

OSC Makes Electronic Filing Mandatory Effective February 19, 2014



Bulletin

February 14, 2014

As of February 19, 2014, firms will be required to file most documents with the OSC via its [new electronic filing portal page](#).

The more common forms that will be filed through this system include:

- Interim and annual financial statements, including Form 31-103 Calculation of Excess Working Capital
- Form 45-106F1 Report of Exempt Distribution
- Capital market participation fee calculations
- Form 33-109F5 Changes of Registration Information
- Compliance reports for mutual funds (per section 12.1 of National Instrument 81-102 Mutual Funds)
- Delivery of custodian compliance reports to the OSC under subsection 6.7(3) of National Instrument 81-102 Mutual Funds
- Notice to the OSC regarding termination of a manager of a mutual fund under subsection 5.8(3) of National Instrument 81-102 Mutual Funds
- Notice to the OSC that a fund is relying on the exemption under section 2.11 of National Instrument 81-106 Investment Fund Continuous Disclosure not to file its financial statements with the OSC
- Applications to the OSC for approvals permitting a fund manager to also act as trustee under subsection 213(3)(b) of the Loan and Trust Corporations Act
- Delivery of an offering memorandum (or any amendment) to the OSC for private placements in Ontario

Documents that are required to be filed through SEDAR, SEDI, and NRD, must continue to be filed through these systems. The Monthly Suppression of Terrorism and UN Sanctions Report will continue to be filed by emailing a signed copy to UNReports@osc.gov.on.ca. Fees payable in connection with any of these filings can now be paid electronically using a credit or debit card.

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