

POLICY REFORMULATION TABLE OF CONCORDANCE AND LIST OF NEW INSTRUMENTS

Policy Reformulation Table of Concordance

To assist market participants in identifying the status of instruments that existed before the Policy Reformulation Project, we, the staff of the OSC, have prepared a Table of Concordance. The Table shows the treatment of each National Policy, Uniform Act Policy, OSC Policy, Blanket Ruling, CSA Notice, OSC Notice, Principles of Regulation, Staff Accounting Communiqué, Registration Section Clarification Note, and Interpretation Note in existence prior to Reformulation. The Table indicates whether the relevant instrument has been published for comment as a new instrument (under Reformulation), finalized, or is under consideration, or whether the instrument has been or is proposed to be repealed, rescinded, or withdrawn. The Table only denotes the primary instrument and does not indicate the corresponding companion policy or forms where applicable.

The Table has been revised to reflect the status of all instruments, as of September 30, 2019 and replaces all previously published Tables.

List of New Instruments

The second part of this notice contains a list of new initiatives that were developed separately from the Policy Reformulation Project. The List of New Instruments represents staff's views at this time. All instruments are subject to the Commission's approval and may be subject to change. This list of New Instruments replaces all previously published Lists.

A detailed explanation of the instrument numbering system used by the Canadian Securities Administrators (CSA) can be found at (2015) 38 OSCB 839.

Item Key

BR - Blanket Ruling	OSCN - Notice of OSC or OSC Staff	SAC - Staff Accounting Communiqué
CSAN - Notice of CSA	OSC - OSC Policy	UAP - Uniform Act Policy
IN - Interpretation Note	PR - Principles of Regulation	
NP - National Policy	REG - Registration Section Clarification Note	

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

Pre-Reformulation		Reformulation		Status
Instrument	Title	Number	Title	Status
National Policy				
NP 1	Clearance of National Issues RESCINDED JANUARY 1, 2000	43-201	Mutual Reliance Review System for Prospectus and Initial AIFs (1999), 22 OSCB 7308	Rescinded Mar. 17/08
NP 2-A	Guide for Engineers, Geologists and Prospectors Submitting Reports on Mining Properties to Canadian Provincial Securities Administrators RESCINDED FEB. 1, 2001	43-101	Standards of Disclosure for Mineral Exploration and Development and Mining Properties (2001), 24 OSCB 303	Repeal and Replacement Came into Force Dec.30/05
NP 2-B	Guide for Engineers and Geologists Submitting Oil and Gas Reports to Canadian Provincial Securities Administrators RESCINDED JUNE 30, 2005	51-101	Oil and Gas Disclosure Standards (2002), 25 OSCB 505 (previously 43-102)	Came into Force Sept.30/03
NP 3	Unacceptable Auditors			Rescinded December 29, 2006
NP 4	Conditions for Dealer Sub-Underwriting			Rescinded Apr.1/99
NP 12	Disclosure of "Market Out" Clauses in Underwriting Agreements in Prospectuses RESCINDED DECEMBER 31, 2000	41-101	Prospectus Disclosure Requirements (2000), 23 OSCB (SUPP) 759 (2009) 32 OSCB 7581	Replacement instrument in force Mar. 17/08
NP 13	Disclaimer Clause on Prospectus RESCINDED DECEMBER 31, 2000	41-101	Prospectus Disclosure Requirements (2000), 23 OSCB (SUPP) 759 (2009) 32 OSCB 7581	Replacement instrument in force Mar. 17/08
NP 14	Acceptability of Currencies in Material Filed with Securities Regulatory Authority			Rescinded Mar. 17/08
NP 15	Conditions Precedent to Acceptance of Scholarship or Educational Plan Prospectuses	46-102	Scholarship Plans	Currently being reformulated
NP 16	Maintenance of Provincial Trading Records			Repealed Apr.1/99
NP 17	Violations of Securities Laws of Other Jurisdictions - Conduct Affecting Fitness for Continued Registration RESCINDED OCTOBER 16, 1998	34-201	Breach of Requirements of Other Jurisdictions (1998), 21 OSCB 6607 (2009) 32 OSCB (Supp-4)	Adopted Oct.16/98 Proposal to rescind policy published Feb. 29/08 (tied to NI 31-103) Rescinded Sept. 28/09

Pre-Reformulation		Reformulation		
Instrument	Title	Number	Title	Status
NP 18	Conflict of Interest - Registrants Acting as Corporate Directors RESCINDED SEPTEMBER 25, 1998	34-202	Registrants Acting as Corporate Directors (1998), 21 OSCB 6608	Adopted Oct.16/98 Proposal to rescind policy published Feb. 29/08 Rescinded Sept. 28/09
NP 20	Trading in Unqualified Securities - Securities in Primary Distribution in Other Jurisdictions			Rescinded Apr.1/99
NP 21	National Advertising - Warnings			Rescinded Mar 17/08
NP 22	Use of Information and Opinion Re Mining and Oil Properties by Registrants and Others			Rescinded Dec.28/07
NP 25	Registrants: Advertising: Disclosure of Interest			Rescinded Sept.12/03
NP 27	Canadian Generally Accepted Accounting Principles (December 31, 1992) AMENDED MAR. 30, 2004 IN RELATION TO 52-107 RESCINDED JUNE 1, 2005	51-102	Continuous Disclosure Obligations (2002), 25 OSCB 3718 (previously 52-104)	Came into Force Mar. 30/04
		51-801	Implementing NI 51-102 Continuous Disclosure Obligations (2002), 25 OSCB 3820	Came into Force Mar. 30/04
NP 29	Mutual Funds Investing in Mortgages	81-103	Mutual Funds Investing in Mortgages	Under consideration
NP 30	Processing of "Seasoned Prospectuses" RESCINDED APRIL 30, 2001	43-201	Mutual Reliance Review System for Prospectus and Initial AIFs (1999), 22 OSCB 7308	Rescinded Mar. 17/08
NP 31	Change of Auditor of a Reporting Issuer AMENDED MAR. 30, 2004 IN RELATION TO 51-102 RESCINDED JUNE 1, 2005	51-102	Continuous Disclosure Obligations (2002), 25 OSCB 3718 (previously 52-103)	Came into Force Mar. 30/04
		51-801	Implementing NI 51-102 Continuous Disclosure Obligations (2002), 25 OSCB 3820	Came into Force Mar. 30/04
NP 32	Prospectus Warning Re: Scope of Distribution RESCINDED DECEMBER 31, 2000	41-101	Prospectus Disclosure Requirements (2000), 23 OSCB (SUPP) 759 (2009) 32 OSCB 7581	Replacement instrument in force Mar. 17/08
NP 33	Financing of Film Productions			Repealed Apr.11/97
NP 34	Unincorporated Issuers: Requirement to Maintain a Register of Security Holders RESCINDED FEB. 1, 2000	81-102	Mutual Funds (2000), 23 OSCB 584	Came into Force Feb.1/00
NP 35	Purchaser's Statutory Rights RESCINDED DECEMBER 31, 2000	41-101	Prospectus Disclosure Requirements (2000), 23 OSCB (SUPP) 759 (2009) 32 OSCB 7581	Replacement instrument in force Mar. 17/08
NP 36	Mutual Funds - Simplified Prospectus Qualification System REPEALED FEB. 1, 2000	81-101	Mutual Fund Prospectus Disclosure (2000), 23 OSCB 584	Came into Force Feb.1/00

Pre-Reformulation		Reformulation		
Instrument	Title	Number	Title	Status
NP 37	Take-Over Bids: Reciprocal Cease Trading Orders RESCINDED AUGUST 4, 1997	62-201	Bids Made Only in Certain Jurisdictions (1997), 20 OSCB 3523	<i>Rescinded Feb. 1/08</i>
NP 38	Take-Over Bids - Defensive Tactics RESCINDED AUGUST 4, 1997	62-202	Take-Over Bids - Defensive Tactics (1997), 20 OSCB 3525	<i>Adopted Aug.4/97</i>
NP 39	Mutual Funds RESCINDED FEB. 1, 2000	81-102	Mutual Funds (2000), 23 OSCB 584	<i>Came into Force Feb.1/00</i>
NP 40	Timely Disclosure RESCINDED JULY 12, 2002	51-201	Disclosure Standards	<i>Adopted Jul.12/02</i>
NP 41	Shareholder Communication EXPIRED JUNE 30, 2002	54-101	Communication with Beneficial Owners of Securities of a Reporting Issuer (2002), 25 OSCB 3361	<i>Came into Force Jul.1/02</i>
		54-102	Interim Financial Statement and Report Exemption (2002), 25 OSCB 3402	<i>Revoked June 1/05</i>
NP 42	Advertising of Securities on Radio or Television (Interim)			<i>Under Consideration</i>
NP 44	Rules for Shelf Prospectus Offerings and Pricing Offerings After the Final Prospectus is Received EXPIRED DECEMBER 31, 2000	44-102	Shelf Distributions (2000), 23 OSCB (SUPP) 985 (2009) 32 OSCB 7581	<i>Came into Force Dec.31/00</i>
		44-103	Post-Receipt Pricing (2000), 23 OSCB (SUPP) 1015	<i>Came into Force Dec.31/00</i>
NP 45	Multijurisdictional Disclosure System EXPIRED NOVEMBER 1, 1998	71-101	The Multijurisdictional Disclosure System (1998), 21 OSCB 6919	<i>Came into Force Nov.1/98</i>
NP 47	Prompt Offering Qualification System EXPIRED DECEMBER 31, 2000	44-101	Short Form Prospectus Distributions (2000), 23 OSCB (SUPP) 421 (2005), 28 OSCB 2 (2009) 32 OSCB 7581	<i>Repeal and Replacement Came into Force Dec.30/05</i>
		44-801	Implementing NI 44-101 Short Form Prospectus Distributions (2001), 24 OSCB 2334	<i>Came into Force Apr.21/01</i> <i>Revoked Mar. 17/08</i>
NP 48	Future-Oriented Financial Information To be rescinded			<i>Rescinded Dec. 31/07</i>
NP 49	Self-Regulatory Organization Membership RESCINDED SEPTEMBER 12, 2003	31-507	SRO Membership – Securities Dealers and Brokers (2000), 23 OSCB 5628 (2009) 32 OSCB (Supp-4)	<i>Came into Force Aug.17/00</i> <i>Proposal to revoke instrument published Feb. 29/08 (tied to NI 31-103)</i> <i>Revoked Sept. 28/09</i>
NP 50	Reservations in an Auditor's Report (dated December 31, 1992) AMENDED MAR. 30, 2004 IN RELATION TO 52-107 RESCINDED JUNE 1, 2005	51-102	Continuous Disclosure Obligations (2002), 25 OSCB 3718	<i>Came into Force Mar. 30/04</i>
		51-801	Implementing NI 51-102 Continuous Disclosure Obligations (2002), 25 OSCB 3820	<i>Came into Force Mar. 30/04</i>
NP 51	Changes in the Ending Date of a Financial Year and in Reporting Status AMENDED MAR. 30, 2004 IN RELATION TO 51-102 RESCINDED JUNE 1, 2005	51-102	Continuous Disclosure Obligations (2002), 25 OSCB 3718	<i>Came into Force Mar. 30/04</i>

Pre-Reformulation		Reformulation		
Instrument	Title	Number	Title	Status
Uniform Act Policy				
UAP 2-01	"Undertakings" - Extra-provincial Companies			<i>Repealed Jan.1/99</i>
UAP 2-02	Prospectuses - Annual Re-Filings			<i>Repealed Jan.1/99</i>
UAP 2-03	Prospectuses and Amendments - Certification (section 52[53]) Supporting Documentation REPEALED JANUARY 1/99	41-501	General Prospectus Requirements (2000), 23 OSCB (SUPP) 765	<i>Revoked Mar. 17/08</i>
UAP 2-04	Consent of Solicitors - Disclosure of Interest REPEALED JANUARY 1, 1999	41-501	General Prospectus Requirements (2000), 23 OSCB (SUPP) 765	<i>Revoked Mar. 17/08</i>
UAP 2-05	Applications under s. 34(1)14 [35(1)14] and 71(1)(h)[72(1)(h)] of the Securities Act by a Company Wishing to Sell Additional Securities to its Security Holders RESCINDED JULY 25, 2001	45-101	Rights Offerings (2001), 24 OSCB 4397	<i>Came into Force Jul.25/01</i>
UAP 2-06	Use of Shareholders' Lists by Registrants			<i>Repealed Jan.1/99</i>
UAP 2-07	Surrender of Registration - Other than Salesman RESCINDED APRIL 7, 1998	33-501	Surrender of Registration (1998), 21 OSCB 2317 (2008), 31 OSCB 2279 (2009), 32 OSCB (Supp-2) (2009) 32 OSCB (Supp-4)	<i>Came into Force Apr.7/98</i> <i>Proposal to revoke instrument published Feb. 29/08 (tied to NI 31-103)</i> <i>Commission approval of revocation published July 17/09</i> <i>Minister's approval of revocation published Sept. 18/09</i> <i>Revoked Sept. 28/09</i>
UAP 2-08	Declaration as to Short Position - Listed and Unlisted Securities			<i>Repealed Jan.1/99</i>
UAP 2-09	Insider Trading Reports - Loan and Trust Companies			<i>Repealed Jan.1/99</i>
UAP 2-10	Insider Trading Reports - Persons Required to Report in More Than One Capacity			<i>Repealed May 1/98</i>
UAP 2-11	Policy Statement in Connection with Applications to the Commission for an Order Under Section 79(a)[80(a)] of the Securities Act (Ontario)			<i>Repealed Apr.3/98</i>
UAP 2-13	Advertising During Waiting Period Between Preliminary and Final Prospectuses RENUMBERED MAR. 21, 2003	47-601	Advertising During Waiting Period Between Preliminary and Final Prospectuses (2003), 26 OSCB 2318	<i>Rescinded Sept. 12/13</i>

Pre-Reformulation		Reformulation		Status
Instrument	Title	Number	Title	Status
OSC Policy				
OSC 1.1	O.S.C. Policy Statements --- General			<i>Repealed Mar. 1/99</i>
OSC 1.3	Restricted Shares RESCINDED OCTOBER 27, 1999	56-501	Restricted Shares (1999), 22 OSCB 6803	<i>Came into Force Oct.27/99</i>
OSC 1.4	Reciprocal Enforcement of Cease Trading Orders TO BE RESCINDED	57-301	Failing to File Management Statements on Time - Management Cease Trade Orders (2002), 25 OSCB 1719	<i>Published Mar. 29/02</i> <i>Withdrawn Sept. 1/08</i>
OSC 1.6	Strip Bonds RESCINDED MAY 1, 1998	91-501	Strip Bonds (1998), 21 OSCB 2746	<i>Came into Force May 1/98</i>
OSC 1.7	The Securities Advisory Committee to the OSC AMENDED AND RENUMBERED JANUARY 28, 2002	11-601	The Securities Advisory Committee to the OSC (2002), 25 OSCB 683	<i>Adopted Jan.28/02</i>
OSC 1.9	Use By Dealers of Brokerage Commissions as Payment for Goods or Services Other than Order Execution Services ("Soft Dollar" Deals)			<i>Rescinded June 30/10 (upon NI 23- 102 coming into force)</i>
OSC 2.1	Applications to the Ontario Securities Commission	12-601	Applications to the OSC	<i>Under Consideration</i>
OSC 2.2	Public Availability of Material Filed under the Securities Act RENUMBERED APRIL 20, 2001	13-601	Public Availability of Material Filed under the Securities Act	<i>Published Apr.20/01</i>
OSC 2.3	Joint Hearings with Other Provincial Administrators - Conditions Precedent and Costs RESCINDED JULY 1/97		Rules of Practice (1995), 18 OSCB 4041 (1997), 20 OSCB 1947	<i>Came into Force Jul.1/97</i>
OSC 2.4	Conflict of Interest Guidelines for Members of the Ontario Securities Commission and Staff RESCINDED APRIL 16/98	By-law No. 2	A By-law relating to conflicts of interest in connection with the conduct of the affairs of the Securities Commission (1998), 21 OSCB 568	<i>Came into Force Jan.18/98</i>
OSC 2.5	Certificates of No Default under Section 72(8) and List of Defaulting Issuers under Section 72(9) of the Securities Act RESCINDED OCTOBER 30, 2001	51-601	Reporting Issuer Defaults (2001), 24 OSCB 6587	<i>Rescinded May 17/05</i>
OSC 2.6	Applications for Exemption from Preparation and Mailing of Interim Financial Statements, Annual Financial Statements and Proxy Solicitation Material RETAINED AND RENUMBERED	52-601	Application for Exemption from Preparation and Mailing of Interim Financial Statements, Annual Financial Statements and Proxy Solicitation Material (2002), 24 OSCB 2404	<i>Rescinded Mar. 30/04 (tied to 51-801 [51-102])</i>
OSC 2.7	Appeals to the Ontario Securities Commission By Way of Hearing and Review RESCINDED JULY 1, 1997		Rules of Practice (1995), 18 OSCB 4041 (1997), 20 OSCB 1947	<i>Came into Force Jul.1/97</i>
OSC 2.8	Applications for Ontario Securities Commission Consent to Obtain Transcripts of Evidence Taken During Investigations or Hearings RESCINDED JULY 1, 1997		Rules of Practice (1995), 18 OSCB 4041 (1997), 20 OSCB 1947	<i>Came into Force Jul.1/97</i>

Pre-Reformulation		Reformulation		Status
Instrument	Title	Number	Title	Status
OSC 2.9	Cease Trading Orders - Applications for Partial Revocation to Permit a Securityholder to Establish a Tax Loss for Income Tax Purposes RESCINDED FEB. 24, 1998	57-602	Cease Trading Orders - Application for Partial Revocation to Permit a Securityholder to Establish a Tax Loss (1998), 21 OSCB 1379	Adopted Feb.24/98 Proposal to rescind published for comment on May 11, 2007 Rescinded July 27, 2007
OSC 2.10	Restrictions on Practice Before the Commission and its Staff Upon Termination of the Appointments of Members of the Commission and its Staff RESCINDED APRIL 16, 1998	By-law No. 2	A By-law relating to conflicts of interest in connection with the conduct of the affairs of the Ontario Securities Commission (1998), 21 OSCB 568	Came into Force Jan.18/98
OSC 2.11	Conflicts of Interest of Members of the Ontario Securities Commission RESCINDED APRIL 16, 1998	By-law No. 2	A By-law relating to conflicts of interest in connection with the conduct of the affairs of the Ontario Securities Commission (1998), 21 OSCB 568	Came into Force Jan.18/98
OSC 2.12	Televising of Ontario Securities Commission Hearings RESCINDED JULY 1, 1997		Rules of Practice (1995), 18 OSCB 4041 (1997), 20 OSCB 1947	Came into Force Jul.1/97
OSC 3.1	Recognition by the Commission of Stock Exchanges, etc. PORTIONS REPLACED	21-901	Recognition Order - In the Matter of the Recognition of Certain Stock Exchanges (1997), 20 OSCB 1034	Came into Force Mar. 1/97
		62-904	Recognition Order - In the Matter of the Recognition of Certain Jurisdictions [ss. 93(1)(e) and ss. 93(3)(h) of the Act] (1997), 20 OSCB 1035	Came into Force Mar. 1/97 Revoked Feb. 1/08
		45-501	Exempt Distributions [replaces subsection 25(2) of Regulation 1015] (1999), 22 OSCB 127	Repeal and Replacement Came into Force Sept.14/05
		45-502	Dividend or Interest Reinvestment and Stock Dividend Plans (1998), 21 OSCB 3685	Revoked Sept.14/05 (tied to 45-106)
OSC 4.1	Public Ownership of Dealers, Conditions of Registration and Institutional Ownership			Rescinded Mar 1/99
OSC 4.2	Suspension of Registration - Criminal Charges Pending RENUMBERED APRIL 20, 2001	34-602	Suspension of Registration - Criminal Charges Pending (2001) 24 OSCB 2472 (2009) 32 OSCB 7329	Published Apr.20/01 Proposal to rescind policy published Feb.29/08 (tied to NI 31-103) Rescinded Sept. 28/09
OSC 4.3	Self-Directed RRSPs and Other Plans Recognized by the Commission for Purposes of this Policy Statement and Administered by Brokers or Investment Dealers on Behalf of Authorized Trustees	33-101	Administration of Self-Directed RRSPs, RESPs and RRIFs by Dealers (1998), 21 OSCB 963	On Hold

Pre-Reformulation		Reformulation		
Instrument	Title	Number	Title	Status
OSC 4.4	Dual Registration Under the <i>Securities Act</i> RESCINDED SEPTEMBER 4, 1997	31-501	Registrant Relationships (1997), 20 OSCB 4633 (2009) 32 OSCB (Supp-4)	<i>Came into Force Sept.4/97</i> <i>Proposal to revoke instrument published Feb. 29/08 (tied to NI 31-103)</i> <i>Revoked Sept. 28/09</i>
OSC 4.5	Dual Licensing of Life Insurance Agents (1994), 17 OSCB 6073			<i>Repealed Dec.23/94</i>
OSC 4.6	Registration - Declaration of Personal Bankruptcy RENUMBERED APRIL 20, 2001	34-601	Registration - Declaration of Personal Bankruptcy (2001), 24 OSCB 2404 (2009) 32 OSCB 7329	<i>Published Apr.20/01</i> <i>Proposal to rescind policy published Feb. 29/08 (tied to NI 31-103)</i> <i>Rescinded Sept. 28/09</i>
OSC 4.7	Registration of Non-Resident Salesmen, Partners or Officers of Registered Dealers RENUMBERED MAR. 21, 2003	35-601	Registration of Non-Resident Salesmen, Partners or Officers of Registered Dealers (2003), 26 OSCB 2318 (2009) 32 OSCB 7329	<i>Published Mar. 21/03</i> <i>Proposal to rescind policy published Feb. 29/08 (tied to NI 31-103)</i> <i>Rescinded Sept. 28/09</i>
OSC 4.8	Non-Resident Advisers RESCINDED NOVEMBER 18, 2000	35-502	Non-Resident Advisers (2000), 23 OSCB 7989	<i>Came into Force Nov.18/00</i>
OSC 5.1	Prospectuses - General Guidelines PORTIONS RESCINDED (except for Part A(a) and (b) of Section 10, Section 19, Section 24 and Section 26) DECEMBER 31, 2000	41-501	General Prospectus Requirements (2000), 23 OSCB (SUPP) 765	<i>Revoked Mar. 17/08</i>
OSC 5.1 (24)	Prospectus Disclosure in Information Circulars: Amalgamation, Arrangements, Mergers and Reorganizations RESCINDED DECEMBER 31, 2000	54-501	Prospectus Disclosure in Certain Information Circulars (2000), 23 OSCB 8519	<i>Revoked Jun 1/04</i>
OSC 5.1 (26)	Trading by Issuers, Selling Security Holders, Underwriters, Dealers and Their Affiliates and Joint Actors During a Distribution by Prospectus of TSE - listed Securities RESCINDED MAY 9, 2005	48-501	Trading During Distributions, Formal Bids and Share Exchange Transactions (2005) 28 OSCB 3998 (2009) 32 OSCB (Supp-5)	<i>Came into Force May 9/05</i> <i>Minister's approval of amendments published Sept. 18/09</i> <i>In force Sept. 28/09</i>

Pre-Reformulation		Reformulation		
Instrument	Title	Number	Title	Status
OSC 5.2	Junior Natural Resource Issuers			<i>Lapsed Jul.1/01</i>
OSC 5.3	Mortgage and Real Estate Investment Trusts and Partnerships TO BE RESCINDED			<i>Rescinded Mar. 17/08</i>
OSC 5.4	"Closed-End" Income Investment Trusts and Partnerships TO BE RESCINDED			<i>Rescinded Mar. 17/08</i>
OSC 5.7	Preliminary Prospectuses - Preparation, Filing and Frequently Occurring Deficiencies PORTIONS RESCINDED (except for Section 1a of Item A and Section 2(c) of Item B) DECEMBER 31, 2000 TO BE RESCINDED	41-501	General Prospectus Requirements (2000), 23 OSCB (SUPP) 765	<i>Revoked Mar. 17/08</i>
OSC 5.9	Escrow Guidelines - Industrial Issuers RESCINDED JUNE 30, 2002	46-201	Escrow for Initial Public Offering	<i>Adopted Jun 30/02</i>
OSC 5.10	Annual Information Form and Management's Discussion and Analysis of Financial Condition and Results of Operations RESCINDED MAY 31, 2001	51-501	Annual Information Form and Management's Discussion and Analysis of Financial Condition and Results of Operation (2000), 23 OSCB 8365	<i>Revoked May 30/06</i>
OSC 6.1	Private Placements RESCINDED DECEMBER 22, 1998	45-501	Exempt Distributions (1999), 22 OSCB 127	<i>Repeal and Replacement Came into Force Sept.14/05</i>
OSC 6.2	Rights Offerings RESCINDED JULY 25, 2001	45-101	Rights Offerings (2001), 24 OSCB 4397	<i>Came into Force Jul.25/01</i>
		45-502	Dividend or Interest Reinvestment and Stock Dividend Plans (1998), 21 OSCB 3685	<i>Revoked Sept.14/05 (tied to 45-106)</i>
OSC 7.1	Application of Requirements of the Securities Act to Certain Reporting Issuers RESCINDED MAR. 30, 2004	71-102	Continuous Disclosure and Other Exemptions Relating to Foreign Issuers (2002), 25 OSCB 3823 (previously 51-203 and 72-502)	<i>Came into Force Mar. 30/04</i>
		71-802	Implementing NI 71-102 Continuous Disclosure and Other Exemptions Relating to Foreign Issuers (2002), 25 OSCB 3823	<i>Came into Force Mar. 30/04</i>
OSC 7.2	Timely Disclosure --- Early Warning			<i>Rescinded Mar. 1/99</i>
OSC 7.3	Management's Report Disclosing Contingencies and Going Concern Considerations in Financial Statements			<i>Rescinded Mar. 1/99</i>
OSC 7.4	Business and Asset Combinations RENUMBERED APRIL 20, 2001	62-602	Business and Asset Combinations (2001), 24 OSCB 2404	<i>Published Apr.20/01</i>
OSC 7.5	Reciprocal Filings RENUMBERED APRIL 20, 2001	51-603	Reciprocal Filings (2001), 24 OSCB 2404	<i>Rescinded Mar. 30/04</i>
OSC 7.6	Enforcement of Timely Filings of Financial Statements			<i>Rescinded Mar. 1/99</i>
OSC 7.7	The Oil and Gas Industry - Application of the Ceiling Test When the Full Cost Method is Used			<i>Rescinded Mar. 1/99</i>
OSC 9.1	Disclosure, Valuation, Review and Approval Requirements and Recommendations for Insider Bids, Issuer Bids, Going Private Transactions, and Related Party Transactions RESCINDED MAY 1, 2000	61-501	Insider Bids, Issuer Bids, Going Private Transactions and Related Party Transactions (2000), 23 OSCB 2719	<i>Came into force May 1/00 Revoked Feb. 1/08</i>

Pre-Reformulation		Reformulation		
Instrument	Title	Number	Title	Status
OSC 9.3	Take-Over Bids - Miscellaneous Guidelines REVOKED MAY 9, 2005	48-501	Market Stabilization During Distributions	<i>Came into Force May 9/05</i>
		62-501	Prohibited Stock Market Purchases of the Offeree's Securities by the Offeror During a Take-Over Bid (2002), 25 OSCB 5356	<i>Came into Force Aug.2/02</i> <i>Revoked Feb. 1/08</i>
		62-601	Securities Exchange Take-Over Bids - Trades in the Offeror's Securities	<i>Revoked May 9/05 (tied to 48-501)</i>
OSC 10.1	Applications for Exemption from Insider Reporting Obligations for Insiders of Subsidiaries and Affiliated Issuers RESCINDED MAY 15, 2001	55-101	Exemptions from Certain Insider Reporting Requirements (2001), 24 OSCB 3025	<i>Repeal and Replacement Came into Force Apr.30/05</i> <i>Repealed April 30, 2010</i>
OSC 10.2	Guidelines for Establishment of Procedures in Relation to Confidential Information RESCINDED JANUARY 27, 1998	33-601	Guidelines for Policies and Procedures Concerning Inside Information (1998), 21 OSCB 617	<i>Adopted Jan.27/98</i>
OSC 11.1	Mutual Fund Trusts: Interim OSC Approval of Mutual Fund Trustees Pursuant to Clause 213(3)(b) of the <i>Loan and Trust Corporations Act, 1987</i> RESCINDED JANUARY 14, 1997	81-901	Approval of Mutual Fund Trustees Under Clause 213(3)(b) of the <i>Loan and Trust Corporations Act</i> (1997), 20 OSCB 243	<i>Came into Force Jan.14/97</i>
OSC 11.2	Bond Ratings Services - Statements of Investment Portfolio and Statements of Portfolio Transactions of Mutual Funds RESCINDED MAR. 1, 1997	81-902	Recognition Order - In the Matter of the Recognition of Certain Rating Agencies (1997), 20 OSCB 1034	<i>Came into Force Mar. 1/97</i>
OSC 11.4	Commodity Pool Programs REVOKED NOVEMBER 1, 2002	81-104	Commodity Pools	<i>Came into Force Nov.1/02</i>
OSC 11.5	Real Estate Mutual Funds - General Prospectus Guidelines			<i>Rescinded Dec.20/96</i>
Blanket Ruling				
BR 6A	Certain Reporting Issuers (1980), 3 OSCB 54 RESCINDED MAR. 30, 2004	71-102	Continuous Disclosure and Other Exemptions Relating to Foreign Issuers (2002), 25 OSCB 3823	<i>Came into Force Mar. 30/04</i>
		71-802	Implementing NI 71-102 Continuous Disclosure and Other Exemptions Relating to Foreign Issuers (2002), 25 OSCB 3823	<i>Came into Force Mar. 30/04</i>
BR 1	Certain Reporting Issuers (1980), 3 OSCB 166 EXPIRED DECEMBER 31, 2003	71-102	Continuous Disclosure and Other Exemptions Relating to Foreign Issuers (2002), 25 OSCB 3823	<i>Came into Force Mar. 30/04</i>
		71-802	Implementing NI 71-102 Continuous Disclosure and Other Exemptions Relating to Foreign Issuers (2002), 25 OSCB 3823	<i>Came into Force Mar. 30/04</i>
BR 2	The Automatic Investment of Dividends or Distributions in Shares or Units of Mutual Funds (1983), 6 OSCB 1078 RESCINDED OCTOBER 10, 1997	81-501	Mutual Fund Reinvestment Plans (1997), 20 OSCB 5163	<i>Revoked Sept.14/05 (tied to 45-106)</i>
BR 3	Certain Proposed Amendments (1983), 6 OSCB 3508 EXPIRED DECEMBER 22, 1998	45-501	Exempt Distributions (1999), 22 OSCB 127	<i>Repeal and Replacement Came into Force Sept.14/05</i>

Pre-Reformulation		Reformulation		Status
Instrument	Title	Number	Title	Status
BR 4	Discount Brokerage and The Role of Financial Institutions (1984), 7 OSCB 458			<i>Expired Mar. 1/97</i>
BR	Trading in Commodity Futures Contracts and Commodity Futures Options Entered Into On Commodity Futures Exchanges Situate Outside Canada Other than Commodity Futures Exchanges in the United States of America (1980), 15 OSCB 7, as varied by (1984), 7 OSCB 995 ¹	91-503	Trades in Commodity Futures Contracts and Commodity Futures Options Entered into on Commodity Futures Exchange Situate Outside of Ontario (1997), 20 OSCB 1739	<i>Came into Force Mar. 28/97</i>
BR 5	Order Execution Access Dealers (1984), 7 OSCB 1520			<i>Expired Mar. 1/97</i>
BR 6B	Certain Reporting Issuers (1984), 7 OSCB 1913 EXPIRED DECEMBER 31, 2003	71-102	Continuous Disclosure and Other Exemptions Relating to Foreign Issuers (2002), 25 OSCB 3823	<i>Came into Force Mar. 30/04</i>
		71-802	Implementing NI 71-102 Continuous Disclosure and Other Exemptions Relating to Foreign Issuers (2002), 25 OSCB 3823	<i>Came into Force Mar. 30/04</i>
BR 7	Certain Reporting Issuers (1984), 7 OSCB 3247 EXPIRED DECEMBER 31, 2003	71-102	Continuous Disclosure and Other Exemptions Relating to Foreign Issuers (2002), 25 OSCB 3823	<i>Came into Force Mar. 30/04</i>
		71-802	Implementing NI 71-102 Continuous Disclosure and Other Exemptions Relating to Foreign Issuers (2002), 25 OSCB 3823	<i>Came into Force Mar. 30/04</i>
BR 8	Zero Coupon Strip Bonds (1984), 7 OSCB 4085 RESCINDED MAY 1, 1998	91-501	Strip Bonds (1998), 21 OSCB 2746	<i>Came into Force May 1/98</i>
BR	Trading in Commodity Futures Contracts and Commodity Futures Options Entered into on Commodity Futures Exchanges in the United States of America (1984), 7 OSCB 4578 ²	91-503	Trades in Commodity Futures Contracts and Commodity Futures Options Entered into on Commodity Futures Exchanges Situate Outside of Ontario (1997), 20 OSCB 1739	<i>Came into Force Mar. 28/97</i>
BR 9	Eurosecurity Financing (1984), 7 OSCB 4897			<i>Expired Mar. 1/97</i>
BR 51	Simplified Prospectus Qualification System for Mutual Funds (1984), 7 OSCB 5333 EXPIRED FEB. 1, 2000	81-101	Mutual Fund Prospectus Disclosure (2000), 23 OSCB 584	<i>Came into Force Feb. 1/00</i>
BR 10	Trades In Securities of a Private Company Under The Execution Act (1985), 8 OSCB 127 EXPIRED DECEMBER 22, 1998	45-501	Exempt Distributions (1999), 22 OSCB 127	<i>Repeal and Replacement Came into Force Sept. 14/05</i>
BR 11	Certain Reporting Issuers (1985), 8 OSCB 2915 EXPIRED DECEMBER 31, 2000	44-101	Short Form Prospectus Distributions (2000), 23 OSCB (SUPP) 421 (2005), 28 OSCB 2 (2009) 32 OSCB 7581	<i>Repeal and Replacement Came into Force Dec. 30/05</i>

¹ This ruling remains in force for purposes of the *Commodity Futures Act*

² This ruling remains in force for purposes of the *Commodity Futures Act*

Pre-Reformulation		Reformulation		Status
Instrument	Title	Number	Title	Status
		44-801	Implementing NI 44-101 Short Form Prospectus Distributions (2001), 24 OSCB 2334	<i>Came into Force Apr.21/01</i> <i>Revoked Mar. 17/08</i>
BR 12	The Mandatory Investment of Dividends or Distributions In Shares or Units of Mutual Funds (1985), 8 OSCB 4308 EXPIRED OCTOBER 10, 1997	81-501	Mutual Fund Reinvestment Plans (1997), 20 OSCB 5163	<i>Revoked Sept. 14/05 (tied to 45-106)</i>
BR 13	TSE Policy on Small Shareholder Selling/Purchase Arrangements (1987), 10 OSCB 1455 EXPIRED OCTOBER 22, 1997	32-101	Small Securityholder Selling and Purchase Arrangements (1997), 20 OSCB 5435	<i>Revoked Sept. 14/05 (tied to 45-106)</i>
BR 14	A Policy of the Montreal Exchange on Small Shareholder Selling and Purchase Arrangements (1987), 10 OSCB 4938 EXPIRED OCTOBER 22, 1997	32-101	Small Securityholder Selling and Purchase Arrangements (1997), 20 OSCB 5435	<i>Revoked Sept.14/05 (tied to 45-106)</i>
BR 15	Certain Proposed Amendments (1987), 10 OSCB 5936 EXPIRED DECEMBER 22, 1998	45-501	Exempt Distributions (1999), 22 OSCB 127	<i>Repeal and Replacement Came into Force Sept. 14/05</i>
BR 16	The Business Corporations Act and In the Matter of CDS (1988), 11 OSCB 542 LAPSED MAR. 1, 1997	22-901	Recognition Order - In the Matter of the Recognition of the Canadian Depository for Securities Limited (1997), 20 OSCB 1033	<i>Came into Force Mar. 1/97</i>
BR 52	Certain Reporting Issuers (1987) 10 OSCB 6306, amended by (1988), 11 OSCB 1029 EXPIRED JUNE 30, 2002	54-101	Communication with Beneficial Owners of Securities of a Reporting Issuer (2002), 25 OSCB 3361	<i>Came into Force Jul.1/02</i>
		54-102	Interim Financial Statement and Report Exemption (2002), 25 OSCB 3402	<i>Revoked Jun 1/05</i>
BR 57	Certain Trades in Securities of Junior Resource Issuers (1988), 11 OSCB 1522			<i>Lapsed Jul.1/01</i>
BR 17	Trading in Recognized Options Cleared Through Recognized Clearing Organizations (1988), 11 OSCB 4895 EXPIRED MAR. 28, 1997	91-502	Trades in Recognized Options (1997), 20 OSCB 1731	<i>Came into Force Mar. 28/97</i>
BR 18	The Securities Act (1989), 12 OSCB 2735			<i>Expired Mar. 1/97</i>
BR	Trading in Commodity Futures Contracts Entered into on the Montreal Stock Exchange (August 25, 1980) OSCWS 15A, as varied by In the Matter of Trading in Commodity Futures Contracts and Commodity Futures Options Entered into on The Montreal Stock Exchange (1989), 12 OSCB 3392* REVOKED MAR. 28, 1997	91-503	Trades in Commodity Futures Contracts and Commodity Futures Options Entered into on Commodity Futures Exchanges Situate Outside of Ontario (1997), 20 OSCB 1739	<i>Came into Force Mar. 28/97</i>
BR 19	The TSE (1990), 13 OSCB 3007 LAPSED MAR. 1, 1997			<i>Expired Mar. 1/97</i>
BR 20	Self-Directed RESPs (1990), 13 OSCB 4793			<i>Expired Mar. 1/97</i>
BR 21	The TSE (1991), 14 OSCB 881	21-901	Recognition Order - In the Matter of the Recognition of Certain Stock Exchanges (1997), 20 OSCB 1034	<i>Came into Force Mar. 1/97</i>

Pre-Reformulation		Reformulation		
Instrument	Title	Number	Title	Status
BR 53	Rules of Shelf Prospectus Offerings and for Pricing Offerings after the Prospectus Is Received (1991), 14 OSCB 1824 EXPIRED DECEMBER 31, 2000	44-102	Shelf Distributions (2000), 23 OSCB 8561 (2009) 32 OSCB 7581	<i>Came into Force Dec.31/00</i>
		44-103	Post-Receipt Pricing (2000), 23 OSCB 8561	<i>Came into Force Dec.31/00</i>
BR 22	The Recognized Options Rationalization Order (1991), 14 OSCB 2157 EXPIRED MAR. 28, 1997	91-502	Trades in Recognized Options (1997), 20 OSCB 1731	<i>Came into Force Mar. 28/97</i>
BR 54	Multijurisdictional Disclosure System (1991), 14 OSCB 2863 EXPIRED NOVEMBER 1, 1998	71-101	The Multijurisdictional Disclosure System (1998), 21 OSCB 6919	<i>Came into Force Nov.1/98</i>
		71-801	Implementing The Multijurisdictional Disclosure System (1998), 21 OSCB 6898	<i>Came into Force Nov.1/98</i>
BR 23	An Assignment to the Director Pursuant to Section 6 of The Securities Act (1991), 14 OSCB 3439			<i>Expired Mar. 1/97</i>
BR 25	Mutual Fund Securities (1991), 14 OSCB 3763 EXPIRED SEPTEMBER 30, 1998	33-502	Exceptions to Conflict Rules in the Sale of Mutual Fund Securities (1998), 21 OSCB 6429 (2008), 31 OSCB 2279 (2009), 32 OSCB (Supp-2) (2009) 32 OSCB (Supp-4)	<i>Came into Force Sept.30/98</i> <i>Revoked Sept. 28/09</i>
		33-105	Underwriting Conflicts (2001), 24 OSCB 7687 (2008) 31 OSCB (Supp-1) (2009) 32 OSCB (Supp-5)	<i>Came into Force Jan.3/02</i> <i>Proposed amendments published Feb. 29/09</i> <i>Minister's approval of amendments published Sept. 18/09</i> <i>Amendments in force Sept. 28/09</i>
BR	First Prospectuses Filed by NP 36 Mutual Funds and Universal Money Market Fund (1991), 14 OSCB 3475			<i>Expired Jul.1/99</i> <i>Now covered by subsection 23(10) of the Red Tape Reduction Act</i>
BR 26	The Recognized Options Rationalization Order (1991), 14 OSCB 4234 EXPIRED MAR. 28, 1997	91-502	Trades in Recognized Options (1997), 20 OSCB 1731	<i>Came into Force Mar. 28/97</i>
BR 27	Self-Directed Registered Education Plans (1992), 15 OSCB 613 EXPIRED JUNE 17, 1997	46-501	Self-Directed Registered Education Savings Plans (1997), 20 OSCB 3353	<i>Revoked Sept.14/05 (tied to 45-106)</i>

Pre-Reformulation		Reformulation		Status
Instrument	Title	Number	Title	Status
BR 28	Certain Advisers (1992), 15 OSCB 1955 EXPIRED NOVEMBER 18, 2000	35-502	Non-Resident Advisers (2000), 23 OSCB 7989 (2009) 32 OSCB (Supp-4)	<i>Came into Force Nov.17/00</i>
BR 29	Certain Members of the TSE (1992), 15 OSCB 3354 EXPIRED SEPTEMBER 4, 1997	35-503	Trades By Certain Members of the TSE (1997), 20 OSCB 4636	<i>Came into Force Sept.4/97</i>
BR 30	Limitations on a Registrant Underwriting Securities of a Related or Connected Issuer (1992), 15 OSCB 3645 LAPSED DECEMBER 31, 2000	33-105	Underwriting Conflicts (2001), 24 OSCB 7687	<i>Came into Force Jan.3/02</i> <i>Proposed amendments published Feb 29/09</i> <i>Minister's approval of amendments published Sept. 18/09</i> <i>Amendments in force Sept. 28/09</i>
BR 55B	The Prompt Offering Qualification System (1993), 16 OSCB 731, 732, 949 EXPIRED DECEMBER 31, 2000	44-101	Short Form Prospectus Distributions (2000), 23 OSCB (SUPP) 421 (2005), 28 OSCB 2 (2009) 32 OSCB 7581	<i>Repeal and Replacement Came into Force Dec.30/05</i> <i>Amendment published for comment Sept. 28/09</i>
		44-801	Implementing NI 44-101 Short Form Prospectus Distributions (2000), 23 OSCB 2334	<i>Came into Force Apr.21/01</i> <i>Revoked Mar. 17/08</i>
BR 56	NP 47 and The Solicitation of Expressions of Interests (1993), 16 OSCB 2832 EXPIRED DECEMBER 31, 2000	44-101	Short Form Prospectus Distributions (2000), 23 OSCB (SUPP) 421 (2005), 28 OSCB 2 (2009) 32 OSCB 7581	<i>Repeal and Replacement Came into Force Dec.30/05</i>
		44-801	Implementing NI 44-101 Short Form Prospectus Distributions (2000), 23 OSCB 2334	<i>Came into Force Apr.21/01</i> <i>Revoked Mar. 17/08</i>
BR 31	Going Private Transactions (1993), 16 OSCB 3428 EXPIRED MAY 1, 2000	61-501	Insider Bids, Issuer Bids, Going Private Transactions and Related Party Transactions (2000), 23 OSCB 2679	<i>Revoked Feb. 1/08</i>
BR 32	Insider, Issuer and Take-Over Bids in Anticipation of Going Private Transactions (1993), 16 OSCB 3429 EXPIRED MAY 1, 2000	61-501	Insider Bids, Issuer Bids, Going Private Transactions and Related Party Transactions (2000), 23 OSCB 2679	<i>Revoked Feb. 1/08</i>

Pre-Reformulation		Reformulation		
Instrument	Title	Number	Title	Status
BR 35	Ontario Regulation 638/93 and The Disclosure of Executive Compensation and of Indebtedness of Directors, Executive Officers and Senior Officers (1993), 16 OSCB 5913			<i>Expired Mar. 1/97</i>
BR 36	Blanket Permission Under S.81 of the Regulation Under The Securities Act (Ontario) (1993), 16 OSCB 5914			<i>Expired Mar. 1/97</i>
BR 34	Dividend Reinvestment and Stock Dividend Plans (1993), 16 OSCB 5928 EXPIRED JUNE 10, 1998	45-502	Dividend or Interest Reinvestment and Stock Dividend Plans (1998), 21 OSCB 3685	<i>Revoked Sept. 14/05 (tied to 45-106)</i>
BR 38	Certain International Offerings by Private Placement in Ontario (1993), 16 OSCB 5931 EXPIRED JULY 2, 2002	45-501	Exempt Distributions (1999), 22 OSCB 127	<i>Repeal and Replacement Came into Force Sept. 14/05</i>
BR 37	Blanket Permission - International Offerings made by way of Private Placement (1993), 16 OSCB 5938			<i>Lapsed Jul. 1/01</i>
BR 39	Networking Arrangements Governed by the Principles of Regulation (1993), 16 OSCB 6168 LAPSED DECEMBER 31, 1998	33-102	Regulation of Certain Registrant Activities (2001), 24 OSCB 4409 (2008) 31 OSCB 2279 (2009) 32 OSCB (Supp-2) (2009), 32 OSCB (Supp-4)	<i>Came into Force Aug. 1/01</i> <i>Proposal to revoke instrument published Feb. 29/08 (tied to NI 31-103)</i> <i>Commission approval of revocation published July 17/09</i> <i>Minister's approval of revocation published Sept. 18/09</i> <i>Revoked Sept. 28/09</i>
BR 39	Networking Arrangements Governed by the Principles of Regulation (1993), 16 OSCB 6168 LAPSED DECEMBER 31, 1998	33-102	Regulation of Certain Registrant Activities (2001), 24 OSCB 4409 (2009) 32 OSCB (Supp-4)	<i>Came into Force Aug. 1/01</i> <i>Proposal to revoke instrument published Feb. 29/08 (tied to NI 31-103)</i> <i>Minister's approval of revocation published Sept. 18/09</i> <i>Revoked Sept. 28/09</i>

Pre-Reformulation		Reformulation		Status
Instrument	Title	Number	Title	Status
BR 40	A Proposal of The TSE to Foster Capital Formation for Junior Resource and Industrial Enterprises (1994), 17 OSCB 347			<i>Expired Mar. 1/97</i>
BR 42	The Disclosure of Executive Compensation and of Indebtedness of Directors, Executive and Senior Officers (1994), 17 OSCB 1176			<i>Expired Mar. 1/97</i>
BR 41	Dividend Reinvestment Plans (1994), 17 OSCB 1178 EXPIRED DECEMBER 22, 1998	45-501	Exempt Distributions (1999), 22 OSCB 127 (2015) 38 OSCB 4196	<i>Repeal and Replacement Came into Force Sept.14/05</i> <i>Minister's approval of amendments published April 30, 2015</i>
BR 43	Blanket Permission Under S.81 of The Regulation (1994), 17 OSCB 1187			<i>Expired Mar. 1/97</i>
BR 44	Trades by Issuers In Connection With Securities Exchange Issuer Bids and an Amalgamation, Arrangement or Specified Statutory Procedure (1994), 17 OSCB 1975 EXPIRED DECEMBER 22, 1998	45-501	Exempt Distributions (1999), 22 OSCB 127 (2015) 38 OSCB 4196	<i>Repeal and Replacement Came into Force Sept.14/05</i> <i>Minister's approval of amendments published April 30, 2015</i>
BR 33	Real Return Bond Strip Bonds (1994), 17 OSCB 2875			<i>Expired Mar. 1/97</i>
BR 45	Trades by Issuers Upon Exercise of Certain Conversion or Exchange Rights and The First Trade In Securities Acquired Upon Exercise of Such Conversion or Exchange Rights (1994), 17 OSCB 2877 EXPIRED DECEMBER 22, 1998	45-501	Exempt Distributions (1999), 22 OSCB 127 (2015) 38 OSCB 4196	<i>Repeal and Replacement Came into Force Sept.14/05</i> <i>Minister's approval of amendments published April 30, 2015</i>
BR 50	Trading in Securities of Labour Sponsored Investment Fund Corporations (1994), 17 OSCB 5505 LAPSED DECEMBER 31, 1998	31-502	Proficiency Requirements for Registrants (2000), 23 OSCB 5658	<i>Came into Force Aug.17/00</i> <i>Proposal to revoke instrument published Feb. 29/08 (tied to NI 31-103)</i>
		31-702	Ontario Securities Commission Designation of Courses Under Rule 31-502 (2000), 23 OSCB 5658 (2009), 32 OSCB 7330	<i>Published Aug.17/00 Withdrawn Sept. 28/09</i>
BR 49A	The First Trade in Securities Acquired Pursuant to Certain Exemptions, (1994), 17 OSCB 1978, as amended by (1994), 17 OSCB 5506 EXPIRED JUNE 10, 1998	72-501	Prospectus Exemption for First Trade Over a Market Outside Ontario (1998), 21 OSCB 3688	<i>Rescinded Dec.1/02</i>

Pre-Reformulation		Reformulation		Status
Instrument	Title	Number	Title	Status
BR 46	Certain Amendments to Regulation 1015 (1994), 17 OSCB 5516 EXPIRED DECEMBER 31, 1996	32-502	Registration Exemption for Certain Trades by Financial Intermediaries (1996), 19 OSCB 6861	<i>Revoked Sept.14/05 (tied to 45-106)</i>
BR 47	Certain Amendments to Regulation 1015 (1994), 17 OSCB 5517 EXPIRED DECEMBER 31, 1996	32-503	Registration and Prospectus Exemption for Trades by Financial Intermediaries in Mutual Fund Securities to Corporate Sponsored Plans (1996) 19 OSCB 6923	<i>Revoked Sept.14/05 (tied to 45-106)</i>
BR 48	Trades by an Issuer in Securities of its own issue to Senior Officers, Directors, etc. and a Controlling Shareholder in Securities of an Issuer to Employees, Senior Officers, etc. (1994), 17 OSCB 5518 EXPIRED DECEMBER 22, 1998	45-503	Trades to Employees, Executives and Consultants (1998), 21 OSCB 7708	<i>Revoked Aug.15/03</i>

Notices of CSA				
CSAN	Audit Committees (1990), 13 OSCB 4247	52-301	Audit Committees	<i>Withdrawn Mar. 3/06</i>
CSAN	Rates of Return on Money Market Mutual Funds (1990), 13 OSCB 4329	81-102	Mutual Funds (2000), 23 OSCB 584	<i>Came into Force Feb.1/00</i>
CSAN	Advertising by Money Market Mutual Funds That Have Not Offered Their Securities to the Public For a Full Year (1991), 14 OSCB 541	81-102	Mutual Funds (2000), 23 OSCB 584	<i>Came into Force Feb.1/00</i>
CSAN	Soft Dollar Transactions (request for comment) (1992), 15 OSCB 2714			<i>To be retained</i>
CSAN	Applications for Discretionary Orders (1992), 15 O.S.C.B 3046			<i>Withdrawn Apr.20/01</i>
CSAN	Bought Deal Financing (request for comment) (1992), 15 OSCB 3657			<i>To be retained</i>
CSAN	Review of National Policy Statement No. 41 (1992), 15 OSCB 5289			<i>Withdrawn Apr.20/01</i>
CSAN	Mutual Funds: Sales Incentives (1993), 16 OSCB 359			<i>Repealed May 1/98</i>
CSAN	Bought Deals (1993), 16 OSCB 2820			<i>Withdrawn Sept.12/13</i>
CSAN	Pre-Marketing Activities in the Context of Bought Deals (1993), 16 OSCB 2822			<i>Withdrawn Mar. 17/08</i>
CSAN	Bought Deals (1993), 16 OSCB 4811			<i>Withdrawn Sept.12/13</i>
CSAN	NP 39 - Mutual Funds: Section 16 Sales Communications (1993), 16 OSCB 5881	81-102	Mutual Funds (2000), 23 OSCB 584	<i>Came into Force Feb.1/00</i>
CSAN	An Electronic System for Securities Filings (1994), 17 OSCB 2857			<i>Withdrawn Apr.20/01</i>
CSAN	Conflicts of Interest (1995), 18 OSCB 130			<i>Withdrawn Apr.20/01</i>
CSAN	Mutual Fund Sales Incentives - Point-of-Sale Disclosure Statement (1995), 18 O.S.C.B 229			<i>Repealed May 1/98</i>
CSAN	SEDAR (1995), 18 OSCB 1892			<i>Withdrawn Apr.20/01</i>

CSAN	Proposed Foreign Issuer Prospectus and Continuous Disclosure System (Draft National Policy Statement No. 53) (1995), 18 OSCB 1893			Withdrawn Mar. 3/06
Notices of OSC or OSC Staff				
OSCN	Premature Announcements of Takeover Bids, Mergers, Amalgamations or Other Corporate Restructuring (1980), OSCB 2A			Withdrawn Oct.6/00
OSCN	Taxable Equivalent Adjustments (1983), 6 OSCB 1578			Withdrawn Oct.6/00
OSCN	Canadian Oil & Gas Lands Administration (1984), 7 OSCB 2675			Withdrawn Oct.6/00
OSCN	Auditors' Consent and Comfort Letters (1984), 7 OSCB 2993			Withdrawn Oct.6/00
OSCN	Color Your World - Take-over Bid Consideration (1984), 7 OSCB 3777			Withdrawn Oct.6/00
OSCN	Prospectus Disclosure of Ratings (1984), 7 OSCB 4362			Withdrawn Oct.6/00
OSCN	Application of Ceiling Test in Financial Statements of Oil and Gas Industry Issuers (1984), 7 OSCB 5114			Withdrawn Oct.6/00
OSCN	Bill 34 - Freedom of Information and Privacy Act (1984), 7 OSCB 6143			Withdrawn Oct.6/00
OSCN	Application of OSC Policy 11.4 on Commodity Pools Program (1985), 8 OSCB 2557	81-104	Commodity Pools	Came into Force Nov.1/02
OSCN	Prompt Offering Qualification System - "Wrap Around" AIFs (1985), 8 OSCB 2911			Withdrawn Oct.6/00
OSCN	Prohibition Against Principal Trading by Investment Dealers in Securities of Target Company During Take-Over Bid (1985), 8 OSCB 3293			Withdrawn Oct.6/00
OSCN	Second Notice Concerning Application of Ceiling Test in Financial Statements of Oil and Gas Industry Issuers (1985), 8 OSCB 4719			Withdrawn Oct.6/00
OSCN	Disclosure of Executive Compensation - Proxy Circulars (1986), 9 OSCB 1997			Withdrawn Oct.6/00
OSCN	Enforcement of Timely Filings of Financial Statements: Application of OSC 7.6 (1986), 9 OSCB 4216			Withdrawn Oct.6/00
OSCN	Leveraged Mutual Fund Purchases (1986), 9 OSCB 4375			Withdrawn Oct.6/00
OSCN	Fees for Prospectus Offerings Outside of Ontario (1987), 10 O.S.C.B 1452			Withdrawn Oct.6/00
OSCN	Filing of Prospectuses with the Commission (1987), 10 OSCB 1730			Withdrawn Oct.6/00
OSCN	Advertising and Use of Marketing Material During the Waiting Period (1987), 10 OSCB 2831 RENUMBERED APRIL 20, 2001	47-701	Advertising and Use of Marketing Material During the Waiting Period	Withdrawn Mar. 17/08

OSCN	Procedures and Requirements for Implementing Amendments to the Regulation Regarding Entry Into and Ownership of the Ontario Securities Industry (1987), 10 OSCB 2969 RESCINDED APRIL 7, 1998	31-503	Limited Market Dealers (1998), 21 OSCB 2316	<i>Came into Force Apr.7/98</i> <i>Proposal to revoke instrument published Feb. 29/08 (tied to NI 31-103)</i>
OSCN	Conditional Registration of Limited Market Dealers (1987), 10 OSCB 4791			<i>Withdrawn Oct.6/00</i>
OSCN	Regulation of Mortgage Syndications - Proposed Structural Changes (1987), 10 OSCB 5145			<i>Withdrawn Oct.6/00</i>
OSCN	Pre-Filing Consultation on Innovative or Unusual Financial Reporting (1987), 10 OSCB 5687	52-703	Pre-Filing Consultation on Innovative or Unusual Financial Reporting	<i>Withdrawn Mar. 21/03</i>
OSCN	"Blank Cheque" Preferred Shares (1987), 10 OSCB 5690	56-501	Restricted Shares (1999), 22 OSCB 6803	<i>Came into Force Oct.25/99</i>
OSCN	Soft Dollars - Exemptions by the Director (1987), 10 OSCB 6422			<i>Withdrawn Mar. 21/03</i>
OSCN	Outline of NP 39 (1987), 10 OSCB 6423			<i>Withdrawn Oct.6/00</i>
OSCN	NP 41 - Shareholder Communication Exemption from Interim Financial Statements (1988), 11 OSCB 1029	54-101	Communication with Beneficial Owners of Securities of a Reporting Issuer	<i>Came into Force Jul.1/02</i>
		54-102	Interim Financial Statement and Report Exemption	<i>Revoked Jun 1/05</i>
OSCN	Media Articles Appearing During the Waiting Period (1988), 11 OSCB 1098 RENUMBERED APRIL 20, 2001	47-703	Media Articles Appearing During the Waiting Period	<i>Withdrawn Mar. 17/08</i>
OSCN	NP 41 - Shareholder Communication/The Canadian Depository for Securities Limited (1988), 11 OSCB 1242			<i>Withdrawn Oct.6/00</i>
OSCN	Compliance with Section 41 of the <i>Securities Act</i> (1988), 11 OSCB 2217	33-504	Compliance with Section 42 (1998), 21 OSCB 2318	<i>Came into Force Apr.7/98</i>
OSCN	Mutual Fund Dealer Registration as Limited Market Dealer (1988), 11 OSCB 2311			<i>Withdrawn Oct.6/00</i>
OSCN	Applications to the OSC (1988), 11 OSCB 3107			<i>Withdrawn Oct.6/00</i>
OSCN	NP 41 - Industry Implementation and Monitoring Report (1988), 11 OSCB 3325			<i>Withdrawn Oct.6/00</i>
OSCN	OSC 5.8 - Dissemination of Future-Oriented Financial Information (1988), 11 OSCB 3726			<i>Withdrawn Oct.6/00</i>
OSCN	Conditions of Registration - Capital Requirements (1988), 11 OSCB 3726	33-701	Calculation of Regulatory Capital (1997), 20 OSCB 3363 (2009), 32 OSCB 7330	<i>Published Jun 27/97</i> <i>Withdrawn Sept. 28/09</i>
OSCN	Residential Real Estate Syndications (1988), 11 OSCB 4171			<i>Withdrawn Mar. 21/03</i>
OSCN	Report of Filings (1988), 11 OSCB 4277			<i>Withdrawn Mar. 21/03</i>
OSCN	Office of the Chief Accountant: Report on the Review Program (1988), 11 OSCB 4277			<i>Withdrawn Mar. 21/03</i>
OSCN	Noranda Inc./Falconbridge Limited - Proposed Stock Exchange Take-over Bid/Pre-Bid Integration Rules (1988), 11 OSCB 4367 RENUMBERED APRIL 20, 2001	62-702	Noranda Inc./Falconbridge Limited - Proposed Stock Exchange Take-over Bid/Pre-Bid Integration Rules (2012) 35 OSCB 5679	<i>Published Apr.20/01</i> <i>Withdrawn June 21/12</i>

OSCN	Further Extension of System of Conditional Registration and other Exemptions of Financial Intermediaries (1988), 11 OSCB 5137			Withdrawn Oct.6/00
OSCN	OSC 5.2 - Junior Natural Resource Issuers - Standing Liaison Committee (1989), 12 OSCB 953			Lapsed Jul.1/01
OSCN	OSC 1.3 - Restricted Shares Notice Regarding Compliance with Restricted Share Disclosure Requirements and Disclosure Regarding Take-Over Bids (1989), 12 OSCB 1227	56-501	Restricted Shares (1999), 22 OSCB 6803	Came into Force Oct.25/99
OSCN	Rights Offerings Under a Prospectus (1989), 12 OSCB 1463	45-101	Rights Offerings (2001), 24 OSCB 4397	Came into Force Jul.25/01
OSCN	Use of "Special Warrants" in Connection with Distribution of Securities By Prospectus (1989), 12 OSCB 2168 RENUMBERED APRIL 20, 2001	46-701	Use of "Special Warrants" in Connection with Distribution of Securities By Prospectus	Withdrawn Mar. 17/08
OSCN	Use of "Green Sheets" and other Marketing Material During the Waiting Period (1989), 12 OSCB 2641			Withdrawn Oct.6/00
OSCN	Supplementary Notice - Application of the Securities Act to Certain Residential Real Estate Offerings (1989) 12 OSCB 2732			Withdrawn Mar. 21/03
OSCN	Collection of Personal Information - <i>Freedom of Information and Protection of Privacy Act, 1987</i> (1989), 12 OSCB 3083	31-504	Applications for Registration (1997), 20 OSCB 4634 (2003) 26 OSCB 1435 (2008), 31 OSCB 2279	Came into Force Sept.4/97 Amendment approved by Minister published February 14/03 Proposal to revoke instrument published Feb. 29/08 (tied to NI 31-103) Revoked Sept. 28/09
OSCN	Final Report on Capital, Financial Reporting and Audit Requirements (1990), 13 OSCB 493			Withdrawn Oct.6/00
OSCN	Review of Short Form Prospectuses Qualifying Derivative Securities (1990), 13 OSCB 1559			Withdrawn Oct.6/00
OSCN	Revised Notice of Amendment or Change of Information Form of Dealers and Advisers (1990), 13 OSCB 2971	33-109	Registration Information Requirements (under the Securities Act) (2002), 25 OSCB 3475	Came into Force Feb.21/03
OSCN	Insider Reporting System (1991), 14 OSCB 260			Withdrawn Oct.6/00
OSCN	Staff Investigation in Respect of Loan by Stelco Inc. to controlling shareholder of Clarus Corporation (1991), 14 OSCB 1807 RENUMBERED APRIL 20, 2001	62-701	Staff Investigation in Respect of Loan by Stelco Inc. to controlling shareholder of Clarus Corporation	Published Apr.20/01
OSCN	Debt-like Derivative Securities (1991), 14 OSCB 3316	91-701	Debt-Like Derivative Securities (1996), 19 OSCB 3427	Published Jun 21/96
OSCN	Disruption of Mail Service (1991), 14 OSCB 4113			Withdrawn Oct.6/00
OSCN	Market Balancing for a Proposed Multinational Offering (1991), 14 OSCB 5845			Withdrawn Oct.6/00

OSCN	Deficiency Letters in Respect of Salesperson Registration Applications (1992), 15 OSCB 6			<i>Withdrawn Oct.6/00</i>
OSCN	Report on Financial Statement Issues (1992), 15 OSCB 6	52-704	Report on Financial Statement Issues	<i>Withdrawn Mar. 21/03</i>
OSCN	Inter-Dealer Bond Broker Systems (1992), 15 OSCB 1081			<i>Withdrawn Oct.6/00</i>
OSCN	Confidential Material Change Reports (1992), 15 OSCB 4555	51-201	Disclosure Standards	<i>Adopted Jul.12/02</i>
OSCN	Report on Capital Adequacy Formula for SRO Members (1992), 15 OSCB 4750			<i>Withdrawn Oct.6/00</i>
OSCN	Annual Information Form and MD&A of Financial Condition and Results of Operation Re: Small Issuer Exemption (1992), 15 OSCB 4772	51-501	Annual Information Form and Management's Discussion and Analysis of Financial Condition and Results of Operation (2000), 23 OSCB 8365	<i>Revoked May 30/06</i>
OSCN	Office of the Chief Accountant MD&A Guide (1993), 16 OSCB 360 RENUMBERED APRIL 20, 2001	51-704	Office of the Chief Accountant - MD&A Guide	<i>Published Apr.20/01</i> <i>Withdrawn Feb. 19/10</i>
OSCN	Universal Registration - Extension of Date for Registration of Financial Intermediaries (1993), 16 OSCB 2818			<i>Withdrawn Oct.6/00</i>
OSCN	Pre-Marketing Activities in the Context of Bought Deals (1993), 16 OSCB 4812 RENUMBERED MAR. 21, 2003	47-704	Pre-Marketing Activities in the Context of Bought Deals (2003), 26 OSCB 2319	<i>Withdrawn Mar. 17/08</i>
OSCN	The GAAP Report (1993), 16 OSCB 5117			<i>Withdrawn Mar. 21/03</i>
OSCN	Labour Sponsored Investment Funds (1993), 16 OSCB 5283	31-502	Proficiency Requirements for Registrants (2000), 23 OSCB 5658	<i>Came into Force Aug.17/00</i> <i>Proposal to revoke instrument published Feb. 29/08 (tied to NI 31-103)</i>
		31-702	Ontario Securities Commission Designation of Courses Under Rule 31-502 (2000), 23 OSCB 5658	<i>Published Aug.17/00</i>
OSCN	Contemporaneous Private Placements and Public Offerings and Media Coverage Prior to the Commencement of the Waiting Period (1993), 16 OSCB 5776 RENUMBERED APRIL 20, 2001	47-702	Contemporaneous Private Placements and Public Offerings and Media Coverage Prior to the Commencement of the Waiting Period	<i>Withdrawn Mar. 17/08</i>
OSCN	Misleading Disclosure (1994), 17 OSCB 5			<i>Withdrawn Oct.6/00</i>
OSCN	Cash Equivalents (1994), 17 OSCB 489			<i>Withdrawn Oct.6/00</i>
OSCN	Disclosure of Investigations (1990), 13 OSCB 598	41-501	General Prospectus Requirements (2000), 23 OSCB (SUPP) 765	<i>Came into Force Dec.31/00</i> <i>Revoked Mar. 17/08</i>
OSCN	Issuance of Receipts for Preliminary Prospectuses and (Final) Prospectuses (1994), 17 OSCB 1058	41-701	Issuance of Receipts for Preliminary Prospectus and Prospectus (1997), 20 OSCB 2275	<i>Published May 2/97</i>
OSCN	Executive Compensation Disclosure for Debt Only Issuers (1994), 17 OSCB 1059 RENUMBERED APRIL 20, 2001	51-702	Executive Compensation Disclosure for Debt-Only Issuers	<i>Published Apr.20/01</i>

OSCN	Securities Exchange Take-Over Bid Circulars - Reporting Issuer Status (1994), 17 OSCB 1402	45-501	Exempt Distributions (1999), 22 OSCB 127 (2015) 38 OSCB 4196	Repeal and Replacement Came into Force Sept.14/05 Minister's approval of amendments published April 30, 2015
OSCN	Meetings with a Commissioner Regarding a Prospectus or an Application for Exemption or Registration (1994), 17 OSCB 3529 RENUMBERED APRIL 20, 2001	15-701	Meetings with a Commissioner Regarding a Prospectus or an Application for Exemption or Registration	Published Apr.20/01
OSCN	Electronic Registration Application Forms (1994), 17 OSCB 3529			Withdrawn Mar. 21/03
OSCN	Residency Requirements for Advisers and Their Partners and Officers (1994), 17 OSCB 4206 RENUMBERED MAR. 21, 2003	35-701	Residency Requirements for Advisers and Their Partners and Officers (2003), 26 OSCB 2319 (2012) 35 OSCB 5679	Published Mar. 21/03 Withdrawn June 21/12
OSCN	Selective Review of Prospectuses and Other Documents (1994), 17 OSCB 4385	43-703	Selective Review of Prospectuses and Other Documents	Withdrawn Mar. 17/08
OSCN	Solicitation Fee Claims (1994), 17 OSCB 4629			Withdrawn Oct.6/00
OSCN	Expedited Review of Short Form Prospectuses and Renewal AIFs (1994), 17 OSCB 5210	43-201	Mutual Reliance Review System for Prospectus and Initial AIFs (1999), 22 OSCB 7293	Rescinded Mar. 17/08
OSCN	Electronic Registration Forms (1994), 17 OSCB 6073			Withdrawn Mar. 21/03
OSCN	Revocation of Cease Trade Orders (1995), 18 OSCB 5 RENUMBERED MAR. 21, 2003	57-701	Revocation of Cease Trade Orders (2003), 26 OSCB 2319	Withdrawn Jun 6/03
OSCN	Labour Sponsored Investment Funds Course (1995), 18 OSCB 36 RENUMBERED MAR. 21, 2003	31-707	Labour Sponsored Investment Funds Course (2003), 26 OSCB 2319 (2009), 32 OSCB 7330	Published Mar. 21/03 Withdrawn Sept. 28/09
OSCN	The Use of Securities Exchange Take-over Bid Circulars to Obtain Reporting Issuer Status (1995), 18 OSCB 1768	45-501	Exempt Distributions (1999), 22 OSCB 127 (2015) 38 OSCB 4196	Repeal and Replacement Came into Force Sept.14/05 Minister's approval of amendments published April 30, 2015
OSCN	Courier/By Hand Deliveries (1995), 18 OSCB 2204			Withdrawn Oct.6/00
OSCN	Recommendations of the Committee on Staff Communications (1995), 18 OSCB 3617 RENUMBERED MAR. 21, 2003	11-722	Recommendations of the Committee on Staff Communications (2003), 26 OSCB 2319	Published Mar. 21/03
OSCN	Residency Requirements for Certain Non-Resident Salespersons and Supervisors (1995), 18 OSCB 3905 RENUMBERED MAR. 21, 2003	35-702	Residency Requirements for Certain Non-Resident Salespersons and Supervisors (2003), 26 OSCB 2319 (2012) 35 OSCB 5679	Renumbered Mar. 21/03 Withdrawn June 21/12

OSCN	Registration Residency Requirements for Certain Canadian Dealers (1995), 18 OSCB 3908 RENUMBERED MAR. 21, 2003	35-703	Registration Residency Requirements for Certain Canadian Dealers (2003), 26 OSCB 2319 (2012) 35 OSCB 5679	Renumbered Mar. 21/03 Withdrawn June 21/12
OSCN	Electronic Registration Forms (1995), 18 OSCB 5922			Withdrawn Mar. 21/03
OSCN	Early Warning Information Publication (1996), 19 OSCB 1128			Withdrawn Oct.6/00
OSCN	Policy Reformulation Project (1996), 19 OSCB 2310 RENUMBERED MAR. 21, 2003	11-723	Policy Reformulation Project (2003), 26 OSCB 2319	Published Mar. 21/03
OSCN	Numbering System for Policy Reformulation Project (1996), 19 OSCB 4258 RENUMBERED MAR. 21, 2003	11-724	Numbering System for Policy Reformulation Project (2003), 26 OSCB 2319	Published Mar. 21/03 Withdrawn Feb. 6/09
OSCN	Multijurisdictional Disclosure System (1999), 22 OSCB 5701 RENUMBERED MAR. 21, 2003	71-701	Multijurisdictional Disclosure System (2003), 26 OSCB 2319 (2012) 35 OSCB 5679	Published Mar. 21/03 Withdrawn June 21/12
OSCN	CICA Assurance Standards Board Exposure (1999), 22 OSCB 6560 RENUMBERED MAR. 21, 2003	52-715	CICA Assurance Standards Board Exposure (2003), 26 OSCB 2319	Published Mar. 21/03 Withdrawn Feb. 19/10
OSCN	Viatical Settlements (1996) 19 OSCB 4680			To be retained
OSCN	Adviser Registration, Disclosure and Other Issues Relating to Labour Sponsored Investment Funds 18 OSCB 5420			To be retained
Principles of Regulation				
PR	Distribution of Mutual Funds by Financial Institutions (1988), 11 OSCB 4436	33-102	Regulation of Certain Registrant Activities (2001), 24 OSCB 4409	Came into Force Aug.1/01 Instrument revoked on Sept. 28/09 (tied to NI 31-103)
PR	Full Service and Discount Brokerage Activities in Branches of Related FIs (1988), 11 OSCB 4640	33-102	Regulation of Certain Registrant Activities (2001), 24 OSCB 4409	Came into Force Aug.1/01 Instrument revoked on Sept. 28/09 (tied to NI 31-103)
PR	Activities of Registrants Related to Financial Institutions (1990), 13 OSCB 1779	33-102	Regulation of Certain Registrant Activities (2001), 24 OSCB 4409	Came into Force Aug.1/01 Instrument revoked on Sept. 28/09 (tied to NI 31-103)
Staff Accounting Communiqués				
SAC No. 01	Staff Accounting Communiqués (1989), 12 OSCB 2457			Withdrawn Mar 21/03
SAC No. 1	Financial Statements to be Filed According to GAAP (1989), 12 OSCB 2458 RENUMBERED MAR. 21, 2003	52-702	Financial Statements to be Filed According to GAAP (2003), 26 OSCB 2319	Withdrawn Feb.10/06

SAC No. 1.1	No Requirement to Provide Management Report Under CICA (1993), 16 OSCB 1080 RENUMBERED MAR. 21, 2003	52-706	No Requirement to Provide Management Report Under CICA (2003), 26 OSCB 2319	Published Mar. 21/03 Withdrawn Jan. 1/11
SAC No. 2	Financial Statement Presentation of Corporate Financing Activities			Withdrawn Mar. 21/03
SAC No. 3	Auditors Report on Comparative Financial Statements			Withdrawn Mar. 21/03
SAC No. 4	Interest Accrual on Delinquent Loans			Withdrawn Apr.20/01
SAC No. 5	Filing Extensions for Continuous Disclosure Financial Statements RENUMBERED MAR. 21, 2003	52-710	Filing Extensions for Continuous Disclosure Financial Statements (2003), 26 OSCB 2319	Withdrawn Feb. 19/10
SAC No. 6	Income Statement Presentation RENUMBERED MAR. 21, 2003	52-711	Income Statement Presentation (2003), 26 OSCB 2319	Published Mar. 21/03 Withdrawn Jan. 1/11
SAC No. 7	Financial Disclosure in Information Circulars			Withdrawn Mar. 21/03
SAC No. 8	Accounting Basis in an Initial Public Offering (I.P.O.) RENUMBERED MAR. 21, 2003	52-712	Accounting Basis in an Initial Public Offering (I.P.O.) (2003), 26 OSCB 2319	Published Mar. 21/03 Withdrawn Jan. 1/11
SAC No. 9	Pro Forma Financial Statements (1994), 17 OSCB 5207			Withdrawn Apr.20/01
SAC No. 10	Restructuring and Similar Charges (Including Write Downs of Goodwill) (1994), 17 OSCB 6074 RENUMBERED MAR. 21, 2003	52-714	Restructuring and Similar Charges (Including Write Downs of Goodwill) (2003), 26 OSCB 2319	Published Mar. 21/03 Withdrawn Jan. 1/11

Registration Section Clarification Note

REG Note 1	Supplement to Principles of Regulation Regarding Distribution of Mutual Funds Through Branches of Financial Institutions			Withdrawn Mar. 21/03
REG Note 2	Registration as an Investment Counsel or Portfolio Manager (IC/PM): Senior and Junior IC/PM Registration	31-502	Proficiency Requirements for Registrants (2000), 23 OSCB 5658	Came into Force Aug.17/00 Instrument revoked on Sept. 28/09 (tied to NI 31-103)
		31-702	Ontario Securities Commission Designation of Courses Under Rule 31-502 (2000), 23 OSCB 5658	Published Aug.17/00
REG Note 3	Telemarketing Activities of Certain Employees or Independent Agents of Registered Dealers RENUMBERED MAR. 21, 2003	31-706	Registration of Certain Employees or Independent Agents of Registered Dealers: Recommendations for Supervision of Qualifiers (2003), 26 OSCB 2319 (2009), 32 OSCB 7330	Published Mar. 21/03 Withdrawn Sept. 28/09 (tied to NI 31-103)
REG Note 4	New Procedures for Approving and Recording Amendments to Registration of Dealers and Advisers A portion of Reg. Note 4 still exists and will be retained, revised and published	33-109	Registration Information Requirements (under the Securities Act) (2002), 25 OSCB 3475 (2009) 32 OSCB 7331	Came into Force Feb.21/03 Withdrawn Sept. 28/09 (tied to NI 31-103)

Interpretation Note				
Interpretation Note 1	Distribution of Securities Outside Ontario (1983), 6 OSCB 228	72-101	Distributions Outside of the Local Jurisdiction (2000), 23 OSCB 6140	<i>Interpretation Note 1 was withdrawn upon 72-503 coming into force – March 31, 2018</i>
Interpretation Note 2	Prospectus Disclosure of Principal Holders (1983) OSCB 4536	41-501	General Prospectus Requirements (2000), 23 OSCB (SUPP) 765	<i>Came into Force Dec.31/00</i> <i>Revoked Mar. 17/08</i>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
11-201	Delivery of Documents by Electronic Means (2000), 23 OSCB 8156 (2002), 25 OSCB 5364 (2003), 26 OSCB 1268 (2011) 34 OSCB 5065 (2011) 34 OSCB 11603 (2019) 42 OSCB 4045	<p><i>Adopted Jan.1/00</i></p> <p><i>Amendments adopted Feb.14/03</i></p> <p><i>Amendments published for comment April 29/2011</i></p> <p><i>Commission approval of amendments published Nov. 18/11</i></p> <p><i>Amendment published for comment May 2/19</i></p>
11-202	Process for Prospectus Reviews in Multiple Jurisdictions (2007), 30 OSCB 7527 (2008), 31 OSCB 1009 (2008), 31 OSCB 7171 (2008) 31 OSCB 12070 (2019) 42 OSCB 4045 (2019) 42 OSCB 7385	<p><i>Adopted Mar. 17/08</i></p> <p><i>Amendments published for comment Jul.18/08</i></p> <p><i>Commission approval of amendments published Dec. 19/08</i></p> <p><i>Amendment published for comment May 2/19</i></p> <p><i>Request for comment published Sept. 12/19</i></p>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
11-203	Process for Exemptive Relief Applications in Multiple Jurisdictions and Related Repeals (2007), 30 OSCB 7527 (2008), 31 OSCB 1068 (2008) 31 OSCB 7171 (2008) 31 OSCB 12070 (2012), 35 OSCB 4503 (2013) 36 OSCB (Supp-3) (2014) 37 OSCB (Supp-4) (2014) 37 OSCB 8599 (2015) 38 OSCB (Supp-1) (2015) 38 OSCB 4193	<p><i>Adopted Mar. 17/08</i></p> <p><i>Amendments published for comment Jul.18/08</i></p> <p><i>Commission approval of amendments published Dec. 19/08</i></p> <p><i>In force Sept. 28/09</i></p> <p><i>Commission approval of amendments published May 10/12</i></p> <p><i>Amendments published for comment March 27/13 (tied to 81-102)</i></p> <p><i>Commission approval of amendments published June 19/14</i></p> <p><i>Minister's approval of amendments published Sept.18/14</i></p> <p><i>Commission approval of amendments published Feb. 19/15</i></p> <p><i>Minister's approval of amendments published April 30/15</i></p>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
11-203	Process for Exemptive Relief Applications in Multiple Jurisdictions and Related Repeals (2015) 38 OSCB (Supp-3) (2016) 39 OSCB 91 (2019) 42 OSCB 4045	<i>Commission approval published Oct. 29/15</i> <i>Commission approval published Jan. 7/16</i> <i>Amendment published for comment May 2/19</i>
11-204	Process for Registration in Multiple Jurisdictions (2008), 31 OSCB 7171 (2008) 31 OSCB 12070	<i>Published for comment Jul. 18/08</i> <i>Commission approval published Dec. 19/08</i> <i>In force Sept. 28/09</i>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
11-205	Process for Designation as a Designated Rating Organization (2010) 33 OSCB 6353 (2011) 34 OSCB 3249 (2012) 35 OSCB 3294	<i>Published for comment July 16/10</i> <i>Published for comment Mar. 18/11</i> <i>Commission approval published April 6/12</i>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
11-206	Process for Cease to a Reporting Issuer Applications (2015) 38 OSCB 3703 (2016) 39 OSCB 2001 (2016) 39 OSCB 5835 (2017) 40 OSCB 5561 (2018) 41 OSCB 2543 (2019) 42 OSCB 4045	<i>Published for comment April 16/15</i> <i>Commission approval published March 3/16</i> <i>Commission approval published June 23/16</i> <i>Published for comment June 29, 2017</i> <i>Commission approval published Mar. 29/18</i> <i>Amendment published for comment May 2/19</i>
11-207	Failure to File Cease Trade Orders and Revocations under Passport (2015) 38 OSCB 3703 (2016) 39 OSCB 2001 (2016) 39 OSCB 5864 (2019) 42 OSCB 4045	<i>Published for comment April 16/15</i> <i>Commission approval published March 3/16</i> <i>Commission approval published June 23/16</i> <i>Amendment published for comment May 2/19</i>
11-301	Canadian Securities Administrators Strategic Plan 1999 - 2001	<i>Withdrawn Dec 21/01</i>
11-302	Withdrawal of CSA Notices (2001), 24 OSCB 7629	<i>Published Dec.21/01</i>
11-303	Uniform Securities Legislation Project (2010) 33 OSCB 1518	<i>Posted on website Mar. 8/02</i> <i>Withdrawn Feb. 19/2010</i>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
11-304	Responses to Comments Received on Concept Proposal – Blueprint for Uniform Securities Laws for Canada (2003), 26 OSCB 5887 (2010) 33 OSCB 1518	Published Aug.8/03 Withdrawn Feb. 19/2010
11-305	Withdrawal of CSA Staff Notice 42-301 and 52-302 (2004), 27 OSCB 711	Published Jan 16/04
11-306	Extension of Comment Period for Consultation Drafts of the Uniform Securities Act and the Model Securities Administration Act (2004), 27 OSCB 2054 (2010) 33 OSCB 1518	Published Feb 20/04 Withdrawn Feb. 19/2010
11-307	Responses to Comments Received on Consultation Drafts for a Uniform Securities Act (USA) and a Model Securities Administration Act (SAA) (2010) 33 OSCB 1518	Published Oct. 1/04 Withdrawn Feb. 19/10
11-309	Withdrawal of CSA Notices (2006), 29 OSCB	Published Mar. 3/06
11-310	Withdrawal of CSA Notices (2008) 31 OSCB 11532	Published Dec. 5/08
11-311	Notice of Extension of Comment Period – CSA Consultation Paper 11-405 – Securities Regulatory Proposals Stemming from the 2007-2008 Credit Market Turmoil and its Effect on the ABCP Market in Canada (2008), 31 OSCB 11349	Published Nov. 28/08 Withdrawn Sept. 12/13
11-312	National Numbering System (2009) 32 OSCB 1211 (2009) 32 OSCB 3677 (2010) 33 OSCB 1515 (2015) 37 OSCB 839	Published Feb. 6/09 Correction published May 1/09 Published Feb. 19/10 Published Jan. 29/15
11-313	Withdrawal of Notices and Policies (2010) 33 OSCB 1518	Published Feb. 19/10
11-314	Update of CSA Instruments (2011) 34 OSCB 5163	Published May 6/11
11-315	Extension of Consultation Period - Proposed National Instrument 41-103 <i>Supplementary Prospectus Disclosure Requirements for Securitized Products</i> ; Proposed National Instrument 51-106 <i>Continuous Disclosure Requirements for Securitized Products</i> and Proposed Amendments to National Instrument 52-109 <i>Certification of Disclosure in Issuers' Annual and Interim Filings</i> Proposed Amendments to National Instrument 45-106 <i>Prospectus and Registration Exemptions</i> and National Instrument 45-102 <i>Resale of Securities</i>	Published June 15/2011 Withdrawn Sept. 12/13
11-316	Notice of Local Amendments – British Columbia (2012) 35 OSCB 3589	Published April 13/12 Withdrawn Dec. 1/16
11-319	Extension of Consultation Period – Consultation Paper 25-401: Potential Regulation of Proxy Advisory Firms	Published Aug. 16/12 Withdrawn March 7/19

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
11-320	Notice of Local Amendments – Nova Scotia and Yukon (2012) 35 OSCB 10227	Published Nov. 15/12
11-321	Business Continuity Planning (2013) 36 OSCB 1412	Published Feb. 7/13
11-322	Extension of the Consultation Period – Proposed Amendments to MI 62-104 Take-Over Bids and Issuer Bids and NI 62-103 Early Warning System and related Take-Over Bid and Insider Reporting Issues – Proposed Changes to NP 62-203 Take-Over Bids and Issuer Bids – Proposed NI 62-105 Security Holder Rights Plans – Proposed Companion Policy 62-105CP Security Holder Rights Plans (2013) 36 OSCB 5655	Published June 6/13 Withdrawn March 7/19
11-323	Withdrawal of Notices and Policies (2013) 36 OSCB 8942	Published Sept. 12/13
11-324	Extension of Comment Period – Proposed Amendments to National Instrument 81-103 Mutual Funds, Companion Policy 81-102CP Mutual Funds, and Related Consequential Amendments and Other Matters Concerning National Instrument 81-104 Commodity Pools and Securities Lending, Repurchases and Reserve Repurchases by Investment Funds (2013) 36 OSCB 6424	Published June 27/13 Withdrawn Dec. 1/16
11-326	Cybersecurity (2013) 36 OSCB 9289	Published Sept. 26/13
11-327	Extension of Consultation Period – Proposed National Policy 25-201 Guidance for Proxy Advisory Firms (2014) 37 OSCB 5549	Published June 12/14 Withdrawn March 7/19
11-328	Notice of Local Amendments in Alberta and the Adoption of Multilateral Amendments in Yukon (2015) 38 OSCB 2279	Published March 12/15
11-329	Withdrawal of Notices and Revocation of Omnibus /Blanket Orders (2015) 38 OSCB 6358	Published July 16/15
11-330	Notice of Local Amendments – Alberta, Manitoba, New Brunswick, Nova Scotia, Quebec, Ontario and Saskatchewan (2016) 39 OSCB 5399	Published June 16/17
11-331	Extension of Consultation Period Consultation paper 33-404 Proposals to Enhance the Obligations of Advisers, Dealers, and Representatives toward their Clients (2016) 39 OSCB	Published July 25, 2016
11-332	Cyber Security (2016) 39 OSCB	Published Sept. 27, 2016
11-333	Withdrawal of Notices (2016) 39 OSCB 9693	Published Dec. 1/16
11-334	Notice of Local Amendments and Changes in Certain Jurisdictions (2017) 40 OSCB 591	Published Jan. 19/17
11-335	Notice of Local Amendments and Changes in Certain Jurisdictions (2017) 40 OSCB 3441	Published April 13/17
11-336	Summary of CSA Roundtable on Response to Cyber Security Incidents	Published April 6, 2017
11-337	Notice of Local Amendments and Changes in Alberta, Manitoba and New Brunswick (2017) 40 OSCB 9631	Published Dec. 7, 2017
11-338	CSA Market Disruption Coordination Plan	Published Oct. 18/18
11-339	CSA Staff Notice 11-339 Notice of Local Changes in Alberta (2018), 41 OSCB 8763	Published Nov. 1/18
11-340	Extension of Comment Period – CSA Staff Notice and Request for Comment 23-323 Trading Fee Rebate Pilot Study	Published Dec. 18/18
11-341	Withdrawal of Staff Notices (2019), 42 OSCB 1957	Published March 7, 2019
11-401	Delivery of Documents by Issuers Using Electronic Media Concept Proposal (1997), 20 OSCB 3075	Published Jun 13/97

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
11-402	Concept Proposal for Uniform Securities Legislation – Request for Comment (2003), 26 OSCB 941 (2010) 33 OSCB 1518	<i>Published Jan.31/03</i> <i>Withdrawn Feb. 19/10</i>
11-403	Uniform Securities Transfer Act (USTA) – Request for Comment (2003), 26 OSCB 5819	<i>Published Aug.1/03</i>
11-404	Consultation Drafts of the Uniform Securities Act and the Model Administration Act (2004), 27 OSCB (SUPP) (2010) 33 OSCB 1518	<i>Published for comment Jan.2/04</i> <i>Withdrawn Feb 19/10</i>
11-405	CSA Consultation Paper – Securities Regulatory proposals Stemming from the 2007-08 Credit Market Turmoil and Its Effect on the ABCP Market in Canada (2008), 31 OSCB 9730	<i>Published for comment Oct. 10/08</i>
11-501	Electronic Delivery of Documents to the Ontario Securities Commission and Proposed Consequential Policy Amendments (2013) 36 OSCB 3929 (2013) 36 OSCB 10503 (2015) 38 OSCB 4161 (2015) 38 OSCB (Supp-3) (2015) 38 OSCB (Supp-4) (2015) 38 OSCB 10142 (2016) 39 OSCB 92 (2016) 39 OSCB 343 (2016) 39 OSCB 5278	<i>Published for comment April 11/13</i> <i>Commission approval published October 31/13</i> <i>Minister's approval of amendments published April 30/15</i> <i>Commission approval published Oct. 29/15</i> <i>Commission approval published Nov. 5/15</i> <i>Ministerial approval of amendments published Dec. 3/15</i> <i>Ministerial approval published Jan 7/16</i> <i>Minister's approval published Jan. 14/16</i> <i>Ministerial approval published June 9, 2016</i>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
11-601	The Securities Advisory Committee to the OSC (2002) 25 OSCB 683	<i>Published Jan. 28/02</i>
11-602	OSC Policy 11-602 Guidelines on the Application of the Prohibition Against Order of General Application to Applications to the OSC for Exemptive Relief (2013) 36 OSCB 3667	<i>Published April 4/13</i>
11-702	Notice re Table of Concordance	<i>Withdrawn Mar. 21/03</i>
11-703	Table of Concordance for the Reformulation Project	<i>Withdrawn Mar. 21/03</i>
11-704	Table of Concordance for the Reformulation Project	<i>Withdrawn Mar. 21/03</i>
11-705	Table of Concordance for the Reformulation Project	<i>Withdrawn Mar. 21/03</i>
11-706	Rescission of Staff Notices (2000), 23 OSCB 6861	<i>Published Oct.6/00</i>
11-707	Table of Concordance for the Reformulation Project	<i>Withdrawn Mar. 21/03</i>
11-708	Table of Concordance for the Reformulation Project	<i>Withdrawn Mar. 21/03</i>
11-709	Assignment of Notice Numbers (2001), 24 OSCB 2405	<i>Published Apr.20/01</i>
11-710	Withdrawal of Staff Accounting Communiqués (2001), 24 OSCB 2406	<i>Published Apr.20/01</i>
11-711	Table of Concordance for the Reformulation Project (2001), 24 OSCB 2078	<i>Withdrawn Mar. 21/03</i>
11-712	Withdrawal of CSA Notices (2001), 24 OSCB 2406	<i>Published Apr.20/01</i>
11-713	Table of Concordance for the Reformulation Project (2001) 24 OSCB 4177	<i>Withdrawn Mar. 21/03</i>
11-714	Table of Concordance for the Reformulation Project (2001) 24 OSCB 5978	<i>Withdrawn Mar. 21/03</i>
11-715	Table of Concordance for the Reformulation Project (2002), 25 OSCB 267	<i>Withdrawn Feb.10/06</i>
11-716	Table of Concordance for the Reformulation Project (2002), 25 OSCB 2001	<i>Withdrawn Mar. 21/03</i>
11-717	Securities Advisory Committee -OSC Policy 11-601	<i>Withdrawn Feb.10/06</i>
11-718	Table of Concordance for the Reformulation Project (2002,) 25 OSCB 4637	<i>Withdrawn Mar. 21/03</i>
11-719	A Risk-based Approach for More Effective Regulation (2002), 25 OSCB 8410	<i>Withdrawn Dec. 12/08</i>
11-720	Policy Reformulation Table of Concordance and List of New Instruments (2002), 25 OSCB 7126	<i>Withdrawn Mar. 21/03</i>
11-721	Policy Reformulation Table of Concordance and List of New Instruments (2003), 26 OSCB 474 (2010) 33 OSCB 1518	<i>Published Jan.24/03 Withdrawn Feb. 19/10</i>
11-725	Policy Reformulation Table of Concordance and List of New Instruments (2003), 26 OSCB 3678 (2010) 33 OSCB 1518	<i>Published May 16/03 Withdrawn Feb. 19/10</i>
11-726	Assignment of Policy Numbers (2003), 26 OSCB 2318 (2010) 33 OSCB 1518	<i>Published Mar. 21/03 Withdrawn Feb. 19/10</i>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
11-727	Assignment of Notice Numbers (2003), 26 OSCB 2319 (2010) 33 OSCB 1518	<i>Published Mar. 21/03 Withdrawn Feb. 19/10</i>
11-728	Withdrawal of Staff Notices (2003), 26 OSCB 2321	<i>Published Mar. 21/03</i>
11-729	Withdrawal of Staff Notice (2003), 26 OSCB 4137	<i>Published Jun 6/03</i>
11-730	Policy Reformulation Table of Concordance and List of New Instruments (2003), 26 OSCB 5691	<i>Withdrawn Oct.31/03</i>
11-731	Policy Reformulation Table of Concordance and List of New Instruments (2003), 26 OSCB 6971	<i>Withdrawn Feb.13/04</i>
11-732	Proposal for the Ontario <i>Securities Administration Act</i> (2004), 27 OSCB SUPP (2010) 33 OSCB 1518	<i>Published for comment Jan.2/04 Withdrawn Feb. 19/10</i>
11-733	Policy Reformulation Table of Concordance and List of New Instruments (2004), 27 OSCB 1794 (2010) 33 OSCB 1518	<i>Withdrawn Feb. 19/10</i>
11-734	Policy Reformulation Table of Concordance and List of New Instruments (2004), 27 OSCB 5070 (2010) 33 OSCB 1518	<i>Published May 28/04 Published Jul.30/04 Withdrawn Feb 19/10</i>
11-735	IOSCO and International Joint Forum Publish Reports on Outsourcing of Financial Services for Public Comment (2004), 27 OSCB 7069 (2010) 33 OSCB 1518	<i>Published Aug.13/04 Withdrawn Feb. 19/10</i>
11-736	North American Securities Administrators Association (NASAA) Seeks Public Comment on Proposal to Extend the Model Secondary Market Trading Exemption for Qualifying Canadian Securities to TSX Venture Exchange (2004), 27 OSCB 7253 (2010) 33 OSCB 1518	<i>Published Aug.20/04 Withdrawn Feb. 19/10</i>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
11-737	Securities Advisory Committee – Vacancies (2004), 27 OSCB 7404 (2004), 27 OSCB 7925 (2005), 28 OSCB 5955 (2008), 31 OSCB 7406 (2009), 32 OSCB 7548 (2010), 33 OSCB 8472 (2011), 34 OSCB 11281 (2012) 35 OSCB 9186 (2013) 36 OSCB 10274 (2014) 37 OSCB 9529 (2015) 38 OSCB 8973 (2016) 39 OSCB 8747 (2017) 40 OSCB 8803 (2018) 41 OSCB 8367	<p><i>Published Aug.27/04</i></p> <p><i>Republished Sept.17/04</i></p> <p><i>Revised and republished Jul.15/05</i></p> <p><i>Revised and republished Jul. 25/08</i></p> <p><i>Revised and republished Sept. 25/09</i></p> <p><i>Revised and republished Sept. 24/10</i></p> <p><i>Revised and republished Nov. 11/11</i></p> <p><i>Revised and re-published Oct. 11/12</i></p> <p><i>Revised and re-published October 24, 2013</i></p> <p><i>Revised and re-published Oct. 23/14</i></p> <p><i>Revised and re-published Oct. 22/15</i></p> <p><i>Revised and re-published Oct. 20/16</i></p> <p><i>Revised and re-published Nov. 2/17</i></p> <p><i>Revised and republished Oct. 25/18</i></p>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
11-738	IOSCO Seeks Public Comment on Draft Code of Conduct Fundamentals for Credit Rating Agencies (2004), 27 OSCB 8666 (2010) 33 OSCB 1518	<i>Published Oct.22/04</i> <i>Withdrawn Feb. 19/10</i>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
11-739	Policy Reformulation Table of Concordance and List of New Instruments (Revised) (2004), 27 OSCB 8652 (2005), 28 OSCB 1031 (2005), 28 OSCB 3559 (2006), 29 OSCB 1188 (2006), 29 OSCB 2905 (2006), 29 OSCB 5696 (2006), 29 OSCB 8220 (2007), 30 OSCB 284 (2007), 30 OSCB 3429 (2007), 30 OSCB 6016 (2007), 30 OSCB 8321 (2008), 31 OSCB 368 (2008), 31 OSCB 3989 (2008), 31 OSCB 6721 (2008), 31 OSCB 9758 (2009), 32 OSCB 273 (2009), 32 OSCB 2891 (2009), 32 OSCB 8002 (2010), 33 OSCB 12 (2010), 33 OSCB 3007 (2010), 33 OSCB 5987	<p><i>Published Oct.22/04</i></p> <p><i>Published Jan.28/05</i></p> <p><i>Published Apr.15/05</i></p> <p><i>Published Feb.10/06</i></p> <p><i>Published Apr.7/06</i></p> <p><i>Published Jul.14/06</i></p> <p><i>Published</i></p> <p><i>Oct.20/06</i></p> <p><i>Published</i></p> <p><i>Jan.12/07</i></p> <p><i>Published April 13, 2007</i></p> <p><i>Published July 6, 2007</i></p> <p><i>Published Oct.5/07</i></p> <p><i>Published Jan.11/08</i></p> <p><i>Published Jul. 4, 2008</i></p> <p><i>Published Oct. 10/08</i></p> <p><i>Published Jan. 9/09</i></p> <p><i>Published April 3/09</i></p> <p><i>Published Oct. 9/09</i></p> <p><i>Published Jan. 8/10</i></p> <p><i>Published Apr. 9/10</i></p>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
11-739 (cont'd)	Policy Reformulation Table of Concordance and List of New Instruments (Revised) (2010), 33 OSCB 8817 (2010), 33 OSCB 8817 (2011) 34 OSCB 3722 (2011), 34 OSCB 7451 (2011), 34 OSCB 10158 (2012) 35 OSCB 12 (2012), 35 OSCB 3298 (2012) 35 OSCB 6265 (2012) 35 OSCB 9186 (2013) 36 OSCB 9 (2013) 36 OSCB 3819 (2013) 36 OSCB 6912 (2013) 36 OSCB 9505 (2014) 37 OSCB 421 (2014) 37 OSCB 4430 (2014) 37 OSCB 6471 (2015) 38 OSCB 565	<i>Published July 2, 2010</i> <i>Published Oct. 8/10</i> <i>Published April 1, 2011</i> <i>Published July 8/11</i> <i>Published October 7/11</i> <i>Published Jan. 6/12</i> <i>Published April 6/12</i> <i>Published July 5/12</i> <i>Published Oct. 11/12</i> <i>Published Jan. 4/13</i> <i>Published April 11/13</i> <i>Published July 11/13</i> <i>Published October 3, 2013</i> <i>Published Jan. 9/14</i> <i>Published May 1/14</i> <i>Published July 3/14</i> <i>Published Jan. 22/15</i>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
11-739	Policy Reformulation Table of Concordance and List of New Instruments (Revised) (2015) 38 OSCB 3307 (2015) 38 OSCB 6579 (2015) 38 OSCB 8641 (2016) 39 OSCB 225 (2016) 39 OSCB 3584 (2016) 39 OSCB 6760 (2016) 39 OSCB 8749 (2017) 40 OSCB 334 (2017) 40 OSCB 2989 (2017) 40 OSCB 6015 (2017) 40 OSCB 8227 (2018) 41 OSCB 599 (2018) 41 OSCB 2957 (2018) 41 OSCB 6291 (2018) 41 OSCB 8127 (2019), 42 OSCB 1313 (2019) 42 OSCB 3991 (2019) 42 OSCB 6277	<p><i>Published April 9/15</i></p> <p><i>Published July 23/15</i></p> <p><i>Published Oct. 8/15</i></p> <p><i>Published Jan. 14/16</i></p> <p><i>Published April 14, 2016</i></p> <p><i>Published July 28, 2016</i></p> <p><i>Published Oct. 20, 2016</i></p> <p><i>Published Jan. 12, 2017</i></p> <p><i>Published Apr. 6/17</i></p> <p><i>Published July 13/17</i></p> <p><i>Published Oct. 12, 2017</i></p> <p><i>Published Jan. 18, 2018</i></p> <p><i>Published April 12, 2018</i></p> <p><i>Published Aug. 9/18</i></p> <p><i>Published Oct. 18/19</i></p> <p><i>Published Feb. 14/19</i></p> <p><i>Published May 2, 2019</i></p> <p><i>Published July 25, 2019</i></p>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
11-740	International Joint Forum Publishes Consultation Report on Credit Risk Transfer (2004), 27 OSCB 8806 (2010) 33 OSCB 1518	<i>Published Oct.29/04</i> <i>Withdrawn Feb. 19/10</i>
11-741	IOSCO Publishes Draft consultation Policy and Procedures for Public Comment (2004), 27 OSCB 9163 (2010) 33 OSCB 1518	<i>Published Nov.12/04</i> <i>Withdrawn Feb. 19/10</i>
11-742	The Securities Advisory Committee to the OSC (2004), 27 OSCB 9419 (2005), 28 OSCB 7767 (2008), 31 OSCB 11166 (2010), 33 OSCB 376 (2010), 33 OSCB 11653 (2012) 35 OSCB 1080 (2013) 36 OSCB 559 (2013) 36 OSCB 11775 (2014) 37 OSCB 11428 (2016) 39 OSCB 10 (2017) 40 OSCB 338 (2018) 41 OSCB 355 (2019), 42 OSCB 3991	<i>Published Nov.26/04</i> <i>Revised and Published Sept.23/05</i> <i>Published Nov. 21/08</i> <i>Published Jan. 15/10</i> <i>Published Dec. 17/10</i> <i>Published Feb. 3/12</i> <i>Published Jan. 10/13</i> <i>Published Dec 12/13</i> <i>Published Dec. 30/14</i> <i>Published Jan 7/16</i> <i>Published Jan. 12/17</i> <i>Published Jan. 11/18</i> <i>Published Jan. 10/19</i>
11-743	IOSCO Publishes Consultation Report Concerning Governance of Collective Investment Schemes (2005), 28 OSCB 1762 (2010) 33 OSCB 1518	<i>Published Feb.18/05</i> <i>Withdrawn Feb. 19/10</i>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
11-744	IOSCO and International Joint Forum Publish Final Recommendations about Outsourcing of Financial Services (2005), 28 OSCB 2141 (2010) 33 OSCB 1518	Published <i>Mar. 4/05</i> Withdrawn Feb. <i>19/10</i>
11-745	IOSCO Publishes for Consultation Best Practice Standards on Anti-Market Timing and Anti-Money Laundering Guidance for Collective Investment Schemes (2005), 28 OSCB 2143 (2010) 33 OSCB 1518	Published <i>Mar. 4/05</i> Withdrawn Feb. <i>19/10</i>
11-746	IOSCO Publishes Consultation Report: <i>Policies on Error Trades</i> (2005), 28 OSCB 2145 (2010) 33 OSCB 1518	Published <i>Mar. 4/05</i> Withdrawn Feb. <i>19/10</i>
11-747	IOSCO and Basel Committee Publish Consultation Document on the Application of Basel II to Trading Activities and the Treatment of Double Default Effects (2005), 28 OSCB 3797 (2010) 33 OSCB 1518	Published <i>Apr.22/05</i> Withdrawn Feb. <i>19/10</i>
11-748	IOSCO Publishes a Discussion Paper on the Compliance Function at Market Intermediaries (2005), 28 OSCB 3978 (2010) 33 OSCB 1518	Published <i>Apr.22/05</i> Withdrawn Feb. <i>19/10</i>
11-749	International Joint Forum Publishes Final Report on Credit Risk Transfer (2005), 28 OSCB 3799 (2010) 33 OSCB 1518	Published <i>Apr.22/05</i> Withdrawn Feb. <i>19/10</i>
11-750	IOSCO Releases Survey Report on the Regulation and Oversight of Auditors (2005), 28 OSCB 4169 (2010) 33 OSCB 1518	Published <i>May 6/05</i> Withdrawn Feb. <i>19/10</i>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
11-751	IOSCO Finalizes Consultation Policy and Procedures (2005), 28 OSCB 4171 (2010) 33 OSCB 1518	<i>Published May 6/05</i> <i>Withdrawn Feb. 19/10</i>
11-752	Limited Market Dealer Initiatives – Compliance Team (2005), 28 OSCB 4517	<i>Published May 20/05</i>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
11-753	Statement of Priorities for the Financial Year to End Mar. 31, 2006 (2005), 28 OSCB 5317 (Revised) Statement of Priorities for the Financial Year to End Mar. 31, 2007 (2006), 29 OSCB 5338 (Revised) Statement of Priorities for the Financial Year to End Mar. 31/09 (2008), 31 OSCB 6445 (Revised) Statement of Priorities for the Financial Year to End March 31/10 (Revised) Request for Comment – Statement of Priorities for the Financial Year to end March 31/11 (2009) 32 OSCB 10311 (Revised) Statement of Priorities for the Financial Year to end March 31, 2011 (2010) 33 OSCB 2532 (Revised) Statement of Priorities for the Financial Year to end March 31, 2012 (2011) 34 OSCB 6694	<i>Published Jun 17/05</i> <i>Published Jun 30/06</i> <i>Published Jun. 27/08</i> <i>Published June 26/09</i> <i>Published Dec. 11/09</i> <i>Published Mar. 26/10</i> <i>Published June 17/11</i>
11-754	Amendments to National Policy 43-201 Mutual Reliance Review System for Prospectuses and Annual Information Forms; Amendments to National Policy 12-201 Mutual Reliance Review System for Exemptive Relief Applications; Amendments to National Instrument 51-101 Standards of Disclosure for Oil and Gas Activities; and Multilateral Instrument 81-104 Commodity Pools (2005), 28 OSCB 7135	<i>Published Aug.26/05</i>
11-755	Withdrawal of OSC Staff Notices (2005) 28 OSCB 7478	<i>Published Sept. 9/05</i>
11-756	Assignment of Notice Numbers (2005), 28 OSCB 10298	<i>Published Dec.23/05</i>
11-757	Withdrawal of OSC Notices (2006), 29 OSCB 1192	<i>Published Feb.10/06</i>
11-758	Review of Limited Market Dealers (2006), 29 OSCB 4905	<i>Published Jun 16/06</i>
11-759	Business Continuity Planning (2007), 30 OSCB 7	<i>Published Jan.5/07</i>
11-760	Report on Mutual Fund Sales Practices under Part 5 of NI 81-101 Mutual Fund Sales Practices	<i>Published April 27, 2007</i>
11-761	IOSCO Consults on Changes to Code of Conduct for Credit Rating Agencies	<i>Published Mar. 28/08</i>
11-762	Request for Comments Regarding Statement of Priorities for Fiscal Year Ending March 31, 2009 (2008) 31 OSCB 3823 (2009) 32 OSCB 3771	<i>Published April 4, 2008</i> <i>Published May 1/09</i>
11-763	A Focused Review of the Securities Valuation and Expense Allocation Practices of Fund Managers (2008) 31 OSCB 7397	<i>Published Jul. 25/08</i>
11-764	Business Continuity Planning – Industry Testing Exercise (2011) 34 OSCB 1479	<i>Published Feb. 11/11</i>
11-765	2011-2012 Statement of Priorities Regarding Statement of Priorities for Fiscal Year Ending March 31, 2012 (2011), 34 OSCB 2265	<i>Published Feb. 25/11</i>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
11-766	OSC Statement of Priorities for Financial Year to End March 31, 2013 (2012) 35 OSCB 3007	<i>Request for comment published March 30.12</i>
11-767	Notice of Statement of priorities for Financial Year to End March 31, 2013 (2012) 35 OSCB 5927	<i>Published June 28/12</i>
11-768	Statement of Priorities – Request for Comments Regarding Statement of Priorities for Financial Year to End March 31, 2014 and Notice of Statement of Priorities for Financial Year to End March 31, 2014 (Final) (2013) 36 OSCB 3423 (2013) 36 OSCB 6663	<i>Published April 4/2013</i> <i>Published June 27/13</i> <i>Notice of Correction published July 4, 2013</i>
11-769	Statement of Priorities – Request for Comments regarding the Statement of Priorities for Financial Year to End March 31, 2015 (2014) 36 OSCB 3339	<i>Published for comment April 3/14</i>
11-770	Notice of Statement of Priorities for Financial Year to End March 31, 2015 (2014) 37 OSCB 5892	<i>Published June 26, 2014</i>
11-771	Statement of Priorities – Request for Comments Regarding Statement of Priorities for Financial Year to End March 31, 2016 (2015) 38 OSCB 2953	<i>Published for comment April 2/15</i>
11-772	Notice of Statement of Priorities for Financial Year to End March 31, 2016 (2015) 38 OSCB 5434	<i>Published June 18, 2015</i>
11-773	The Investor Perspective (2015) 38 OSCB 9258	<i>Published Nov. 5/15</i>
11-774	Statement of Priorities – Request for Comments Regarding Statement of Priorities for Financial Year to End March 31, 2017 (2016) 39 OSCB 2193	<i>Published for comment March 10/16</i>
11-775	Notice of Statement of Priorities for Financial Year to End March 31, 2017 (2016) 39 OSCB 5155	<i>Published June 9, 2016</i>
11-776	Investor Office – Activity Report 2015-2016 (2016) 39 OSCB 9363	<i>Published Nov. 17/16</i>
11-777	Statement of Priorities – Request for Comments Regarding Statement of Priorities for Financial Year to End March 31, 2017 (2017) 40 OSCB 2579 (2017) 40 OSCB 5449	<i>Published for comment March 23/17</i> <i>Published final on June 29, 2017</i>
11-778	Behavioural Insights – Key Concepts, Applications and Regulatory Considerations (2017) 40 OSCB 2773	<i>Published March 30/17</i>
11-779	Seniors Strategy (2018) 41 OSCB 2268	<i>Published March 22/18</i>
11-780	Statement of Priorities – Request for Comments Regarding Statement of Priorities for Financial Year to End March 31, 2019 (2018) 41 OSCB 2761	<i>Published for comment Mar. 29/18</i>
11-781	Notice of Statement of Priorities for Financial Year to End March 31, 2019 (2018) 41 OSCB 5245	<i>Published July 5/18</i>
11-782	Getting Started: Human-Centred Solutions to Engage Ontario Millennials in Investing (2018) 41 OSCB 5567	<i>Published July 12/18</i>
11-783	Encouraging Retirement Planning through Behavioural Insights	<i>Published July 27/18</i>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
11-784	Burden Reduction	<i>Published for comment January 14/19</i>
11-785	Statement of Priorities for the Fiscal Year Ending March 31, 2020	<i>Published for comment March 28/19</i>
11-786	Statement of Priorities for the Fiscal Year Ending March 31, 2020 (2019) 42 OSCB 5551	<i>Final published June 27/19</i>
11-787	Improving Fee Disclosure Through Behavioural Insights	<i>Published August 22/19</i>
11-901	Concept Proposal to Revise Schedule I (Fees) to be Regulation to the Securities Act (Ontario) (2001), 24 OSCB 1971	<i>Expired Nov.31/01</i>
11-902	Request for Comments Regarding Statement of Priorities for Fiscal Year Ending Mar. 31, 2006 (2005), 28 OSCB 3274	<i>Published June 17/05</i>
11-903	Request for Comment Regarding Statement of Priorities for Fiscal Year Ending Mar. 31, 2007 (2006), 29 OSCB 2603	<i>Published Mar. 30/07</i>
11-904	Request for Comment Regarding the Proposed Passport System (2007) 30 OSCB 2812	<i>Published for comment Mar. 30, 2007</i>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
12-201	Mutual Reliance Review System for Exemptive Relief Applications (2000), 23 OSCB 5508 (2002), 25 OSCB 4375 (2004), 27 OSCB 6987	<i>Adopted Jan.1/00</i> <i>Amendments adopted Jul.15/02</i> <i>Amendments to Schedule A adopted Aug.6/04</i> <i>Proposal to rescind published August 31/07</i> <i>Rescinded Mar. 17/08</i>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
12-202	Revocation of a Compliance-related Cease Trade Order (2007), 30 OSCB 73 (2007), 30 OSCB 6733 (2007), 30 OSCB (Supp – 7) (2008), 31 OSCB (Supp - 2) (2010), 33 OSCB (Supp-3) (2010), 33 OSCB (Supp-5) (2011), 34 OSCB (Supp-5) (2012) 35 OSCB (Supp-4) (2015) 38 OSCB 3703 (2016) 39 OSCB 2001	<p><i>Published for comment Jan.5/07</i></p> <p><i>Came into force July 27, 2007</i></p> <p><i>Amendments approved by commission published Dec.21/07</i></p> <p><i>Amendments in force Mar. 17/08</i></p> <p><i>Commission approval of IFRS amendments published Oct. 1/10</i></p> <p><i>Commission approval of IFRS amendments published Dec. 10/10</i></p> <p><i>Amendments published for comment July 29/11 (tied to NI 51-103)</i></p> <p><i>Amendments published for comment Sept. 13/12 (tied to NI 51-103)</i></p> <p><i>Amendments published for comment April 16/15</i></p> <p><i>Commission approval published March 3/16 (replaces current NP 12-202 which will be withdrawn June 23/16)</i></p>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
12-202	Revocation of a Compliance-related Cease Trade Order (2016) 39 OSCB 5886 (2019) 42 OSCB 4045	<i>Commission approval published June 23/16 Amendment published for comment May 2/19</i>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
12-203	Cease Trade Orders for Continuous Disclosure Defaults (2008), 31 OSCB 3573 (2008), 31 OSCB 8375 (2010), 33 OSCB (Supp-3) (2010), 33 OSCB (Supp-5) (2011), 34 OSCB (Supp-5) (2012) 35 OSCB (Supp-4) (2015) 38 OSCB (3703) (2016) 39 OSCB 2001 (2016) 39 OSCB 5893	<p><i>Published for comment Mar. 28/09</i></p> <p><i>Commission approval published Aug. 29/08</i></p> <p><i>In effect Sept. 1/08</i></p> <p><i>Commission approval of IFRS amendments published Oct. 1/10</i></p> <p><i>Commission approval of IFRS amendments published Dec. 10/10</i></p> <p><i>Amendments published for comment July 29/11 (tied to NI 51-103)</i></p> <p><i>Amendments published for comment Sept. 13/12 (tied to NI 51-103)</i></p> <p><i>Amendments published for comment April 16/15</i></p> <p><i>Commission approval published March 3/16 (replaces current NP 12-202 which will be withdrawn June 23/16)</i></p> <p><i>Commission approval published June 23/16</i></p>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
12-203	Cont'd (2019) 42 OSCB 4045	<i>Amendments published for comment May 2/19</i>
12-302	National Policy 12-201 Mutual Reliance Review System ("MRRS") for Exemptive Relief Applications ("ERA") ERA and Applications for Approval or Exemptions under National Policy No. 39 "Mutual Funds" ("NP 39") (1999), 23 OSCB 7238	<i>Published Nov.19/99 Withdrawn Dec. 5/08</i>
12-303	Exemptive Relief Applications and Year End (1999), 23 OSCB 5877 (2010) 33 OSCB 1518	<i>Published Sept.17/99 Withdrawn Feb. 19/10</i>
12-304	Mutual Reliance Review System for Exemptive Relief Applications - Frequently Occurring Issues (2000), 23 OSCB 5508	<i>Published Aug.11/00 Withdrawn Dec. 5/08</i>
12-305	Exemptive Relief Application and Year End (2000), 23 OSCB 7086	<i>Withdrawn Dec.21/01</i>
12-306	Exemptive Relief Application and Year End (2001), 24 OSCB 5763	<i>Expired Dec.31/01</i>
12-307	Ceasing to be a Reporting Issuer under the Mutual Reliance Review System for Exemptive Relief Applications (2003), 26 OSCB 6348 (2005), 28 OSCB 1189 (2006), 29 OSCB 8582 (2008), 31 OSCB 2770 (2012) , 35 OSCB 6794	<i>Published Sept.12/03 Revised and published Feb.4/05 Revised and published Nov.3/06 Revised and published Mar. 7/08 Revised and published July 26/12 Withdrawn Dec. 1/16</i>
12-309	Impact of MI-11-101 Principal Regulation System on Mutual Reliance Review System for Exemptive Relief Applications (2005), 28 OSCB 7185	<i>Published August 26, 2005 Withdrawn Dec. 5/09</i>
12-310	Expedited Treatment of Application under the Mutual Reliance Review System for Exemptive Relief Applications (2007), 30 OSCB 2535	<i>Published Mar. 23/07 Withdrawn Dec. 5/08</i>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
12-401	National Application System Concept Proposal (1998), 21 OSCB 621 (2010) 33 OSCB 1518	<i>Published for comment Jan.30/98 (extended Jul.3/98)</i> <i>Withdrawn Feb. 19/10</i>
12-602	Deeming an Issuer from Certain Other Canadian Jurisdictions to be a Reporting Issuer in Ontario (2001), 24 OSCB 3913 (2003), 26 OSCB 2646 (2007) 30 OSCB 2641	<i>Came into Force Jun 27/01</i> <i>Amendment Came Into Force Mar. 31/03</i> <i>Amendment and Restatement Came Into Force on Mar. 16 /07</i>
12-702	Applications to be Deemed a Reporting Issuer in Ontario Orders Required by Year End (2001), 24 OSCB 6260	<i>Expired Dec.31/01</i>
12-703	Format of Applications to the Director under Section 83 of the Act (2003), 26 OSCB 3107 (2007) 30 OSCB 2532 (2012), 35 OSCB 6802 (2016) 39 OSCB 5402	<i>Published Apr.25/03</i> <i>Revised version published Mar. 23/07</i> <i>Revised and published 6802</i> <i>Revised and published June 16/16</i>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
12-704	Materials to be Provided on a Compact Disc or 3.25" Disk for Exemptive Relief Applications (2006), 29 OSCB 2904	<i>Published Apr.7/06</i>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
13-101	SEDAR (Electronic Filing) Rule (1996), 19 OSCB 6858 (1999), 22 OSCB 5276 (2003), 26 OSCB 804 (2004), 27 OSCB 5109 (2005), 28 OSCB 4972 (2005), 28 OSCB (Supp) (2006) 29 OSCB 8851 (2009), 32 OSCB (Supp-1) (2010), 33 OSCB (Supp-3) (2010), 33 OSCB (Supp-4) (2010), 33 OSCB 11435 (2010), 33 OSCB (Supp-5) (2011), 34 OSCB (Supp-4)	<p><i>Came into Force Dec.17/96</i></p> <p><i>Amendments Came into Force Aug.27/99</i></p> <p><i>Amendment Came into Force Mar. 30/04 (tied to 45-102)</i></p> <p><i>Amendment Came into Force Sept.30/03 (tied to 51-101)</i></p> <p><i>Amendment Came into Force Jun 1/05 (tied to 81-106)</i></p> <p><i>Amendment Came into Force Nov.1/06 (tied to 81-107)</i></p> <p><i>Amendments published for comment June 19/09</i></p> <p><i>Commission approval of IFRS amendments published Oct. 1/10</i></p> <p><i>Commission approval of amendments published Oct. 8/10</i></p> <p><i>Minister's approval of amendments published Dec. 10/10</i></p> <p><i>Amendments published for comment July 15/11 (tied to NI 41-101)</i></p>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
13-101	SEDAR (Electronic Filing) Rule (continued) (2012) 35 OSCB (Supp-4) (2013) 36 OSCB 1081 (2013) 36 OSCB (Supp-2) (2013) 36 OSCB 4747 (2013) 36 OSCB 5045 (2013) 36 OSCB 7217 (2013) 36 OSCB 8569 (2013) 36 OSCB 9502 (2015) 38 OSCB 10137 (2019) 42 OSCB 4045 (2019) 42 OSCB 7393	<p><i>Amendments tied to NI 51-103 published for comment Sept. 13/12</i></p> <p><i>Amendments tied to 13-102 published for comment Jan. 24/13</i></p> <p><i>Commission approval of Amendments (related to 41-101 published February 2/13)</i></p> <p><i>Ministerial approval of amendments published May 9/13</i></p> <p><i>Notice of Correction published May 16/13</i></p> <p><i>Commission approval of amendments published July 18, 2013</i></p> <p><i>Revised Notice published August 29/13</i></p> <p><i>Minister's approval published October 3/13</i></p> <p><i>Ministerial approval of amendments published Dec. 3/15</i></p> <p><i>Amendments published for comment May 2/19</i></p> <p><i>Request for comment published Sept. 12/19</i></p>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
13-102	System Fees for SEDAR and NRD (2013 36 OSCB 1081) (2013) 36 OSCB 7217 (2013) 36 OSCB 9502 (2014) 37 OSCB (Supp2) (2015) 38 OSCB (Supp-1) (2015) 38 OSCB 3021 (2015) 38 OSCB 4155 (2015) 38 OSCB 10138 (2016) 39 OSCB (Supp-1) (2016) 39 OSCB 4278 (2019) 42 OSCB 4045	<p><i>Published for comment Jan. 24/13</i></p> <p><i>Commission approval published July 18, 2013</i></p> <p><i>Minister's approval published October 3/13</i></p> <p><i>Amendments published for comment Feb. 27/14</i></p> <p><i>Commission approval of amendments published Feb 19/15</i></p> <p><i>Amendments published for comment April 2, 2015</i></p> <p><i>Minister's approval of amendments published April 30/15</i></p> <p><i>Ministerial approval of amendments published Dec. 3/15</i></p> <p><i>Commission approval of amendments published Feb. 25/16</i></p> <p><i>Ministerial approval of amendments published May 5/16</i></p> <p><i>Proposed repeal and replacement published May 2/19</i></p>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
13-102	System Fees for SEDAR and NRD 2019 42 OSCB 7385	<i>Request for comment published Sept. 12/19</i>
13-103	System Replacement Rule (2019) 42 OSCB 4045	<i>Published for comment May 2, 2019</i>
13-301	SEDAR - Use of Incorrect Document Formats (1998), 21 OSCB 3079	<i>Withdrawn Apr.20/01</i>
13-302	Notice of Changes to SEDAR Filer Software (1998), 21 OSCB 6129	<i>Withdrawn Apr.20/01</i>
13-303	SEDAR Operational Changes (1998), 21 OSCB 7579	<i>Withdrawn Apr.20/01</i>
13-304	Changes to SEDAR Filing Service Charges (1999), 22 OSCB 851	<i>Withdrawn Apr.20/01</i>
13-305	SEDAR Changes for Mutual Reliance Review Systems for Prospectuses and AIFs (1999), 22 OSCB 5430	<i>Withdrawn Apr.20/01</i>
13-306	Guidance for SEDAR Users (2001), 24 OSCB 2777 (2010) 33 OSCB 1518	<i>Published May 4/01 Withdrawn Feb. 19/10</i>
13-307	Notice of Amendments to the SEDAR Filer Manual (2001), 24 OSCB 5112 (2010) 33 OSCB 1518	<i>Published Aug.24/01 Withdrawn Feb. 19/10</i>
13-308	Increases to SEDAR Annual Filing Service Charges (2001), 24 OSCB 7112 (2010) 33 OSCB 1518	<i>Published Nov.30/01 Withdrawn Feb. 19/10</i>
13-310	Securities Regulatory Authority Closed Dates 2002/03 (2002), 25 OSCB 2626	<i>Withdrawn Mar 3/06</i>
13-311	Changes to SEDAR Annual Filing Service Charges (2003), 26 OSCB 2797	<i>Withdrawn Mar. 3/06</i>
13-312	Securities Regulatory Authority Closed Dates 2003 (2003), 26 OSCB 2165	<i>Withdrawn Mar. 3/06</i>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
13-313	Securities Regulatory Authority Closed Dates 2004 (2004), 27 OSCB 2056	<i>Withdrawn Mar. 3/06</i>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
13-314	2005 Changes to SEDAR Annual Filing Service Charges (2004), 27 OSCB 8951 (2010) 33 OSCB 1518	<i>Published Nov.5/04</i> <i>Withdrawn Feb. 19/10</i>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
13-315	Securities Regulatory Authority Closed Dates (2005), 28 OSCB 1761 Revised (2006), 29 OSCB 263 Revised (2007) 30 OSCB 816 Revised (2007), 30 OSCB 5431 Revised (2008), 31 OSCB 1491 Revised (2009), 32 OSCB 1773 Revised (2009), 32 OSCB 5003 Revised (2010), 33 OSCB 1522 Revised (2011), 34 OSCB 717 (Revised (2012) 35 OSCB 10 Revised (2013) 36 OSCB 11459 Revised (2014) 37 OSCB 419 Revised (2015) 38 OSCB 10261 2012 35 OSCB 11459 2014 35 OSCB 10673 (2016) 398 OSCB 9841 (2017) 40 OSCB 9803 (2018) 41 OSCB 9689	<p>Published Feb.18/05</p> <p>Published Jan.13/06</p> <p>Published Jan 26/07</p> <p>Published June 15/07</p> <p>Published Feb 8/08</p> <p>Published Feb. 27/09</p> <p>Published June 19/09</p> <p>Published Feb. 19/10</p> <p>Published Jan. 21/11</p> <p>Published Jan. 6/12</p> <p>Published Dec. 20/13</p> <p>Published Jan.9/14</p> <p>Published Dec. 10/15</p> <p>Published December 20/12</p> <p>Published Dec. 4/14</p> <p>Published Dec. 8/16</p> <p>Published Dec. 14/17</p> <p>Published Dec. 13/18</p>
13-316	Amendments to the SEDAR Filer Manual (2006), 29 OSCB 8367 (2010) 33 OSCB 1518	<p>Published Oct.27/06 Withdrawn Feb. 19/10</p>
13-317	Amendments to SEDAR Filer Manual (2010), 33 OSCB 11337	<p>Published Dec. 10/10</p>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
13-318	Changes to www.SEDAR.com (2013) 36 OSCB 3425	<i>Published April 4/2013</i>
13-319	SEDAR Filer Manual Update (2014) 37 OSCB 420	<i>Published Jan. 9/14</i>
13-320	Regarding implementation of Multilateral Instrument 13-102 System Fees for SEDAR and NRD and Related Consequential Amendments to CSA National Systems Rules	<i>Published October 10, 2013</i>
13-321	Update on New Service Provider for the Operation of the CSA National Systems and Implementation of Related Consequential Amendments to CSA National Systems Rules (2013) 36 OSCB 11197	<i>Published Nov. 21/13</i>
13-322	Service Transition Cutover Date for Information management Services and Implementation of Related Consequential Amendments to CSA National Systems Rules (2014) 37 OSCB 424	<i>Published Jan. 9/14</i>
13-401	Request for Changes, Additions or Improvements for a Revised SEDAR System (2000) 23 OSCB 4501	<i>Withdrawn Dec.21/01</i>
13-501	Payment of Fees (1998), 21 OSCB 2925	<i>Came into Force May 5/98</i>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
13-502	Fees (2002), 25 OSCB 4067 (2003), 26 OSCB 3712 (2004), 27 OSCB (Supp) (2005), 28 OSCB 6601 (2006), 29 OSCB (Supp) (2007), 30 OSCB (Supp-7) (2008), 31 OSCB 1296 (2008), 31 OSCB (Supp-2) (2008), 31 OSCB 2308 (2008), 31 OSCB 9553 (2009), 32 OSCB 2207	<p><i>Came into Force Mar. 31/03</i></p> <p><i>Amendments Came into Force Dec.1/03</i></p> <p><i>Amendment published for comment Dec.17/04 (tied to 45-106)</i></p> <p><i>Came into Force Sept.14/05</i></p> <p><i>Revocation and Replacement Came into Force Apr.1/06</i></p> <p><i>Amendment published for comment Dec.22/06 [tied to 41-101 General Prospectus Requirements]</i></p> <p><i>Commission approval of amendments published Dec.21/07</i></p> <p><i>Amendments in force Feb. 1, 2008</i></p> <p><i>Amendments in force Mar. 17/08</i></p> <p><i>Amendments published for comment Feb. 29/08</i></p> <p><i>Revocation and Replacement published for comment Oct. 3/08</i></p> <p><i>Notice of Commission approval published Mar. 13/09</i></p>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
13-502 (cont'd)	Fees (2009), 32 OSCB 4445 (2009), 32 OSCB (Supp-2) (2009), 32 OSCB (Supp-4) (2009) 32 OSCB 7831 (2010) 33 OSCB 721 (2010) 33 OSCB 2837 (2010), 33 OSCB (Supp-3) (2010), 33 OSCB (Supp-5) (2011) 34 OSCB (Supp-5)	<p><i>Ministerial approval published May29/09</i></p> <p><i>Commission approval of amendments published July 17/09</i></p> <p><i>Minister's approval of amendments published Sept. 18/09</i></p> <p><i>In force Sept. 28/09</i></p> <p><i>Amendments published for comment Oct. 2/09</i></p> <p><i>Notice of Commission approval of amendments published Jan. 22/10</i></p> <p><i>Minister's approval of amendments published April 2/10</i></p> <p><i>Notice of Commission approval of IFRS Amendments published Oct. 1/10</i></p> <p><i>Minister's approval of IFRS amendments published Dec. 10/10</i></p> <p><i>Amendments published for comment July 29/11 (tied to NI 51-103)</i></p>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
13-502	Fees (continued) (2012) 35 OSCB 7801 (2012) 35 OSCB (Supp-4) (2012) 35 OSCB 11563 (2013) 36 OSCB 1204 (2014) 37 OSCB 8665 (2015) 38 OSCB 1039 (2015) 38 OSCB 3310 (2015) 38 OSCB 3637 (2015) 38 OSCB 4161 (2015) 38 OSCB 8533	<p>Amendments published for comment Aug. 23/12</p> <p>Amendments published for comment Sept. 13/12 (tied to NI 51-103)</p> <p>Commission approval of amendments published Dec. 20/12</p> <p>Ministerial approval of amendments published Jan, 31/13</p> <p>Amendments published for comment Sept. 18/14</p> <p>Commission approval of amendments published Feb. 5/15</p> <p>Notice of Ministerial approval published April 9/15</p> <p>Final instrument published April 16/15</p> <p>Minister's approval published April 30/15</p> <p>Commission approval published Oct. 1/15</p>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
13-502	Fees (continued) (2015) 38 OSCB (Supp-3) (2015) 38 OSCB 10143 (2015) 38 OSCB 10145 (2016) 39 OSCB 93 (2016) 39 OSCB (Supp-1) (2016) 39 OSCB 4286 (2016) 39 OSCB 5282 (2016) 39 OSCB 10197 (2017) 40 OSCB 1507 (2019) 42 OSCB 4479	<p><i>Commission approval published Oct. 29/15</i></p> <p><i>Ministerial approval of amendments published Dec. 3/15</i></p> <p><i>Ministerial approval of amendments published Dec. 3/15</i></p> <p><i>Ministerial approval of amendments published Jan 7/16</i></p> <p><i>Commission approval of amendments published Feb. 25/16</i></p> <p><i>Ministerial approval of amendments published May 5/16</i></p> <p><i>Ministerial approval of amendments published June 9/16</i></p> <p><i>Commission approval published Dec. 15/16</i></p> <p><i>Ministerial approval published Feb. 16/17</i></p> <p><i>Commission approval of amendments published May 16/19</i></p>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
13-502	Fees (continued) (2019) 42 OSCB 6097 (2019) 42 OSCB 7385	<i>Ministerial approval of amendments published July 18/19</i> <i>Commission approval of amendments published Sept. 12/19</i>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
13-503	Fees (under the Commodity Futures Act) (2003), 26 OSCB 3712 (2005), 28 OSCB 6601 (2006), 29 OSCB 2367 (2008), 31 OSCB 9592 (2009), 32 OSCB 2248 (2009), 32 OSCB 4445 (2009), 32 OSCB (Supp-2) (2009), 32 OSCB (Supp-4) (2009) 32 OSCB 7872 (2010) 33 OSCB 776 (2010) 33 OSCB 2851 (2010), 33 OSCB (Supp)	<p><i>Revocation and Replacement Came into Force Apr. 1/06</i></p> <p><i>Revocation and Replacement published for comment Oct. 3/08</i></p> <p><i>Amendments published for comment Feb. 29/08</i></p> <p><i>Notice of Commission approval published Mar. 13/09</i></p> <p><i>Ministerial approval published May 29/09</i></p> <p><i>Commission approval of amendments published July 17/09</i></p> <p><i>Minister's approval of amendments published Sept. 18/09</i></p> <p><i>In force Sept. 28/09</i></p> <p><i>Amendments published for comment Oct. 2/09</i></p> <p><i>Commission approval of amendments published Jan. 22/10</i></p> <p><i>Minister's approval published April 2/10</i></p>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
13-503 (cont'd)	Fees (under the Commodity Futures Act) (2010), 33 OSCB (Supp-3) (2010), 33 OSCB (Supp-5) (2012) 35 OSCB 7861 (2012) 35 OSCB 11655 (2013) 36 OSCB 1204 (2015) 38 OSCB 1039 2015) 38 OSCB 3310 (2015) 38 OSCB 3686 (2016) 39 OSCB 10197 (2017) 40 OSCB 1507 (2019) 42 OSCB 4479	<p><i>Notice of Commission approval of IFRS Amendments published Oct.1/10</i></p> <p><i>Minister's approval of IFRS amendments published Dec. 10/10</i></p> <p><i>Amendments published for comment Aug. 23/12</i></p> <p><i>Commission approval of amendments published Dec. 20/12</i></p> <p><i>Ministerial approval of amendments published Jan, 31/13</i></p> <p><i>Commission approval of amendments published Feb. 5/15</i></p> <p><i>Notice of Ministerial approval published April 9/15</i></p> <p><i>Final instrument published April 16/15</i></p> <p><i>Commission approval published Dec. 15/16</i></p> <p><i>Ministerial approval published Feb. 16/17</i></p> <p><i>Amendments published for comment May 16/19</i></p>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
13-503 (cont'd)	Fees (under the Commodity Futures Act) (continued) (2019) 42 OSCB 6097 (2019) 42 OSCB 7385	<i>Ministerial approval of amendments published July 18/19</i> <i>Commission approval published Sept 12/19</i>
13-601	Public Availability of Filed Material Under the Securities Act (2003), 26 OSCB 1645	<i>Adopted Dec.10/02</i>
13-701	SEDAR Filings and Year 2000 Contingency Plans (1999), 22 OSCB 8281 (2012) 35 OSCB 5679	<i>Published Dec.24/99</i> <i>Withdrawn June 21/12</i>
13-702	Processing Prospectuses Before Year-End (2001), 24 OSCB 5764	<i>Expired Dec.31/01</i>
13-703	Implementation of Final Rule 13-502 Fees – FAQs (2003), 26 OSCB 2166	<i>Published Mar. 14/03</i> <i>Withdrawn Mar. 17/06</i>
13-704	Applications for Participation Fee Relief for Certain Small Registered Firms and Reporting Issuers (2014) 37 OSCB 1794	<i>Published Feb. 20/14</i>
13-705	Reduced Late Fees for Certain Outside Business Activities Filings (2015) 38 OSCB 563	<i>Published Jan. 22/15</i>
13-706	SEDAR Filer Manual Update (2015) 38 OSCB 10485	<i>Published Dec.17/15</i>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
13-707	Fees Under OSC Rule 13-502 Fees and OSC Rule 13-503 (Commodity Future Act) Fees (2018) 41 OSCB 2071	<i>Published Mar. 15/18</i>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
14-101	Definitions (1997), 20 OSCB 1727 (1999), 22 OSCB 4069 (2001), 24 OSCB 5825 (2006), 29 OSCB (Supp) (2007), 30 OSCB (Supp-7) (2008) 31 OSCB (Supp-2) (2008), 31 OSCB 3563 (2008), 31 OSCB 2299 (2009), 32 OSCB (Supp-4) (2009) 32 OSCB 7581 (2010), 33 OSCB 3673	<p><i>Came into Force Apr.1/97</i></p> <p><i>Amendments Came into Force Jul.1/99</i></p> <p><i>Amendments Came into Force Dec.31/02</i></p> <p><i>Amendment published for comment Dec.22/06 [tied to 41-101 General Prospectus Requirements]</i></p> <p><i>Commission approval of amendment published Dec.21/07</i></p> <p><i>Amendments in force Mar. 17/08</i></p> <p><i>Amendments in force Mar. 17/08</i></p> <p><i>Amendment published for comment Feb. 29/08</i></p> <p><i>Minister's approval published Sept. 18/09</i></p> <p><i>In force Sept. 28/09</i></p> <p><i>Amendments published for comment Sept. 25/09</i></p> <p><i>Ministerial approval of amendments published April 23, 2010</i></p>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
14-101 (cont'd)	Definitions (2010) 33 OSCB (Supp-3) (2010) 33 OSCB (Supp -5) (2019) 42 OSCB 7393	<i>Commission approval of IFRS Amendments published Oct.1/10</i> <i>Minister's approval of amendments published Dec. 10/10</i> <i>Request for comment published Sept. 12/19</i>
14-501	Definitions (1997), 20 OSCB 4054 (1999), 22 OSCB 1173 (2009), 32 OSCB (Supp-2) (2009), 32 OSCB (Supp-4) (2015) 39 OSCB (Supp-1) (2016) 39 OSCB 4287	<i>Came into Force Jul.29/97</i> <i>Amendments Came into Force Feb.13/99</i> <i>Commission approval of amendments published July 17/09</i> <i>Minister's approval of amendments published Sept. 18/09</i> <i>In force Sept. 28/09</i> <i>Commission approval of amendments published Feb. 25/16</i> <i>Ministerial approval of amendments published May 5/16</i>
14-502	(Commodity Futures Act) Designation of Additional Commodities (2004), 27 OSCB 7926	<i>Came into Force May 16/05</i>
15-401	Proposed Framework for an OSC Whistleblower Program (2015) 38 OSCB 1003	<i>Published for comment Feb. 5/15</i>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
15-601	Whistleblower Program (2015) 38 OSCB 9153 (2018) 41 OSCB 663	<i>Published for comment Oct. 29/15</i> <i>Commission approval published July 14, 2016</i> <i>Published for comment Jan. 18/18</i> <i>Commission approval published October 4, 2018</i>
15-702	Credit for Cooperation (2002), 25 OSCB 3949 (2014) 37 OSCB 2583	<i>Published Jun 28/02</i> <i>Revised Mar. 13/14</i>
15-703	Guidelines for Staff Disclosure of Investigations (2004) 27 OSCB 8520	<i>Published Oct. 15/04</i>
15-704	Request for Comments on Proposed Enforcement Initiatives (2011), 34 OSCB 10720	<i>Published for comment Oct, 21/11</i>
15-705	Notice of Extension of Time for Public Comment on Proposed Enforcement Initiatives and Continuation of Public Consultation through a Policy Hearing (published on OSC website on December 20, 2011) (2012) 35 OSCB 615	<i>Published on Dec. 20/11</i> <i>Published in OSCB on Jan. 20/12</i>
15-706	Update to OSC Staff Notice 15-704 on Proposed Enforcement Initiatives (2013) 36 OSCB 5898	<i>Published June 13/13</i>
15-901	Proposed Procedures for Opportunities to be Heard Before Director's Decisions on Registration Matters (2006), 29 OSCB 254	<i>Published for comment Jan.13/06</i> <i>In effect March 3/06</i>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
15-902	Proposed Guidelines for Executive Director's Settlements (2008), 31 OSCB 3311	<i>Published for comment Mar. 22/08</i> <i>In effect Nov. 28/08</i>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
21-101	Marketplace Operation (2001), 24 OSCB 6591 (2003), 26 OSCB 4283 (2006), 29 OSCB 5735 (2007), 30 OSCB (Supp-3) (2008), 31 OSCB 8572 (2008), 31 OSCB 10033 (2009) 32 OSCB 9403 (2010), 33 OSCB 787 (2010), 33 OSCB (Supp-3) (2010), 33 OSCB (Supp-5) (2011), 34 OSCB (Supp-1)	<p><i>Came into Force Dec.1/01</i></p> <p><i>Amendments Came into Force Jan.3/04</i></p> <p><i>Amendments Came into Force Dec.29/06</i></p> <p><i>Amendment published for comment April 20, 2007</i></p> <p><i>Amendments in force Sept. 5/08</i></p> <p><i>Amendment published for comment Oct. 17/08</i></p> <p><i>Notice of Commission approval published Nov. 13/09</i></p> <p><i>Notice of Ministerial Approval of Amendments published Jan. 22./10</i></p> <p><i>Notice of Commission approval of IFRS amendments published Oct. 1/10</i></p> <p><i>Minister's approval of IFRS amendments published Dec. 10/10</i></p> <p><i>Amendment published for comment Mar. 18/11</i></p>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
21-101 (con'td)	(2012) 35 OSCB (Supp-1) (2012) 35 OSCB 5369 (2012) 35 OSCB 6887 (2013) 36 OSCB 2619 (2014) 37 OSCB 4197 (2014) 37 OSCB 11427 (2015) 38 OSCB (Supp-2) (2015) 38 OSCB 8535 (2017) 40 OSCB 5815 (2018) 41 OSCB 2570 (2019) 42 OSCB 3645	<p><i>Commission approval published Mar. 23/12</i></p> <p><i>Minister's approval of amendments published June 14/12</i></p> <p><i>Amendments tied to NI 25-101 published for comment July 26/12</i></p> <p><i>Commission approval of amendments published March 14/13 (tied to 25-101)</i></p> <p><i>Amendments published for comment April 24/14</i></p> <p><i>Minister's approval of amendments Dec. 30/14</i></p> <p><i>Commission approval of amendments published June 25/15</i></p> <p><i>Ministerial approval of amendments published Oct. 1/15</i></p> <p><i>Amendments published for comment July 6/17</i></p> <p><i>Commission approval published Mar. 29/18</i></p> <p><i>Amendments published for comment April 18, 2019</i></p>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
21-301	Canadian Venture Exchange (1999), 22 OSCB 7463 (2010) 33 OSCB 1518	<i>Published</i> <i>Nov.26/99</i> <i>Withdrawn Feb.</i> <i>19/10</i>
21-302	Confidentiality of Forms Filed Under NI 21-101 Marketplace Operation (2003), 26 OSCB 523 (2010) 33 OSCB 1518	<i>Published</i> <i>Jan.24/03</i> <i>Withdrawn Feb.</i> <i>19/10</i>
21-304	Request for Filing of Form 21-101F5 Initial Operation Report for Information Processor by Interested Information Processors (2006), 29 OSCB 5757	<i>Published</i> <i>Jul.14/06</i> <i>Withdrawn March</i> <i>7/19</i>
21-305	Extension of Approval of Information Processor for Corporate Fixed Income Securities (2006), 29 OSCB 8364 (2010) 33 OSCB 1518	<i>Published</i> <i>Oct.27/06</i> <i>Withdrawn Feb.</i> <i>19/10</i>
21-306	Notice of Filing of Form 21-101F5 Initial Operation Report for Information Processor (2007) 30 OSCB (Supp-3) 111	<i>Published Apr.</i> <i>20/07</i> <i>Withdrawn March</i> <i>7/19</i>
21-307	Extension of Approval for Information Processor for Corporate Fixed Income Securities (2007), 30 OSCB 9222	<i>Published</i> <i>Nov.9/07</i> <i>Withdrawn</i> <i>Sept.12/13</i>
21-308	Update on Applications to Become and Information Processor (2008) 31 OSCB 11533	<i>Published Dec.</i> <i>5/08</i> <i>Withdrawn Sept.</i> <i>12/13</i>
21-309	Information Processor for Exchange-Traded Securities other than Options (2009) 32 OSCB 4585	<i>Published June</i> <i>5/09</i> <i>Withdrawn Dec.</i> <i>1/16</i>
21-310	Information Processor for Corporate Debt Securities (2009) 32 OSCB 5159	<i>Published June</i> <i>26/09</i> <i>Withdrawn Dec.</i> <i>1/16</i>
21-312	Update on Consultation Paper 21-401 Real Time Market Data Fees (2013) 36 OSCB 10599	<i>Published</i> <i>November 7, 2013</i>
21-313	Information Processor for Exchange-Traded Securities other than Options (2014) 37 OSCB 6233	<i>Published on</i> <i>website June</i> <i>27/14 and in OSCB</i> <i>on July 3/14</i>
21-314	Information Processor for Corporate Debt Securities (2014) 37 OSCB 6240	<i>Published on</i> <i>website June</i> <i>27/14 and in OSCB</i> <i>on July 3/14</i> <i>Withdrawn Dec.</i> <i>1/16</i>
21-315	Next steps in Regulation and Transparency of the Fixed Income Market (2015) 38 OSCB 8067	<i>Published for</i> <i>comment on Sept.</i> <i>17/15</i>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
21-316	Information Processor for Corporate Debt Securities (2016) 39 OSCB 1	<i>Published Jan. 7/16</i>
21-317	Next Steps in Implementation of a Plan to Enhance Regulation of the Fixed Income Market (2016) 39 OSCB 3817	<i>Published April 21/16</i>
21-318	Information Processor for Corporate Debt Securities (2016) 39 OSCB 5571	<i>Published June 23/16</i>
21-319	Data Fees Methodology (2016) 39 OSCB 9843	<i>Published Dec. 8/16</i>
21-320	Update National Instrument 21-101 Marketplace Operation and Related Companion Policy – Dealing with Government Debt Transparency (2017) 40 OSCB 9807	<i>Published Dec. 14/17</i>
21-321	Markets in Financial Instruments Directive (MiFID II) – Share Trading Obligation and its Application to Canadian Securities	<i>Published December 21, 2017</i>
21-322	Applicability of Regulation to the Operation of MTFs or OTFs in Canada (2018) 41 OSCB 357	<i>Published Jan. 11/18</i>
21-323	Proposal for Mandatory Post-Trade Transparency of Trades in Government Debt Securities, Expanded Transparency of Trades in Corporate Debt Securities and Proposed Amendments to NI 21-101 Marketplace Operation (2018) 41 OSCB 4133	<i>Published for comment May 24/18</i>
21-324	Information Processor for Exchange-traded Securities other than Options (2018) 41 OSCB 5253	<i>Published June 28/18</i>
21-325	Follow-up on Market Place System Incidents	<i>Published March 21/19</i>
21-326	Guidance for Reporting Material System Incidents	<i>Published March 21/19</i>
21-401	Real Time Market Data Fees (2012) 35 OSCB 10099	<i>Published for comment Nov. 8/12</i>
21-402	Joint Canadian Securities Administrators/Investment Industry Regulatory Organization of Canada Consultation Paper 21-402 Proposed Framework for Crypto Asset Trading Platforms	<i>Published for comment March 14/19</i>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
21-501	Deferral of Information Transparency Requirements for Government Debt Securities in National Instrument 21-101 Marketplace Operation (2011) 34 OSCB 10953 (2011) 34 OSCB 12439 (2012), 35 OSCB 2764 (2012) 35 OSCB 5317	Commission approval published Oct. 28/11 Ministerial approval published Dec. 16/11 Commission approval of repeal published Mar. 23/12 Minister's approval of repeal published June 14/12
21-702	Regulatory Approach for Foreign-Based Stock Exchanges (2003), 26 OSCB 7096	Published Oct.31/03
21-703	Transparency of the Operations of Stock Exchanges and Alternative Trading Systems (2009) 32 OSCB 8007 (2010) 33 OSCB 6644	Published Oct. 9/09
21-704	Market Regulation Branch Annual Report – 2010 (2010), 33 OSCB 9957	Published Oct. 29/10
21-705	Process for Marketplace Filings and Proposed Rules of Exchanges (2011), 34 OSCB 3175	Published Mar. 18/11
21-706	Marketplaces' Initial Operations and Material System Changes (2012) 35 OSCB 8919 (2015) 38 OSCB 8452	Published Oct. 4/12 Revised and published Oct. 1/15
21-707	Swap Execution Facilities – Exemption From Requirement to be Recognized as an Exchange (2013) 36 OSCB 9716	Published October 10/13
21-708	OSC Staff Report on the Canadian Fixed Income Market and Next Steps to Enhance Regulation and Transparency of Fixed Income Markets (2015) 38 OSCB 3901	Published April 23, 2015

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
21-709	Marketplace Operation and Forms (2015) 38 OSCB 7675	<i>Published Sept. 10, 2015</i>
21-710	TSX Insider Trading Report (2017) 40 OSCB 9470	<i>Published Nov. 30, 2017</i>
21-711	Multilateral Trading Facilities – Exemption from Requirement to be Recognized as an Exchange (2018) 41 OSCB 1	<i>Published January 4/18</i>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
21-901	Recognition Order - In the Matter of the Recognition of Certain Stock Exchanges (1997), 20 OSCB 1034 (2000), 23 OSCB 6984 (2001), 24 OSCB 6427	<i>Came into Force Mar. 1/97</i> <i>Amendment Came into Force Aug.29/00</i> <i>Amendment Came into Force Nov.7/00</i> <i>Amendment Came into Force Oct.18/01</i>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
23-101	Trading Rules (2001), 24 OSCB 6591 (2003), 26 OSCB 4283 (2006), 29 OSCB 5735 (2007), 30 OSCB (Supp-3) (2008), 31 OSCB 6303 (2008), 31 OSCB 8572 (2008) 31 OSCB 10033 (2009) 32 OSCB 9403 (2009) 32 OSCB 10503 (2010), 33 OSCB 787 (2011), 33 OSCB (Supp-1) (2012) 35 OSCB (Supp-1)	<p><i>Came into Force Dec.1/01</i></p> <p><i>Amendments Came into Force Jan.3/04</i></p> <p><i>Amendments Came into Force Dec.29/06</i></p> <p><i>Amendments published for comment April 20, 2007</i></p> <p><i>Amendments in force Sept. 5/08</i></p> <p><i>Amendments published for comment Oct. 17/08</i></p> <p><i>Notice of Commission approval published Nov. 13/09</i></p> <p><i>Technical corrections to amendments published Dec. 18/09</i></p> <p><i>Notice of Ministerial approval of amendments published Jan. 22/10</i></p> <p><i>Amendments published for comment Mar. 18/11</i></p> <p><i>Commission approval of amendments published Mar. 23/12</i></p>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
23-101	Trading Rules (continued) (2012) 35 OSCB 5425 (2014) 37 OSCB 4197 (2014) 37 OSCB 4873 (2015) 38 OSCB 5551 2015) 38 OSCB (Supp-2) (2015) 38 OSCB 8535 (2016) 39 OSCB 3237 (2016) 39 OSCB 3341 (2017) 40 OSCB 963 (2017) 40 OSCB 2773	<p><i>Minister's approval of amendments published June 14/12</i></p> <p><i>Amendments published for comment April 24/14</i></p> <p><i>Amendments published for comment May 15/14</i></p> <p><i>Request for comment published June 18/15</i></p> <p><i>Commission approval of amendments published for comment June 25/15</i></p> <p><i>Ministerial approval of amendments published Oct. 1/15</i></p> <p><i>Commission approval of amendments published April 7/16</i></p> <p><i>Amendments published for comment April 7, 2016</i></p> <p><i>Ministerial approval of amendments published June 23/16</i></p> <p><i>Commission approval published Jan. 26/17</i></p>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
23-101	Trading Rules (continued) (2017) 40 OSCB 2773	<i>Ministerial approval published March 30/17</i>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
23-102	Use of Client Brokerage Commissions as Payment for Order Execution Services or Research ("Soft Dollar" Arrangements) (2006), 29 OSCB 5923 (2008), 31 OSCB 489 (2009), 32 OSCB 8079 (2009) 32 OSCB 10861 (2014) 37 OSCB (Supp-5) (2015) 38 OSCB 341	<i>Published for comment Jul.21/06</i> <i>Published for comment Jan. 11/08</i> <i>Notice of Commission approval published Oct. 9/09</i> <i>Notice of Ministerial approval published Dec. 25/09</i> <i>Notice of Commission approval published Oct. 16/14</i> <i>Minister's approval published Jan. 15/15</i>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
23-103	Electronic Trading and Direct Electronic Access to Marketplaces (2011) 34 OSCB 4133 (2012) 35 OSCB 6037 (2012) 35 OSCB 9627 (2013) 36 OSCB 6771 (2013) 36 OSCB 8833 (2015) 38 OSCB (Supp-1) (2015) 38 OSCB 4193	<i>Published for comment April 8, 2011</i> <i>Final Commission approval published June 28/12</i> <i>Amendments published for comment Oct. 25/12</i> <i>Commission approval published July 4/13</i> <i>Minister's approval published Sept. 5/13</i> <i>Commission approval of amendment published Feb. 19/15</i> <i>Minister's approval of amendment published April 30/15</i>
23-301	Electronic Audit Trails – Joint Notice of the Staff of the Canadian Securities Administrators, Market Regulation Services Inc., Bourse de Montréal Inc., and the Investment Dealers Association (2003), 26 OSCB 2461	<i>Published Mar. 28/03</i> <i>Withdrawn March 7/19</i>
23-302	Joint Regulatory Notice – Electronic Audit Trail Initiative (TREATS) (2005), 28 OSCB 3561	<i>Published Apr. 15/05</i> <i>Withdrawn March 7/19</i>
23-303	Update on Concept Paper 23-402 Best Execution and Soft Dollar Arrangements (2005), 28 OSCB 10062	<i>Published Dec. 16/05</i>
23-304	Joint CSA/SRO Notice – Status of the Transaction Reporting and Electronic Audit Trail System (TREATS) (2006), 29 OSCB 2265	<i>Published Mar. 17/06</i> <i>Withdrawn March 7/19</i>
23-305	Status of the Transaction Reporting and Electronic Audit Trail System (TREATS) (2006), 29 OSCB 8222 (2010)33 OSCB 1518	<i>Published Oct. 20/06</i> <i>Withdrawn Feb. 19/10</i>
23-306	Status of the Transaction Reporting and Electronic Audit Trail System (TREATS) (2009), 32 OSCB 282	<i>Published Jan. 9/09</i> <i>Withdrawn March 7/19</i>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
23-307	Order Protection Rule – Implementation Milestones (2010), 33 OSCB 1513 (2012) 35 OSCB 5679	<i>Published Feb. 19/10</i> <i>Withdrawn June 21/12</i>
23-308	CSA/IIROC Joint Staff Notice 23-308 – Update on Forum to Discuss CSA/IIROC Joint Consultation Paper 23-304 “Dark Pools, Dark Orders and Other Developments in Market Structure in Canada (2010, 33 OSCB 4747)	<i>Published May 28/10</i>
23-309	Frequently Asked Questions about the Order Protection Rule and Intentionally Locked or Crossed Markets - Part 6 of National Instrument 23-101 and Related Companion Policy (2011) 34 OSCB 5761	<i>Published June 25/10</i>
23-311	Regulatory Approach to Dark Liquidity in the Canadian Market (2011) 34 OSCB 8219	<i>Published July 29/11</i>
23-312	CSA/IIROC Joint Notice – Transparency of Short Selling and Failed Trades (2012) 35 OSCB 2099	<i>Published for comment March 2/12</i>
23-313	Blanket Orders Exempting Marketplace Participants from Certain Provisions of National Instrument 23-103 Electronic Trading and Related OSC Staff Position (2012) 35 OSCB 11134	<i>Published Dec. 13/12</i>
23-314	Frequently Asked Questions about NI 23-103 Electronic Trading (2012) 35 OSCB 11460	<i>Published Dec. 20/12</i>
23-315	Summary of Comments on CSA/IIROC Joint Notice 23-312 – Request for Comments – Transparency of Short Selling and Failed Trades (2013) 36 OSCB 1978	<i>Published Feb. 28/13</i>
23-316	Order Protection Rule: Implementation of the Market Share Threshold and Amendments to Companion Policy 23-101 Trading Rules	<i>Published June 20, 2016</i>
23-317	Order Protection Rule Market Share Threshold for the period April 1, 2017 to March 31, 2018	<i>Published January 30, 2017</i>
23-318	Withdrawal of Proposed Amendments Regarding Best Execution Disclosure under National Instrument 23-101 Trading Rules (2017) 40 OSCB 5705	<i>Published July 6/17</i>
23-319	Internalization in the Canadian Market (2017) 40 OSCB 9649	<i>Published Dec. 7/17</i>
23-320	Consideration of the Markets in Financial Instruments Directive (MiFID II) Unbundling Requirements on the Regulatory Requirements in Canada (2017) 40 OSCB 9805	<i>Published Dec. 14/17</i>
23-321	Order Protection Rule Market Share Threshold for the period April 1, 2018 to March 31, 2019	<i>Published Jan. 25/18</i>
23-322	Trading Fee Rebate Pilot Study (2018) 41 OSCB 2269	<i>Published Mar. 16/18</i>
23-323	Trading Fee Rebate Pilot Study	<i>Published for comment Dec. 18/18</i>
23-324	Order Protection Rule: Market Share Threshold for the period April 1, 2019 to March 31, 2020 (2019), 42 OSCB 935	<i>Published Jan. 31/19</i>
23-401	Proposed Universal Market Integrity Rules of TSE RS and CDNX – Request for Comment (2001), 24 OSCB 2555	<i>Published Apr.20/01</i>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
23-402	Best Execution and Soft Dollar Arrangements (2005), 28 OSCB 1192	<i>Published for comment Feb.4/05</i>
23-403	Trade-Throughs (2005) 28 OSCB 6333	<i>Published for comment July 22/05</i>
23-404	CSA IIROC Consultation Paper – Dark Pools, Dark Orders and other Developments in Market Structure in Canada (Published on the web on September 30, 2009)	<i>Published for comment on Sept. 30/09</i>
23-405	Joint CSA/IIROC – Position Paper – Dark Liquidity in the Canadian Market (2010) 33 OSCB 10764	<i>Published for comment on Nov. 19/10</i>
23-406	Joint CSA/IIROC Consultation Paper 23-406 Internalization within the Canadian Equity Market	<i>Published for comment March 21/19</i>
23-501	Designation as Market Participant (2001), 24 OSCB 6591	<i>Came into Force Dec.1/01</i>
23-502	Reported Market (2000), 23 OSCB (SUPP) 411	<i>Published for comment Jul.28/00</i>
23-701	Electronic Trading Risk Analysis (2012) 35 OSCB 10231	<i>Published on Nov. 15/12</i>
23-702	Electronic Trading Risk Analysis Update (2013) 36 OSCB 11767	<i>Published Dec. 12/13</i>
23-703	Order Protection Rule – Industry Roundtable (2014) 37 OSCB 6251	<i>Published July 3/14</i>
23-704	Compliance with national Instrument 23-103 Electronic Trading and Direct Access to Marketplaces (2016) 39 OSCB 5170	<i>Published June 9/16</i>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
24-101	Post-Trade Matching and Settlement (2004), 27 OSCB 3909 (2006), 29 OSCB 1829 (2009), 32 OSCB (Supp-2) (2009), 32 OSCB (Supp-5) (2009) 32 OSCB 9059 (2010) 33 OSCB 3379 (2010) 33 OSCB 5472 (2013) 36 OSCB (Supp-3) (2014) 37 OSCB 8599 (2014) 37 OSCB (Supp-5)	<p><i>Republished for comment Mar. 3/06</i></p> <p><i>Came into force April 1, 2007. (Sections 3.2 and 3.4 , Part 4 and Part 6 came into force on October 1, 2007)</i></p> <p><i>Commission approval of amendments published July 17/09</i></p> <p><i>Minister's approval of amendments published Sept. 18/09</i></p> <p><i>In force Sept. 28/09</i></p> <p><i>Amendments published for comment Oct. 30/09</i></p> <p><i>Commission approval of amendments published Apr. 16/10</i></p> <p><i>Ministerial approval of amendments published June 18/10</i></p> <p><i>Amendments published for comment March 27/13 (tied to 81-102)</i></p> <p><i>Commission approval of amendments published Sept.18/14</i></p>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
24-101	Post-Trade Matching and Settlement (continued) (2014) 37 OSCB (Supp-5) (2015) 38 OSCB 342 (2016) 39 OSCB 7225 (2017) 40 OSCB 3941 (2017) 40 OSCB 5999	<p><i>Commission approval published Oct. 16/14</i></p> <p><i>Minister's approval of amendments published Jan 15/2015</i></p> <p><i>Publication for comment August 18, 2016</i></p> <p><i>Commission approval publish April 27, 2017</i></p> <p><i>Ministerial approval published July 13/17</i></p>
24-102	Clearing Agency Requirements (2014) 37 OSCB 10483 (2015) 38 OSCB (Supp-5) (2015) 38 OSCB 10147 (2016) 39 OSCB 1463 (2016) 39 OSCB 5207 (2018) 41 OSCB 8191	<p><i>Request for comment published Nov. 27/14</i></p> <p><i>Commission approval published Dec. 3/15</i></p> <p><i>Request for comment on 24-102CP published Dec. 3/15</i></p> <p><i>Ministerial approval published February 18/16</i></p> <p><i>Commission approval published June 9/16</i></p> <p><i>Published for comment Oct. 18/18</i></p>
24-301	Responses to Comments Received on Discussion Paper 24-401 on Straight-through Processing, Proposed National Instrument 24-101 Post-trade Matching and Settlement, and Proposed Companion Policy 24-101CP to National Instrument 24-101 Post-trade Matching and Settlement (2005), 28 OSCB 1509	<p><i>Published Feb. 11/05</i></p>
24-302	Entitlement Payment to <i>The Canadian Depository for Securities Limited (CDS)</i> (2006), 29 OSCB 1802	<p><i>Published Mar. 3/06</i></p>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
24-303	CSA SRO Oversight Project – Review of Oversight of Self-Regulatory Organizations and Market Infrastructure Entities – Report of the CSA SRO Oversight Project Committee – December 2006 (2006), 29 OSCB 9462	Published Dec.8/06
24-304	CSA Industry Working Group on NI 24-101 – Institutional Trade Matching and Settlement (2007) 30 OSCB 6014	Published July 6, 2007
24-305	Frequently Asked Questions about NI 24-101 – Institutional Trade Matching and Settlement (2007) 30 OSCB 10202 (2011) 34 OSCB 5171	Published Dec. 14/2007 Revised and republished May 6/2011
24-306	NI 24-101 Institutional Trade Matching and Settlement – Exception Reporting (2008), 31 OSCB 1231	Published Feb. 1/08
24-307	Exemption from Transitional Rule: Extension of Transitional Phase-in period in NI 24-01 (2008) 31 OSCB 3721	Published Apr. 4/ 2008 Withdrawn Sept. 12/13
24-310	Status Update on Proposed Local Rules 24-503 Clearing Agency Requirements and Related Companion Policies (2014) 37 OSCB 6677	Published July 17/14
24-311	Qualifying Central Counterparties (2014) 37 OSCB 7027	Published July 31/14
24-312	Preparing for the implementation of T+2 Settlement (2015) 38 OSCB 2955	Published April 2, 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. (2015) 38 OSCB 4456	Published May 14/15
24-314	Preparing for the Implementation of T+2 Settlement: Letter to Registered Firms (2016) 39 OSCB 4873	Published May 26/16
24-315	Update on Enhanced Segregation and Portability (2017) 40 OSCB 1235	Published Feb. 19/17
24-401	Discussion Paper on Straight-Through Processing and Proposed National Instrument 24-101 Post-Trade Matching and Settlement (2004), 27 OSCB 3909	Published for comment Apr.16/04
24-402	Policy Considerations for Enhancing Settlement Discipline in a T+2 Settlement Cycle Environment (2016) 39 OSCB 7225	Published for comment August 18, 2016
24-501	Designation as a Market Participant (2007), 30 OSCB 395 (2007), 30 OSCB 7907	Published for comment Jan.12/07 Came into force October 1, 2007
24-502	Exemption from Transitional Rule: Extension of Transitional Phase-in Period of NI 24-101 (2008) 31 OSCB 3819 (2008) 31 OSCB 5751	Commission approval of rule published on April 4, 2008 In Force June 30, 2008
24-503	Clearing Agency Requirements (2013) 36 OSCB 12209	Published for comment Dec. 19/13

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
24-702	Regulatory Approach to Recognition and Exemption from Recognition of Clearing Agencies (2010) 33 OSCB 2323	<i>Published Mar. 19/10</i>
25-101	Designated Rating Organizations (2010) 33 OSCB 6353 (2011), 34 OSCB 3249 (2012), 35 OSCB 913 (2012) 35 OSCB 2284 (2012), 35 OSCB 3294 (2015) 38 OSCB 4147 (2017) 40 OSCB 5815	<i>Published for comment July 16/10</i> <i>Published for second comment Mar. 18/2011</i> <i>Commission approval published Jan. 27/12</i> <i>Revised Notice of Delivery published Mar. 9/12</i> <i>Minister's approval published April 6, 2012</i> <i>Minister's approval of amendments published April 30/15</i> <i>Amendments published for comment July 6/17</i>
25-102	Designated Benchmarks and Benchmark Administrators (2019), 42 OSCB 2179	<i>Published for comment March 14/19</i>
25-201	Guidance for Proxy Advisory Firms (2014) 37 OSCB 4339 (2015) 38 OSCB 4121	<i>Published for comment April 24/14</i> <i>Commission approval published April 30, 2015</i>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
25-401	Potential Regulation of Proxy Advisory Firms (2012) 35 OSCB 5681	<i>Published for comment June 21/12</i>
25-501	Designated Benchmarks and Benchmark Administrators	<i>Published for comment March/19</i>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
31-101	Requirements under the National Registration System (2004), 27 OSCB 343 (2005), 28 OSCB 9532 (2008), 31 OSCB 7171	<i>Came into Force Apr.4/05</i> <i>Amendment Came into Force Aug.1/06</i> <i>Proposal to revoke published Jul. 18/08</i> <i>Commission approval of repeal published July 17/09</i> <i>Minister's approval of repeal published Sept. 18/09</i> <i>Repealed Sept. 28/09</i>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
31-102	National Registration Database (under the Securities Act) (2002), 25 OSCB 3405 (2006), 29 OSCB 3961 (2007), 30 OSCB 5494 (2008), 31 OSCB 2508 (2009), 32 OSCB (Supp-4) (2009), 32 OSCB 8637 (2013) 36 OSCB 1081 (2013) 36 OSCB 7217 (2013) 36 OSCB 8569 (2013),36 OSCB 9502	<p><i>Part 1, section 7.1 and section 7.2 came into force Feb.3/03</i></p> <p><i>Remainder of instrument came into force Mar. 31/03</i></p> <p><i>Amendment published for comment May 12/06</i></p> <p><i>Amendment came into force May 15, 2007</i></p> <p><i>Amendment published for comment Feb. 29/08</i></p> <p><i>Minister's approval of amendment published Sept. 18/09</i></p> <p><i>In force Sept. 28/09</i></p> <p><i>Notice of correction published Oct. 23/09</i></p> <p><i>Amendments tied to 13-102 published for comment Jan. 24/13</i></p> <p><i>Commission approval of amendments published July 18/13102</i></p> <p><i>Revised Notice published August 29/13</i></p>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
31-102	National Registration Database (under the Securities Act) (cont'd) (2013),36 OSCB 9502	<i>Minister's approval published October 3, 2013</i>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
31-103	Registration Requirements and Exemptions (2007), 30 OSCB (Supp) (2008), 31 OSCB 2279 (2009) 32 OSCB (Supp-2) (2009), 32 OSCB (Supp-4) (2009), 32 OSCB 8721 (2010), 33 OSCB (Supp-2) (2010), 33 OSCB (Supp-3) (2010), 33 OSCB 9639 (2010), 33 OSCB (Supp-5) (2011) 34 OSCB (Supp-3) (2011) 34 OSCB 5517	<p><i>Published for comment Feb.23/07</i></p> <p><i>Published for comment Feb. 29/07</i></p> <p><i>Commission approval published July 17/09</i></p> <p><i>Minister's approval published Sept. 18/09</i></p> <p><i>In Force Sept. 28/09</i></p> <p><i>Amendments published for comment Oct. 23/09</i></p> <p><i>Amendments published for comment June 25/10</i></p> <p><i>Commission approval of IFRS amendments published Oct. 1/10</i></p> <p><i>Amendments published for comment Oct. 15/10</i></p> <p><i>Commission approval of IFRS amendments published Dec. 10/10</i></p> <p><i>Commission approval of amendments published April 15/2011</i></p> <p><i>Amendments published for comment May 13/11</i></p>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
31-103	Registration Requirements and Exemptions (cont'd) (2011) 34 OSCB 7087 (2011) 34 OSCB 7547 (2011) 34 OSCB 11819 (2012) 35 OSCB 1440 (2012) 35 OSCB 5429 (2012) 35 OSCB 6887 (2012) 35 OSCB 10349 (2013) 36 OSCB 2619 (2013) 36 OSCB (Supp-3) (2013) 36 OSCB (Supp-3) (2013) 36 OSCB 3173	<p><i>Amendments published for comment June 24/2011</i></p> <p><i>Ministerial approval of amendments published July 8/11</i></p> <p><i>Commission approval of amendments published Nov. 25/11</i></p> <p><i>Minister's approval of amendments published Feb. 10/12</i></p> <p><i>Amendments published for second comment June 14/12</i></p> <p><i>Amendments tied to NI 25-101 published for comment July 26/12</i></p> <p><i>Amendments published for initial comment Nov. 15/12</i></p> <p><i>Commission approval of amendments published March 14/13 (tied to 25-101)</i></p> <p><i>Amendments published for comment March 27/13 (tied to 81-102)</i></p> <p><i>Minister's approval of amendments published March 28/13</i></p>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
31-103	Registration Requirements and Exemptions (cont'd) (2013) 36 OSCB 5271 (2013) 36 OSCB 6917 (2013) 36 OSCB (Supp-7) (2013) 36 OSCB 12173 (2014) 37 OSCB (Supp2) (2014) 37 OSCB 2295 (2014) 37 OSCB (Supp-4) (2014) 37 OSCB 8599 (2014) 37 OSCB (Supp-5) (2015) 38 OSCB 299 (2015) 38 OSCB (Supp-2)	<p><i>Ministerial approval published May 23/13</i></p> <p><i>Minister's approval published June 6/13</i></p> <p><i>Amendments published for comment Dec. 5/13</i></p> <p><i>Commission approval published Dec. 19/31</i></p> <p><i>Amendments published for comment Feb. 27/14</i></p> <p><i>Ministerial approval published Mar. 6/14</i></p> <p><i>Commission approval of amendments published June 19/14</i></p> <p><i>Minister's approval of amendments published Sept. 18/14</i></p> <p><i>Commission approval of amendments published Oct. 16/14</i></p> <p><i>Ministerial approval of amendments published Jan 15/15</i></p>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
31-103	Registration Requirements and Exemptions (Cont'd) (2015) 38 OSCB 4155 (2015) 38 OSCB 41-93 (2016) 39 OSCB (Supp-2) (2017) 40 OSCB 5561 (2017) 40 OSCB 5815 (2017) 40 OSCB Supplement 1 (2017) 40 OSCB 9469 (2018) 41 OSCB 2543 (2018) 41 OSCB 2570 (2018) 41 OSCB 4482 (2018) 41 OSCB 4483 (2018) 41 OSCB (Supp-1)	<p><i>Commission approval of amendments published Feb. 19/15</i></p> <p><i>Minister's approval of amendments published April 30/15</i></p> <p><i>Minister's approval of amendments published April 30/15</i></p> <p><i>Published for comment July7, 2016</i></p> <p><i>Published for comment June 29, 2017</i></p> <p><i>Published for comment July 6, 2017</i></p> <p><i>Ministerial approval published Nov. 30, 2017</i></p> <p><i>Commission approval published Mar. 29/18</i></p> <p><i>Commission approval published Mar. 29/18</i></p> <p><i>Ministerial approval published June 7/18</i></p> <p><i>Ministerial approval published June 7/18</i></p> <p><i>Published for comment June 21/18</i></p>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
31-103	Registration Requirements and Exemptions (Cont'd) (2018) 41 OSCB 8463 (2019), 42 OSCB 2173 (2019) 42 OSCB 5077	<i>Published for comment Oct. 25/18</i> <i>Commission Approval/Delivery to Minister published March 14/19</i> <i>Amendments published for comment March 21/19</i> <i>Ministerial approval published June 6/19</i>
31-201	National Registration System (2004), 27 OSCB 343 (2005), 28 OSCB 4749 (2008), 31 OSCB 7171	<i>Adopted Apr.4/05</i> <i>Amendment Adopted Aug.1/06 (tied to 11-101 passport)</i> <i>Proposal to rescind published Jul. 18/08</i> <i>Withdrawn Feb. 19/10</i>
31-301	The Year 2000 Challenge (1997), 20 OSCB 6059	<i>Withdrawn Apr.20/01</i>
31-302	Securities Industry Contingency Planning (1999), 22 OSCB 1159	<i>Withdrawn Apr.20/01</i>
31-303	System Changes for Market Participants After Completion of Year 2000 Testing (1999), 22 OSCB 2800	<i>Withdrawn Apr.20/01</i>
31-304	Year 2000: Backup of Records (1999), 22 OSCB 5429	<i>Withdrawn Apr.20/01</i>
31-305	Registration Streamlining System (2002), 25 OSCB 6198	<i>Withdrawn Mar. 3/06</i>
31-306	National Registration Database (NRD) - NRD to Launch Mar. 31, 2003 (2002), 25 OSCB 6619	<i>Withdrawn Mar. 3/06</i>
31-307	National Registration Database (NRD) Enrolment and User Fees (2003), 26 OSCB 1109	<i>Withdrawn Mar. 3/06</i>
31-308	Frequently Asked Questions regarding NI 31-101 National Registration System and National Policy 31-201 National Registration System (2010) 33 OSCB 1518	<i>Published April 22/05</i> <i>Withdrawn Feb. 19/10</i>
31-309	Proposed NI 31-103 Registration Requirements and Proposed Companion Policy 31-103CP Registration Requirements (2008) 31 OSCB 10988 (2009), 32 OSCB 7330	<i>Published Nov. 14/08</i> <i>Withdrawn Sept. 28/09</i>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
31-310	Proposed NI 31-103 Registration Requirements and Proposed Companion Policy 31-103CP Registration Requirements (2009), 32 OSCB 2892 (2009), 32 OSCB 7330	<i>Published April 3/09</i> <i>Withdrawn Sept. 28/09</i>
31-311	Proposed NI 31-103 Registration Requirements and Exemptions – Transition into the new registration regime (2009), 32 OSCB 4829 (2012) 35 OSCB 5679	<i>Published June 12/09</i> <i>Withdrawn June 21/12</i>
31-312	The Exempt Market Dealer Category under NI 31-103 Registration Requirements and Exemptions (2009), 32 OSCB 6252	<i>Published Aug. 7/09</i> <i>Withdrawn Sept. 12/13</i>
31-313	NI 31-103 Registration Requirements and Exemptions and Related Instruments – Frequently Asked Questions (2009), 32 OSCB 10427	<i>Published Dec. 18/09</i> <i>Withdrawn July 16/15</i>
31-314	NI 31-103 Registration Requirements and Exemptions and Related Instruments – Frequently Asked Questions as of February 5, 2010 (2010), 33 OSCB 1157	<i>Published Feb. 5/10</i> <i>Withdrawn July 16/15</i>
31-315	Omnibus/blanket orders exempting registrants from certain provisions of NI 31-103 Registration Requirements and Exemptions (2010), 33 OSCB 1737	<i>Published Feb. 26/10</i>
31-316	Blanket Order Exempting persons and Companies from the Requirement to Register when trading in Short-Term Debt Instruments (2010) 33 OSCB 2773	<i>Published Apr. 2/10</i> <i>Withdrawn Sept. 12/13</i>
31-317	Reporting Obligations, Related to Terrorist Financing for Registrants, Exempt International Dealers, and exempt International Advisers (2010) 33 OSCB 3285 (2010) 33 OSCB 6821	<i>Published Apr. 16/10</i> <i>Published July 30/10</i> <i>Withdrawn on Feb. 22, 2018</i>
31-318	Omnibus /blanket order exempting mortgage investment entities from the requirement to register as investment fund managers and advisers (2010) 33 OSCB 7325	<i>Published Aug. 20/10</i> <i>Withdrawn Sept. 12/13</i>
31-319	Further Omnibus/Blanket Orders Exempting Registrants from Certain Provisions of National Instrument 31-103 Registration Requirements and Exemptions (2010) 33 OSCB 7949	<i>Published Sept. 10/10</i> <i>Withdrawn Sept. 12/13</i>
31-320	Additional Request for Comment by the Ontario Securities Commission and Autorite des Marches Financiers on Proposed Exemptions from Investment Fund Manager Registration Requirement for International and Certain Domestic Investment Fund Managers	<i>Published Oct. 15/10</i>
31-321	Further Omnibus /Blanket Orders Exempting Registrants from Certain Provisions of National Instrument 31-103 Registration Requirements and Exemptions (2010) 33 OSCB 10128 (2012) 35 OSCB 5679	<i>Published Nov. 5/10</i> <i>Withdrawn June 21/12</i>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
31-322	Extension of Omnibus/Blanket Order Exempting Mortgage Investment Entities from the Requirement to Register as Investment Fund Managers and Advisers (2010), 33 OSCB 11136	<i>Published Dec. 3/10</i> <i>Withdrawn Sept. 12/13</i>
31-323	Guidance Relating to the Registration Obligations of Mortgage Investment Entities (2011), 34 OSCB 2248	<i>Published Feb. 25/11</i>
31-324	Exempt market dealers and account statement requirements in NI 31-103 Registration Requirements and Exemptions (2011) 34 OSCB 6970	<i>Published June 24, 2011</i> <i>Withdrawn April 14, 2016</i>
31-325	Marketing Practices of Portfolio Managers (2011) 34 OSCB 7436	<i>Published July 8/11</i>
31-326	Outside Business Activities (2011), 34 OSCB 7760	<i>Published July 15/11</i> <i>Withdrawn July 16/15</i>
31-327	Broker-Dealer Registration in the Exempt Market Dealer Category (2011), 34 OSCB 9073	<i>Published Sept. 2/11</i> <i>Withdrawn July 16/15</i>
31-328	Revocation of Omnibus/Blanket Orders Exempting Registrants from Certain Provisions of National Instrument 31-103 Registration Requirements, Exemptions and Ongoing Registrant Obligations (2011), 34 OSCB 9530	<i>Published Sept. 16/11</i> <i>Withdrawn July 16/15</i>
31-329	Omnibus/blanket orders exempting registrants from certain provisions of NI 31-103 Registration Requirements Exemptions and Ongoing Registrant Obligations and related staff positions (2011), 34 OSCB 9960	<i>Published Sept. 30/11</i> <i>Withdrawn July 16/15</i>
31-330	Omnibus /Blanket Orders Extending Certain Transition Provisions Relating to the Investment Fund Manager Registration Requirement and the Obligation to Provide Dispute Resolution Services (2012) 35 OSCB 6260	<i>Published July 5, 2012</i> <i>Withdrawn July 16/15</i>
31-331	Follow-up to Broker Dealer Registration in the Exempt Market Category ((2012) 35 OSCB 6427	<i>Published July 12/12</i> <i>Withdrawn July 16/15</i>
31-332	Relevant Investment Management Experience for Advising Representatives and Associate Advising Representatives of Portfolio Managers (2013) 36 OSCB 758	<i>Published Jan. 17/13</i>
31-333	Follow-up to Broker-Dealer Registration in the Exempt Market Dealer Category (2013) 36 OSCB 1409	<i>Published Feb. 7/13</i> <i>Withdrawn July 16/15</i>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
31-334	CSA Review of Relationship Disclosure Practices (2013) 36 OSCB 7120	Published July 18/13
31-335	Extension of Interim Relief for Members of the Investment Industry Regulatory Organization of Canada from the Requirement in section 14.2(1) of National Instrument 31-103 <i>Registration Requirements, Exemptions and Ongoing Registrant Obligations in Respect of the Provision of Relationship Disclosure Information to Existing Clients</i>	Published October 3, 2013 Withdrawn July 16/15
31-336	Guidance for Portfolio Managers, Exempt Market Dealers and Other Registrants on the Know-Your-Client, Know-Your Product Suitability Obligations (2014) 37 OSCB 401	Published Jan 9/14
31-337	Cost Disclosure, Performance Reporting and Client Statements – Frequently Asked Questions and Additional Guidance as of February 27, 2014	Published Feb. 27/14 Withdrawn April 14, 2016
31-338	Guidance on Dispute Resolution Services – Client Disclosure for Registered Dealers and Advisers that are not Members of a Self-Regulatory Organization (2014) 37 OSCB 4430	Published May 1/14
31-339	Omnibus/Blanket Orders Exempting IIROC and MFDA Registrants from Certain Provisions of NI 31-103 Registration Requirements , Exemptions and Ongoing Registrant Obligations (2014) 37 OSCB 5245	Published May 29/14 Withdrawn March 7/19
31-340	OBSI Joint Regulators Committee Annual Report for 2014 (2015) 38 OSCB 2551	Published March 19/15
31-341	Omnibus/Blanket Orders Exempting Registrants from Certain CRM 2 Provisions of National Instrument 31-103 Registration Requirements, Exemptions and Ongoing Registrant Obligations (2015) 38 OSCB 4659	Published May 21/15 Withdrawn March 7/19
31-342	Guidance for Portfolio managers Regarding Online Advice (2015) 38 OSCB 8197	Published Sept. 24/15
31-343	Conflicts of interest in distributing securities of related or connected issuers (2015) 38 OSCB 9828	Published Nov. 26/15
31-344-	OBSI Joint Regulators Committee Annual Report for 2015 (2016) 39 OSCB 3091	Published Apr. 7/16
31-345	Cost Disclosure Performance Reporting and Client Statements – Frequently Asked Questions and Additional Guidance (2016) 39 OSCB 3569	Published April 14/16

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
31-346	Guidance as to the Scope of the International dealer Exemption in relation to Foreign-Currency Fixed Income Offerings by Canadian Issuers (2016) 39 7639	Published September 1, 2016
31-347	Guidance for Portfolio Managers for Service Arrangements with IIROC Dealer Managers (2016) 39 OSCB 9365	Published Nov. 17/16
31-348	OBSI Joint Regulators Committee Annual Report for 2016 (2017) 40 OSCB 4417	Published March 23, 2017
31-349	Change to Standard Form Reports for Close Supervision and Strict Supervision Terms and Conditions (2017) 40 OSCB 6001	Published July 13/17
31-350	Guidance on Small Firms Compliance and Regulatory Obligations (2017) 40 OSCB 4417	Published May 18/17
31-351	Complying with requirements regarding the Ombudsman for Banking Services and Investments (2017) 40 OSCB 9651	Published Dec. 7/17
31-352	Monthly Suppression of Terrorism and Canadian Sanctions Reporting Obligations	Published Feb. 22/18
31-353	OBSI Joint Regulators Committee Annual Report for 2017 (2018) 41 OSCB 2507	Published Mar. 29/18
31-354	Suggested Practices for Engaging with Older or Vulnerable Clients (2019) 42 OSCB 5555	Published June 27/19
31-355	OBSI Joint Regulators Committee Annual Report for 2018 (2019) 42 OSCB 6729	Published Aug 15/19
31-356	Guidance on Compliance Consultants Engaged by Firms Following a Regulatory Decision (2019) 42 OSCB 6869	Published Aug 15/19
31-401	Registration Forms Relating to the National Registration Database (2000), 23 OSCB 5329	Withdrawn Dec.21/01
31-402	Registration Forms Relating to the National Registration Database (2001), 24 OSCB 4039 (2009), 32 OSCB 7330	Expired Jan.6/02 Withdrawn Sept. 28/09

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
31-501	Registrant Relationships (2003), 26 OSCB 1268 (2008) 31 OSCB 2279 (2009) 32 OSCB (Supp-2) (2009) 32 OSCB (Supp-4)	<i>Came into Force April 9/97</i> <i>Amendment Came into Force Mar. 31/03</i> <i>Proposal to revoke instrument published Feb. 29/08 (tied to NI 31-103)</i> <i>Commission approval of revocation published July 17/09</i> <i>Minister's approval of revocation published Sept. 18/09</i> <i>Revoked Sept. 28/09</i>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
31-502	Proficiency Requirements for Registrants (2002), 25 OSCB 8463 (2003), 26 OSCB 6149 (2003), 26 OSCB 7170 (2006), 29 OSCB 1671 (2007), 30 OSCB 2101 (2007), 30 OSCB 5683 (2008) 31 OSCB 2279 (2008), 31 OSCB 7631	<p><i>Came into force Aug. 17/00</i></p> <p><i>Amendment published for comment Dec. 20/02</i></p> <p><i>Amendment Came into Force Nov.5/03</i></p> <p><i>Amendment published for comment Feb.24/06</i></p> <p><i>Amendment came into force on May 21, 2007</i></p> <p><i>Proposal to revoke instrument published Feb. 29/08 (tied to NI 31-103)</i></p> <p><i>Commission approval of amendment published Aug. 1/08</i></p> <p><i>Minister's approval published Sept. 26/08</i></p> <p><i>Proposal to revoke instrument published Feb. 29/08 (tied to NI 31-103)</i></p>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
31-502	(2008), 31 OSCB 9163 (2009) 32 OSCB (Supp-2) (2009) 32 OSCB (Supp-4)	<i>Commission approval of revocation published July 17/09</i> <i>Minister's approval of revocation published Sept. 18/09 –</i> <i>Revoked Sept. 28/09</i>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
31-503	Limited Market Dealers (2004), 27 OSCB (Supp) (2008) 31 OSCB 2279 (2009) 32 OSCB (Supp-2) (2009) 32 OSCB (Supp-4)	<i>Came into force Apr.7/98</i> <i>Amendment Came into Force Sept.14/05 (tied to 45-106)</i> <i>Proposal to revoke instrument published Feb. 29/08 (tied to NI 31-103)</i> <i>Commission approval of revocation published July 17/09</i> <i>Minister's approval of revocation published Sept. 18/09</i> <i>Revoked Sept. 28/09</i>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
31-504	Applications for Registration (1997) 20 OSCB 4634 (1998), 21 OSCB 3902 (1998) 21 OSCB 2316 (2008) 31 OSCB 2279 (2009) 32 OSCB (Supp-2) (2009) 32 OSCB (Supp-4)	<p><i>Came into force April 9/97</i></p> <p><i>Amendment Came into force Sept. 4/07</i></p> <p><i>Amendment Came into Force Feb.21/03</i></p> <p><i>Proposal to revoke instrument published Feb. 29/08 (tied to NI 31-103)</i></p> <p><i>Commission approval of revocation published July 17/09</i></p> <p><i>Minister's approval of revocation published Sept. 18/09</i></p> <p><i>Revoked Sept. 28/09</i></p>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
31-505	Conditions of Registration (1999) 22 OSCB 731 (2003), 26 OSCB 7103 (2008), 31 OSCB 2279 (2009), 32 OSCB (Supp-2) (2009) 32 OSCB (Supp-4)	<i>Came into force Dec. 23/98</i> <i>Amendment Came into Force Dec.23/98</i> <i>Amendments Came into Force Nov.5/03</i> <i>Proposal to revoke instrument published Feb. 29/08 (tied to NI 31-103)</i> <i>Commission approval of amendments published July 17/09</i> <i>Minister's approval of amendments published Sept. 18/09</i> <i>Revoked Sept. 28/09</i>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
31-506	SRO Membership – Mutual Fund Dealers (2001), 24 OSCB 2333 (2008), 31 OSCB 2279 (2009), 32 OSCB (Supp-2) (2009) 32 OSCB (Supp-4)	<p><i>Came into Force Apr.23/01</i></p> <p><i>Proposal to revoke instrument published Feb. 29/08 (tied to NI 31-103)</i></p> <p><i>Commission approval of revocation published July 17/09</i></p> <p><i>Minister's approval of revocation published Sept. 18/09</i></p> <p><i>Revoked Sept. 28/09</i></p>
31-507	SRO Membership Securities Dealers (2000), 23 OSCB 5657 (2008), 31 OSCB 2279 (2009), 32 OSCB (Supp-2) (2009) 32 OSCB (Supp-4)	<p><i>Came into Force Aug.17/00</i></p> <p><i>Proposal to revoke instrument published Feb. 29/08 (tied to NI 31-103)</i></p> <p><i>Commission approval of revocation published July 17/09</i></p> <p><i>Minister's approval of revocation published Sept. 18/09</i></p> <p><i>Revoked Sept. 28/09</i></p>
31-508	Permanent Registration System (1998), 21 OSCB 4067	<p><i>Published for comment Jun 26/98</i></p>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
31-509	National Registration Database (under the Commodity Futures act) (2002), 25 OSCB 3443 (2008), 31 OSCB 2801 (2009), 32 OSCB (Supp-2) (2009), 32 OSCB (Supp-4) (2013) 36 OSCB 7217 (2013), 36 OSCB 8569	<i>Came into Force Feb.3/03</i> <i>Amendments published for comment Feb. 29/08</i> <i>Commission approval of amendments published July 17/09</i> <i>Minister's approval of amendments published Sept. 18/09</i> <i>In force Sept. 28/09</i> <i>Commission approval of amendments published July 18/2013</i> <i>Revised Notice Published August 29/13</i>
31-703	Year 2000 (1998), 21 OSCB 3659	<i>Withdrawn Oct.6/00</i>
31-704	Application for Registration and Year 2000 (1999), 22 OSCB 7096	<i>Withdrawn Oct.6/00</i>
31-705	Common Renewal Date (2002), 25 OSCB 2627	<i>Withdrawn Feb.10/06</i>
31-708	National Registration Database (NRD) Filing Deadlines Extended (2003), 26 OSCB 3495	<i>Withdrawn Jun 20/03</i>
31-709	National Registration Database (NRD) – Filing Deadlines Extended to November 15, 2003 (2003), 26 OSCB 4527	<i>Withdrawn Feb.10/06</i>
31-710	National Registration Database (NRD) Extension of Certain Filing Deadlines (2003), 26 OSCB 7571	<i>Withdrawn Feb.10/06</i>
31-711	Ontario Securities Commission Rule 31-502 Proficiency Requirements for Registrants and Ontario Securities Commission rule 31-505 Conditions of Registration (2004), 27 OSCB 344 (2004), 27 OSCB 724 (2009), 32 OSCB 7330	<i>Republished Jan.16/04</i> <i>Withdrawn Sept. 28/09</i>
31-712	Mutual Fund Dealers Arrangements (2004), 27 OSCB 5623 (2004), 27 OSCB 9291	<i>Amended and republished Nov.19/04</i>
31-714	OSC Staff Supplement to CSA Staff Notice 31-328 Revocation of Omnibus/Blanket Orders Exempting Registrants from Certain Provisions of National Instrument 31-103 Registration Requirements, Exemptions and Ongoing Registrant Obligations (2011), 34 OSCB 9533	<i>Published Sept. 16/11</i>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
31-715	Mystery Shopping for Investment Advice: Insights into advisory practices and the investor experience in Ontario	Published Sept. 17/15
32-102	Registration Exemptions for Non-Resident Investment Fund Managers and Company Policy 32-102CP Registration Exemptions for Non-Resident Investment Fund Managers (2012) 35 OSCB 1445 (2012) 35 OSCB 6303 (2012) 35 OSCB 8388 (2014) 37 OSCB (Supp2) (2015) 38 OSCB (Supp-1) (2015) 38 OSCB 4155	Published for comment Feb. 10/12 Commission approval published July 5/12 Minister's approval published Sept. 13/12 Amendments published for comment Feb. 27/14 Commission approval of amendments published Feb. 19/15 Minister's approval of amendments published April 20/15
32-501	Direct Purchase Plans (2001), 25 OSCB 5919	Came into Force Oct.4/01
32-502	Registration Exemption for Certain Trades by Financial Intermediaries – Amendment (1998), 21 OSCB 2315	Revoked Sept.14/05 (tied to 45-106)
32-503	Registration and Prospectus Exemption for Trades by Financial Intermediaries in Mutual Fund Securities to Corporate Sponsored Plans – Amendment (1998), 21 OSCB 2315	Revoked Sept.14/05 (tied to 45-106)
32-504	Adviser Registration Exemption (Under the Commodity Futures Act) (2004), 27 OSCB (Supp)	Came into Force Sept.14/05 (tied to 45-106)

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
32-505	Condition Exemption from Registration for United States Broker-Dealers and Advisers Serving U.S. Clients from Ontario (2015) 38 OSCB 3904 (2015) 38 OSCB 4890	<i>Commission Approval Published April 23/15 Minister's approval published May 28/15</i>
32-701	Processing of Equity and Fixed Income Trades by Financial Institutions and Mutual Fund Dealers (1999), 23 OSCB 7091	<i>Published Nov. 12/99</i>
32-702	Applications for Exemption from the Time Limits on Completion of Courses and Previous Registrations (2001), 24 OSCB 5762 (2009), 32 OSCB 7330	<i>Published Sept. 28/01 Withdrawn Sept. 28/09</i>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
33-105	Underwriting Conflicts (2004), 27 OSCB (Supp) (2008), 31 OSCB 2302 (2009), 32 OSCB (Supp-4) (2013) 26 OSCB 11399 (2014) 37 OSCB (Supp2) (2015) 38 OSCB (Supp-1) (2015) 38 OSCB 4155 (2015) 38 OSCB 5773 (2015) 38 OSCB 7569	<p><i>Came into force Jan. 3/02</i></p> <p><i>Came into Force Sept.14/05 (tied to 45-106)</i></p> <p><i>Amendments published for comment Feb, 29/08 (tied to NI 31-103)</i></p> <p><i>Minister's approval of amendments published Sept. 18/09</i></p> <p><i>Amendments in force Sept. 28/09</i></p> <p><i>Amendments published for comment Nov. 28/13</i></p> <p><i>Amendments published for comment Feb. 27/14</i></p> <p><i>Commission approval of amendments published Feb. 19/15</i></p> <p><i>Minister's approval of amendments published April 30/15</i></p> <p><i>Commission approval of amendments published June 25, 2015</i></p> <p><i>Ministerial approval of amendments published Sept. 3/15</i></p>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
33-106	Year 2000 Preparation Reporting (1998), 21 OSCB 6595	<i>Revoked Jul.18/99</i>
33-107	Proficiency Requirements for Registrants Holding Themselves Out as Providing Financial Planning Advice (1999), 22 OSCB 7647 (2001), 24 OSCB 1005	<i>Republished for comment Feb.16/01</i>
33-108	Permanent Registration (2001), 24 OSCB 1671	<i>Published for comment Mar. 16/01</i>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
33-109	Registration Information (2001), 24 OSCB 7480 (2002), 25 OSCB 3475 (2002) 25 OSCB 7531 (2003) 26 OSCB 1313 (2006), 29 OSCB 3961 (2007), 30 OSCB (Supp) (2008), 31 OSCB 2419 (2009), 32 OSCB (Supp-2) (2009), 32 OSCB (Supp-4) (2009), 32 OSCB 8721 (2010), 33 OSCB (Supp-2)	<p><i>Came into Force Feb.21/03</i></p> <p><i>Amendments published for comment May 12/06</i></p> <p><i>Amendments to forms 33-109F1, 33-109F4 and 33-109F6 published for comment Feb.23/07 [tied to 31-103]</i></p> <p><i>Amendment came into force on May 15, 2007</i></p> <p><i>Proposed revocation and replacement published for comment Feb. 29/08</i></p> <p><i>Commission approval of revocation and replacement published July 17/09</i></p> <p><i>Minister's approval of revocation and replacement published Sept. 28/09</i></p> <p><i>In force Sept. 28/09</i></p> <p><i>Amendments published for comment Oct. 23/09</i></p> <p><i>Amendments published for comment June 25/10</i></p>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
33-109 (cont'd)	(2010), 33 OSCB (Supp-3) (2010), 33 OSCB (Supp-5) (2011) 34 OSCB (Supp-3) (2011) 34 OSCB 7572 (2012) 35 OSCB 6887 (2013) 36 OSCB 2619 (2013) 36 OSCB (Supp-7) (2014) 37 OSCB 8599 (2014) 37 OSCB (Supp-5)	<p><i>Commission approval of IFRS amendments published Oct. 1/10</i></p> <p><i>Minister's approval of IFRS amendments published Dec. 10/10</i></p> <p><i>Commission approval of amendments published April 15/11</i></p> <p><i>Minister's approval of amendments published July 8/11</i></p> <p><i>Amendments tied to NI 25-101 published for comment July 26/12</i></p> <p><i>Commission approval of amendments published March 14.13 (tied to 25-101)</i></p> <p><i>Amendments published for comment Dec. 5/13</i></p> <p><i>Minister's approval of amendments published Sept. 18/14</i></p> <p><i>Commission approval of amendments published Oct. 16/14</i></p>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
33-109 (cont'd)	2015 38 OSCB 312 2016 39 OSCB (Supp-2) 2017 40 OSCB 5815 (2017) 40 OSCB 9469 (2018) 41 OSCB 2570 (2018) 41 OSCB 4483	<i>Ministerial approval published Jan 15/15</i> <i>Publication for comment July 7, 2016</i> <i>Publication for comment July 6, 2017</i> <i>Ministerial approval published Nov. 30/17</i> <i>Commission approval published Mar. 29/18</i> <i>Ministerial approval published June 7/18</i>
33-301	National Instrument 33-106 – Year 2000 Preparation Reporting (1999), 22 OSCB 1001	<i>Withdrawn Apr.20/01</i>
33-302	National Instrument 33-106 Non-Compliant Registered Firms and Possible Terms and Conditions (1999), 22 OSCB 2257	<i>Withdrawn Apr.20/01</i>
33-303	Trust Accounts for Mutual Fund Securities (1999), 22 OSCB 2939	<i>Withdrawn Dec.21/01</i>
33-304	CSA Distributions Structures Committee Position Paper (1999), 22 OSCB 5257 (2010) 33 OSCB 1518	<i>Published Aug.27/99</i> <i>Withdrawn Feb. 19/10</i>
33-305	Sale of Insurance Products by Dually Employed Salespersons (2000), 23 OSCB 8	<i>Published Jan.7/00</i> <i>Withdrawn March 7/19</i>
33-306	Date of National Registration Database (NRD) Freeze Period (2003), 26 OSCB 1112	<i>Withdrawn Mar. 3/06</i>
33-307	List of Canadian Registrant and Non-Registrant Firms that Completed the CSA STP Readiness Assessment Survey (2003), 26 OSCB 5473 (2009), 32 OSCB 7330	<i>Published Jul.18/03</i> <i>Withdrawn Sept. 28/09</i>
33-308	The CSA STP Readiness Assessment Survey Report (Survey Report) is now available on the OSC Website (2003), 26 OSCB 6429 (2009), 32 OSCB 7330	<i>Published Sept.19/03</i> <i>Withdrawn Sept. 28/09</i>
33-309	The CSA STP Infrastructure Survey Report is Now Available on the OSC Website (2003), 26 OSCB 8149 (2009), 32 OSCB 7330	<i>Published Dec.12/03</i> <i>Withdrawn Sept. 28/09</i>
33-310	Joint Forum Releases Summary of Comments and Responses on Principles and Practices for the Sale of Products and Services in the Financial Sector (2004), 27 OSCB 1832	<i>Published Feb.13/04</i>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
33-311	List of Canadian Registrant and Non-Registrant Firms that Completed the CSA STP Readiness Assessment Survey (2004), 27 OSCB 6603 (2009), 32 OSCB 7330	Published Jul. 23/04 Withdrawn Sept. 28/09
33-312	The CSA STP Readiness Assessment Survey Report is Now Available on the OSC Website (2004), 27 OSCB 8953 (2009), 32 OSCB 7330	Published Nov. 5/04 Withdrawn Sept. 28/09
33-313	International Financial Reporting Standards and Registrants (2008), 31 OSCB 8693	Published Sept. 12/08 Withdrawn Sept. 12/13
33-314	International Financial Reporting Standards and Regulations (2009) 32 OSCB 5667	Published July 17, 2009
33-315	Suitability Obligation and Know Your Product (2009) 32 OSCB 6890	Published Sept. 4/09
33-316	Status Report on Consultation under CSA Consultation Paper 33-403: The Standard of Conduct for Advisers and Dealers: Exploring the Appropriateness of Introducing a Statutory Best Interest Duty When Advice is Provided to Retail Clients	Published Dec. 19/13
33-317	Next Steps in the CSA's Work to Enhance the Obligations of Advisers, Dealer and Representatives Toward their Clients (2016) 39 OSCB 3110	Published April 7/16
33-318	Review of Practices Firms Use to Compensate and Provide Incentives to their Representatives (2016) 39 OSCB 10115	Published Dec. 15/16
33-319	Status Report on CSA Consultation Paper 33-404 Proposals to Enhance the Obligations of Advisers, Dealers, and Representatives Toward their Clients (2017) 40 OSCB 4778	Published June 1/17
33-320	The Requirement for True and Complete Applications for Registration (2017) 40 OSCB 6008	Published July 13/17

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
33-401	Canadian Capital Markets Association – T+1 White Paper (2001), 24 OSCB 2069 (2010) 33 OSCB 1518	<i>Expired Nov. 8/01</i> <i>Withdrawn Feb. 19/10</i>
33-402	Joint Forum Requests Comments on Principles and Practices for the Sale of Products and Services in the Financial Sector (2003), 26 OSCB 2035 (2010) 33 OSCB 1518	<i>Published Mar. 7/03</i> <i>Withdrawn Feb. 19/10</i>
33-403	The Standard of Conduct for Advisers and Dealers: Exploring the Appropriateness of Introducing a Statutory Best Interest Duty When Advice is Provided to Retail Clients (2012) 35 OSCB 9558	<i>Published for comment Oct. 25/12</i>
33-404	Proposals to Enhance the Obligations of Advisers, Dealers, and Representatives toward their Clients (2016) 39 OSCB 3947	<i>Published for comment April 28/16</i>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
33-505	Permanent Registration (Commodity Futures Act) (2001), 24 OSCB 1675	<i>Published for comment Mar 16/01</i>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
33-506	Registration Information Requirements (under the Commodity Futures Act) (2002), 25 OSCB 3515 (2008), 31 OSCB 2513 (2009), 32 OSCB (Supp-2) (2009), 32 OSCB (Supp-4) (2010), 33 OSCB (Supp-2) (2011) 34 OSCB (Supp-3) (2011) 34 OSCB 7594 (2013) 36 OSCB (Supp-7) (2014) 37 OSCB (Supp-5) (2015) 38 OSCB 344	<p><i>Came into Force Feb.21/03</i></p> <p><i>Proposed revocation and replacement published for comment Feb. 29/08</i></p> <p><i>Commission approval of revocation and replacement published July 17/09</i></p> <p><i>Minister's approval of revocation and replacement published Sept. 28/09</i></p> <p><i>In force Sept. 28/09</i></p> <p><i>Amendments published for comment June 25/10</i></p> <p><i>Commission approval of amendments published April 15/2011</i></p> <p><i>Ministerial approval of amendments published July 8/11</i></p> <p><i>Commission approval of amendments published Oct. 16/14</i></p> <p><i>Minister's approval of amendments published Jan 15/15</i></p>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
33-506	Registration Information Requirements (under the Commodity Futures Act) (cont'd) (2016) 39 OSCB (Supp-2) (2017) 40 OSCB 5815 (2017) 40 OSCB 9469 (2018) 41 OSCB 2592 (2018) 41 OSCB 4483	<i>Published for comment July 7/16</i> <i>Published for comment July 6/17</i> <i>Ministerial approval published Nov.30/17</i> <i>Commission approval published Mar. 29/18</i> <i>Ministerial approval published June 7/18</i>
33-704	List of Non-Complying Ontario Registered Firms Under National Instrument 33-106 (1999), 22 OSCB 1309 (2000) 23 O.S.C.B. 6861	<i>Withdrawn Oct. 6/00</i>
33-705	List of Non-Complying Ontario Registered Firms Under National Instrument 33-106 (1999), 22 OSCB 1485 (2000) 23 O.S.C.B. 6861	<i>Withdrawn Oct.6/00</i>
33-706	List of Non-Complying Ontario Registered Firms Under National Instrument 33-106 (1999), 22 OSCB 1608	<i>Withdrawn Oct.6/00</i>
33-707	List of Non-Complying Ontario Registered Firms Under National Instrument 33-106 (1999), 22 OSCB 1864b (2000) 23 O.S.C.B. 6861	<i>Withdrawn Oct.6/00</i>
33-708	List of Non-Complying Ontario Registered Firms Under National Instrument 33-106 (1999), 22 OSCB 2132 (2000) 23 O.S.C.B. 6861	<i>Withdrawn Oct.6/00</i>
33-709	List of Non-Complying Ontario Registered Firms Under National Instrument 33-106 (1999), 22 OSCB 2402 (2000) 23 O.S.C.B. 6861	<i>Withdrawn Oct.6/00</i>
33-710	List of Non-Compliant Ontario Registered Firms Under National Instrument 33-106 (1999), 22 OSCB 4169 (2000) 23 O.S.C.B. 6861	<i>Withdrawn Oct.6/00</i>
33-711	List of Non-Compliant Ontario Registered Firms Under National Instrument 33-106 (1999) 22 OSCB 5700 (2000) 23 O.S.C.B. 6861	<i>Withdrawn Oct.6/00</i>
33-712	Processing of Equity and Fixed Income Trades by Financial Institutions and Mutual Fund Dealers (1999), 22 OSCB 7091	<i>Published Nov.12/99</i>
33-713	Registrant Regulatory Filings (2000), 23 OSCB 3512	<i>Published May 19/00</i>
33-718	Networking Applications (2000), 23 OSCB 245 (2009), 32 OSCB 7330	<i>Published Jan.14/00</i> <i>Withdrawn Sept. 28/09</i>
33-719	Registration Renewal and Permanent Registration (2001), 24 OSCB 4514 (2009), 32 OSCB 7330	<i>Published Jul.27/01</i> <i>Withdrawn Sept. 28/09</i>
33-720	2001 National Compliance Review (NCR) (2002), 25 OSCB 5063	<i>Withdrawn Feb.10/06</i>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
33-721	CSA/OSC STP Readiness Assessment Survey (2003), 26 OSCB 1568	<i>Published Feb.21/03</i>
33-722	Registration Renewal Procedure and Payment of Annual Participation Fees (2003), 26 OSCB 6893 (2009), 32 OSCB 7330	<i>Published Oct.17/03 Withdrawn Sept. 28/09</i>
33-723	Fair Allocation of Investment Opportunities – Compliance Team Desk Review (2005), 28 OSCB 7768	<i>Published Sept.23/05 Withdrawn Dec. 1/16</i>
33-724	OSC Compliance Team – Capital Markets Branch Report (2002) 25 OSCB 2306 (2003) 26 OSCB 3955 (2004) 27 OSCB 6249	<i>Published Sept.6/02 Revised Jul.11/03 Revised Jul.9/04</i>
33-725	Industry Report of Scholarship Plan Dealers (2004) 27 OSCB 6464	<i>Published Jul.16/04</i>
33-726	OSC Staff Notice 33-726 – IOSCO Publishes Final Report on Compliance Function at Market Intermediaries (2006), 29 OSCB 7003 (2009), 32 OSCB 7330	<i>Published Sept.1/06 Withdrawn Sept. 28/09</i>
33-727	IOSCO Publishes Consultation Report on Market Intermediary Management of Conflicts that Arise in Securities Offerings (2007), 30 OSCB 1800 (2009) 32 OSCB 7331	<i>Published Mar. 2/07 Withdrawn Sept. 28/09</i>
33-728	2007 Annual Report – Compliance Team (2007), 30 OSCB 7303	<i>Published August 24, 2007</i>
33-729	Marketing Practices of IC/PM (2007), 30 OSCB 9213	<i>Published Nov.9/07</i>
33-730	Capital calculations for investment counsel/portfolio managers (2008) 31 OSCB 5869	<i>Published June 13/08</i>
33-731	2008 Compliance Team Annual Report (2008) 21 OSCB 8503	<i>Published Sept. 5/08</i>
33-732	2009 Compliance Team Annual Report	<i>Published Sept. 25/09</i>
33-733	Report on Focused Reviews of Investment Funds, September 2008-September 2009 (2010) 33 OSCB 604	<i>Published Jan. 22/10</i>
33-734	2010 Compliance and Registrant Regulation Branch Annual Report (2010), 33 OSCB 9426	<i>Published Oct. 15/10</i>
33-735	Sale of Exempt Securities to Non-Accredited Investors (2011), 34 OSCB 5424	<i>Published May 13, 2011</i>
33-736	2011 Annual Summary Report for Dealers, Advisers and Investment Fund Managers (2011), 34 OSCB 9750	<i>Published Sept. 23/11</i>
33-737	Enhanced Transparency of Communications with Registrants (2012) 35 OSCB 5935	<i>Published June 28/12</i>
33-738	2012 OSC Annual Summary Report for Dealers, Advisers and Investment Fund Managers	<i>Published Nov. 22/12</i>
33-739	Termination of the Ontario Contingency Trust Fund (2012) 35 OSCB 10873	<i>Published Dec. 6/12</i>
33-740	Report on the Results of the 2012 Targeted Review of Portfolio Managers and Exempt Market Dealers to Assess Compliance (2013) 36 OSCB 5647	<i>Published June 6/13</i>
33-741	Report on the Results of the Review of Capital Markets Participation Fees (2013) 36 OSCB 7115	<i>Published July 18/13</i>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
33-742	2013 OSC Annual Summary Report for Dealers, Advisers and Investment Fund Managers (2013) 36 OSCB 10599	Published November 7, 2013
33-743	Guidance on sales practices, expense allocation and other relevant areas developed from the results of the targeted review of large investment fund managers (2014) 37 OSCB 5777	Published June 19/14
33-745	Compliance and Registrant Regulation – Annual Summary Report for Dealers, Advisers and Investment Fund Managers (2014) 37 OSCB 8835	Published Sept. 25/14
33-746	Annual Summary Report for Dealers, Advisers and Investment Fund Managers (2015) 38 OSCB 8202	Published Sept. 24/15
33-747	Annual Summary Report for Dealers, Advisers and Investment Fund Managers – Compliance and Registrant Regulation (2016) 39 OSCB 6757	Published July 28, 2016
33-748	Compliance and Registrant Regulation – Annual Summary Report for Dealers, Adviser and Investment Fund Managers (2017) 40 OSCB 6000	Published July 13/17
33-749	Compliance and Registrant Regulation – Annual Summary Report for Dealers, Advisers and Investment Fund Managers (2018) 41 OSCB 6607	Published Aug. 23/18
33-750	Compliance and Registrant Regulation – Summary Report for Dealers, Advisers and Investment Fund Managers (2019 42 OSCB 6615)	Published Aug. 8/19
33-901	The Fair Dealing Model Concept Paper of the Ontario Securities Commission – January 2004 (2004), 27 OSCB 1334 (2009) 32 OSCB 7331	Published for comment Jan.30/04 Withdrawn Sept. 28/09
34-701	Publications of Decisions Relating to an Auditor’s Involvement with Interim Financial Reports (2011) 34 OSCB 5782	Published May 20, 2011
35-101	Conditional Exemption from Registration for United States Broker - Dealers and Agents (2000), 23 OSCB 8511	Came into Force Jan.1/01

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
35-301	Conditional Exemption from Registration for United States Broker-Dealers and Agents (1999), 22 OSCB 4319	<i>Withdrawn Jan.1/00</i>
35-501	Registration of Non-Residents (1998) 21 OSCB 6248 (2009) 32 OSCB 7331	<i>Withdrawn Sept. 28/09</i>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
35-502	Non-Resident Advisers (2000), 23 OSCB 7989 (2003), 26 OSCB 1268 (2003), 26 OSCB 7103 (2008), 31 OSCB 2279 (2009), 32 OSCB (Supp-2) (2009) 32 OSCB (Supp-4) (2013) 36 OSCB (Supp-7) (2015) 38 OSCB 373	<i>Came into force Nov. 18/00</i> <i>Amendment Came into Force Mar. 31/03</i> <i>Amendment Came into Force Nov.5/03</i> <i>Proposal to revoke instrument published Feb. 29/08 (tied to NI 31-103)</i> <i>Commission approval of amendments published July 17/09</i> <i>Minister's approval of amendments published Sept. 18/09</i> <i>Amendments in force Sept. 28/09</i> <i>Amendments published for comment on Dec. 5/13</i> <i>Minister's approval published Jan 15/15</i>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
35-704	<i>(Commodity Futures Act)</i> Non-Resident Advisers (2012) 35 OSCB 6263	<i>Published July 5, 2012</i>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
41-101	General Prospectus Requirements (2000), 23 OSCB Issue 50 (Supp) (2006), 29 OSCB (Supp) (2007), 30 OSCB (Supp-7) (2008), 31 OSCB (Supp-2) (2008), 31 OSCB 8559 (2009) 32 OSCB 7581 (2009) 32 OSCB 8113 (2010) 33 OSCB 3103 (2010), 33 OSCB 5456 (2010) 33 OSCB 5833 (2010) 33 OSCB 6353 (2010) 33 OSCB 9503 (2010) 33 OSCB (Supp-3)	<p><i>Came into force Dec. 31/00</i></p> <p><i>Published for comment Dec.22/06</i></p> <p><i>Commission approval of amendments published Dec.21/07</i></p> <p><i>Replacement instrument in force Mar. 17/08</i></p> <p><i>Amendment in force Sept. 8/08</i></p> <p><i>Amendment published for comment Sept. 25/09</i></p> <p><i>Amendments published for comment Oct. 9/09 (tied to NI 23-102)</i></p> <p><i>Commission approval of amendments published Apr. 9/10</i></p> <p><i>Ministerial approval of amendments published June 18/10</i></p> <p><i>Amendments published for comment June 25/10</i></p> <p><i>Amendments published for comment July 16/10</i></p> <p><i>Commission approval of IFRS Amendments published Oct. 1/10</i></p>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
41-101 cont'd	General Prospectus Requirements (2010) 33 OSCB 9503 (2010) 33 OSCB (Supp-5) (2011), 34 OSCB 3249 (2011) 34 OSCB 3812 (2011) 34 OSCB (Supp-4) (2011) 34 OSCB (Supp-5) (2011) 34 OSCB (Supp-6) (2011) 34 OSCB 11829 (2012) 35 OSCB 913	<p><i>Commission approval of amendments published Oct. 15/10 (tied to NI 51-101)</i></p> <p><i>Minister's approval of IFRS amendments published Dec. 10/10</i></p> <p><i>Amendments tied to NI 25-101 published for comment Mar. 18/11</i></p> <p><i>Amendments published for comment April 1/11 (tied to 41-103 and 51-106)</i></p> <p><i>Amendments published for comment July 15/11</i></p> <p><i>Amendments published for comment July 29/11 (tied to NI 51-103)</i></p> <p><i>Amendments published for comment Nov. 25/11 (tied to Scholarship Plan Prospectus Form)</i></p> <p><i>Amendments published for comment Nov. 25/11 (tied to pre-marketing and marketing)</i></p> <p><i>Commission approval of amendments published Jan. 27/12 (tied to NI 25-101)</i></p>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
41-101 (cont'd)	General Prospectus Requirements (2012) 35 OSCB 1375 (2012) 35 OSCB 3294 (2012), 35 OSCB 3296 (2012) 35 OSCB 6887 (2012) 35 OSCB (Supp-4) (2013) 36 OSCB (Supp-1) (2013)36 OSCB (Supp-2) (2013) 36 OSCB 2619 (2013) 36 OSCB 2643	<p><i>Commission approval of amendments published Feb. 10/12 (tied to 81-101)</i></p> <p><i>Minister's approval of amendments published April 6/12 (tied to NI 25-101)</i></p> <p><i>Minister's approval of amendments published April 6/12 (tied to NI 81-102)</i></p> <p><i>Amendments tied to NI 25-101 published for comment July 26/12</i></p> <p><i>Amendments published for comment (tied to NI 51-103) Sept.13/12</i></p> <p><i>Commission approval of amendments published Jan. 10/13</i></p> <p><i>Commission approval of amendments published Feb. 28/13</i></p> <p><i>Commission approval of amendments published March 14/13 (tied to 25-101)</i></p>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
41-101 (cont'd)	General Prospectus Requirements (2013) 36 OSCB 2643 (2013) 36 OSCB (Supp-3) (2013) 36 OSCB 4747 (2013) 36 OSCB 5045 (2013) 36 OSCB 5271 (2013) 36 OSCB (Supp-4) (2013) 36 OSCB 7908 (2013) 36 OSCB 9612 (2013) 36 OSCB 10147	<p><i>Amendments published for comment March 14/13 (tied to 62-105)</i></p> <p><i>Amendments published for comment March 27/13 (tied to 81-102)</i></p> <p><i>Ministerial approval of amendments published May 9/13</i></p> <p><i>Notice of Correction published May 16/13</i></p> <p><i>Ministerial approval published May 23/13</i></p> <p><i>Notice of Commission approval published May 30/13</i></p> <p><i>Minister's approval published Aug. 8/13</i></p> <p><i>Commission approval published October 3, 2013 (tied to 81-106)</i></p> <p><i>Amendments published for comment October 17/13 (tied to 52-108)</i></p>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
41-101 (cont'd)	General Prospectus Requirements (2013) 36 OSCB 12014 (2014) 37 OSCB (Supp2) (2014) 3 OSCB 5105 (2014) 37 OSCB (Supp-4) (2014) 37 OSCB 6753 2014) 37 OSCB 8599 (2014) 27 OSCB 9145 (2014) 37 OSCB 10572 (2014) 37 OSCB 11037 (2015) 38 OSCB (Supp-1)	<p><i>Minister's approval published Dec. 19/13</i></p> <p><i>Amendments published for comment Feb. 27/14</i></p> <p><i>Amendments published for comment May 22/14</i></p> <p><i>Commission approval of amendments published June 19/14</i></p> <p><i>Commission approval of amendments published July 17/14</i></p> <p><i>Commission approval of amendments published Sept. 18/14</i></p> <p><i>Minister's approval of amendments published Oct. 9/14 (tied to 52-108)</i></p> <p><i>Amendments published for comment Nov. 27/14</i></p> <p><i>Amendments published for comment Dec. 11/14</i></p> <p><i>Commission approval of amendments published Feb. 19/15</i></p>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
41-101	General Prospectus Requirements (cont'd) (2015) 38 OSCB 3379 (2015) 38 OSCB 4155 (2015) 38 OSCB 5035 (2015) 38 OSCB 5509 (2015) 38 OSCB 7551 (2015) 38 OSCB 8277 (2015) 38 OSCB 9327 (2015) 38 OSCB 10129 (2015) 38 OSCB 10307 (2016) 39 OSCB 8051 (2016) 39 OSCB 9948	<p><i>Commission approval published April 9/15</i></p> <p><i>Minister's approval of amendments published April 30/15</i></p> <p><i>Minister's approval of amendments published June 4/15</i></p> <p><i>Request for comments published June 18/15</i></p> <p><i>Commission approval of amendments published Sept. 3/15</i></p> <p><i>Commission approval published Sept. 24/15</i></p> <p><i>Ministerial approval of amendments published Nov. 5/15</i></p> <p><i>Ministerial approval of amendments published Dec. 3/15</i></p> <p><i>Request for comment published Dec. 10/15</i></p> <p><i>Request for comment published Sept. 22/16</i></p> <p><i>Commission approval of amendments published Dec. 8/16</i></p>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
41-101	General Prospectus Requirements (cont'd) (2017) 40 OSCB 1509 (2017) 40 OSCB 5815 (2018) 41 OSCB 2570 (2018) 41 OSCB 4483 (2018) 41 OSCB 1009 (2019) 42 OSCB 4045 (2019) 42 OSCB 7393	<i>Ministerial approval published Feb. 16/17</i> <i>Published for comment July 6, 2017</i> <i>Commission approval published Mar. 29/18</i> <i>Ministerial approval published June 7, 2018</i> <i>Ministerial approval published Dec. 20/18</i> <i>Amendments published for comment May 2, 2019</i> <i>Request for comment published Sept. 12/19</i>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
41-103	Supplementary Prospectus Disclosure Requirements for Securitized Products (2011) 32 OSCB 3811	<i>Published for comment April 1, 2011</i>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
41-201	Income Trusts and Other Indirect Offerings (2003), 26 OSCB 6947 (2007), 30 OSCB 49 (2007), 30 OSCB 6067 (2010), 33 OSCB 10467 (2011) 34 OSCB 11829 (2012) 35 OSCB (Supp-4) (2013) 36 OSCB (Supp-4)	<p><i>Adopted Dec.3/04</i></p> <p><i>Amendments published for comment Jan.5/07</i></p> <p><i>Amendment Came into force July 6, 2007</i></p> <p><i>Commission approval of amendments published Nov. 12/10</i></p> <p><i>Amendments published for comment Nov. 25/11 (tied to marketing and pre-marketing)</i></p> <p><i>Amendments published for comment Sept. 13/12 (tied to NI 51-103)</i></p>
41-301	The Year 2000 Challenge - Disclosure Issues (1998), 21 OSCB 582	<i>Withdrawn Apr.20/01</i>
41-303	Harmonization of Prospectus Requirements Across the CSA (2002), 25 OSCB 2203	<i>Withdrawn Mar. 3/06</i>
41-304	Income Trusts: Prospectus Disclosure of Distributable Cash (2005), 28 OSCB 7003 (2010) 33 OSCB 1518	<p><i>Published Aug.26/05</i></p> <p><i>Withdrawn Feb. 19/10</i></p>
41-305	Share Structure Issues – Initial Public Offerings (2010) 33 OSCB 8469	<i>Published Sept. 24/10</i>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
41-307	Corporate Finance Prospectus Guidance – Concerns regarding an issuer’s financial condition and the sufficiency of proceeds from a prospectus offering (2012) 35 OSCB 2036	<i>Published March 2/12</i>
41-501	General Prospectus Requirements (2003), 26 OSCB 696 (2004), 27 OSCB 3557 (2005), 28 OSCB (Supp) (2007) 30 OSCB 8539 (2007) 30 OSCB 10511	<i>Came into force Dec. 31/00</i> <i>Amendment Came into Force Sept.30/03</i> <i>Amendment Came into Force Mar. 30/04</i> <i>Amendment Came into Force Nov.1/06 (tied to 81-107)</i> <i>Amendment Came into Force Dec. 31/07</i> <i>Amendment Came into Force Dec. 31/07</i> <i>Revoked Mar. 17/08</i>
41-502	Prospectus Requirements for Mutual Funds (2001), 24 OSCB 2474 (2005), 28 OSCB 4978	<i>Came into Force Apr.5/01</i> <i>Amendment Came into Force Jun 1/05 (tied to 81-106)</i> <i>Revoked Mar. 17/08</i>
41-601	Capital Pool Companies (2002), 25 OSCB 3315	<i>Came into Force June 15/02</i>
41-701	Issuance of Receipts for Preliminary Prospectuses and Prospectuses (previous version published May 2, 1997) (2005), 28 OSCB 6376	<i>Published Jul.29/05</i>
41-702	Prospectus Practice Direction #1 – Personal information forms and other procedural matters regarding preliminary prospectus filings (2011) 34 OSCB 3725	<i>Published April 1, 2011</i>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
41-703	Corporate Finance Prospectus Practice Directive #2 – Exemption from certain prospectus requirements to be evidenced by a receipt (2011) 34 OSCB 3727	<i>Published April 1, 2011</i>
41-801	Implementing NI 41-101 General Prospectus Requirements (2006), 29 OSCB (Supp) (2007), 30 OSCB (Supp-7) (2008), 31 OSCB (Supp-2)	<i>Published for comment Dec.22/06</i> <i>Commission approval published Dec.21/07</i> <i>In force Mar. 17/08</i>
42-301	Dual Reporting of Financial Information (2000) 23 OSCB 905	<i>Withdrawn Mar. 30/04</i>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
42-303	Prospectus Requirements (2004), 27 OSCB 2680	<i>Withdrawn Mar. 17/08</i>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
43-101	Standards of Disclosure for Mineral Exploration and Development and Mining Properties (2005), 28 OSCB 10355 (2010), 33 OSCB 3703 (2011) 34 OSCB (Supp-2) (2011) 34 OSCB 7043 (2011), 34 OSCB (Supp-5) (2012) 35 OSCB (Supp-4) (2015) 38 OSCB 3021 (2016) 38 OSCB Supp-1 (2016) 39 OSCB 4279 (2019) 42 OSCB 4045	<p><i>Came into Force Dec.30/05</i></p> <p><i>Repeal and Replacement published for comment Apr. 23/10</i></p> <p><i>Commission approval of Repeal and Replacement published April 8/2011</i></p> <p><i>Minister's approval published June 24/2011</i></p> <p><i>Amendments published for comment July 29/11 (tied to NI 51-103)</i></p> <p><i>Amendments tied to NI 51-103 published for comment Sept. 13/12</i></p> <p><i>Amendments published for comment April 2/15</i></p> <p><i>Commission approval of amendments published Feb. 25/16</i></p> <p><i>Ministerial approval of amendments published May 5/16</i></p> <p><i>Amendments published for comment May 2/19</i></p>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
43-201	Mutual Reliance Review System for Prospectus and Initial AIFs (2002), 25 OSCB 487 (2005), 28 OSCB 4749 (2006), 29 OSCB (Supp)	Adopted Jan.25/02 Amendment published for comment Jan.7/05 (tied to 44-101) Amendment Came into Force Sept.19/05 (tied to 11-101 passport) Amendment published for comment Dec.22/06 [tied to 41-101 General Prospectus Requirements] Rescinded Mar. 17/08
43-301	CSA Mining Technical Advisory and Monitoring Committee (2000), 23 OSCB 7929	Withdrawn Dec.21/01
43-302	Frequently Asked Questions re National Instrument 43-101 Standards of Disclosure for Mineral Projects (2001), 24 OSCB 6250 (2003), 26 OSCB 506	Revised and published Jan.24/03
43-303	Frequently Asked Questions re National Instrument 43-101 Standards of Disclosure for Mineral Projects (Revised Feb. 8, 2002) (2002), 25 OSCB 811	Published Feb.8/02
43-304	Prospectus Filing Matters – Arthur Andersen LLP Consent (2002), 26 OSCB 3955	Withdrawn Mar. 3/06
43-305	CSA Mining Technical Advisory and Monitoring Committee (2005), 28 OSCB 1535 (2010) 33 OSCB 1518	Published Feb.11/05 Withdrawn Feb. 19/10
43-306	Filing Requirements for Technical Reports in Connection with Prospectus Offerings (2006), 29 OSCB 4509	Published Jun 2/06
43-307	Mining Technical Reports – Preliminary Economic Assessments (2012) 35 OSCB 7597	Published Aug. 16/12
43-308	Professional Associations under NI 43-101 Standards of Disclosure for Mineral Projects (2012) 35 OSCB 7601	Published Aug. 16/12
43-309	Review of Website Investor Presentations by Mining Issuers (2015) 38 OSCB 3305	Published April 9/15
43-701	OSC Staff Notice Regarding National Instrument 43-101 (2001), 24 OSCB 708	Withdrawn Mar. 17/08
43-702	Review Time Frames for “Equity Line” Short Form Prospectuses (2001), 23 OSCB 4514	Withdrawn Mar. 17/08

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
43-704	Mineral Brine Projects and National Instrument 43-101 Standards of Disclosure for Mineral Projects (2011) 34 OSCB 7977	<i>Published July 22/11</i>
43-705	Report on Staff's Review of Technical Reports by Ontario Mining Issuers (2013) 36 OSCB 6424	<i>Published Jun 27/13</i>
43-706	Pre-Filing Review of Mining Technical Disclosure (2019) 42 OSCB 4974	<i>Published June 6/19</i>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
44-101	<p>Short Form Prospectus Distributions – Amendments (2003), 26 OSCB 505 (2004), 27 OSCB 1332 (2005), 28 OSCB (Supp) (2006), 29 OSCB (Supp) (2007), 30 OSCB (Supp-7) (2008), 31 OSCB (Supp-2) (2009) 32 OSCB 7581 (2010) 33 OSCB 6353 (2010) 33 OSCB (Supp-3)</p>	<p><i>Repeal and Replacement Came into Force Dec.30/05</i></p> <p><i>Amendments Came into Force Sept.6/06</i></p> <p><i>Amendment to 44-101F1 published for comment Dec.1/06</i></p> <p><i>Amendments Came into Force Dec.29/06 (tied to 51-102 Amendments)</i></p> <p><i>Amendment published for comment Dec.22/06 [tied to 41-101 General Prospectus Requirements]</i></p> <p><i>Commission approval of amendments published Dec.21/07</i></p> <p><i>Amendments came into force Mar. 17/08</i></p> <p><i>Amendments published for comment Sept. 25/09</i></p> <p><i>Amendments published for comment July 16/10</i></p> <p><i>Commission approval of IFRS Amendments published Oct.1/10</i></p>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
44-101	Short Form Prospectus Distributions – Amendments (Continued) (2010) 33 OSCB (Supp-5) (2011), 34 OSCB 3249 (2011) 34 OSCB 3812 (2011), 34 OSCB (Supp-2) (2011), 34 OSCB (Supp-4) (2011), 34 OSCB (Supp-5) (2011) 34 OSCB 11829 (2012) 35 OSCB 913 (2012) 35 OSCB 3294 (2012) 35 OSCB 6887 (2012) 35 OSCB (Supp-4) (2013 36 OSCB 7908 (2013) 36 OSCB (Supp-2) (2013) 36 OSCB 2619 (2013) 36 OSCB 4747 (2013) 36 OSCB 5045 (2013) 36 OSCB 5271	<p><i>Minister's approval of amendments published April 6/12 (tied to NI 25-101)</i></p> <p><i>Amendments tied to NI 25-101 published for comment July 26/12</i></p> <p><i>Amendments published for comment Sept. 13/12 (tied to NI 51-103)</i></p> <p><i>Minister's approval published August 8/13</i></p> <p><i>Commission approval of amendments published Feb. 28/13</i></p> <p><i>Commission approval of amendments published March 14/13 (tied to 25-101)</i></p> <p><i>Ministerial approval of amendments published May 9/13</i></p> <p><i>Notice of Correction published May 16/13</i></p> <p><i>Ministerial approval published May 23/13</i></p>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
44-101	Short Form Prospectus Distributions – Amendments (Continued) (2013) 33 OSCB (Supp-4) (2014) 37 OSCB 10572 (2014) 37 OSCB 11037 (2015) 38 OSCB 7551 (2015) 38 OSCB 8277 (2015) 38 OSCB 9328 (2015) 38 OSCB 10133 (2017) 40 OSCB 5815 (2018) 41 OSCB 2570 (2018) 41 OSCB 4483 (2019) 42 OSCB 4045	<p><i>Notice of Commission approval published May 30/13</i></p> <p><i>Amendments published for comment Nov. 27/14</i></p> <p><i>Amendments published for comment Dec. 11/14</i></p> <p><i>Commission approval published Sept. 3/15</i></p> <p><i>Commission approval published Sept. 24/15</i></p> <p><i>Ministerial approval of amendments published Nov. 5/15</i></p> <p><i>Ministerial approval of amendments published Dec. 3/15</i></p> <p><i>Publication for comment July 6/17</i></p> <p><i>Commission approval published Mar. 29/18</i></p> <p><i>Ministerial approval published June 7, 2018</i></p> <p><i>Amendments published for comment May 2/19</i></p>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
44-102	Shelf Distributions (2000) 23 OSCB (Supp) 989 (2005), 28 OSCB 3 (2005) 28 OSCB 8662 (2006), 29 OSCB (Supp) (2007), 30 OSCB (Supp-7) (2008), 31 OSCB (Supp-2) (2009) 32 OSCB 7581 (2010) 33 OSCB (Supp-3) (2010) 33 OSCB (Supp-5) (2013) 36 OSCB 5271	<p><i>Came into force Dec. 31/00</i></p> <p><i>Came into force Dec.30/05 (tied to 44-101)</i></p> <p><i>Amendment came into force Dec.29/06 [tied to 51-102 Continuous Disclosure Obligations – Amendments]</i></p> <p><i>Amendment published for comment Dec.22/06 [tied to 41-101 General Prospectus Requirements]</i></p> <p><i>Commission approval of amendments published Dec.21/07</i></p> <p><i>Amendments in force Mar. 17/08</i></p> <p><i>Amendments published for comment Sept. 25/09</i></p> <p><i>Commission approval of IFRS Amendments published October 1/10</i></p> <p><i>Minister’s approval of IFRS Amendments published Dec. 10/10</i></p> <p><i>Ministerial approval published May 23/13</i></p>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
44-102	Shelf Distributions (Cont'd) (2011) 34 OSCB (Supp-4) (2011) 34 OSCB (Supp-5) (2011) 34 OSCB 11829 (2012) 35 OSCB 6887 (2012) 35 OSCB (Supp-4) (2013) 36 OSCB (Supp-2) (2013) 36 OSCB 2619 (2013) 36 OSCB (Supp-3) (2013) 36 OSCB 4747	<p><i>Amendments published for comment July 15/11 (tied to NI 41-101)</i></p> <p><i>Amendments published for comment July 29/11 (tied to NI 51-103)</i></p> <p><i>Amendments to 44-102CP published Nov. 25/11 (tied to pre-marketing and marketing)</i></p> <p><i>Amendments tied to NI 25-101 published for comment July 26/12</i></p> <p><i>Amendments tied to NI 51-103 published for comment Sept. 13/12</i></p> <p><i>Commission approval of amendments published Feb. 28/13</i></p> <p><i>Commission approval of amendments published March 14/13 (tied to 25-101)</i></p> <p><i>Amendments published for comment March 27/13 (tied to 81-102)</i></p> <p><i>Ministerial approval of amendments published May 9/13</i></p>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
44-102	Shelf Distributions (Cont'd) (2013) 36 OSCB 5045 (2013) 36 OSCB (Supp-4) (2013) 36 OSCB 7908 (2014) 37 OSCB 8599 (2017) 40 OSCB 5815 (2018) 41 OSCB 2570 (2018) 41 OSCB 4483 (2019) 42 OSCB 4045 (2019) 42 OSCB 4305	<p><i>Notice of Correction published May 16/13</i></p> <p><i>Notice of Commission approval published May 30/13</i></p> <p><i>Minister's approval published Aug 8/13</i></p> <p><i>Minister's approval of amendments published Sept. 18/14</i></p> <p><i>Publication for comment July 6/17</i></p> <p><i>Commission approval published Mar. 29/18</i></p> <p><i>Ministerial approval published June 7, 2018</i></p> <p><i>Amendments published for comment May 2/19</i></p> <p><i>Amendments published for comment May 9/19</i></p>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
44-103	Post-Receipt Pricing (2005), 28 OSCB 3 (2006), 29 OSCB (Supp) (2007), 30 OSCB (Supp-7) (2008), 31 OSCB (Supp-2) (2013) 36 OSCB (Supp-4) 2013) 36 OSCB 7908	<i>Came into Force Dec.30/05 (tied to 44-101)</i> <i>Amendment published for comment Dec.22/06 [tied to 41-101 General Prospectus Requirements]</i> <i>Commission approval of amendments published Dec.21/07</i> <i>Amendment came into force Mar. 17/08</i> <i>Notice of Commission approval published May 30/13</i> <i>Minister's approval published Aug 8/13</i>
44-301	Frequently Asked Questions Regarding the New Prospectus Rules (2002, 35 OSCB 1465	<i>Withdrawn Mar. 17/08</i>
44-302	Replacement of National Instrument 44-101 Short Form Prospectus Distributions (2005), 28 OSCB 10043	<i>Published Dec.16/05</i> <i>Withdrawn Sept. 12/13</i>
44-303	Filing of Notice of Intention to be Qualified to File a Short Form Prospectus Under NI 44-101 Short Form Prospectus Distributions (2006), 29 OSCB 2008 (2012) 35 OSCB 5679	<i>Published Mar. 10/06</i> <i>Withdrawn June 21/12</i>
44-304	Linked Notes Distributed under Shelf Prospectus System (2007) 30 OSCB 6425	<i>Published July 20, 2007</i>
44-305	2015 Update – Structured Notes Distributed Under the Shelf Prospectus System (2015) 38 OSCB 555	<i>Published Jan. 22/15</i>
44-401	CSA Notice and Request for Comment: Concept Proposal for an Integrated Disclosure System (2000), 23 OSCB 633 (2010) 33 OSCB 1518	<i>Published Jan.28/00</i> <i>Withdrawn Feb. 19/10</i>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
44-801	Implementing NI 44-101 Short Form Prospectus Distributions - Amendments (2006), 29 OSCB (Supp) (2007), 30 OSCB (Supp-7)	<i>Published for comment Dec.22/06 [tied to 41-101 General Prospectus Requirements]</i> <i>Revoked Mar. 17/08</i>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
45-101	Rights Offerings (2001) 24 OSCB 4397 (2003), 26 OSCB 505 (2004), 27 OSCB (Supp) (2006), 29 OSCB(Supp) (2007), 30 OSCB (Supp-7) (2008), 31 OSCB (Supp-2) (2011), 34 OSCB (Supp-2) (2011), 34 OSCB (Supp-5) (2012) 35 OSCB (Supp-4) (2014) 37 OSCB 10572	<p><i>Came into Force July 25/01</i></p> <p><i>Amendment Came into Force Sept.14/05 (tied to 45-106)</i></p> <p><i>Amendment to 45-101F published for comment Dec.1/06</i></p> <p><i>Amendment published for comment Dec.22/06 [tied to 41-101 General Prospectus Requirements]</i></p> <p><i>Commission approval of amendments published Dec.21/07</i></p> <p><i>Amendments in force Mar. 17/08</i></p> <p><i>Commission approval of Amendments published April 8, 2011 (tied to 43-101)</i></p> <p><i>Amendments published for comment July 29/11 (tied to NI 51-103)</i></p> <p><i>Amendments tied to NI 51-103 published for comment Sept. 13/12</i></p> <p><i>Proposed repeal published for comment Nov. 27/14</i></p>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
45-101	Rights Offerings (cont'd) (2015) 38 OSCB (Supp-3) (2015) 38 OSCB 10135	<i>Commission approval of amendments published Oct. 29/15</i> <i>Ministerial approval of amendments published Dec. 3/15</i>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
45-102	Resale of Securities (2001), 24 OSCB 7029 (2003), 26 OSCB 505 (2003), 26 OSCB 804 (2004), 27 OSCB (Supp) (2005), 28 OSCB 7477 (2008), 31 OSCB (Supp-1) (2009), 32 OSCB 4223 (2009) 32 OSCB (Supp-5) (2011), 34 OSCB 3811 (2014) 37 OSCB (Supp2) (2014) 37 OSCB (Supp-3)	<p><i>Came into Force Nov.30/01</i></p> <p><i>Amendments Came into Force Sept.30/03</i></p> <p><i>Rescinded and replaced by same numbered rule Mar 30/04</i></p> <p><i>Amendment Came into Force Sept.14/05 (tied to 45-106)</i></p> <p><i>Amendment published for comment Feb. 29/08 (tied to NI 45-106)</i></p> <p><i>Amendment published for comment May 22/09</i></p> <p><i>Minister's approval of amendments published Sept.18/09</i></p> <p><i>In force Sept. 28/09</i></p> <p><i>Amendments published for comment April 1, 2011 (tied to NI 41-103)</i></p> <p><i>Amendments published for comment Feb. 27/14</i></p> <p><i>Amendments published for comment Mar. 20/14</i></p>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
45-102	Resale of Securities (2014) 37 OSCB 10572 (2015) 38 OSCB 1181 (2015) 38 OSCB (Supp-1) (2015) 38 OSCB 4155 (2015) 38 OSCB 4158 (2015) 38 OSCB 4166 (2015) 38 OSCB 4193 (2015) 38 OSCB 8277 (2015) 38 OSCB (Supp-3) (2015) 38 OSCB (Supp-4) (2015) 38 OSCB 10134	<p>Amendments published for comment Nov. 27/14</p> <p>Ministerial approval published Feb. 5/15</p> <p>Commission approval of amendments published Feb. 19/15</p> <p>Minister's approval of amendments published April 30/15</p> <p>Minister's approval of amendments published April 30/15</p> <p>Minister's approval of amendments published April 30/15</p> <p>Commission approval published Sept. 24/15</p> <p>Commission approval published Oct. 29/15</p> <p>Commission approval published Nov. 5/15</p> <p>Ministerial approval of amendments published Dec. 3/15</p>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
45-102	Resale of Securities (2016)39 OSCB 82 (2016) 39 OSCB 95 (2016) 39 OSCB 342 (2017) 40 OSCB 5561 (2018) 41 OSCB 1873 (2018) 41 OSCB 2543 (2018) 41 OSCB 4481 (2019) 42 OSCB 4045	<p><i>Minister's approval published Jan. 7/16</i></p> <p><i>Minister's approval published Jan. 7/16</i></p> <p><i>Minister's approval published Jan. 14/16</i></p> <p><i>Publication for comment June 29/17</i></p> <p><i>Publication for comment Mar. 8/18</i></p> <p><i>Commission approval published Mar. 29/18</i></p> <p><i>Ministerial approval published June 7/18</i></p> <p><i>Amendments published for comment May 2/19</i></p>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
45-105	Trades to Employees, Executives, Senior Officers, Directors, and Consultants (2004), 27 OSCB (Supp) (2005), 28 OSCB 7477	<i>Came into Force Aug.15/03</i> <i>Amendment Came into Force Nov.18/03</i> <i>Revoked Sept.14/05 (tied to 45-106)</i>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
45-106	Prospectus Exemptions (2004), 27 OSCB 9952 (2005), 28 OSCB 7477 (2006), 29 OSCB 4 (2008) 31 OSC (Supp-1) (2009) 32 OSCB 4223 (2009) 32 OSCB (Supp-5) (2009) 32 OSCB 8464 (2010) 33 OSCB (Supp-3) (2010) 33 OSCB (Supp-5) (2011) 34 OSCB 3811	<p><i>Came into Force Sept.14/05</i></p> <p><i>Amendment Came into Force Jan.6/06</i></p> <p><i>Amendment to 45-106F2 and 45-106F3 published for comment Dec.1/06</i></p> <p><i>Amendment and restatement published for comment Feb. 29/08</i></p> <p><i>Amendment published for comment May 22/09</i></p> <p><i>Minister's approval of amendment published Sept. 18/09</i></p> <p><i>In force Sept. 28/09</i></p> <p><i>Amendments published for comment Oct. 16/09</i></p> <p><i>Commission approval of IFRS Amendments published Oct. 1/10</i></p> <p><i>Minister's approval of IFRS Amendments published Dec. 10/10</i></p> <p><i>Amendments published for comment April 1, 2011 (tied to NI 41-103)</i></p>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
45-106	Prospectus Exemptions (Cont'd) (2011) 34 OSCB (Supp-2) (2011) 34 OSCB (Supp-5) (2012) 35 OSCB 6887 (2012) 35 OSCB (Supp-4) (2013) 36 OSCB 2619 (2013) 36 OSCB (Supp-3) (2013) 36 OSCB 4465 (2013) 36 OSCB 5271 (2014) 37 OSCB 1043 (2014) 37 OSCB (Supp2)	<p><i>Commission approval of amendments published April 8, 2011 (tied to 43-101)</i></p> <p><i>Amendments published for comment July 29/11 (tied to NI 51-103)</i></p> <p><i>Amendments tied to NI 25-101 published for comment July 26/12</i></p> <p><i>Amendments tied to NI 51-103 published for comment Sept. 13/12</i></p> <p><i>Commission approval of amendments published March 14/13 (tied to 25-101)</i></p> <p><i>Amendments published for comment March 27/13 (tied to 81-102)</i></p> <p><i>Amendments published for comment April 25/13</i></p> <p><i>Ministerial approval published May 23/13</i></p> <p><i>Amendments published for comment Jan. 23/14</i></p> <p><i>Amendments published for comment Feb. 27/14</i></p>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
45-106 cont'd	Prospectus Exemptions (Cont'd) (2014) 37 OSCB (Supp-3) (2014) 37 OSCB 8599 (2014) 37 OSCB 10572 (2014) 37 OSCB 10572 (2014) 37 OSCB 10572 (2014) 37 OSCB 11037 (2015) 38 OSCB (Supp-1) (2015) 38 OSCB 4121 (2015) 38 OSCB 4148 (2015) 38 OSCB 4161 (2015) 38 OSCB 4167 (2015) 38 OSCB 4194 (2015) 38 OSCB 7077	<p><i>Amendments published for comment Mar. 20/14</i></p> <p><i>Minister's approval of amendments published Sept. 18/14</i></p> <p><i>Amendments published for comment Nov. 27/14</i></p> <p><i>Amendments published for comment Dec. 11/14</i></p> <p><i>Commission approval of amendments published Feb. 19/15</i></p> <p><i>Minister's approval published April 30, 2015</i></p> <p><i>Minister's approval published April 30, 2015</i></p> <p><i>Minister's approval published April 30, 2015</i></p> <p><i>Minister's approval published April 30, 2015</i></p> <p><i>Minister's approval published April 30, 2015</i></p> <p><i>Minister's approval published April 30, 2015</i></p> <p><i>25-101</i></p>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
45-106	Prospectus Exemptions (cont'd) (2015) 38 OSCB 7573 (2015) 38 OSCB 7573 (2015) 38 OSCB 7551 (2015) 38 OSCB 8277 (2015) 38 OSCB (Supp-3) (2015) 38 OSCB 9329 (2015) 38 OSCB 10109 (2016) 38 OSCB 9 (2016) 39 OSCB 3286 (2016) 39 OSCB 5278	<p><i>Request for comment published Aug. 13/15</i></p> <p><i>Ministerial approval published Sept. 3/15</i></p> <p><i>Commission approval published Sept. 3/15</i></p> <p><i>Commission approval published Sept. 24/15</i></p> <p><i>Commission approval published Oct. 29/15</i></p> <p><i>Ministerial approval of amendments published Nov. 5/15</i></p> <p><i>Ministerial approval of amendments published Dec. 3/15</i></p> <p><i>Ministerial approval of amendments published Jan. 7/16</i></p> <p><i>Commission approval of amendments published April 7/16</i></p> <p><i>Ministerial approval of amendments published June 9/16</i></p>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
45-106	Prospectus Exemptions (cont'd) (2016) 39 OSCB 6199 (2016) 39 OSCB 6616 (2017) 39 OSCB 4999 (2017) 40 OSCB 5815 (2018) 41 OSCB 2570 (2018) 41 OSCB 4483 (2018) 41 OSCB 5785 (2018) 41 OSCB 7729 (2019) 42 OSCB 4045	<p><i>Published July 7, 2016</i></p> <p><i>Ministerial approval published July 21, 2016</i></p> <p><i>Request for comment published June 8/17</i></p> <p><i>Request for comment published July 6/17</i></p> <p><i>Commission approval published Mar. 29/18</i></p> <p><i>Ministerial approval published June 7, 2018</i></p> <p><i>Commission approval published July 19/18</i></p> <p><i>Ministerial approval published Oct. 4/18</i></p> <p><i>Published for second comment March 21/19</i></p> <p><i>Amendments published for comment May 2/19</i></p>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
45-108	Crowdfunding (2014) 37 OSCB (Supp-3) (2015) 38 OSCB (Supp-4) (2016) 39 OSCB 228 (2019) 42 OSCB 4045	<i>Published for comment Mar. 20/14</i> <i>Commission approval published Nov. 5/15</i> <i>Minister's approval published Jan. 14/16</i> <i>Amendments published for comment May 2/19</i>
45-301	Implementation of Multilateral Instrument 45-102 Resale of Securities (2001), 24 OSCB 7110	<i>Expired Dec.31/02</i>
45-302	Frequently Asked Questions Regarding the New Resale Rules (2002), 25 OSCB 3951 (2004), 27 OSCB 3395 (2009), 32 OSCB 7332	<i>Published Jun 28/02</i> <i>Published Apr.2/04</i> <i>Withdrawn Sept. 28/09</i>
45-304	Notice of Local Exemptions Related to NI 45-106 Prospectus and Registration Exemptions and NI 31-103 Registration Requirements and Exemptions (2009), 32 OSCB 9781 (2015) 38 OSCB 4663	<i>Published Nov. 27/09</i> <i>Published revised notice May 21/15</i>
45-305	FAQ Regarding NI 45-106 Prospectus and Registration Exemptions (2005), 28 OSCB 9626 (2009), 32 OSCB 7332	<i>Published Dec.2/05</i> <i>Withdrawn Sept. 28/09</i>
45-307	Regulatory Developments Regarding Securitization (2010) 33 OSCB 5470	<i>Published June 18/10</i>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
45-308	Guidance for Preparing and Filing Reports of Exempt Distribution under National Instrument 45-106 Prospectus and Registration Exemptions (2012) 35 OSCB 4074 (2015) 38 OSCB 5676 (2016) 39 OSCB 3094 (2018) 41 OSCB 5811 (2018) 41 OSCB 6001 (2018) 41 OSCB 6147 (2018) 41 OSCB 7628	<p><i>Published April 26/12</i></p> <p><i>Revised notice published June 25/15</i></p> <p><i>Revised notice published April 7/16</i></p> <p><i>Revised notice published July 19/18</i></p> <p><i>Notice of correction published July 26/18</i></p> <p><i>Notice of correction published Aug. 2/18</i></p> <p><i>Revised notice published October 4/18</i></p>
45-310	Update on CSA Staff Consultation Note 45-401 – Review of Minimum Amount and Accredited Investor Exemptions (2012) 35 OSCB 5319	<p><i>Published June 14/12</i></p>
45-314	Consolidated List of Current CSA Exempt Market Initiatives (2014) 37 OSCB 2821 (2016) 39 OSCB 903	<p><i>Published Mar. 20/14</i></p> <p><i>Revised and published Jan. 28/16</i></p>
45-320	Exemptions for Certain Foreign Issuers from the Requirement to Identify Purchasers as Registrants or Insiders in Reports of Exempt Distribution (2016) 39 OSCB 6154	<p><i>Published for comment July 7/16</i> <i>Withdrawn March 7/19</i></p>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
45-322	Potential Concerns with the Structure of Rights Offerings (2017) 40 OSCB 336	<i>Published Jan. 12/17</i>
45-323	Update on Use of the Rights Offering Exemption in National Instrument 45-106 Prospectus Exemptions (2017) 40 OSCB 3679 (2018) 41 OSCB 6001	<i>Published April 20/17</i> <i>Revised version published July 26/18</i>
45-324	Update on the Start-up Crowdfunding Registration and Prospectus Exemptions (2019), 42 OSCB 1509	<i>Published February 21, 2019</i>
45-325	Filing Requirement and Fee Payable for Exempt Distributions involving Fully Managed Account (2019), 42 OSCB 1111	<i>February 7, 2019</i>
45-401	Review of Minimum Amount and Accredited Investment Exemptions (Public Consultation) (2011) 34 OSCB 11278	<i>Published Nov. 11/11</i>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
45-501	Exempt Distributions (1999), 22 OSCB 197 (2000), 23 OSCB 6205 (2001), 24 OSCB 2183 (2001), 24 OSCB 4247 (2001), 24 OSCB 5544 (2001), 24 OSCB 7011 (2003), 26 OSCB 804 (2003) 26 OSCB 37 (2003) 26 OSCB 867 (2003), 26 OSCB 991 (2003) 26 OSCB 2970 (2003), 26 OSCB 4339 (2003) 26 OSCB 7330 (2003), 26 OSCB 8228 (2004) 27 OSCB 433 (2004), 27 OSCB 3603 (2004) 27 OSCB (Supp 3) (2005) 28 OSCB (Supp 3) 197 (2005) 28 OSCB (Supp-4) 95 (2006) 29 OSCB 9339 (2007) 30 OSCB 8539 (2007) 30 OSCB 10527 (2008), 31 OSCB (Supp-1) (2009), 32 OSCB 4223 (2009) 32 OSCB (Supp-5) (2013) 36 OSCB 4465 (2014) 37 OSCB (Supp-3)	<p><i>Came into force Dec. 22/98</i></p> <p><i>Amendment came into force Mar. 31, 2003</i></p> <p><i>Revoked Jan.12/04</i></p> <p><i>Amendment and restatement came into force Jan.12/04</i></p> <p><i>Amendment came into force Mar. 30/04</i></p> <p><i>Revocation and Replacement Came into Force Sept.14/05 (tied to 45-106)</i></p> <p><i>Amendment came into effect Dec. 31/07</i></p> <p><i>Amendment and restatement published for comment Feb. 29/08</i></p> <p><i>Amendment published for comment May 22/09</i></p> <p><i>Minister's approval of amendment published Sept. 18/09</i></p> <p><i>In force Sept. 28/09</i></p> <p><i>Amendment published for comment April 25/13</i></p>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
45-501	Exempt Distributions (cont'd) (2014) 37 OSCB (Supp-3) (2014) 37 OSCB 10481 (2015) 38 OSCB 343 (2015) 38 OSCB 1178 (2015) 38 OSCB 1182 (2015) 38 OSCB (Supp-1) (2015) 38 OSCB 4156 (2015) 38 OSCB 4167 (2015) 38 OSCB 4196 (2015) 38 OSCB 5795 (2015) 38 OSCB 7571 (2015) 38 OSCB (Supp-3)	<p><i>Amendment published for comment Mar. 20/14</i></p> <p><i>Commission approval published Nov. 27/14</i></p> <p><i>Minister's approval published Jan 15/15</i></p> <p><i>Minister's approval published Feb 5/15</i></p> <p><i>Minister's approval of amendments published April 30/15</i></p> <p><i>Minister's approval of amendments published April 30/15</i></p> <p><i>Minister's approval of amendments published April 30/15</i></p> <p><i>Commission approval of amendments published for comment June 25/15</i></p> <p><i>Ministerial approval published Sept. 3/15</i></p> <p><i>Commission approval of amendments published Oct. 29/15</i></p>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
45-501	Ontario Prospectus and Registration Exemptions (Cont'd) (2016) 39 OSCB 94 (2016) 39 OSCB 344 (2016) 39 OSCB 5283	<i>Minister's approval published Jan 7/16</i> <i>Minister's approval published Jan. 14/16</i> <i>Ministerial approval of amendments published June 9/16</i>
45-502	Dividend or Interest Reinvestment and Stock Dividend Plans (1999) 22 OSCB 117 (2002) 25 OSCB 7837 (2003) 26 OSCB 4339	<i>Came into Force Dec.22/98</i> <i>Amendments Came into Force Dec. 1/02</i> <i>Amendments Came into Force Mar. 31/03 (tied to 13-502 Fees)</i> <i>Revoked Sept.14/05 (tied to 45-106)</i>
45-503	Trades to Employees, Executives and Consultants (2001), 24 OSCB 5567 (2003) 26 OSCB 4339	<i>Revoked Aug.15/03</i>
45-504	Prospectus Exemption for Distributions of Securities to Portfolio Advisers on Behalf of Fully Managed Accounts	<i>Revoked Nov.30/01</i>
45-701	Paragraph 35(2)14 of the Securities Act (Ontario) (2000), 23 OSCB 7589	<i>Withdrawn Sept. 9/05</i>
45-702	Frequently Asked Questions regarding OSC Rule 45-501 Exempt Distributions (2002), 25 OSCB 1716	<i>Withdrawn Sept. 9/05</i>
45-704	Small Business Advisory Committee (2002), 25 OSCB 4207	<i>Withdrawn Feb.10/06</i>
45-705	Interpretation of Section 130.1 of the Securities Act (2003), 26 OSCB 6270	<i>Published Sept.5/03</i>
45-706	OSC Small Business Advisory Committee (2004), 27 OSCB 9954 (2006) 29 OSCB 9148 (2010) 33 OSCB 1518	<i>Published Dec.17/04</i> <i>Revised Nov.24/06</i> <i>Withdrawn Feb. 19/10</i>
45-707	OSC Broadening Scope of Review of Prospectus Exemptions (2012) 35 OSCB 5318	<i>Published June 14/12</i>
45-708	Introduction of Electronic Report of Exempt Distribution on Form 45-106F1	<i>Published June 21/12</i>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
45-709	Tips for Filing Reports of Exempt Distribution (2015) 38 OSCB 4672	<i>Published June 21/2012</i> <i>Revised notice published May 21/15</i>
45-710	Considerations for New Capital Raising Prospectus Exemptions (2012) 35 OSCB 11683	<i>Published for comment Dec.20/12</i>
45-711	Extension of Consultation Period – OSC Staff Consultation Paper 45-710 Considerations for New Capital Raising Prospectus Exemptions (2013) 36 OSCB 1027	<i>Published Jan. 24/13</i>
45-712	Progress Report on Review of Prospectus Exemptions to Facilitate Capital Raising	<i>Published August 28/13</i>
45-713	Reports of Exempt Distribution – Compliance with Filing Requirements (2013) 32 OSCB 11195	<i>Published Nov. 21/13</i>
45-714	Summaries of Exempt Distribution Information (2015) 38 OSCB 8823	<i>Published Oct. 15/15</i>
45-715	2017 Ontario Exempt Market Report	<i>Published June 15, 2017</i>
45-716	2018 Ontario Exempt Market Report (2018) 41 OSCB 9361	<i>Published Nov. 29/18</i>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
45-801	Implementing MI 45-105 Trades to Employees, Senior Officers, Directors, and Consultants (2003), 26 OSCB 7353 (2003) 26 OSCB 7353 (2003) 26 OSCB 6002 (2009) 32 OSCB (Supp-3) (2009) 32 OSCB (Supp-5)	<i>Came into Force Aug.15/03</i> <i>Amendment came into force Nov.18/03</i> <i>Minister's approval of amendments published Sept. 18/09</i> <i>In force Sept. 28/09</i>
45-802	Implementing National Instrument 45-106 Prospectus and Registration Exemptions and Ontario Securities Commission Rule 45-501 Ontario Prospectus and Registration Exemptions (2004), 27 OSCB (Supp)	<i>Came into Force Sept.14/05 (tied to 45-106)</i>
46-201	Escrow for Initial Public Offerings (2002), 25 OSCB 4035 (2014) 37 OSCB 11037 (2015) 38 OSCB 7551 (2015) 38 OSCB 9337 (2019) 42 OSCB 4045	<i>Adopted Jun 30/02</i> <i>Amendments published for comment Dec. 11/14</i> <i>Commission approval published Sept. 3/15</i> <i>Ministerial approval of amendments published Nov. 5/15</i> <i>Amendments published for comment May 2/19</i>
46-301	Escrows - Proposal for Uniform Terms of Escrow Applicable to Initial Public Distributions (2000), 23 OSCB 1936b	<i>Withdrawn Jun 30/02</i>
46-302	Consent to Amend Existing Escrow Agreements (2001), 24 OSCB 3583	<i>Withdrawn Jun 30/02</i>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
46-303	Principal Protected Notes (2006), 29 OSCB 5538	<i>Published Jul.7/06</i>
46-304	Update on Principal Protected Notes (2007), 30 OSCB 6651	<i>Published July 27, 2007</i>
46-305	Second Update on Principal Protected Notes (2008), 31 OSCB 8298	<i>Published Aug. 29/08</i>
46-306	Third Update on Principal Protected Notes (2012) 35 OSCB 8064	<i>Published Aug. 30/12</i>
46-307	Cryptocurrency Offerings (2017) 30 OSCB 7231	<i>Published Aug. 24/17</i>
46-308	Securities Law Implications for Offering of Tokens (2018) 41 OSCB 4685	<i>Published June 14/18</i>
46-309	Bail-in Debt (2018) 41 OSCB 6609	<i>Published Aug. 23/18</i>
46-501	Self-Directed Registered Education Savings Plans (2004), 27 OSCB (Supp)	<i>Revoked Sept.14/05 (tied to 45-106)</i>
47-201	The Use of the Internet and Other Electronic Means of Communication to Facilitate Trading in Securities (2000), 23 OSCB 8062 (2011) 34 OSCB 11829 (2013) 36 OSCB (Supp-4) (2013) 36 OSCB 8040	<p><i>Adopted Jan.1/00</i></p> <p><i>Amendments published for comment Nov. 25/11 (tied to pre-marketing and marketing)</i></p> <p><i>Notice of Commission approval published May 30/13</i></p> <p><i>Commission approval published August 8/13</i></p>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
47-201	Cont'd (2019) 42 OSCB 4045	<i>Amendments published for comment May 2/19</i>
47-302	Pre-Marketing of Underwriters' Options on Bought Deals (2006), 29 OSCB 3334	<i>Published Apr.21/06</i>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
48-501	Trading During Distributions , Formal Bids and Share Exchange Transactions (2003) 26 OSCB 6162 (2004) 27 OSCB 7780 (2005) 28 OSCB 2212 (2005) 28 OSCB 3998 (2009) 32 OSCB (Supp-3) (2009) 32 OSCB (Supp-5) (2014) 37 OSCB (Supp-2) (2015) 38 OSCB (Supp-1)	<p><i>Request for Comment published August 29/03</i></p> <p><i>Second Request for comment published September 10/04</i></p> <p><i>Commission approval published March 4/05</i></p> <p><i>Minister's approval published April 29/05</i></p> <p><i>Commission approval of amendment published July 17/09</i></p> <p><i>Minister's approval of amendment published September 28/09</i></p> <p><i>Request for comment published February 27/14</i></p> <p><i>Commission approval of amendment published February 19/15</i></p> <p><i>Minister's approval of amendments published April 30, 2015</i></p>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
48-501	Trading During Distributions , Formal Bids and Share Exchange Transactions (con''d) (2015) 38 OSCB 4161 (2015) 38 OSCB 9151 (2016) 39 OSCB (Supp-1) (2016) 39 OSCB 4288	<i>Commission approval published Aug. 20/15</i> <i>Ministerial approval published Oct. 29/15</i> <i>Commission approval of amendments published Feb. 25/16</i> <i>Ministerial approval of amendments published May 5/16</i>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
48-701	Notice of Lapse of SEC No-Action Letter regarding US Trading Rules and MJDS Transactions (1997), 20 OSCB 3307	<i>Published Jun 27/97</i>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
51-101	Standards of Disclosure for Oil and Gas Activities (2002), 25 OSCB 534 (2003), 26 OSCB 624 (2003), 26 OSCB 5565 (2003), 26 OSCB 6615 (2005), 28 OSCB 250 (2005), 28 OSCB 4749 (2005), 28 OSCB 7181 (2005), 28 OSCB 8674 (2005), 28 OSCB 10461 (2007) 30 OSCB 551 (2007) 30 OSCB (Supp-5) (2008) 31 OSCB 419 (2009) 32 OSCB 10523 (2010), 33 OSCB 9503 (2010), 33 OSCB 11945 (2011), 34 OSCB (Supp-5) (2012) 35 OSCB (Supp-4) (2013) 36 OSCB 10091	<p><i>Came into Force Sept.30/03</i></p> <p><i>Amendment came into force Dec.30/05 (tied to 44-101)</i></p> <p><i>Amendment Came into Force Sept.19/05 (tied to 11-101 passport)</i></p> <p><i>Amendments published for comment on Jan. 19/07</i></p> <p><i>Amendments came into force Dec.28/07</i></p> <p><i>Amendments published for comment Dec. 18/09</i></p> <p><i>Commission approval of amendments published Oct.15/10</i></p> <p><i>Minister's approval of amendments published Dec. 24/10</i></p> <p><i>Amendments published for comment July 29/11 (tied to NI 51-103)</i></p> <p><i>Amendments tied to NI 51-103 published for comment Sept. 13/12</i></p> <p><i>Amendments published for comment October 17/13</i></p>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
51-101	Standards of Disclosure for Oil and Gas Activities (cont'd) (2014) 37 OSCB 9195 (2014) 37 OSCB 10771 (2015) 38 OSCB 2093 (2015) 38 OSCB 6143 (2019) 42 OSCB 4045	<i>Minister's approval of amendments published Oct. 9/14 (tied to 52-108)</i> <i>Commission approval of amendments published Dec. 4/14</i> <i>Minister's approval published Mar. 5/15</i> <i>Notice of Correction published July 9/15</i> <i>Amendments published for comment May 2/19</i>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
51-102	Continuous Disclosure Obligations (2002), 25 OSCB 3719 (2002) 25 OSCB 6281 (2003), 26 OSCB 4629 (2003), 26/51S3 OSCB (2004), 27 OSCB 3143 (2004), 27 OSCB 5235 (2004), 27 OSCB 7699 (2005) 28 OSCB 4975 (2005), 28 OSCB 8165 (2005) 28 OSCB (Supp-1) (2005), 28 OSCB 8676 (2005), 28 OSCB 9854 (2005), 28 OSCB 10384 (2005), 28 OSCB 10463 (2006), 29 OSCB (Supp-2) (2006), 29 OSCB (Supp-3) (2006), 29 OSCB 9339 (2007) 30 OSCB Supp-1 (2007) 30 OSCB 2877 (2007), 30 OSCB 8539 (2007), 30 OSCB 8570 (2007), 30 OSCB 8592 (2007), 30 OSCB 10499 (2007), 30 OSCB 10512 (2007), 30 OSCB (Supp-7) (2008), 31 OSCB 2015	<p><i>Came into force Mar. 30/04</i></p> <p><i>Amendments came into force Jun 1/05 (tied to 81-106)</i></p> <p><i>Amendments came into force Dec.30/05 (tied to 43-101)</i></p> <p><i>Amendment to 51-102F2 came into force Dec.30/05 (tied to 44-101)</i></p> <p><i>Amendments published for comment Dec.1/06</i></p> <p><i>Amendments Came into Force Dec.29/06</i></p> <p><i>Amendments published for comment Mar. 3/07</i></p> <p><i>Amendments published for comment Dec.22/06 [tied to 41-101 General Prospectus Requirements]</i></p> <p><i>Amendments published for comment Oct.12/07</i></p> <p><i>Commission approval of amendments published Dec.21/07</i></p> <p><i>Amendments came into force Dec.31/07 (tied to NP 48)</i></p>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
51-102	Continuous Disclosure Obligations (continued) (2008), 31 OSC (Supp-1) (2008), 31 OSCB (Supp-2) (2008), 31 OSCB (Supp-3) (2008), 31 OSCB 6571 (2008), 31 OSCB 8931 (2008), 31 OSCB 10455 (2008) 31 OSCB 12047 (2008) 31 OSCB (Supp-1) (2009) 32 OSCB (Supp-5) (2010) 33 OSCB 6353	<p><i>Amendments came into force Dec.31/07</i></p> <p><i>Amendments published for comment Feb. 22/08 (Executive Compensation)</i></p> <p><i>Amendments published for comment Feb. 29/08 (tied to NI 45-106)</i></p> <p><i>Amendments in force Mar. 17/08</i></p> <p><i>Amendments published for comment April 18, 2008 (tied to NI 52-109)</i></p> <p><i>Amendments in force July 4/08</i></p> <p><i>Commission approval of amendments published Sept. 19/08</i></p> <p><i>Minister's approval of amendments published Oct. 24/08</i></p> <p><i>Minister's approval of amendments published Dec. 19/08</i></p> <p><i>Amendments published for comment July 16/10</i></p>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
51-102	Continuous Disclosure Obligations (continued) (2008) 31 OSCB (Supp-1) (2009) 32 OSCB (Supp-5) (2009) 32 OSCB 7581 (2010) 33 OSCB (Supp-3) (2010) 33 OSCB 10723 (2010) 33 OSCB (Supp-5) (2011) 34 OSCB 3249 (2011) 34 OSCB 3812 (2011) 34 OSCB (Supp-2)	<p><i>Amendments published for comment Feb 29/09</i></p> <p><i>Minister's approval of amendments published Sept. 18/09</i></p> <p><i>In force Sept. 28/09</i></p> <p><i>Amendments published for comment Sept. 25/09</i></p> <p><i>Commission approval of IFRS amendments published Oct.1/10</i></p> <p><i>Amendments published for comment Nov. 19/10</i></p> <p><i>Minister's approval of IFRS amendments published Dec. 10/10</i></p> <p><i>Amendments tied to NI 25-101 published for comment Mar. 18/11</i></p> <p><i>Amendments published for comment April 1/11</i></p> <p><i>Commission approval of Amendments published April 8/2011 (tied to 43-101)</i></p>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
51-102	Continuous Disclosure Obligations (continued) (2011) 34 OSCB 6769 (2011), 34 OSCB (Supp-4) (2011) 34 OSCB 8047 (2011) 34 OSCB (Supp-5) (2011), 34 OSCB 11499 (2012) 35 OSCB 913 (2012) 35 OSCB 3294 (2012) 35 OSCB 6887 (2012) 35 OSCB (Supp-4)	<p><i>Amendments published for comment June 17/11 (tied to NI 54-101)</i></p> <p><i>Amendments published for comment July 15/11 (tied to NI 41-101)</i></p> <p><i>Commission approval of amendments published July 22/11</i></p> <p><i>Amendments published for comment July 29/11 (tied to NI 51-103)</i></p> <p><i>Notice of Minister's approval of amendments to 51-102F6 published Nov. 18/11</i></p> <p><i>Commission approval of amendments to NI 25-101 published Jan. 27/12</i></p> <p><i>Minister's approval of amendments published April 6/12 (tied to NI 25-101)</i></p> <p><i>Amendments tied to NI 25-101 published for comment July 26/12</i></p> <p><i>Amendments tied to NI 51-103 published for comment Sept. 13/12</i></p>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
51-102	Continuous Disclosure Obligations (continued) (2012) 35 OSCB 10709 (2013) 36 OSCB (Supp-2) (2013) 36 OSCB 2619 (2013) 36 OSCB 2643 (2013) 36 OSCB 4747 (2013) 36 OSCB 5045 (2013) 36 OSCB 5271 (2013) 36 OSCB 10147 (2014) 37 OSCB (Supp2) (2014) 37 OSCB 51105	<p><i>Commission approval of amendments published Nov. 29/12 (tied to 54-101)</i></p> <p><i>Commission approval of amendments published Feb. 28/13</i></p> <p><i>Commission approval of amendments published March 14/13 (tied to 25-101)</i></p> <p><i>Amendments published for comment March 14/13 (tied to 62-105)</i></p> <p><i>Ministerial approval of amendments published May 9/13</i></p> <p><i>Notice of Correction published May 16/13</i></p> <p><i>Ministerial approval published May 23/13</i></p> <p><i>Amendments published for comment October 17/13 (tied to 52-108)</i></p> <p><i>Amendments published for comment Feb. 27/14</i></p> <p><i>Amendments published for comment May 22/14</i></p>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
51-102	Continuous Disclosure Obligations (continued) (2014) 37 OSCB 6753 (2014) 37 OSCB 9195 (2014) 37 OSCB 11037 (2015) 38 OSCB (Supp-1) (2015) 38 OSCB 3379 (2015) 38 OSCB 4155 (2015) 38 OSCB 5035 (2015) 38 OSCB 7551 (2015) 38 OSCB 9330 (2017) 40 OSCB 5815 (2018) 41 OSCB 2570	<p><i>Commission approval published July 17/14</i></p> <p><i>Minister's approval published Oct.9/14</i></p> <p><i>Amendments published for comment Dec. 11/14</i></p> <p><i>Commission approval published Feb. 19/15</i></p> <p><i>Commission approval of amendments published April 9/15</i></p> <p><i>Minister's approval of amendments published April 30/15</i></p> <p><i>Minister's approval of amendments published June 4/15</i></p> <p><i>Commission approval published Sept. 3/15</i></p> <p><i>Ministerial approval of amendments published Nov. 5/15</i></p> <p><i>Published for comment July 6/17</i></p> <p><i>Commission approval published Mar. 29/18</i></p>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
51-102	Continuous Disclosure Obligations (continued) (2018) 41 OSCB 4483 (2019) 42 OSCB 4045 (2019) 42 OSCB 7279	<p><i>Ministerial approval published June 7, 2018</i></p> <p><i>Amendments published for comment May 2/19</i></p> <p><i>Request for comment published September 5/19</i></p>
51-103	Ongoing Governance and Disclosure Requirements for Venture Issuers (2011) 34 OSCB (Supp-5) (2012) 35 OSCB (Supp-4)	<p><i>Published for comment July 29/11</i></p> <p><i>Published for second comment Sept. 13/12</i></p>
51-106	Continuous Disclosure Requirements for Securitized Products (2011) 34 OSCB 3811	<p><i>Published for comment April 1, 2011</i></p>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
51-201	Disclosure Standards (2002), 25 OSCB 4459 (2011), 34 OSCB (Supp-5) (2012) 35 OSCB 6887 (2013) 36 OSCB 2619 (2019) 42 OSCB 4045	<p>Adopted Jul.12/02</p> <p>Amendment published for comment Dec.1/06</p> <p>Amendment came into force Dec.31/07</p> <p>Amendments published for comment July 29/11 (tied to NI 51-103)</p> <p>Amendments published for comment July 26/12 (tied to NI 25-101)</p> <p>Amendments published for comment Sept. 13/12 (tied to NI 51-103)</p> <p>Commission approval of amendments published March 14/13 (tied to 25-101)</p> <p>Amendments published for comment May 2/19</p>
51-301	Conversion of Corporate Issuers to Trusts (1997), 20 OSCB 5134 (2010) 33 OSCB 1518	<p>Published Oct.10/97</p> <p>Withdrawn Feb. 19/10</p>
51-302	The Year 2000 Challenge - Disclosure Issues (1998), 21 OSCB 582	<p>Withdrawn Apr.20/01</p>
51-303	CSA Follow-up of Inadequate Year 2000 Disclosure (1998) 21 OSCB 1159a	<p>Withdrawn Apr.20/01</p>
51-304	Report on Staff's Review of Executive Compensation Disclosure (2002) 25 OSCB 7277	<p>Published Nov.8/02</p>
51-305	Canadian Capital Markets Association – Corporate Actions and Other Entitlements White Paper – October 2002 (2002), 25 OSCB 5971 (2010) 33 OSCB 1518	<p>Published Nov.29/02</p> <p>Withdrawn Feb. 19/10</p>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
51-306	Status of Proposed Continuous Disclosure (2003), 26 OSCB 524	<i>Published Jan.24/03</i> <i>Withdrawn Nov. 7/03</i>
51-307	Status of Proposed Continuous Disclosure Rule (2003), 26 OSCB 7241	<i>Withdrawn Mar. 3/06</i>
51-308	Filing of Management's Discussion and Analysis and National Instrument 51-102 Continuous Disclosure Obligations (2003), 26 OSCB 8151	<i>Published Dec.12/03</i> <i>Withdrawn Oct 13/06</i>
51-309	Acceptance of Certain Foreign Professional Boards as a "Professional Organization" – National Instrument 51-101 Standards of Disclosure for Oil and Gas Activities (2004), 27 OSCB 1128 (2004), 27 OSCB 5621	<i>Published Jan.23/04</i> <i>Revised and published Jun 11/04</i> <i>Revised and published Mar. 9/07</i>
51-310	Report on Staff's Continuous Disclosure Review of Income Trust Issuers (2004), 27 OSCB 1847	<i>Published Feb.13/04</i>
51-311	Frequently Asked Questions Regarding National Instrument 51-102 Continuous Disclosure Obligations (2004), 27 OSCB 3137 REVISED Frequently Asked Questions Regarding National Instrument 51-102 Continuous Disclosure Obligations (2004), 27 OSCB 4148 (2004), 27 OSCB 5781 (2005), 28 OSCB 1527 (2007), 30 OSCB 4119	<i>Published Mar. 26/04</i> <i>Published Apr.23/04</i> <i>Published Jun 18/04</i> <i>Published Feb.11/05</i> <i>Published May 4, 2007</i>
51-312	Harmonized Continuous Disclosure Review Program (2004), 27 OSCB 6475	<i>Published Jul.16/04</i>
51-313	Frequently Asked Questions – National Instrument 51-101 Standards of Disclosure for Oil and Gas Activities (2004), 27 OSCB 3909	<i>Published Apr.16/04</i> <i>Withdrawn Oct. 12/07</i>
51-314	Retirement Benefits Disclosure (2005), 28 OSCB 579	<i>Published Jan.14/05</i> <i>Withdrawn Dec. 31/08</i>
51-316	Continuous Disclosure Review of Smaller Issuers (2005), 28 OSCB 9808	<i>Published Dec.9/05</i>
51-317	National Instrument 51-101 <i>Standards of Disclosure for Oil and Gas Activities</i> Application of Canadian Oil and Gas Evaluation Handbook (2006), 29 OSCB 1627	<i>Published Feb.24/06</i> <i>Withdrawn Oct. 12/07</i>
51-319	Report on Staff's Second Continuous Disclosure Review of Income Trust Issuers (2006), 29 OSCB 6272	<i>Published Aug.4/06</i>
51-320	Options Backdating (2006), 29 OSCB 7190	<i>Published Sept.8/06</i>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
51-321	Questions and Answers Concerning Resources and Possible Reserves – NI 51-101 Standards of Disclosure for Oil and Gas Activities (2006), 29 OSCB 8974	Published Nov.17/06 Withdrawn Oct. 12/07
51-322	Reporting Issuer Defaults (2007), 30 OSCB 4	Published Jan.5/07
51-323	XBRL Filing Program and Request for Volunteers (2007), 30 OSCB 510	Published Jan. 19/07
51-324	Glossary to NI 51-101 Standards of Disclosure for Oil and Gas Activities (2008), 31 OSCB 6 (2010), 33 OSCB 11927 (2014) 37 OSCB 10675	Published Jan. 4/08 Revised version published Dec. 24/10 Revised version published Dec. 4/14
51-325	Status of Proposed Repeal and Substitution of Form 51-102F6 Statement of Executive Compensation (2007), 30 OSCB 7445	Published Aug. 31/07 Withdrawn Dec. 31/08

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
51-326	Continuous Disclosure Review Program Activities for Fiscal 2008 (2008), 31 OSCB 7891	<i>Published Aug. 15/08 Withdrawn Sept. 12/13</i>
51-327	Oil and Gas Disclosure: Resources Other Than Reserves Data (2009), 31 OSCB 1774 (2010), 33 OSCB 11920 (2012), 35 OSCB 616 (2014) 37 OSCB 10695	<i>Published Feb. 27/09 Revised version published Dec. 24/10 Revised version published Dec. 29/11 (website) Revised version published Jan. 20/12 Revised version published Dec. 4/14</i>
51-328	Continuous Disclosure Considerations Related to Current Economic Conditions (2009), 32 OSCB 275	<i>Published Jan. 9/09</i>
51-329	Continuous Disclosure review Program Activities for the fiscal year ended March 31, 2009 (2009), 32 OSCB 32 5871	<i>Published Jul. 24/09 Withdrawn Sept. 12/13</i>
51-330	Guidance Regarding the Application of Forward-looking Information Requirements under NI 51-102 Continuous Disclosure Obligations (2009), 32 OSCB 9607	<i>Published Nov. 20/09</i>
51-331	Report on Staff's Review of Executive Compensation Disclosure (2009), 32 OSCB 9599	<i>Published Nov. 20/09</i>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
51-332	Continuous Disclosure Review Program Activities for the fiscal year ended March 31, 2010 (2010) 33 OSCB 6145	Published July 9, 2010 Withdrawn Dec. 1/16
51-333	Environmental Reporting Guidance – October 27, 2010	Published Oct. 22/10
51-334	Continuous Disclosure Review Program Activities for the fiscal year ended March 31, 2011 (2011) 34 OSCB 7763	Published July 15/11 Withdrawn Dec. 1/16
51-336	Issuers Using Mass Advertising (2011), 34 OSCB 9528	Published Sept. 16/11
51-337	Continuous Disclosure Review Program Activities for the fiscal year ended March 31, 2012 (2012) 35 OSCB 7587	Published Aug. 16/12 Withdrawn Dec. 1/16
51-338	Continuous Disclosure and Prospectus Requirements Relating to Documents Prepared under the U.S. Securities and Exchange Act of 1934 (2013) 36 OSCB 2243	Published March 7/13
51-339	Continuous Disclosure Review Program Activities for the fiscal year ended March 31, 2013 (2013) 36 OSCB 7358	Published July 24/13
51-340	Update on Proposed NI 51-103 Ongoing Governance and Disclosure Requirements for Venture Issuers (2013) 36 OSCB 7358	Published July 25/13
51-341	Continuous Disclosure Review Program Activities for the Fiscal Year Ended March 31, 2014 (2014) 37 OSCB 6661	Published July 3/14
51-401	CSA Notice and Request for Comment: Concept Proposal for an Integrated Disclosure System (2000), 23 OSCB 633 (2010) 33 OSCB 1518	Published for comment Jan.28/00 Withdrawn Feb. 19/10
51-342	Staff Review of Issuers Entering into Medical Marijuana Business Opportunities (2015) 38 OSCB 1843	Published March 26/15
51-344	Continuous Disclosure Review Program Activities for the fiscal year ended March 31, 2015 (2015) 38 OSCB 6343	Published July 16/15
51-345	Disclosure of Abandonment and Reclamation Costs in NI 51-101 Standards of Disclosure for Oil and Gas Activities and Related Forms (2015) 38 OSCB 9255	Published Nov. 5/15
51-346	Continuous Disclosure Review Program Activities for the fiscal year ended March 31, 2016 (2016) 39 OSCB 6599	Published July 21, 2016
51-347	Disclosure of cyber security risks and incidents (2017) 40 OSCB 605	Published Jan. 19/17
51-348	Staff's Review of Social Media Used by Reporting Issuers (2017) 40 OSCB 2061	Published March 9/17
51-349	Report on the Review of Investment Entities and Guide for Disclosure Improvements (2017) 40 OSCB 2333	Published March 16/17
51-350	Extension of Consultation period – CSA Consultation Paper 51-404 Considerations for Reducing Regulatory Burden for Non-Investment Fund Reporting Issuers (2017) 40 OSCB 5263	Published June 22/17

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
51-351	Continuous Disclosure Review Program Activities for the fiscal year ended March 31, 2017 (2017) 40 OSCB 6586	Published July 27, 2017
51-352	Issuers with U.S. Marijuana-Related Activities (2017) 40 OSCB 8494 (2018) 41 OSCB 1273	Published Oct. 19, 2017 Published Feb. 15/18
51-353	Update on CSA Consultation Paper 51-404 Considerations for Reducing Regulatory Burden for Non-Investment Fund Reporting issuers (2018) 41 OSCB 2505	Published Mar. 29/18
51-354	Report on climate change related Disclosure Project (2018) 41 OSCB 2759	Published Apr. 5/18
51-355	Continuous Disclosure Review Program Activities for the fiscal years ended March 31, 2018 and March 31, 2017 (2018) 41 OSCB 5852	Published July 19/18
51-356	Problematic promotional activities by issuers (2018) 41 OSCB 9357	Published Nov. 29/18
51-357	Staff Review of Reporting Issuers in the Cannabis Industry (2018) 41 OSCB 7877	Published Oct. 11/18
51-358	Reporting of Climate Change-related Risks (2019) 42 OSCB 6615	Published Aug. 8/19
51-402	CSA Notice and Request for Comment: Illegal Insider Trading in Canada: Recommendations on Prevention, Detection and Deterrence Report (2003), 26 OSCB 7849 (2010) 33 OSCB 1518	Published Dec.5/03 Withdrawn Feb. 19/10
51-403	Tailoring Venture issuer Regulation	Published for comment May 31, 2010
51-404	Considerations for Reducing Regulatory Burden for Non-Investment Fund Reporting Issuers (2017) 40 OSCB 2987	Published for comment Apr. 6/17
51-501	Annual Information Form and Management's Discussion and Analysis of Financial Condition and Results of Operation (2000), 23 OSCB 8365a (2001), 24 OSCB 7417 (2003), 26 OSCB 4735 (2004), 27 OSCB 3143 (2005) 28 OSCB 2234	Came into Force Jan. 1/01 Amendment came into force Dec. 31/01 Came into Force Mar. 30/04 Came into Force May 16/05 Revoked May 30/06

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
51-503	Supplementary SEC Filings (2001), 24 OSCB 6083	<i>Published for comment Oct.12/01</i>
51-601	Reporting Issuer Defaults – (2005), 28 OSCB 4706 (2010), 33 OSCB (Supp-3) (2010), 33 OSCB (Supp-5) (2011), 45 OSCB (Supp-5) (2012) 35 OSCB (Supp-4)	<i>Adopted May 17/05</i> <i>Amendment and restatement adopted Dec.15/06</i> <i>Commission approval of IFRS amendments published Oct. 1/10</i> <i>Commission approval of IFRS amendments published Dec. 10/10</i> <i>Amendments published for comment July 29/11 (tied to NI 51-103)</i> <i>Amendments published for comment Sept. 13/12 (tied to NI 51-103)</i>
51-603	Reciprocal Filings (2004), 27 OSCB 3392	<i>Rescinded Mar. 30/04</i>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
51-604	Defence for Misrepresentations in Forward-Looking Information (2006), 29 OSCB 4571 (2008), 31 OSCB 9543 (2010), 33 OSCB (Supp-3) (2010), 33 OSCB (Supp-5)	<i>Published for comment Jun 2/06</i> <i>Published in final Oct. 3/08</i> <i>Commission approval of IFRS amendments published Oct. 1/10</i> <i>Commission approval of IFRS amendments published Dec. 10/10</i>
51-703	Implementation of Reporting Issuer Continuous Disclosure Review Program (2000), 23 OSCB 4123 (2010) 33 OSCB 1518	<i>Published Jun 16/00</i> <i>Withdrawn Feb. 19/10</i>
51-705	Notice of Commission Intention to Allow Rule to Lapse: In the Matter of Certain Trades in Securities of Junior Resource Issuers	<i>Withdrawn Feb.10/06</i>
51-706	Corporate Finance Report (2005), 28 OSCB 10074 (2006), 29 OSCB 8367 (2007), 30 OSCB 9049 (2008), 31 OSCB 8692 (2009), 32 OSCB 9981 (2010), 33 OSCB 9802	<i>Renamed and Published Dec.23/05</i> <i>Revised and published Oct.27/06</i> <i>Revised and published Nov. 2/07</i> <i>Revised and published Sept. 12/08</i> <i>Revised and published Dec. 4/09</i> <i>Revised and published Oct. 22./10</i>
51-707	OSC Continuous Disclosure Advisory Committee (2002), 25 OSCB 2489	<i>Withdrawn Feb.10/06</i>
51-708	Continuous Disclosure Program Report (2002), 25 OSCB 5555 (2010) 33 OSCB 1518	<i>Renamed and renumbered 51-706 Dec.23/05</i> <i>Withdrawn Feb. 19/10</i>
51-709	Refiling Documents as a Result of Regulatory Reviews (2002), 25 OSCB 6956	<i>Withdrawn May 27/05</i>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
51-711	Refiling and Corrections of Errors (2003), 26 OSCB 4 (2005), 28 OSCB 4707 (2018) 41 OSCB 1803	<i>Published Jan.3/03</i> <i>Revised and Published May 27/05</i> <i>Revised and Published Mar. 8/18</i>
51-712	Corporate Finance Review Program Report – August 2003 (2003), 26 OSCB 6123 (2010) 33 OSCB 1518	<i>Renamed and renumbered 51-706 Dec.23/05</i> <i>Withdrawn Feb. 19/10</i>
51-713	Report on Staff's Review of MD&A (2004), 27 OSCB 715	<i>Published Jan.16/04</i>
51-714	OSC Continuous Disclosure Advisory Committee (2004), 27 OSCB 4629 (2006), 29 OSCB 4297 (2008), 31 OSCB 5380	<i>Published May 14/04</i> <i>Revised and published May 26/06</i> <i>Revised and published May 20/08</i>
51-715	Corporate Finance Review Program Report – October 2004 (2004), 27 OSCB 8653 (2010) 33 OSCB 1518	<i>Renamed and renumbered 51-706 Dec.23/05</i> <i>Withdrawn Feb. 19/10</i>
51-716	Environmental Reporting (2008), 31 OSCB 2223	<i>Published Feb. 29/08</i>
51-717	Corporate Governance and Environmental Disclosure (2009), 32 OSCB 10459	<i>Published Dec. 18/09</i>
51-718	Key Considerations Relating to an Auditor's Involvement with Interim Financial Reports (2011) 34 OSCB 5788	<i>Published May 20/11</i>
51-719	Emerging Markets Issuer Review (2012) 35 OSCB 3004	<i>Published March 30/12</i>
51-720	Issuer Guide for Companies Operating in Emerging Markets (2012) 35 OSCB 10230	<i>Published Nov. 15/12</i>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
51-721	OSC Forward Looking Disclosure (2013) 36 OSCB 5907	<i>Published June 13/13</i>
51-722	Report on a Review of Mining Issuers' Management's Discussion and Analysis and Guidance (2014) 37 OSCB 1361	<i>Published Feb. 6/14</i>
51-723	Report on Staff's Review of Related Party Transaction Disclosure and Guidance	<i>Published Jan. 29/15</i>
51-724	Report on Staff's Review of REIT Distributions Disclosure (2015) 38 OSCB 845	<i>Published Jan. 29/15</i>
51-725	Corporate Finance Branch – 2014-2015 Annual Report (2015) 38 OSCB 6362	<i>Published July 16/15</i>
51-726	Report on Staff's Review of Insider Reporting and User Guides for Insiders and Issuers (2016) 39 OSCB 1461	<i>Published February 18, 2016</i>
51-727	Corporate Finance Branch – 2015-2016 Annual Report (2016) 39 OSCB 6764	<i>Published July 28, 2016</i>
51-728	Corporate Finance Branch 2016-2017 Annual Report (2017) 40 OSCB 7731	<i>Published Sept. 21/17</i>
51-729	Corporate Finance 2017-18 Annual Report (2018) 41 OSCB 7629	<i>Published Oct. 4/18</i>
51-801	Implementing NI 51-102 Continuous Disclosure Obligations (2006), 29 OSCB (Supp) (2010) 33 OSCB (Supp-3) (2010) 33 OSCB (Supp-5) (2011) 34 OSCB (Supp-5) (2012) 35 OSCB (Supp-4)	<p><i>Came into Force Dec.29/06</i></p> <p><i>Commission approval of IFRS amendments published Oct. 1/10</i></p> <p><i>Minister's approval of IFRS amendments published Dec. 10/10</i></p> <p><i>Amendments published for comment July 29/11 (tied to NI 51-103)</i></p> <p><i>Amendments published for comment Sept. 13/12 (tied to NI 51-103)</i></p>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
51-802	Implementing National Instrument 51-103 Ongoing Governance and Disclosure Requirements for Venture Issuers (2011) 34 OSCB (Supp-5) (2012) 35 OSCB (Supp-4)	<i>Published for comment July 29/11 (tied to NI 51-103)</i> <i>Amendments published for comment Sept. 13/12 (tied to NI 51-103)</i>
51-901	Report of the Toronto Stock Exchange Committee on Corporate Disclosure and Proposed Changes to the Definitions of "Material Fact" and "Material Change" (1997), 20 OSCB 5751	<i>Published Nov.7/97</i>
51-902	Proposal for a Statutory Civil Remedy for Investors in the Secondary Market (1998), 21 OSCB 3335	<i>Published May 29/98</i>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
52-107	Acceptable Accounting Principles, Auditing Standards and Reporting Currency (2003), 26 OSCB 3711 (2004), 27 OSCB 5109 (2006), 29 OSCB (Supp) (2009), 32 OSCB 7581 (2010), 33 OSCB (Supp-3) (2010), 33 OSCB (Supp-5) (2011) 34 OSCB (Supp-4) (2011), 34 OSCB (Supp-5) (2012) 35 OSCB (Supp-4)	<p><i>Came into Force Mar. 30/04</i></p> <p><i>Amendment Came into Force Jun 1/05 (tied to 81-106)</i></p> <p><i>Amendments Came into Force Dec.29/06 (tied to 51-102 Amendments)</i></p> <p><i>Amendments came into force Dec.3/07</i></p> <p><i>Amendments published for comment Sept. 25/09</i></p> <p><i>Commission approval of IFRS amendments published Oct. 1/10</i></p> <p><i>Minister's approval of amendments published Dec. 10/10</i></p> <p><i>Amendments published for comment July 15/11 (tied to NI 41-101)</i></p> <p><i>Amendments published for comment July 29/11 (tied to NI 51-103)</i></p> <p><i>Amendments tied to NI 51-103 published for comment Sept. 13/12</i></p>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
52-107	Acceptable Accounting Principles, Auditing Standards and Reporting Currency (2013) 36 OSCB (Supp-2) (2013) 36 OSCB 4747 (2013) 36 OSCB 5045 (2013) 36 OSCB (Supp-7) (2014) 37 OSCB (Supp2) 2014) 37 OSCB (Supp-3) (2014) 37 OSCB (Supp-5) (2015) 38 OSCB 341 (2015) 38 OSCB (Supp-1)	<p><i>Commission approval of amendments published Feb.28/13</i></p> <p><i>Ministerial approval of amendments published May 9/13</i></p> <p><i>Notice of Correction published May 16/13</i></p> <p><i>Amendments published for comment Dec.5/13 (tied to 31-103)06</i></p> <p><i>Amendments published for comment Feb. 27/14</i></p> <p><i>Amendment published for comment Mar. 20/14</i></p> <p><i>Commission approval of amendments published Oct. 16/14</i></p> <p><i>Ministerial approval of amendments published Jan 15/15</i></p> <p><i>Commission approval published Feb. 19/15</i></p>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
52-107	Acceptable Accounting Principles, Auditing Standards and Reporting Currency (2015) 38 OSCB 4155 (2015) 38 OSCB (Supp-3) (2016) 39 OSCB 81	<i>Minister's approval published April 30/15</i> <i>Commission approval published Oct. 29/15</i> <i>Minister's approval published Jan.7/16</i>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
52-108	Auditor Qualifications (2003), 26 OSCB 4884 (2007), 30 OSCB 8595 (2008), 31 OSCB 6575 (2013) 36 OSCB 10147 (2014) 37 OSCB 6753 (2014) 27 OSCB 9145	<i>Came into Force Mar. 30/04</i> <i>Amendment published for comment Oct.12/07</i> <i>Amendments in force July 4/08</i> <i>Repeal and Replacement published for comment October 17/13</i> <i>Commission approval published July 17/14</i> <i>Minister's approval published October 9, 2014</i>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
52-109	Certification of Disclosure in Companies' Annual and Interim Filings (2003), 26 OSCB 4884 (2004), 27 OSCB 9418 (2005), 28 OSCB 1187 (2007), 30 OSCB 2877 (2007), 30 OSCB 10506 (2008), 31 OSCB (Supp-3) (2008), 31 OSCB 7947 (2008) 31 OSCB 10435 (2009) 32 OSCB 7581 (2010) , 33 OSCB (Supp-3) (2010) , 33 OSCB (Supp-5) (2011), 34 OSCB 3811	<p><i>Came into Force Mar. 30/04</i></p> <p><i>Amendment Came into Force Jun 6/05</i></p> <p><i>Proposed repeal and replacement published for comment Feb.4/05</i></p> <p><i>Amendment came into force Dec.3/07</i></p> <p><i>Proposed repeal and replacement published for comment Apr. 18/08</i></p> <p><i>Commission approval of proposed repeal and replacement published Aug. 15/08</i></p> <p><i>Minister's approval of repeal and replacement published Oct. 24/08</i></p> <p><i>Amendments published for comment Sept. 25/09</i></p> <p><i>Commission approval of IFRS Amendments published Oct. 1/10</i></p> <p><i>Minister's approval of Amendments published Dec. 10/10</i></p> <p><i>Amendments published for comment April 1, 2011 (tied to 41-103)</i></p>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
52-109	Certification of Disclosure in Companies' Annual and Interim Filings (Cont'd) 2011, 34 OSCB (Supp-5) (2012) 35 OSCB (Supp-4) (2014) 37 OSCB 11037 (2015) 38 OSCB 7551 (2015) 38 OSCB 9331	<i>Amendments published for comment July 29/11 (tied to NI 51-103)</i> <i>Amendments tied to NI 51-103 published for comment Sept. 13/12</i> <i>Amendments published for comment Dec. 11/14</i> <i>Commission approval published Sept. 3/15</i> <i>Ministerial approval of amendments published Nov. 5/15</i>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
52-110	Audit Committees (2003), 26 OSCB 4884 (2004), 27 OSCB 8807 (2007) 30 OSCB 2969 (2008) 31 OSCB1050 (2008) 31 OSCB 6576 (2008) 31 OSCB 12158 (2010) 33 OSCB (Supp-3) (2010) 33 OSCB (Supp-5) (2011), 34 OSCB (Supp-5) (2012) 35 OSCB (Supp-4) (2014) 37 OSCB 5105	<p><i>Came into Force Mar. 30/04</i></p> <p><i>Amendments Came into Force Jun 30/05</i></p> <p><i>Amendments published for comment Mar. 30/07</i></p> <p><i>Amendments in force Mar. 17/08</i></p> <p><i>Amendments in force July 4/08</i></p> <p><i>Proposal to revoke and replace published Dec. 19/08</i></p> <p><i>Notice of Commission approval of amendments published Oct. 1/10</i></p> <p><i>Minister's approval of amendments published Dec. 10/10</i></p> <p><i>Amendments published for comment July 29/11 (tied to NI 51-103)</i></p> <p><i>Amendments tied to NI 51-103 published for comment Sept. 13/12</i></p> <p><i>Amendments published for comment May 22/14</i></p>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
52-110	Audit Committees (cont'd) (2014) 37 OSCB 11037 (2015) 38 OSCB 3379 (2015) 38 OSCB 5035 (2015) 38 OSCB 7551 (2015) 38 OSCB 9332	Amendments published for comment Dec. 11/14 Commission approval published April 9/15 Minister's approval of amendments published June 4/15 Commission approval published Sept. 3/15 Ministerial approval of amendments published Nov. 5/15
52-111	Reporting on Internal Control over Financial Reporting (2005), 28 OSCB 1187	Published for comment Feb.4/05 Not proceeding
52-112	Non-GAAP and Other Financial Measures Disclosure (2018) 41 OSCB 7013	Published for comment Sept. 6/18
52-302	Dual Reporting of Financial Information (2000), 23 OSCB 905	Withdrawn Mar. 30/04
52-303	Non-GAAP Earnings Measures (2002), 25 OSCB 112	Withdrawn Nov.21/03
52-304	Application of National Policy statement 31 – <i>Change of Auditor of a Reporting Issuer</i> and National Instrument 81-102 <i>Mutual Funds</i> for Reporting Issuers with Arthur Andersen LLP – Canada as their former auditor (2002) 25 OSCB 5552	Withdrawn Mar. 3/06
52-305	Optional Use of US GAAP and US GAAS by SEC Issuers (2003) 26 OSCB 3347	Withdrawn Mar. 3/06

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
52-306	Non-GAAP Financial Measures (2006) 29 OSCB 6269	<i>Withdrawn Nov.21/03</i>
52-306	Non-GAAP Financial Measures (Revised) (2003), 26 OSCB 7572 (2006), 29 OSCB 6269 (2010), 33 OSCB 10349 (2012), 35 OSCB 1630 (2015) 39 OSCB 229	<i>Published Nov.21/03</i> <i>Revised and Published Aug.4/06</i> <i>Revised and Published Nov. 12/10</i> <i>Revised and published Feb. 17/12</i> <i>Revised and published Jan. 14/16</i>
52-307	Auditor Oversight and Financial Statements Accompanied by an Audit Report Dated on or after Mar. 30, 2004 (2003), 26 OSCB 7850	<i>Published Dec.5/03</i>
52-308	Status of Proposed Instrument Regarding Reporting on Internal Control over Financial Reporting (2004) 27 OSCB 8519	<i>Withdrawn Mar. 10/06</i>
52-309	Multilateral Instrument 52-110 Audit Committees Compliance Review (2005), 28 OSCB 4172	<i>Published May 6/05</i>
52-310	CSA Notice Regarding Proposed Timing of Proposed Multilateral Instrument 52-111 and Companion Policy 52-111CP Reporting on Internal Control over Financial Reporting (2005), 28 OSCB 6377	<i>Withdrawn Mar. 10/06</i>
52-311	CSA Staff Notice Regarding the Required Forms of Certificates under MI 52-109 Certification of Disclosure in Issuers' Annual and Interim Filings (2005), 28 OSCB 10051	<i>Published Dec.16/05</i> <i>Withdrawn Dec. 15/08</i>
52-312	Audit Committee Compliance Review (2006), 29 OSCB 259	<i>Published Jan.13/06</i>
52-313	Status of Proposed MI 52-111 Reporting on Internal Control over Financial Reporting and Proposed Amended and Restated MI 52-109 Certification of Disclosure in Issuers' Annual and Interim Filings (2006), 29 OSCB 2011	<i>Withdrawn Mar. 30/07</i>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
52-314	Securities Regulators Want Your Feedback on XBRL (2006), 29 OSCB 5542 (2012) 35 OSCB 5679	Posted on website Jun 29/06 Published Jul.7/06 Withdrawn June 21/12
52-315	Certification Compliance Review (2006), 29 OSCB 7556 (2008), 31 OSCB 11971	Published Sept.22/06 Notice of Addition published Dec. 19/08
52-316	Certification of Design of Internal Control over Financial Reporting (2006), 29 OSCB 7692	Published Sept.29/06 Withdrawn Dec. 15/08
52-317	Timing of Proposed NI 52-109 Certification of Disclosure in Issuers' Annual and Interim Filings (2007), 30 OSCB	Withdrawn Mar. 30/07
52-318	Audit Committee Follow-up Compliance Review (2007) 30 OSCB 5823	Published June 29, 2007
52-319	Status of proposed repeal and replacement of MI 52-109 Certification of Disclosure in Issuer's Annual and Interim filings (2007) 30 OSCB 9640 (2010) 33 OSCB 1518	Published Nov.23/07 Withdrawn Feb. 19/10
52-320	Disclosure of Expected Changes in Accounting Policies Relating to Changeover to International Financial Reporting Standards (2008) 31 OSCB 4744	Published May 9, 2008
52-321	Early adoption of International Financial Reporting Standards, Use of US GAAP and Reference to IFRS-IASB (2008) 31 OSCB 6543	Published Jun 27/08
52-322	Status of Proposed Repeal and Replacement of Multilateral Instrument 52-109 Certification of Disclosure in issuers' Annual and Interim Filings (2008), 31 OSCB 6901	Published Jul. 11/08 Withdrawn Dec. 15/08
52-323	Coming into force of NI 52-109 Certification of Disclosure in Issuers' Annual and Interim Filings and Consequential Policy Amendments (2008) 31 OSCB 11350	Published Nov. 28/08
52-324	Issues relating to changeover to International Financial Reporting (2009) 32 OSCB 4157	Published May 22/09
52-325	Certification Compliance Review (2009) 32 OSCB 7086	Published Sept. 11/09
52-326	IFRS Transition Disclosure Review (2010) 33 OSCB 6642	Published July 23/10
52-327	Certification Compliance Update (2010) 33 OSCB 9427	Published Oct. 15/10
52-328	Disclosures about Accounting Policies in the Year of Changeover to International Financial Reporting Standards (2011) 34 OSCB 4364	Published April 15/2011
52-329	Distribution Disclosures and Non-GAAP Financial Measures in the Real Estate Industry (2018) 41 OSCB 2965	Published April 12/18
52-330	Update on CSA Consultation Paper 52-404 – Approach to Director and Audit Committee Member Independence (2018) 41 OSCB 6007	Published July 26, 2018

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
52-401	Financial Reporting in Canada's Capital Markets (2001), 24 OSCB 1678 (2010) 33 OSCB 1518	<i>Expired Dec.30/01 Withdrawn Feb. 19/10</i>
52-402	Possible Changes to Securities Rules Relating to International Financial Reporting Standards (2008), 31 OSCB 1697	<i>Published Feb. 15/08 Withdrawn Dec. 1/16</i>
52-403	Auditor Oversight – Issues in Foreign Jurisdictions (2017) 40 OSCB 3855	<i>Published April 27, 2017</i>
52-404	Approach to Director and Audit Committee Member Independence (2017) 40 OSCB 8651	<i>Published for comment Oct. 25, 2017</i>
52-501	Financial Statements (2000), 23 OSCB 8372 (2001), 24 OSCB 6088 (2003), 26 OSCB 4735 (2004), 27 OSCB 3392	<i>Came into Force Dec.12/00 (replaces s. 7 to 11 of the Regulation) Amendments Came into Force Mar. 30/04 (tied to 51-102) Revoked May 19/05 (tied to 51-102)</i>
52-701	Initial Report on Staff's Review of Revenue Recognition (2001), 24 OSCB 1483	<i>Published Mar. 9/01</i>
52-708	Staff Accounting Communiqué - Initial Offering Costs of Closed-End Investment Funds (1997) 20 OSCB 6414 (2012) 35 OSCB 5679	<i>Published Dec.5/97 and Retained Withdrawn June 21/12</i>
52-709	Income Statement Presentation of Goodwill Charges (2000), 23 OSCB 1130	<i>Published Feb.18/00 Withdrawn Jan. 1/11</i>
52-713	Report on Staff's Review of Interim Financial Statements and Interim Management's Discussion and Analysis - Feb. 2002 (2002), 25 OSCB 1201	<i>Published Mar. 1/02 Withdrawn Jan. 1/11</i>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
52-717	Certification of Annual and Interim Filings – Venture Issuer Basic Certificates (2007) 30 OSCB 9642	<i>Published Nov. 23/07 Withdrawn Dec. 15/08</i>
52-718	IFRS Transition Disclosure Review (2010) 33 OSCB 1161	<i>Published Feb. 5/10</i>
52-719	Going Concern Disclosure Review (2010), 33 OSCB 11656	<i>Published Dec. 17/10</i>
52-720	Office of the Chief Accountant – Financial Reporting Bulletin – February 2012 (2012), 35 OSCB 1876	<i>Published Feb. 24/12</i>
52-721	Forward Looking Information Disclosure	<i>Published June13/13</i>
52-722	Report on Staff's Review of Non-GAAP Financial Measures and Additional GAAP Measures (2013) 36 OSCB 11773	<i>Published Dec. 12/13</i>
52-723	Office of the Chief Accountant Financial Reporting Bulletin (2016) 39 OSCB 9539	<i>Published Nov. 24/16</i>
53-301	CSA Notice - Task Force on Civil Remedies (1997), 20 OSCB 4614	<i>Withdrawn Dec.21/01</i>
53-302	Proposal for a Statutory Civil Remedy for Investors in the Secondary Market and Response to the Proposed Change to the Definitions of "Material Fact" and "Material Change" (2000), 23 OSCB 7383	<i>Withdrawn Mar. 3/06</i>
53-701	Staff Report on Corporate Disclosure Survey (2000), 23 OSCB 5098	<i>Published July 28/00</i>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
54-101	Communication with Beneficial Owners of Securities of a Reporting Issuer (2002) 25 OSCB 3313 (2005) 28 OSCB 3991 (2010) 33 OSCB 3109 (2010) 33 OSCB (Supp-3) (2010) 33 OSCB (Supp-5) (2011) 34 OSCB 6769 (2012) 35 OSCB 10709 (2013) 36 OSCB 1635 (2019) 42 OSCB 4045	<p><i>Came into force on Jan. 7/02</i></p> <p><i>Published for comment Oct.3/03</i></p> <p><i>Amendments came into force on Feb.9/05</i></p> <p><i>Published for comment Apr. 9/10</i></p> <p><i>Notice of Commission approval of IFRS amendments published Oct. 1/10</i></p> <p><i>Minister's approval of IFRS amendments published Dec. 10/10</i></p> <p><i>Amendments published for comment June 17/11</i></p> <p><i>Commission approval of amendments published Nov. 29/12</i></p> <p><i>Ministerial approval published Feb. 14/13</i></p> <p><i>Amendments published May 2/19</i></p>
54-301	Shareholder Communication – FAQs (2003), 26 OSCB 2641	<p><i>Published Apr.4/03</i></p>
54-302	Update on CSA Consultation Paper 54-401 Review of the Proxy Voting Infrastructure	<p><i>Published November 7, 2013</i></p>
54-303	Progress Report on Review of the Proxy Voting Infrastructure (2015) 38 OSCB 772	<p><i>Published January 29/15</i></p>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
54-304	Final Report on Review of the Proxy Voting Infrastructure and Request for Comments on proposed Meeting Vote Reconciliation (2016) 39 OSCB 2915	<i>Published for comment March 31/16</i>
54-305	Meeting Vote Reconciliation Process (2017) 40 OSCB 851	<i>Published Jan. 26/17</i>
54-401	Review of the Proxy Voting Infrastructure (2013) 36 OSCB 8130	<i>Published for comment August 15/13</i>
54-701	Regulatory Developments Regarding Shareholder Democracy Issues (2011), 34 OSCB 404	<i>Published for comment Jan. 14/11</i>
54-702	Corporate Finance Guidance – Notice and access: Interaction with national Policy 11-201 Electronic Delivery of Documents and the Ontario Business Corporations Act (2013) 36 OSCB 1975	<i>Published Feb. 28/13</i>
55-101	Exemption from Certain Insider Reporting Requirements (2004), 27 OSCB 4631 (2006), 29 OSCB 8441 (2007), 30 OSCB 5263 (2010), 33 OSCB 3673	<i>Repeal and Replacement Came into Force Apr.30/05</i> <i>Amendment published for comment Oct.27/06</i> <i>Came into force on September 10, 2007</i> <i>Proposal to revoke published Dec. 18/08</i> <i>Repealed April 30, 2010</i>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
55-102	System for Electronic Data on Insiders (2001), 24 OSCB 6325 (2003), 26 OSCB 3163 (2007), 30 OSCB 10093 (2008), 31 OSCB 3565 (2008), 31 OSCB 6299 (2013) 36 OSCB 1081 (2013) 36 OSCB 7217 (2013) 36 OSCB 8569 (2013) 36 OSCB 9502	<p><i>Came into Force Oct.29/01, except for s. 2.1, 2.2, 2.4, 3.1 and 3.2, which came into force Nov.13/01</i></p> <p><i>Amendments Came Into Force Apr.29/03</i></p> <p><i>Amendments published for comment Dec. 7/07</i></p> <p><i>Commission approval of amendments published Mar. 28/08</i></p> <p><i>Amendments In Force June 13, 2008</i></p> <p><i>Amendments tied to 13-102 published for comment Jan. 24/13</i></p> <p><i>Commission approval published July 18/13</i></p> <p><i>Revised notice published August 29/13</i></p> <p><i>Minister's approval published October 3, 2013</i></p>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
55-103	Insider Reporting for Certain Derivative Transactions (Equity Monetization) (2003), 26 OSCB 1759 (2010) 33 OSCB 3673	<i>Came into Force Feb.28/04</i> <i>Repealed April 30, 2010</i>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
55-104	Insider Reporting Requirements and Exemptions (2008) 31 OSCB 12117 (2010) 33 OSCB 645 (2010), 33 OSCB 3673 (2011), 34 OSCB 172 (2012) 35 OSCB (Supp-4) (2015) 38 OSCB 3021 (2015) 38 OSCB 5814 (2016) 39 OSCB Supp-1 (2016) 39 OSCB 4280	<p><i>Published for comment Dec. 18/08</i></p> <p><i>Notice of Commission approval published Jan. 22/10</i></p> <p><i>Notice of Ministerial Approval published Apr. 23/10</i></p> <p><i>Amendments published for comment July 29/11 (tied to NI 51-103)</i></p> <p><i>Amendments tied to NI 51-103 published for comment Sept. 13/12</i></p> <p><i>Amendments published for comment April 2/15</i></p> <p><i>Unofficial consolidation published June 25/15</i></p> <p><i>Commission approval of amendments published Feb. 25/16</i></p> <p><i>Commission approval of amendments to CP published May 5/16</i></p>
55-301	Filing Insider Reports By Facsimile and Exemption Where Minimal Connection to Jurisdiction (1997), 20 OSCB 329	<p><i>Withdrawn Nov.13/01</i></p>
55-302	National Instrument 55-102 System for Electronic Disclosure by Insiders (SEDI) Implementation Date Postponed (2000), 23 OSCB 7757	<p><i>Withdrawn Dec.21/01</i></p>
55-303	Extension of Electronic Filing and Reporting Deadlines - Issuer Profile Supplement Filing Deadline Extended to November 19, 2001 and Insider and Issuer Event Reporting Starting December 17, 2001 (2001), 24 OSCB 6535	<p><i>Withdrawn Apr.11/03</i></p>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
55-304	System for Electronic Disclosure by Insiders (SEDI) - Electronic Reporting Deadlines Shifted - Insider and Issuer Event Reporting Start January 21, 2002 (2001), 24 OSCB 7628	<i>Withdrawn Apr.11/03</i>
55-305	System for Electronic Disclosure by Insiders (SEDI) - Interim Requirements for Insiders and Issuers Affected by Suspension of SEDI Operation (2002), 25 OSCB 890	<i>Withdrawn Apr.11/03</i>
55-306	Applications for Relief from the Insider Reporting Requirements by certain Vice-Presidents (2002), 25 OSCB 1577	<i>Withdrawn Mar. 3/06</i>
55-307	Reminder to file paper insider reports using the correct codes (2002), 25 OSCB 1579	<i>Withdrawn Apr.11/03</i>
55-308	Questions on Insider Reporting (2002), 25 OSCB 7438	<i>Published Nov.15/02</i> <i>Withdrawn June 11/10</i>
55-309	Re-Launch of the System for Electronic Disclosure by Insiders (SEDI) and Other Matters Relating to Insider Reporting (2003) 26 OSCB 2792	<i>Withdrawn Mar. 3/06</i>
55-310	Questions and Answers on the System for Electronic Disclosure by Insiders (SEDI) (2003), 26 OSCB 3074	<i>Published Apr.25/03</i> <i>Revised and published Aug.19/05</i>
55-311	System for Electronic Disclosure by Insiders (SEDI) – Issuer Profile Supplement Filing Requirement (2003), 26 OSCB 3498	<i>Withdrawn Mar. 3/06</i>
55-312	Insider Reporting Guidelines for Certain Derivative Transactions (Equity Monetization) (2004), 27 OSCB 2 (2010), 33 OSCB 5205	<i>Published Feb.27/04</i> <i>Revised version published June 11/10</i>
55-314	Use of the terms “senior officer”, “officer” and “insider” in National Instrument 55-101 Insider Reporting Exemptions (2007), 30 OSCB 1606	<i>Published Feb.23/07</i> <i>Withdrawn Apr. 30/10</i>
55-315	Frequently Asked Questions about National Instrument 55-104 Insider Reporting Requirements and Exemptions (2010, 33 OSCB 3910)	<i>Published Apr. 30/10</i>
55-316	Questions and Answers on Insider Reporting and the System for Electronic Disclosure by Insiders (SEDI) (2010, 33 OSCB 5217)	<i>Published June 11/10</i>
55-501	Insider Report Form (1996), 19 OSCB 821	<i>Revoked Nov.13/01</i>
55-502	Facsimile Filing or Delivery of Insider Reports (1998), 21 OSCB 2925	<i>Came into Force May 5/98</i>
55-701	Automatic Securities Disposition Plans and Automatic Securities Purchase Plans (2006), 29 OSCB 4513	<i>Published Jun 2/06</i>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
56-501	Restricted Shares – Amendment (2003), 26 OSCB 4735 (2006), 29 OSCB (Supp) (2007), 30 OSCB (Supp-7) (2008) 31 OSCB (Supp-2) (2015) 38 OSCB 9338	<i>Came into Force Mar. 30/04</i> <i>Amendment Came into Force May 19/05 (tied to 51-102)</i> <i>Amendment published for comment Dec.22/06 [tied to 41-101 General Prospectus Requirements]</i> <i>Commission approval of amendments published Dec.21/07</i> <i>Amendments in force Mar. 17/08</i> <i>Ministerial approval of amendments published Nov. 5/15</i>
57-301	Failing to File Financial Statements on Time - Management Cease Trade Orders (2002), 25 OSCB 1719	<i>Published Mar. 29/02</i> <i>Withdrawn Sept. 1/08</i>
57-302	Consequences of Failure to File Certificates under MI 52-109 Certification of Disclosure of Issuers' Annual and Interim Filings (2004), 27 OSCB 2306	<i>Published Feb.27/04</i> <i>Withdrawn Dec. 15/08</i>
57-303	Frequently Asked Questions regarding Management Cease Trade Orders issued as a consequence of a failure to file financial statements (2005), 28 OSCB 3943	<i>Published Apr.29/05</i> <i>Withdrawn Sept. 1/08</i>
57-603	Defaults by Reporting Issuers in Complying with Financial Statement Filing Requirements (2001), 24 OSCB 2700 (2008) 31 O.S.C.B. 8375	<i>Came into force Apr.27/01</i> <i>Withdrawn Aug. 29/08</i>
57-701	Revocation of Cease Trade Orders	<i>Withdrawn Jun 6/03</i>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
58-101	Disclosure of Corporate Governance Practices (2005) 28 OSCB 5377 (2007) 30 OSCB 10508 (2008) 31 OSCB 1046 (2008) 31 OSCB 12158 (2011), 34 OSCB 8049 (2011), 34 OSCB (Supp-5) (2012) 35 OSCB (Supp-4) (2014) 37 OSCB (Supp-2) (2014) 37 OSCB 9367 (2014) 37 OSCB 11035	<p><i>Came into Force Jun 30/05</i></p> <p><i>Amendments came into force Dec. 31/07</i></p> <p><i>Amendments came into force Mar. 17/08</i></p> <p><i>Proposed repeal and replacement published Dec.19/08</i></p> <p><i>Commission approval of amendments published July 22/11</i></p> <p><i>Amendments published for comment July 29/11 (tied to NI 51-103)</i></p> <p><i>Amendments tied to NI 51-103 published for comment Sept. 13/12</i></p> <p><i>Amendments published for comment Jan. 16/14</i></p> <p><i>Multilateral CSA Notice of Amendments to NI 58-101 Disclosure of Corporate Governance Practices</i></p> <p><i>Minister's approval published Dec. 11/14</i></p>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
58-101	Disclosure of Corporate Governance Practices (2015) 38 OSCB 7551 (2015) 38 OSCB 9333 (2019) 42 OSCB 4045	<i>Commission approval published Sept. 3/15</i> <i>Ministerial approval of amendments published Nov. 5/15</i> <i>Amendments published for comment May 2/19</i>
58-201	Corporate Governance Guidelines (2004), 27 OSCB 712 (2004), 27 OSCB 8806 (2008) 31 OSCB 12158 (2011) 34 OSCB (Supp-5) (2012) 35 OSCB (Supp-4) (2019) 42 OSCB 4045	<i>Adopted Jun 30/05</i> <i>Proposed repeal and replacement published Dec. 19/08</i> <i>Amendments published for comment July 29/11 (tied to NI 51-103)</i> <i>Amendments published for comment Sept. 13/12 (tied to NI 51-103)</i> <i>Amendments published for comment May 2/19</i>
58-301	Extension of Comment Period for Proposed Multilateral Policy 58-201 Effective Corporate Governance and Proposed Multilateral Instrument 58-101 Disclosure of Corporate Governance Practices (2004), 27 OSCB 2682 (2010) 33 OSCB 1518	<i>Published Mar. 12/04</i> <i>Withdrawn Feb. 19/10</i>
58-302	Implementation of Corporate Governance Policy and Related Disclosure Instrument (2005), 28 OSCB 835 (2010) 33 OSCB 1518	<i>Published Jan.21/05</i> <i>Withdrawn Feb. 19/10</i>
58-303	Corporate Governance Disclosure Compliance Review (2007), 30 OSCB 5818	<i>Published June 29, 2007</i>
58-304	Review of NI 58-101 Disclosure of Corporate Governance Practices and NP 58-201 Corporate Governance Guidelines (2007), 30 OSCB 8187	<i>Published September 28, 2007</i> <i>Withdrawn Dec. 19/08</i>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
58-305	Status Report on the Proposed Changes to the Corporate Governance Regime (2009) 32 OSCB 9347	<i>Published Nov. 13/09</i>
58-306	2010 Corporate Governance Disclosure Compliance Review (2010) 33 OSCB 11134	<i>Published Dec. 3/10</i>
58-307	Multilateral Staff Notice 58-307 – Staff Review of Women on Boards and in Executive Officer Positions – Compliance with NI 58-101 Disclosure of Corporate Governance Practices (2015) 38 OSCB 8435	<i>Published Oct. 1/15</i>
58-308	Staff Review of Women on Boards and in Executive Officer Positions – Compliance with NI 58-101 Disclosure of Corporate Governance Practices	<i>Published March 7, 2017</i>
58-309	CSA Multilateral Staff Notice – Staff Review of Women on Boards and in Executive Positions Compliance with NI 58-101 Disclosure of Corporate Governance Practices	<i>Published Nov. 30, 2017</i>
58-310	Report on Fourth Staff Review of Disclosure regarding Women on Boards and in Executive Officer Positions (2018) 41 OSCB 7445	<i>Published Sept. 27/18</i>
58-401	Disclosure Requirements Regarding Women on Boards and in Senior Management (2013) 36 OSCB 7610	<i>Published for comment August 1/13</i>
58-402	Report to Minister of Finance and Minister Responsible for Women’s Issues – Disclosure Requirements Regarding Women on Boards and in Senior Management (2014) 37 OSCB (Supp-1)	<i>Published Jan. 16/14</i>
58-701	Extension of Consultation Period – OSC Staff Consultation Paper 58-401 Disclosure Requirements Regarding Women on Boards and in Senior Management (2013) 36 OSCB 9288	<i>Published Sept. 26/13</i>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
61-101	Protection of Minority Security Holders in Special Transactions (2006), 29 OSCB 6801 (2007), 30 OSCB (Supp-6) (2008), 31 OSCB 1321 (2011), 34 OSCB (Supp-5) (2012) 35 OSCB (Supp-4) (2014) 37 OSCB 11037 (2015) 38 OSCB 3021 (2015) 38 OSCB 7551 (2015) 38 OSCB 9334 (2016) 39 OSCB 4281	<p><i>Published for comment Aug.25/06 (to replace 61-501)</i></p> <p><i>Commission approval published Dec.14/07</i></p> <p><i>In force Feb. 1/08</i></p> <p><i>Amendments published for comment July 29/11 (tied to NI 51-103)</i></p> <p><i>Amendments published for comment Sept. 13/12 (tied to NI 51-103)</i></p> <p><i>Amendments published for comment Dec. 11/14</i></p> <p><i>Amendments published for comment April 2/15</i></p> <p><i>Commission approval published Sept. 3/15</i></p> <p><i>Ministerial approval of amendments published Nov. 5/15</i></p> <p><i>Ministerial approval of amendments published May 5/16</i></p>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
61-101	Protection of Minority Security Holders in Special Transactions (2015) 38 OSCB 10144 (2016) 39 OSCB (Supp-1) (2019) 42 OSCB 4045	<i>Ministerial approval of amendments published Dec. 3/15</i> <i>Commission approval of amendments published Feb. 25/16</i> <i>Amendments published for comment May 2/19</i>
61-301	Staff Guidance on the Practice of "Mini-Tenders" (1999), 22 OSCB 7797	<i>Published Dec.10/99</i>
61-302	Staff Review and Commentary on Multilateral Instrument 61-101 Protection of Minority Security Holders in Special Transactions (2017) 40 OSCB 6577	<i>Published July 27/17</i>
61-303	Soliciting Dealer Arrangements (2018) 41 OSCB 2960	<i>Published April 12/18</i>
61-501	Insider Bids, Issuer Bids, Going Private Transactions and Related Party Transactions – (2002), 25 OSCB 943 (2003), 26 OSCB 1757 (2004), 27 OSCB 343	<i>Revoked Feb. 1/08</i>
61-701	Applications for Exemptive Relief under Rule 61-501 (2000), 23 OSCB 4498	<i>Withdrawn Feb. 1/08</i>
61-801	Implementing MI 61-101 Protection of Minority Security Holders in Special Transactions (2006), 29 OSCB 6896 (2007), 30 OSCB (Supp-6) (2008), 31 OSCB 1365	<i>Published for comment Aug.25/06</i> <i>Commission approval published Dec.14/07</i> <i>In force Feb.1/08</i>
62-101	Control Block Distribution Issues (2000), 23 OSCB 1367 (2003), 26 OSCB 804 (2004), 27 OSCB (Supp)	<i>Came into Force Mar. 15/00</i> <i>Amendment Came into Force Mar. 30/04</i> <i>Revoked Sept.14/05 (tied to 45-106)</i>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
62-102	Disclosure of Outstanding Share Data (2000), 23 OSCB 1370 (2003), 26 OSCB 4577	<i>Came into Force Mar 15/00</i> <i>Amendments Came into Force Mar. 30/04 (tied to 51-102)</i> <i>Revoked May 19/05</i>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
62-103	The Early Warning System and Related Take-over Bid and Insider Reporting Issues (2000), 23 OSCB 1372 (2003), 26 OSCB 4577 (2004), 27 OSCB (Supp) (2006), 29 OSCB 3533 (2007), 30 OSCB (Supp-6) (2008), OSCB 31 1289 (2010), OSCB 33 3673 (2013) 36 OSCB 2675 (2013) 36 OSCB 3822 (2014) 37 OSCB (Supp2) (2014) 37 OSCB 8599 (2015) 38 OSCB (Supp-1)	<p><i>Came into Force Mar. 15/00</i></p> <p><i>Amendment Came into Force Mar. 30/04 (tied to 51-102)</i></p> <p><i>Amendment Came into Force Sept.14/05 (tied to 45-106)</i></p> <p><i>Amendment published for comment Apr.28/06 (tied to 62-104)</i></p> <p><i>Commission approval of amendments published Dec.14/07</i></p> <p><i>Amendments in force Feb. 1/08</i></p> <p><i>Ministerial approval of amendments published April 23, 2010</i></p> <p><i>Amendments published for comment March 14/13 (tied to 62-104)</i></p> <p><i>Amendments published for comment March 27/13 (tied to 81-102)</i></p> <p><i>Amendments published for comment Feb. 27/14</i></p> <p><i>Minister's approval of amendments published Sept. 18/14</i></p>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
62-103	The Early Warning System and Related Take-over Bid and Insider Reporting Issues (continued) (2015) 38 OSCB (Supp-1) (2015) 38 OSCB 3021 (2015) 38 OSCB 4155 (2016) 39 OSCB (Supp-1) (2016) 39 OSCB 4284 (2016) 39 OSCB 4294	<p><i>Commission approval of amendments published Feb.19/15</i></p> <p><i>Amendments published for comment April 2/15</i></p> <p><i>Minister's approval of amendments published April 30/15</i></p> <p><i>Commission approval of amendments published Feb. 25/16</i></p> <p><i>Ministerial approval of amendments published May 5/16</i></p> <p><i>Ministerial approval of amendments published May 5/16</i></p>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
62-104	Take-over Bids and Issuer Bids (2006), 29 OSCB 3533 (2013) 36 OSCB 2643 (2013) 36 OSCB 2675 (2014) 37 OSCB (Supp2) (2015) 38 OSCB (Supp-1) (2015) 38 OSCB 3021 (2015) 38 OSCB 4155 (2016) 39 OSCB (Supp-1) (2016) 39 OSCB 4225 (2019) 42 OSCB 4045	<p><i>Published for comment Apr.28/06</i></p> <p><i>Not proceeding in Ontario (see 62-504)</i></p> <p><i>Amendments published for comment March 14/13 (tied to 62-105)</i></p> <p><i>Amendments published for comment March 14/13</i></p> <p><i>Amendments published for comment Feb. 27/14</i></p> <p><i>Commission approval of amendments published Feb.19/15</i></p> <p><i>Amendments published for comment April 2, 2015</i></p> <p><i>Minister's approval of amendments publish April 30/15</i></p> <p><i>Commission approval of instrument published Feb. 25/16</i></p> <p><i>Commission approval of amendments published Feb. 25/16</i></p> <p><i>Ministerial approval published May 5/16</i></p>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
62-104	Cont'd (2019) 42 OSCB 4045	<i>Amendments published for comment May 2/19</i>
62-105	Security Holder Rights Plan (2013) 36 OSCB 2643	<i>Published for comment March 14/13</i>
62-202	Take-Over Bids – Defensive Tactics	<i>Amendments published for comment March 14/13 (tied to 62-105)</i>
62-203	Take over Bids and Issuer Bids (2007), 30 OSCB (Supp-6) (2013) 36 OSCB 2675 (2013) 36 OSCB 2643 (2015) 38 OSCB 3021 (2016) 39 OSCB (Supp-1) (2016) 39 OSCB 4275 (2016) 39 OSCB 4293 (2019) 42 OSCB 4045	<i>Adopted Feb. 1/08</i> <i>Amendment published for comment March 14/13 (tied to 62-105)</i> <i>Amendments published for comment March 14/13 (tied to 62-104)</i> <i>Amendments published for comment April 2, 2015</i> <i>Commission approval of amendments published Feb. 25/16</i> <i>Commission approval of amendments published May 5/16</i> <i>Commission approval of amendments published May 5/16</i> <i>Amendments published for comment May 2/19</i>
62-301	Implementation of the Zimmerman Amendments Governing the Conduct of Take-over and Issuer Bids (2001), 24 OSCB 1368 (2010) 33 OSCB 1518	<i>Published Mar. 2/01</i> <i>Withdrawn Feb. 19/10</i>
62-302	Prospectus Filing Matters - Arthur Andersen LLP Consent	<i>Withdrawn Mar. 3/06</i>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
62-303	Identifying the Offeror in a Take-Over Bid (2003), 26 OSCB 5972	<i>Published Aug.8/03</i> <i>Withdrawn Feb. 1/08</i>
62-304	Financing of Take-over Bids and Issuer Bids (2005) 28 OSCB 7305 (2010) 33 OSCB 1518	<i>Published Sept. 2/05</i> <i>Withdrawn Feb. 19/10</i>
62-305	Varying the Terms of Take-over Bids (2009) 32 OSCB 10449	<i>Published Dec. 18/09</i>
62-306	Update on Proposed National Instrument 62-105 Security Holder rights Plans and AMF Consultation Paper An Alternative Approach to Securities Regulators' Intervention in Defensive Tactics	<i>Published Sept. 11/14</i>
62-307	Update on Proposed Amendments to Multilateral Instrument 62-104 Take-Over Bids and Issuer Bids, National Instrument 62-103 Early Warning System and Related Take-Over Bids and Insider Reporting Issues and National Policy 62-203 Take-Over Bids and Issuer Bids	<i>Notice published Oct. 16/14</i>
62-503	Financing of Take-over Bids and Issuer Bids (2005), 28 OSCB 5647	<i>Came into Force Dec.22/05</i> <i>Revoked Feb. 1/08</i>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
62-504	Take Over Bids and Issuer Bids (2007), 30 OSCB 3211 (2007), 30 OSCB (Supp-6) (2008), 31 OSCB 1289 (2010), 33 OSCB (Supp-3) (2010), 33 OSCB (Supp-5) (2011), 34 OSCB (Supp-5) (2012) 35 OSCB (Supp-5) (2013) 36 OSCB 2675 (2016) 39 OSCB (Supp-1) (2016) 39 OSCB 4285	<p><i>Published for comment April 6, 2007</i></p> <p><i>Commission approval published Dec.14/07</i></p> <p><i>In force Feb. 1/08</i></p> <p><i>Commission approval of IFRS Amendments published Oct. 1/10</i></p> <p><i>Minister's approval of IFRS Amendments published Dec. 10/10</i></p> <p><i>Amendments published for comment July 29/11 (tied to NI 51-103)</i></p> <p><i>Amendments published for comment Sept. 13/12 (tied to NI 51-103)</i></p> <p><i>Amendments published for comment March 14/13</i></p> <p><i>Commission approval of repeal published Feb. 25/16</i></p> <p><i>Ministerial approval of repeal published May 5/16</i></p>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
62-601	Securities Exchange Take-Over Bids - Trades in the Offeror's Securities - Amendment (2002), 25 OSCB 5357 (2003), 26 OSCB 6157	<i>Revoked May 9/05</i>
62-801	Implementing NI 62-104 Take-over Bids and Issuer Bids (2006), 29 OSCB 3590	<i>Published for comment Apr.28/06</i>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
71-102	Continuous Disclosure and Other Exemptions Relating to Foreign Issuers (2004), 27 OSCB 5109 (2005), 28 OSCB 4977 (2007), 30 OSCB 10509 (2009) 32 OSCB 7581 (2010) 33 OSCB (Supp-3) (2010) 33 OSCB (Supp-5) (2011), 34 OSCB (Supp-5) (2012) 35 OSCB (Supp-4) (2013) 36 OSCB 10147	<p><i>Came into Force Jun 1/05 (tied to 81-106)</i></p> <p><i>Amendments came into force Jun 1/05</i></p> <p><i>Amendments Came into Force Dec.29/96 (tied to 51-102 Amendments)</i></p> <p><i>Amendments came into force Dec.31/07</i></p> <p><i>Amendments published for comment Sept. 25/09</i></p> <p><i>Commission approval of IFRS amendments published Oct. 1/10</i></p> <p><i>Minister's approval of IFRS amendments published Dec. 10/10</i></p> <p><i>Amendments published for comment July 29/11 (tied to NI 51-103)</i></p> <p><i>Amendments published for comment Sept. 13/12 (tied to NI 51-103)</i></p> <p><i>Amendments published for comment October 17/13 (tied to 52-108)</i></p>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
71-102	Continuous Disclosure and Other Exemptions Relating to Foreign Issuers (continued) (2014) 37 OSCB 6753 (2014) 37 OSCB 9195 (2014) 37 OSCB 11037 (2015) 38 OSCB 7551 (2015) 38 OSCB 9335 (2019) 42 OSCB 4045	<i>Commission approval of amendments published July 17/14</i> <i>Minister's approval of amendments published Oct. 9/14 (tied to 52-108)</i> <i>Amendments published for comment Dec. 11/14</i> <i>Commission approval published Sept. 3/15</i> <i>Ministerial approval published Nov. 5/15</i> <i>Amendments published for comment May 2/19</i>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
71-301	SEC Proposed Rule: Mandated Edgar Filing for Foreign Issuers (2001), 24 OSCB 6261	<i>Expired Dec.3/01</i>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
71-801	Implementing the Multijurisdictional System (2006), 29 OSCB (Supp) (2006), 29 OSCB (Supp-3) (2007), 30 OSCB (Supp-7) (2007), 30 OSCB 3211 (2007), 30 OSCB (Supp-6) (2008) 31 OSCB (Supp-2) (2008) 31 OSCB 1289 (2015) 38 OSCB (Supp-1) (2016) 39 OSCB 4289	<p><i>Came into force January 11, 1998</i></p> <p><i>Published for comment Dec.22/06 [tied to 41-101 General Prospectus Requirements]</i></p> <p><i>Commission approval of amendments published Dec.21/07</i></p> <p><i>Amendments in force Mar. 17/08</i></p> <p><i>Amendments published for comment Apr.6/07 (tied to 62-504)</i></p> <p><i>Commission approval of amendments published Dec. 14/07</i></p> <p><i>Amendments in force Feb.1/08</i></p> <p><i>Commission approval of amendments published Feb. 25/16</i></p> <p><i>Ministerial approval of amendments published May 5/16</i></p>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
71-802	Implementing National Instrument 71-102 Continuous Disclosure and Other Exemptions Relating to Foreign Issuers (2008) 31 OSCB 1365 (2010) 33 OSCB (Supp-3) (2010) 33 OSCB (Supp-5) (2016) 39 OSCB (Supp-1) (2016) 39 OSCB 4291	<i>In Force February 1/08</i> <i>Commission approval of IFRS Amendments published Oct.1/10</i> <i>Minister's approval of IFRS Amendments published Dec. 10/10</i> <i>Commission approval of amendments published Feb. 25/16</i> <i>Ministerial approval of amendments published May 5/16</i>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
72-301	Distributions Outside the Local Jurisdictions Proposed MI 72-101 (2002), 25 OSCB 1580 (2010) 33 OSCB 1518	Published Mar. 22/02 Withdrawn Feb. 19/10
72-501	Prospectus Exemption for First Trade over a Market Outside Ontario (2001), 25 OSCB 5567	Revoked Dec. 1/02
72-503	Distributions Outside of Canada (2016) 39 OSCB 6035 (2017) 40 OSCB 5576 (2017) 40 OSCB 10143 (2018) 41 OSCB 2267 (2018) 41 OSCB 2543 (2018) 41 4481 (2018) 41 OSCB 7738	Published for comment June 30/16 Published for second comment June 29, 2017 Commission approval published Dec. 21/17 Ministerial approval published March 28/18 Commission approval published Mar. 29/18 Ministerial approval published June 7/18 Ministerial approval published Oct. 4/18

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
81-101	Mutual Fund Prospectus Disclosure (2001), 24 OSCB 2680 (2002), 25 OSCB 4720 (2004), 27 OSCB 5109 (2005), 28 OSCB (Supp) (2006), 29 OSCB (Supp) (2007), 30 OSCB (Supp-7) (2008), 31 OSCB (Supp-2) (2008), 31 OSCB 8559 (2009), 32 OSCB (Supp-1) (2009) 32 OSCB 8113 (2010), 32 OSCB 3103 (2010), 33 OSCB 5456	<p><i>Came into Force May 2/01</i></p> <p><i>Amendments Came into Force Dec.31/03</i></p> <p><i>Amendment Came into Force Jun 1/05 (tied to 81-106)</i></p> <p><i>Amendment Came into Force Nov.1/06 (tied to 81-107)</i></p> <p><i>Amendment published for comment Dec.22/06 [tied to 41-101 General Prospectus Requirements]</i></p> <p><i>Commission approval of amendments published Dec.21/07</i></p> <p><i>Amendments in force Mar. 17/08</i></p> <p><i>Amendments in force Sept. 8/08</i></p> <p><i>Amendments published for comment June 19/09</i></p> <p><i>Amendments published for comment Oct. 9/09 (tied to NI 23-102)</i></p> <p><i>Commission approval of amendments published Apr. 9/10</i></p>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
81-101 (cont'd)	(2010), 33 OSCB 5833 (2010), 33 OSCB 5833 (2010), 33 OSCB (Supp-4) (2010), 33 OSCB 11399 (2011), 34 OSCB (Supp-4) (2011) 34 OSCB 8561 (2012), 35 OSCB 1375 (2012), 35 OSCB 3296 (2012) 35 OSCB 5755 (2012) 35 OSCB 6887 (2013) 36 OSCB (Supp-2)	<p><i>Ministerial approval of amendments published June 18/10</i></p> <p><i>Amendments published for comment June 25/10</i></p> <p><i>Commission approval of amendments published Oct. 8/10</i></p> <p><i>Minister's approval of amendments published Dec, 10/10</i></p> <p><i>Amendments published for comment July 15/11 (tied to NI 41-101)</i></p> <p><i>Amendments published for comment August 12/11 (Point of Sale)</i></p> <p><i>Commission approval of amendments published Feb. 10/12</i></p> <p><i>Minister's approval of amendments published April 6/12</i></p> <p><i>Amendments published for comment June 21/12</i></p> <p><i>approval published Feb. 28/13</i></p>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
81-101	Mutual Fund Prospectus Disclosure (con'td) (2013) 36 OSCB 2620 (2013) 36 OSCB 2619 (2013) 36 OSCB (Supp-3) (2013) 36 OSCB 4747 (2013) 36 OSCB 5045 (2013) 36 OSCB 5271 (2013) 36 OSCB 6001 (2013) 36 OSCB 7609 (2013) 36 OSCB 9612 (2013) 36 OSCB 12014	<p><i>Amendments tied to NI 25-101 published for comment July 26/12</i></p> <p><i>Commission approval of amendments published March 14/13 (tied to 25-101)</i></p> <p><i>Amendments published for comment March 27/13 (tied to 81-102)</i></p> <p><i>Ministerial approval of amendments published May 9/13</i></p> <p><i>Notice of Correction published May 16/13</i></p> <p><i>Ministerial approval published May 23/13</i></p> <p><i>Commission approval published June 13/13</i></p> <p><i>Minister's approval published August 1/13</i></p> <p><i>Commission approval published October 3, 2013 (tied to 81-106)</i></p>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
81-101	Mutual Fund Prospectus Disclosure (cont'd) (2014) 37 OSCB (Supp-3) (2014) 37 OSCB (Supp-3) (2014) 37 OSCB (Supp-4) (2014) 37 OSCB 8599 (2014) 37 OSCB 10985 (2014) 37 OSCB 11037 (2015) 38 OSCB 1302 (2015) 38 OSCB 7551 (2015) 38 OSCB 9336 (2015) 38 OSCB 10307 (2016) 39 OSCB 8051 (2016) 39 OSCB 9915	<p><i>Minister's approval published Dec. 19/13</i></p> <p><i>Amendments published for comment Mar. 27/14</i></p> <p><i>Commission approval published June 19/14</i></p> <p><i>Minister's approval of amendments published Sept. 18/14</i></p> <p><i>Commission approval published Dec. 11/14</i></p> <p><i>Amendments published for comment Dec. 11/14</i></p> <p><i>Minister's approval of amendments published Feb. 12/15</i></p> <p><i>Commission approval of amendments published Sept. 3/15</i></p> <p><i>Ministerial approval of amendments published Nov. 5/15</i></p> <p><i>Request for comment published Dec. 10/15</i></p> <p><i>Request for comment published Sept. 22/16</i></p>
81-101		

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
81-102	Mutual Funds (2001), 24 OSCB 2680 (2002), 25 OSCB 4713 (2004), 27 OSCB 5109 (2005), 28 OSCB (Supp) (2008), 31 OSCB 2305 (2008), 31 OSCB 6275 (2008), 31 OSCB 8559 (2009), 32 OSCB (Supp-1) (2009), 32 OSCB (Supp-2) (2009), 32 OSCB (Supp-4) (2010), 33 OSCB 5833 (2010), 33 OSCB (Supp-4) (2010), 33 OSCB 11431	<p><i>Came into Force May 2/01</i></p> <p><i>Amendments Came into Force Dec.31/03</i></p> <p><i>Amendment Came into Force Jun 1/05 (tied to 81-106)</i></p> <p><i>Amendment Came into Force Nov.1/06 (tied to 81-107)</i></p> <p><i>Amendment published for comment Feb. 29/08 (tied to NI 31-103)</i></p> <p><i>Amendment in force Sept. 8/08</i></p> <p><i>Amendments published for comment June 19/09</i></p> <p><i>Minister's approval of amendments published September 18/09</i></p> <p><i>In force Sept, 28/09</i></p> <p><i>Amendments published for comment June 25/10</i></p> <p><i>Commission approval of amendments published Oct. 8/10</i></p> <p><i>Minister's approval of amendments published Dec. 10/10</i></p>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
81-102	Mutual Funds (Cont'd) (2011), 34 OSCB 8561 (2012) 35 OSCB 1375 (2012), 35 OSCB 3296 (2012) 35 OSCB 5755 (2012) 35 OSCB 6887 (2013) 36 OSCB 2619 (2013) 36 OSCB (Supp-3) (2013) 36 OSCB 5271 (2013) 36 OSCB 6001 (2013) 36 OSCB 7827	<p>Amendments published for comment August 12/11 (Point of Sale)</p> <p>Commission approval of amendments published Feb. 10/12</p> <p>Minister's approval of amendments published April 6/12</p> <p>Amendments published for comment June 21/12</p> <p>Amendments published for comment July 26/12 (tied to NI 25-101)</p> <p>Commission approval of amendments published March 14/13 (tied to 25-101)</p> <p>Amendments published for comment March 27/13</p> <p>Minister's approval published May 23/13</p> <p>Commission approval published June 13/13</p> <p>published August 1/13</p>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
81-102	Mutual Funds (Cont'd) (2013) 36 OSCB 9612 (2013) 36 OSCB 12014 (2014) 37 OSCB (Supp-4) 2014) 37 OSCB 8599 (2015) 38 OSCB 10307 (2016) 39 OSCB 8051 (2016) 39 OSCB 9915 (2017) 40 OSCB 1507 (2017) 40 OSCB 3996 (2017) 40 OSCB 5815 (2017) 40 OSCB 8945	<p><i>Commission approval published October 3, 2013 (tied to 81-106)</i></p> <p><i>Minister's approval published Dec. 19/13</i></p> <p><i>Commission approval published June 19/14</i></p> <p><i>Minister's approval of amendments published Sept.18/14</i></p> <p><i>Request for comment published Dec. 10/15</i></p> <p><i>Request for comment published Sept. 22/16</i></p> <p><i>Commission approval of amendments published Dec. 8/16</i></p> <p><i>Ministerial approval published Feb. 16/17</i></p> <p><i>Amendments published for comment April 27/17</i></p> <p><i>Published for comment July 617</i></p> <p><i>Ministerial approval published Nov. 9/17</i></p>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
81-102	Mutual Funds (Cont'd) (2018) 41 OSCB 2570 (2018) 41 OSCB 4483 (2018) 41 OSCB (Supp#2) (2018) 41 OSCB 9993 (2019) 42 OSCB 7393	<i>Commission approval published Mar. 29/18</i> <i>Ministerial approval published June 7/18</i> <i>Commission approval published Oct. 4/18</i> <i>Ministerial approval published Dec. 20/18</i> <i>Request for comment published Sept. 12/19</i>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
81-104	Commodity Pools (2004), 27 OSCB 5109 (2005), 28 OSCB (Supp) (2005), 28 OSCB 4749 (2006), 29 OSCB (Supp) (2007), 30 OSCB (Supp-7) (2008), 31 OSCB (Supp-2) (2009), 32 OSCB (Supp-2) (2009), 32 OSCB (Supp-4) (2013) 36 OSCB 9612 (2013) 36 OSCB 12014 (2014) 37 OSCB (Supp-4_)	<p><i>Came into Force Jun 1/05 (tied to 81-106)</i></p> <p><i>Amendment Came into Force Nov.1/06 (tied to 81-107)</i></p> <p><i>Amendment Came into Force Sep. 19/05 (tied to 11-101 passport)</i></p> <p><i>Amendment published for comment Dec.22/06 [tied to 41-101 General Prospectus Requirements]</i></p> <p><i>Commission approval of amendments published Dec.21/07</i></p> <p><i>Amendment in force Mar. 17/08</i></p> <p><i>Minister's approval of amendments published September 18/09</i></p> <p><i>In force Sept. 28/09</i></p> <p><i>Commission approval published October 3, 2013 (tied to 81-106)</i></p> <p><i>Minister's approval published Dec. 19/13</i></p> <p><i>Commission approval of amendments published June 19/14</i></p>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
81-104	Commodity Pools continued (2014) 37 OSCB 8599 (2016) 39 OSCB 8051 (2017) 40 OSCB 8945 (2018) 41 OSCB (Supp-2) (2018 41 OSCB 9993	<i>Minister's approval of amendments published Sept. 18/14</i> <i>Proposed repeal published Sept. 22/16</i> <i>Ministerial approval published Nov. 9/17</i> <i>Commission approval published Oct. 4/18</i> <i>Ministerial approval published Dec. 20/18</i>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
81-105	Mutual Fund Sales Practices (1998), 21 OSCB 2727 (2009), 32 OSCB (Supp-2) (2009), 32 OSCB (Supp-4) (2013) 36 OSCB 3822 (2014) 37 OSCB 8599 (2018) 41 OSCB 7189	<i>Came into Force May 1/98</i> <i>Commission approval of amendments published July 17/09</i> <i>Minister's approval of amendments published September 18/09</i> <i>In force Sept. 28/09</i> <i>Amendments published for comment March 27/13 (tied to 81-102)</i> <i>Minister's approval of amendments published Sept. 18/14</i> <i>Published for comment Sept. 13/18</i>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
81-106	Investment Fund Continuous Disclosure (2002), 25 OSCB 6197 (2004), 27 OSCB 5109 (2008), 31 OSCB 6577 (2008), 31 OSCB 8559 (2009), 32 OSCB (Supp-1) (2009) 32 OSCB 8381 (2010), 33 OSCB 5833 (2010), 33 OSCB (Supp-4) (2010), 33 OSCB 11433 (2012, 35 OSCB 1375 (2012), 35 OSCB 3296	<p><i>Came into Force Jun 1/05</i></p> <p><i>Amendment Came into Force Nov.1/06 (tied to 81-107)</i></p> <p><i>Amendment published for comment June 1, 2007</i></p> <p><i>Amendments in force July 4/08</i></p> <p><i>Amendments in force Sept. 8/08</i></p> <p><i>Amendments published for comment June 19/09</i></p> <p><i>Published for comment Oct. 16/09</i></p> <p><i>Amendments published for comment June 25/10</i></p> <p><i>Commission approval of amendments published Oct. 8/10</i></p> <p><i>Minister's approval of amendments published Dec. 10/10</i></p> <p><i>Commission approval of amendments published Feb. 10/12</i></p> <p><i>Minister's approval of amendments published April 6/12</i></p>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
81-106	Investment Fund Continuous Disclosure (continued) (2012) 35 OSCB 6887 (2013) 36 OSCB 2619 (2013) 36 OSCB (Supp-3) (2013) 36 OSCB 5271 (2013) 36 OSCB 9612 (2013) 36 OSCB 12014 (2014) 37 OSCB (Supp-4) 2014) 37 OSCB 8599 (2016) 39 OSCB 8051 (2016) 39 OSCB 9948 (2017) 40 OSCB 1509	<p><i>Amendments published for comment July 26/12 (tied to NI 25-101)</i></p> <p><i>Commission approval of amendments published March 14/13 (tied to 25-101)</i></p> <p><i>Amendments published for comment March 27/13 (tied to 81-102)</i></p> <p><i>Ministerial approval published May 23/13</i></p> <p><i>Commission approval published October 3, 2013</i></p> <p><i>Minister's approval published Dec. 19/13</i></p> <p><i>Commission approval published June 19/14</i></p> <p><i>Minister's approval of amendments published Sept. 18/14</i></p> <p><i>Request for comment published Sept. 22/16</i></p> <p><i>Commission approval of amendments published for comment Dec, 8/16</i></p> <p><i>Ministerial approval published Feb. 16/17</i></p>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
81-106	Investment Fund Continuous Disclosure (continued) (2017) 40 OSCB 5815 (2018) 41 OSCB 2570 (2018) 41 OSCB 4483 (2018) 41 OSCB (Supp-2) (2018) 41 OSCB 10012 (2019) 42 OSCB 4045 (2019) 42 OSCB 7393	<i>Published for comment July 6/17</i> <i>Commission approval published Mar. 29/18</i> <i>Ministerial approval published June 7/18</i> <i>Commission approval published Oct. 4/18</i> <i>Ministerial approval published Dec. 29/18</i> <i>Amendments published for comment May 2/19</i> <i>Request for comment published Sept, 12/19</i>

Item Key

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

NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
81-107	Independent Review Committee for Mutual Funds (2005), 28 OSCB (Supp) (2008), 31 OSCB 2307 (2009), 32 OSCB (Supp-2) (2009), 32 OSCB (Supp-4) (2013) 36 OSCB (Supp-3) (2014) 37 OSCB (Supp-4) (2014) 37 OSCB 8599 (2014) 37 OSCB (Supp-5) (2015) 38 OSCB 342 (2016) 39 OSCB 8051 (2018) 41 OSCB (Supp-2)	<p><i>Came into Force Nov.1/06</i></p> <p><i>Amendment published for comment Feb. 29/08 (tied to NI 31-103)</i></p> <p><i>Minister's approval of amendments published Sept. 18/09</i></p> <p><i>Amendments in Force Sept. 28/09</i></p> <p><i>Amendment published for comment March 27/13 (tied to 81-102)</i></p> <p><i>Commission approval of amendments published June 19/14</i></p> <p><i>Minister's approval of amendments published Sept. 18/14</i></p> <p><i>Commission approval published Oct. 16/14</i></p> <p><i>Minister's approval of amendments published Jan 15/15</i></p> <p><i>Request for comment published Sept. 22/16</i></p> <p><i>Commission approval published Oct. 4/18</i></p>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
81-107	Independent Review Committee for Mutual Funds (cont'd_ (2018) 41 OSCB 10013 2019) 42 OSCB 4045 (2019) 42 OSCB 7393	<i>Ministerial approval published Dec. 20/18</i> <i>Amendment published for comment May 2/19</i> <i>Request for comment published Sept. 12/19</i>
81-301	Mutual Fund Prospectus Disclosure System Concept Proposal (1997), 20 OSCB 559	<i>Withdrawn Feb.1/00</i>
81-302	Sales of Mutual Funds in Current RRSP Season (1997), 20 OSCB 6732	<i>Published Dec.12/97</i> <i>Withdrawn Dec. 1/16</i>
81-303	Year 2000 Disclosure for Mutual Funds (1999), 22 OSCB 2563	<i>Withdrawn Apr.20/01</i>
81-304	Trust Accounts for Mutual Fund Securities (1999), 22 OSCB 2939	<i>Withdrawn Dec.21/01</i>
81-305	National Policy 12-201 Mutual Reliance Review System ("MRRS") for Exemptive Relief Applications ("ERA") ERA and Applications for Approval or Exemptions under National Policy No. 39 "Mutual Funds" ("NP 39") (1999), 22 OSCB 7238	<i>Published Nov.19/99</i> <i>Withdrawn Dec. 5/08</i>
81-306	Disclosure by Mutual Funds of Changes in Calculation of Management Expense Ratio (2000), 23 OSCB 2486	<i>Published Apr. 7/00</i> <i>Withdrawn Dec. 1/16</i>
81-308	Prospectus Filing Matters - Arthur Andersen LLP Consent (2002) 25 OSCB 3955	<i>Withdrawn Mar. 3/06</i>
81-309	Application of National Policy statement 31 - <i>Change of Auditor of a Reporting Issuer</i> and National Instrument 81-102 <i>Mutual Funds</i> for Reporting Issuers with Arthur Andersen LLP - Canada as their former auditor (2002), 25 OSCB 5552	<i>Withdrawn Mar. 3/06</i>
81-310	Frequently Asked Questions – Fund of Fund Amendments (2004), 27 OSCB 4154 (2010) 33 OSCB 1518	<i>Published Apr.23/04</i> <i>Withdrawn Feb. 19/10</i>
81-311	Report on Consultation Paper 81-403 Rethinking Point of Sale Disclosure for Mutual Funds and Segregated Funds (2004), 27 OSCB 4293	<i>Published Apr.30/04</i> <i>Withdrawn Dec. 1/2016</i>
81-312	Final Guidelines for Capital Accumulation Plans Prepared by the Joint Forum of Financial Market Regulators (2004), 27 OSCB 5410	<i>Published Jun 4/04</i>
81-313	Status of Proposed National Instrument 81-106 Investment Funds Continuous Disclosure (2004), 27 OSCB 9953	<i>Withdrawn Mar. 3/06</i>
81-314	Removal of Foreign Content Restrictions for Registered Plans – Eliminating Indirect Foreign Content Exposure in Certain RSP Funds (2005), 28 OSCB 2599	<i>Published Mar. 18/05</i> <i>Withdrawn Dec. 1/2016</i>
81-315	Frequently Asked Questions on National Instrument 81-106 Investment Fund Continuous Disclosure (2005), 28 OSCB 9417	<i>Published Nov.25/05</i>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
81-316	Hedge Funds (2007), 30 OSCB 277	<i>Published Jan.12/07</i>
81-317	Frequently Asked Questions on National Instrument 81-107 Independent Review Committee for Investment Funds (2007) 30 OSCB 2807	<i>Published Mar. 30/07</i>
81-318	Request for Comment – Framework 81-406 Point of sale disclosure for mutual funds and segregated funds (2008), 31 OSCB 10326	<i>Published for comment Oct. 24/08</i>
81-319	Status Report on the Implementation of Point of Sale Disclosure for Mutual Funds (2010), 33 OSCB 5449	<i>Published June 18/10 Withdrawn Dec. 1/16</i>
81-320	Update on International Financial Reporting Standards for Investment Funds (2010), 33 OSCB 8815 (2011), 34 OSCB 3473 (2012) 35 OSCB 3005	<i>Published Oct. 8/10 Revised version published Mar. 25/11 Revised version published Mar. 30/12 Withdrawn March 7/19</i>
81-321	Early Use of the Fund Facts to Satisfy Prospectus Delivery Requirements (2011), 34 OSCB 2252	<i>Published Feb. 25/11 Withdrawn Dec. 1/16</i>
81-322	Status Report on the Implementation of the Modernization of Investment Fund Product Regulation Project and Request for Comment on Phase 2 Proposals (2011) 34 OSCB 6092	<i>Published May 27/11 Withdrawn Dec. 1/16</i>
81-323	Status Report on Consultation under CSA Discussion Paper and Request for Comment 81-407 Mutual Fund Fees () (2013) 36 OSCB 11989	<i>Published Dec. 19/31</i>
81-324	Proposed CSA Mutual Fund Risk Classification Methodology for Use in Fund Facts (2013) 36 OSCB 11849	<i>Published for comment Dec. 12/13</i>
81-325	Status Report on Consultation under CSA Notice 81-324 and Request for Comment on Proposed CSA Mutual Fund Risk Classification Methodology for Use in Fund Facts (2015) 38 OSCB 767	<i>Published January 29, 2015 Withdrawn March 7/19</i>
81-326	Update on an Alternative Funds Framework for Investment Funds (2015) 38 OSCB 1297	<i>Published Feb. 12/15 Withdrawn March 7/19</i>
81-327	Next Steps in the CSA's Examination of Mutual Fund Fees (2016) 39 OSCB 6011	<i>Published June 30/16</i>
81-329	Reducing Regulatory Burden for Investment Fund Issuers (2018) 41 OSCB 4109	<i>Published May 24/18</i>
81-330	Status report on Consultation On Embedded Commissions (2018) 41 OSCB 5041	<i>Published June 21/18</i>
81-331	Investment Funds Investing in Bail-in Debt (2018) 41 OSCB 6612	<i>Published Aug. 23/18</i>
81-401	Joint Forum of Financial Market Regulators Discussion Paper Proposed Regulatory Principles for Capital Accumulation Plans (2001), 24 OSCB 3047	<i>Expired Jul.31/01</i>

Item Key

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
81-402	A Framework for Regulating Mutual Funds and their Managers (2002), 25 OSCB 1227	<i>Published for comment Mar. 1/02</i>
81-403	Consultation Paper – Rethinking Point of Sale Disclosure for Segregated Funds and Mutual Funds (2003), 26 OSCB 1443	<i>Published for comment Feb.14/03</i>
81-404	Joint Forum Proposed Guidelines for Capital Accumulation Plans (2003), 26 OSCB 3105	<i>Published for comment Apr.25/03</i>
81-405	Proposed Exemptions for Certain Capital Accumulation Plans (Joint Forum) (2004), 27 OSCB 5294	<i>Published for comment May 28/04</i>
81-406	Proposed Framework – Point of Sale Disclosure for Mutual Funds and Segregated Funds (2007), 30 OSCB (Supp-4)	<i>Published for comment June 15, 2007</i>
81-407	Mutual Fund Fees (2012) 35 OSCB 11233	<i>Published for comment Dec. 13/12</i>
81-408	Consultation on the Option of Discontinuing Embedded Commissions (2017) 40 OSCB 227	<i>Published for comment Jan. 12/17</i>
81-704	Limited Powers of Attorney and Letters of Authorization Used in the Sale of Mutual Funds (2000), 23 OSCB 5269	<i>Published Aug.4/00</i>
81-705	Implementation of a Continuous Disclosure Review Program for Investment Funds – Investment Funds Branch (2003), 26 OSCB 1757	<i>Published Feb.28/03</i>
81-706	Treatment of Sales Commissions in the Calculation of Net Asset Value of Labor Sponsored Investment Funds (2003), 26 OSCB 6707	<i>Published Oct.3/03 Withdrawn Dec. 1/16</i>
81-707	Labour Sponsored Investment Funds – Summary Disclosure of Fees, Expenses and Annual Performance Information in Prospectuses of LSIFs; and the Payment of Sales and Trailing Commissions Out of Fund Assets (2004), 27 OSCB 8954	<i>Withdrawn Mar. 17/08</i>
81-708	Model Portfolios of Mutual Funds (2006), 29 OSCB 4295	<i>Published May 26/06</i>
81-709	Report on Staff's Continuous Disclosure Review of Investment Funds (2008) (2008) 31 OSCB 5381	<i>Published May 30/08</i>
81-710	Approvals for Change in Control of a Mutual Fund manager and Change of a Mutual Fund Manager under National Instrument 81-102 Mutual Funds (2010) 33 OSCB 4288	<i>Published May 14/2010</i>
81-711	Closed-End Investment Fund Conversions to Open-End Mutual Funds (2010), 33 OSCB 9953	<i>Published Oct. 29/10</i>
81-712	2010 Investment Funds Branch Annual Report (2010) 33 OSCB 9429	<i>Published Oct. 15/10</i>
81-713	Focussed Disclosure Review – National Instrument Review Committee for Investment Funds (2011), 34 OSCB 3465	<i>Published Mar. 25/11</i>
81-714	Compliance with Form 41-101F2 – Information Required in An Investment Fund Prospectus (2011), 34 OSCB 2518	<i>Published Mar. 4/11</i>
81-715	Cross-Listings by Foreign Exchange-Traded Funds (2011), 34 OSCB 8819	<i>Published Aug. 26/11</i>
81-716	2011 Summary Report for Investment Fund Issuers (2011), 34 OSCB 11046	<i>Published Nov. 4/11</i>
81-718	Summary Report for Investment Fund Issuers (2013) 36 OSCB 1025	<i>Published Jan. 24/13</i>
81-719	Effect of the Proposed Income Tax Act Amendments on Investment Funds – Character Conversion Transactions (2013) 36 OSCB 3817	<i>Published April 11/13</i>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
81-721	Frequently Asked Question on the Implementation of Stage 2 of Point of Sale Disclosure for Mutual Funds – Delivery of Fund Facts (2013) 36 OSCB 8678	Published Sept. 5/13
81-722	Mortgage Investment Entities and Investment Funds (2013) 36 OSCB 8945	Published Sept. 12/13
81-723	Summary Report for Investment Fund Issuers 2013	Published Feb13/14
81-724	Report on Staff's Continuous Disclosure Review of the Fees and Expenses Disclosure by Investment Funds (2014) 37 OSCB 4603	Published May 8/14
81-725	Recent Amendments to Part XXI Insider Trading and Self-Dealing of the Securities Act (Ontario) – Transition Issues	Published August 7/14
81-726	2014 Summary Report for Investment and Structured Product Issuers (2015) 38 OSCB 1871	Published Feb. 26/15
81-727	Report on Staff's Continuous Disclosure Review of Mutual Fund Practices Relating to Portfolio Liquidity (2015) 38 OSCB 5678	Published June 25/15
81-728	Use of "Index" in Investment Fund names and Objectives (2015) 38 OSCB 6141	Published July 9/15
81-729	2015 Summary Report for Investment Fund and Structured Product Issuers (2016) 39 OSCB 1459	Published February 18, 2016
81-801--	Implementing National Instrument 81-106 Investment Fund Continuous Disclosure (2004), 27 OSCB 5109 (2013) 36 OSCB 12014	Came into Force Jun 1/05 <i>Minister's approval of amendments published Dec. 19/13</i>
81-802	Implementing NI 81-107 Independent Review Committee for Investment Funds (2005), 28 OSCB (Supp)	Came into Force Nov.1/06
81-803	Implementing Amendments to NI 81-101 Mutual Fund Prospectus Disclosure (2006), 29 OSCB (Supp)	Published for comment Dec.22/06 [tied to 41-101 General Prospectus Requirements] Not proceeding
81-901	Mutual Fund Trusts: Approval of Trustees Under Clause 213(3)(b) of The Loan and Trust Corporations Act (1997), 20 OSCB 202 (2019) 42 OSCB 5563	Published Jan.14/97 Revised Approval published June 27/19
81-909	Rescission of Ontario Securities Commission Interim Policy Statement No. 11.1 Mutual Fund Trusts, Approval of Mutual Fund Trustees Pursuant to Clause 213(3)(b) of The Loan and Trust Corporations Act, 18987 (formerly Bill 116) (1997), 20 OSCB 200	Published Jan.14/97

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
91-102	Prohibition of Binary Options (2017) 40 OSCB 3987 (2017) 40 OSCB 7947 (2017) 40 OSCB 9650	<i>Published for comment April 27, 2017</i> <i>Commission approval published Sept. 28/17</i> <i>Ministerial approval published Dec. 7/17</i>
91-301	CSA Consultation Paper – Model Provincial Rules – Derivatives Product Determination and Trade Repositories and Derivatives Data Reporting (2012) 35 OSCB 10967	<i>Published for comment Dec. 6/12</i>
91-303	Proposed Model Provincial Rule on Mandatory Central Counterparty Clearing of Derivatives (2013) 36 OSCB 12015	<i>Published for comment Dec. 19/13</i>
91-304	Model Provincial Rule – Derivatives: Customer Clearing and Protection of Customer Collateral and Positions (2014) 37 OSCB 787	<i>Published for comment Jan. 16/14</i>
91-306	Compliance Review Findings for Reporting Counterparties (2019) 42 OSCB 4965	<i>Published June 6, 2019</i>
91-401	CSA Consultation paper on Over-the-Counter Derivatives Regulation in Canada (2010) 33 OSCB 10187	<i>Published Nov. 5/10</i>
91-402	Consultation Paper: Derivatives – Trade Repositories (2011) 34 OSCB 7297	<i>Published for comment June 23/11 (OSC website) and July 1/11 in OSCB</i>
91-403	Derivatives: Surveillance and Enforcement (2011) 34 OSCB 11740	<i>Published for comment Nov. 25/11</i>
91-404	Derivatives: Segregation and Portability in OTC Derivatives Clearing (2012) 35 OSCB 1635 (published on the OSC website on February 10, 2012)	<i>Published for comment Feb. 17/12</i>
91-405	Derivatives: End-User Exemption (2012) 35 OSCB 3880	<i>Published for comment April 20/12</i>
91-406	Derivatives: OTC Central Counterparty Clearing (2012) 35 OSCB 5886 (corrected version)	<i>Published for comment on OSC website on June 20, 2012 and in the OSCB on June 28, 2012</i>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
91-407	Derivatives – Registration (2013) 36 OSCB 4110	<i>Published for comment April 18/13</i>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
91-501	Strip Bonds (2004), 27 OSCB (Supp 3) (2005), 28 OSCB (Supp-3) (2005), 28 OSCB (Supp-4) (2008), 31 OSCB 2321 (2009) 32 OSCB (Supp-2) (2009) 32 OSCB (Supp-4) (2015) 38 OSCB 343 (2015) 38 OSCB 4161	<p><i>Came into force May 1/98</i></p> <p><i>Amendment published for comment Dec.17/04 (tied to NI 45-106)</i></p> <p><i>Amendments came into force Sept.15/05</i></p> <p><i>Amendments published for comment Feb. 29/08</i></p> <p><i>Commission approval of amendments published July 17/09</i></p> <p><i>Minister's approval of amendments published Sept. 18/09</i></p> <p><i>Amendments in force Sept. 28/09</i></p> <p><i>Minister's approval of amendments published Jan 15/15</i></p> <p><i>Minister's approval of amendments published April 30/15</i></p>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
91-502	Trades in Recognized Options (2004), 27 OSCB (Supp) (2009) 32 OSCB (Supp-2) (2009) 32 OSCB (Supp-4) (2015) 38 OSCB 343 (2015) 38 OSCB 4160 (2016) 39 OSCB (Supp-1) (2016) 39 OSCB 4292	<p><i>Came into Force Sept. 14/05 (tied to 45-106)</i></p> <p><i>Commission approval of amendments published July 17/09</i></p> <p><i>Minister's approval of amendments published Sept. 18/09</i></p> <p><i>In force Sept. 28/09</i></p> <p><i>Minister's approval of amendments published Jan 15/15</i></p> <p><i>Minister's approval of amendments published April 30/15</i></p> <p><i>Commission approval of amendments published Feb. 25/16</i></p> <p><i>Ministerial approval of amendments published May 5/16</i></p>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
91-504	Over-the-Counter Derivatives (2000), 23 OSCB 8077	See Notice published Dec.1/00
91-506	Derivatives – Product Determinations (2013) 36 OSCB 5737 (2013) 36 OSCB 11015 (2014) 37 OSCB 1 (2015) 38 OSCB 1349	Published for comment June 6/13 Commission approval published Nov. 14/13 Minister's approval published Jan. 3/14 Commission approval of amendments published Feb. 12/15

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
91-507	Derivatives – Trade Repositories and Derivatives Data Reporting (2013) 36 OSCB 5737 (2013) 36 OSCB 11015 (2014) 37 OSCB 1 (2014) 37 OSCB 3949 (2014) 37 OSCB 6069 (2014) 37 OSCB 6247 (2014) 37 OSCB 7427 (2015) 38 OSCB 1349 (2015) 38 OSCB 4455 (2016) 39 OSCB 4517 (2016) 39 OSCB 7183	<p><i>Published for comment June 6/13</i></p> <p><i>Commission approval published Nov. 14/13</i></p> <p><i>Minister's approval published Jan. 3/14</i></p> <p><i>Commission approval of amendments published April 17/14</i></p> <p><i>Minister's approval published July 3/14</i></p> <p><i>Minister's approval published Aug 14/14</i></p> <p><i>Commission approval of amendments published Feb. 12/15</i></p> <p><i>Minister's approval of amendments published April 30/15</i></p> <p><i>Commission approval of amendments published May 12/16</i></p> <p><i>Minister's approval of amendments published August 18, 2016</i></p>
91-702	Offerings of Contracts for Different and Foreign Exchange Contracts to Investors in Ontario (2009) 32 OSCB 9003	<p><i>Published Oct. 30/09</i></p>
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	<p><i>Published June 4/15</i></p>

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
91-704	Compliance Review Plan for OSC Rule 91-507 Trade Repositories and Derivatives Data Reporting (2015) 38 OSCB 5933	Published July 2/15
92-401	Derivatives Trading Facilities (2015) 38 OSCB 801	Published for comment Jan. 29/15
	Non-SRO Electronic Trading Systems and Market Fragmentation (1997), 20 OSCB 2565	Published for comment May 16/97; replaced by 21-101 and 23-101
93-101	Derivatives: Business Conduct (2017) 40 OSCB 3113	Published for comment Apr. 6/17
93-102	Derivatives: Registration (2018) 41 OSCB 3253	Published for comment
93-301	Derivatives Business Conduct Rule – No Overlap with Derivatives Registration Rule Comment Period (2017) 40 OSCB 5263	Published June 22/17
94-101	Mandatory Central Counterparty Clearing of Derivatives (2015) 38 OSCB 1389 (2016) 39 OSCB 1797 (2017) 40 OSCB 645 (2017) 40 OSCB 3095 (2017) 40 OSCB 8269	Published for comment Feb. 12/15 Published for comment Feb. 25/16 Commission approval published Jan. 19/17 Ministerial approval published April 6/17 Amendments published for comment Oct. 12, 2017
94-102	Derivatives Customer Clearing and Protection of Customer Collateral and Positions (2016) 39 OSCB 743 (2017) 40 OSCB 672	Published for comment Jan. 21/16 Commission approval published Jan. 19/17
94-303	Variation, Amendment, or Revocation and Replacement of Blanket Orders Exempting Certain Counterparties from the Requirement to Submit a Mandatory Clearable Derivative for Clearing and Update on Proposed Amendments to NI 94-101 Mandatory Central Counterparty Clearing of Derivatives (2018) 41 OSCB 4299	Published May 31/18
95-301	Margin and Collateral Requirements for Non-Centrally Cleared Derivatives (2019), 42 OSCB 6879	Published August 22, 2019

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NEW INSTRUMENTS

Number	Title	Status as of September 30, 2019
95-401	Margin and Collateral Requirements for Non-Centrally Cleared Derivatives (2016) 39 OSCB 6125	<i>Published for comment July 7/16</i>