectus Exemptions – Amendments (Related to Short-Term Debt Prospectus Exemption and Short-Term Securitized Products)	Notice of Ministerial approval published April 30, 2015
45-106	Prospectus Exemptions – Amendments (Related to the Accredited Investor and Minimum Amount Investment Prospectus Exemptions)	Notice of Ministerial approval published April 30, 2015
25-101	Designated Rating Organizations – Amendments (Related to Short-Term Debt Prospectus Exemption and Short-Term Securitized Products)	Notice of Ministerial approval published April 30, 2015
51-102	Continuous Disclosure Obligations – Amendments (related to the Accredited Investor and Minimum Amount Investment Prospectus Exemptions)	Notice of Ministerial approval published April 30, 2015
11-102	Passport System – Amendments Related to the Accredited Investor and Minimum Amount Investment Prospectus Exemptions)	Notice of Ministerial approval published April 30, 2015
13-102	System Fees for SEDAR and NRD – Amendments Related to the Accredited Investor and Minimum Amount Investment Prospectus Exemptions)	Notice of Ministerial approval published April 30, 2015

New Instruments

Instrument	Title	Status
31-103	Registration Requirements – Amendments Related to the Accredited Investor and Minimum Amount Investment Prospectus Exemptions)	<i>Notice of Ministerial approval published April 30, 2015</i>
32-102	Registration Exemptions for Non-Resident Investment Fund Managers – Amendments (Related to the Accredited Investor and Minimum Amount Investment Prospectus Exemptions)	<i>Notice of Ministerial approval published April 30, 2015</i>
33-105	Underwriting Conflicts – Amendments (Related to the Accredited Investor and Minimum Amount Investment Prospectus Exemptions)	<i>Notice of Ministerial approval published April 30, 2015</i>
41-101	General Prospectus Requirements – Amendments (Related to the Accredited Investor and Minimum Amount Investment Prospectus Exemptions)	<i>Notice of Ministerial approval published April 30, 2015</i>
45-102	Resale of Securities – Amendments (Related to the Accredited Investor and Minimum Amount Investment Prospectus Exemptions)	<i>Notice of Ministerial approval published April 30, 2015</i>
51-102	Continuous Disclosure Obligations – Amendments (Related to the Accredited Investor and Minimum Amount Investment Prospectus Exemptions)	<i>Notice of Ministerial approval published April 30, 2015</i>
52-107	Acceptable Accounting Principles and Auditing Standards – Amendments (Related to the Accredited Investor and Minimum Amount Investment Prospectus Exemptions)	<i>Notice of Ministerial approval published April 30, 2015</i>
62-103	The Early Warning System and Related Take-Over Bid and Insider Reporting Issues – Amendments (Related to the Accredited Investor and Minimum Amount Investment Prospectus Exemptions)	<i>Notice of Ministerial approval published April 30, 2015</i>
62-104	Take-Over Bids and Issuer Bids –Amendments (Related to the Accredited Investor and Minimum Amount Investment Prospectus Exemptions)	<i>Notice of Ministerial approval published April 30, 2015</i>
45-501	Ontario Prospectus and Registration Exemptions – Amendments (Related to the Accredited Investor and Minimum Amount Investment Prospectus Exemptions)	<i>Notice of Ministerial approval published April 30, 2015</i>
45-102	Resale of Securities –Amendments (Related to the Accredited Investor and Minimum Amount Investment Prospectus Exemptions)	<i>Notice of Ministerial approval published April 30, 2015</i>
91-502	Trades in Recognized Options – Amendment (Related to the Accredited Investor and Minimum Amount Investment Prospectus Exemptions)	<i>Notice of Ministerial approval published April 30, 2015</i>
11-501	Electronic Delivery of Documents to the Ontario Securities Commission – Amendments (Related to the Accredited Investor and Minimum Amount Investment Prospectus Exemptions)	<i>Notice of Ministerial approval published April 30, 2015</i>
13-502	Fees – Amendments (Related to the Accredited Investor and Minimum Amount Investment Prospectus Exemptions)	<i>Notice of Ministerial approval published April 30, 2015</i>
91-501	Strip Bonds – Amendments (Related to the Accredited Investor and Minimum Amount Investment Prospectus Exemptions)	<i>Notice of Ministerial approval published April 30, 2015</i>

New Instruments

Instrument	Title	Status
48-501	Trading During Distributions Formal Bids and Share Exchange – Amendments (Related to the Accredited Investor and Minimum Amount Investment Prospectus Exemptions)	Notice of Ministerial approval published April 30, 2015
45-106	Prospectus Exemptions – Amendments (related to the Family, Friends and Business Associates Exemption)	Notice of Ministerial approval published April 30, 2015
45-102	Resale of Securities – Amendments (related to the Family, Friends and Business Associates Exemption)	Notice of Ministerial approval published April 30, 2015
45-501	Ontario Prospectus and Registration Exemptions (related to the Family, Friends and Business Associates Exemption)	Notice of Ministerial approval published April 30, 2015
45-501	Ontario Prospectus and Registration Exemptions – Amendments (Relating to the Accredited Investor and Minimum Amount Investment Prospectus Exemptions) (amendments to companion policy)	Notice of Ministerial approval published April 30, 2015
11-203	Process for Exemptive Relief in Jurisdictions – Amendments (Relating to the Accredited Investor and Minimum Amount Investment Prospectus Exemptions)	Notice of Commission approval published April 30, 2015
23-103	Electronic Trading and Direct Electronic Access to Marketplaces (amendments to companion policy)	Notice of Ministerial approval published April 30, 2015
45-102	Resale of Securities – Amendments (Relating to the Accredited Investor and Minimum Amount Investment Prospectus Exemptions) (amendments to companion policy)	Notice of Ministerial approval published April 30, 2015
91-507	Trade Repositories and Derivatives Data Reporting – Amendments	Notice of Ministerial approval published May 14, 2015
24-313	CSA Staff's Review of Proposed Amendments to Fee Schedule of The Canadian Depository for Securities Limited and CDS Clearing and Depository Services Inc.	Published May 14, 2015
31-341	Omnibus/Blanket Orders Exempting Registrants from Certain CRM2 Provisions of National Instrument 31-103 Registration Exemptions and Ongoing Registrant Obligations	Published May 21, 2015
45-304	Notice of Local Exemptions Related to NI 45-106 Prospectus Exemptions and NI 31-103 Registration Requirements, Exemptions and Ongoing Registrant Obligations (Revised)	Published May 21, 2015
45-709	Tips for Filing Reports of Exempt Distribution (Revised)	Published May 21, 2015
32-505	Conditional Exemption from Registration for United States Broker-Dealers and Advisers Serving U.S. Clients from Ontario	Notice of Ministerial Approval published on May 28, 2015
51-102	Continuous Disclosure Obligations – Amendments	Notice of Ministerial approval published April 9, 2015
41-101	General Prospectus Requirements – Amendments	Notice of Ministerial approval published April 9, 2015
52-110	Audit Committees – Amendments	Notice of Ministerial approval published April 9, 2015

New Instruments

Instrument	Title	Status
91-703	Staff Recommendation on the Reporting of Inter-Affiliate Transactions by End-Users under OSC Rule 91-507 Trade Repositories and Derivatives Data Reporting	<i>Published June 4, 2015</i>
11-772	Notice of Statement of Priorities for Financial Year to End March 31, 2016	<i>Published June 18, 2015</i>
41-101	General Prospectus Requirements – Amendments (Mandating a Summary Disclosure Document for Exchange – Traded Mutual Funds and Its Delivery)	<i>Published for comment June 18, 2015</i>
81-106	Investment Fund Continuous Disclosure – Amendments	<i>Published for comment June 18, 2015</i>
23-101	Trading Rules: Application of the Order Protection Rule to Marketplaces Imposing Systematic Order Processing Delays – Amendments (amendments to companion policy)	<i>Published for comment June 18, 2015</i>
21-101	Marketplace Operation – Amendment	<i>Commission approval published June 25, 2015</i>
23-101	Trading Rules – Amendment	<i>Commission approval published June 25, 2015</i>
45-308	Guidance for Preparing and Filing Reports of Exempt Distribution under NI 45-106 Prospectus Exemptions	<i>Published June 25, 2015</i>
81-727	Report on Staff's Continuous Disclosure Review of Mutual Fund Practices Relating to Portfolio Liquidity	<i>Published June 25, 2015</i>
33-105	Underwriting Conflicts – Amendments	<i>Notice of Commission approval published June 25, 2015</i>
45-501	Ontario Prospectus and Registrations Exemptions	<i>Notice of Commission approval published June 25, 2015</i>
45-106	Prospectus Exemptions – Amendments	<i>Notice of Commission approval published June 25, 2015</i>
55-104	Insider Reporting Requirements and Exemptions – Unofficial Consolidation	<i>Published June 25, 2015</i>

For further information, contact:

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