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Commodity Futures Act of Ontario (R.S.O. 1990, c. C.20)

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Introduction to the OSC Bulletin Cumulative Index

This publication is a cumulative index of documents published in the OSC Bulletin (Volume 44) for the period January – December 2021, inclusive.

The index includes material found in Chapters 1 (Notices), 2 (Decisions, Orders and Rulings), 3 (Reasons: Decisions, Orders and Rulings), 4 (Cease Trading Orders), 5 (Rules and Policies), 6 (Request for Comments), 9 (Legislation), 12 (Registrations), 13 (SROs, Marketplaces and Clearing Agencies) and 25 (Other Information).

Chapters 7 (Insider Reporting) and 11 (IPOs, New Issues and Secondary Financings) are not indexed.

All corporate and personal names that appear in the bold titles of each document published in the indexed chapters of the Bulletin are indexed. The tables found in Chapters 4 and 12 are indexed by corporate name only. Where tables appear in Chapter 25, they are indexed by corporate name only.

Main index entries are arranged alphabetically by a corporate or personal last name in boldface font. Sub-entries include a statutory instrument cited (if applicable) and finding information consisting of the issue number, issue date, and page number. Citations are to the *Securities Act*, unless otherwise specified.

Supplements in 2021

Five (5) Supplements were published in 2021:

1. **Proposed Amendments to NI 33-109 and Related Instruments** – Volume 44, Issue 5, Supplement 1 (February 4, 2021).
2. **Multilateral Instrument 25-102 Designated Benchmarks and Benchmark Administrators and Companion Policy** – Volume 44, Issue 17, Supplement 2 (April 29, 2021).
3. **CSA Notice of Amendments – Reducing Regulatory Burden for Investment Fund Issuers – Phase 2, Stage 1** – Volume 44, Issue 40, Supplement 3 (October 7, 2021).
4. **Amendments to NI 33-109 and Related Instruments** – Volume 44, Issue 50, Supplement 4 (December 16, 2021).
5. **Notice of Coming into Force – Reducing Regulatory Burden for Investment Fund Issuers** – Volume 44, Issue 51, Supplement 4 (December 23, 2021).

Particular Instruments, Policies and Forms affected in the Supplements appear in the Cumulative Index.

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Broderick Capital Corp.

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Brookfield Asset Management Inc.

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Brookfield Asset Management Reinsurance Partners Ltd.

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Brookfield Business Corporation

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Brookfield Business Partners L.P.

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Brookfield Office Properties Exchange LP

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Brookfield Property Partners L.P.

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Brookfield Property Preferred L.P.

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Brooks & West Inc.

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BRP Inc.

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BT Global Growth Inc.

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BT Global Growth Trust

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C.S.T. Spark Inc.

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Cache Exploration Inc.

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Caldwell Investment Management Ltd.

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Caldwell Securities Ltd.

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Fiera Canadian Dividend Class

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Fiera Canadian Dividend Registered Fund

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Fiera Canadian Preferred Share Class

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Fiera Canadian Preferred Share Registered Fund

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Cease Trading Order	#24 (June 17) 5153
Cease Trading Order	#25 (June 24) 5457
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Franklin Templeton Investments Corp.

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Global Bioenergy Resources Inc.

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Global Health Clinics Ltd.

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Global Reach Financial Solutions Inc.

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GMG Private Counsel Inc.

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GMG Private Counsel ULC

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GMO Canada LLC

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Golden Predator Mining Corp.

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ITOK Capital Corp.

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Jarislowsky, Fraser Limited

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Jefferies Financial Products, LLC

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Jefferies Financial Services, Inc.

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Kadonoff, Kenneth

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Kalytera Therapeutics, Inc.

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Katebian, Morteza

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Kersia Investment

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KetamineOne Capital Limited

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Cease Trading Order	#48 (December 2) 9769
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Cease Trading Order	#50 (December 16) 10153
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Kicking Horse Capital Inc.

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King Global Ventures Inc.

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Kitmitto, Majd

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McClean Capital Inc.

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Miller, David Randall

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MMCAP Management Inc.

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Money Gate Corp.

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Mosaic Capital Corporation

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Moskowitz Capital Management Inc.

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National Bank Financial Inc.

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National Bank Growth Diversified Fund

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National Bank Investments Inc.

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National Bank Secure Diversified Fund

Decision	#19 (May 13) 3965
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National Instrument 13-101 System for Electronic Document Analysis and Retrieval (SEDAR)

Request for Comments	#20 (May 20) 4205
CSA Notice and Request for Comment – Proposed Amendments	#30 (July 29) 6525
Supplement 3.....	#40 (October 7) 1
Supplement 5.....	#51 (December 23) 1

National Instrument 14-101 Definitions

CSA Notice and Request for Comment	#17 (April 29) 3627
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National Instrument 31-103 Registration Requirements, Exemptions and Ongoing Registrant Obligations

Supplement 1	#5 (February 4) 1
Notice of Ministerial Approval	#7 (February 18) 1297
Rules and Policies	#7 (February 18) 1311
CSA Notice and Request for Comment	#17 (April 29) 3627
OSC Notice of Amendments – Prohibition of Deferred Sales Charges for Mutual Funds	#22 (June 3) 4719
Notice of Ministerial Approval	#26 (June 30) 5578
Rules and Policies	#26 (June 30) 5652
Notice of Amendments	#28 (July 15) 5887
Notice of Coming into Force	#42 (October 21) 8733
Rules and Policies	#42 (October 21) 8759
Supplement 3	#40 (October 7) 1
Supplement 4	#50 (December 16) 1
Supplement 5	#51 (December 23) 1

National Instrument 33-109 Registration Information

Supplement 1	#5 (February 4) 1
Supplement 4	#50 (December 16) 1

National Instrument 41-101 General Prospectus Requirements

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Supplement 3	#40 (October 7) 1
Supplement 5	#51 (December 23) 1

National Instrument 43-101 Standards of Disclosure for Mineral Projects

Request for Comments	#20 (May 20) 4205
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National Instrument 44-101 Short Form Prospectus Distributions

Request for Comments	#20 (May 20) 4205
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National Instrument 44-102 Shelf Distributions

Request for Comments	#20 (May 20) 4205
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National Instrument 45-102 Resale of Securities

CSA Notice and Request for Comment – Proposed Amendments	#30 (July 29) 6525
Notice of Ministerial Approval	#38 (September 23) 7881
Rules and Policies	#38 (September 23) 7979

National Instrument 45-106 Prospectus Exemptions

Notice of Ministerial Approval	#7 (February 18) 1297
Rules and Policies	#7 (February 18) 1313
CSA Notice and Request for Comment	#17 (April 29) 3627
Request for Comments	#20 (May 20) 4205
CSA Notice and Request for Comment – Proposed Amendments	#30 (July 29) 6525
Supplement 3	#40 (October 7) 1
Supplement 5	#51 (December 23) 1

National Instrument 45-110 Start-up Crowdfunding Registration and Prospectus Exemptions

CSA Notice of Publication	#25 (June 24) 5303
Notice of Ministerial Approval	#38 (September 23) 7881
Rules and Policies	#38 (September 23) 7927

National Instrument 51-101 Standards of Disclosure for Oil and Gas Activities

Request for Comments	#20 (May 20) 4205
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National Instrument 51-102 Continuous Disclosure Obligations

Request for Comments	#20 (May 20) 4205
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National Instrument 52-109 Certification of Disclosure In Issuers' Annual And Interim Filings

Request for Comments	#20 (May 20) 4205
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National Instrument 52-110 Audit Committees

Request for Comments	#20 (May 20) 4205
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National Instrument 52-112 Non-GAAP and Other Financial Measures Disclosure	
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Notice.....	#32 (August 12) 6845
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National Instrument 54-101 Communication with Beneficial Owners of Securities of a Reporting Issuer	
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National Instrument 55-104 Insider Reporting Requirements and Exemptions	
Request for Comments	#20 (May 20) 4205
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Request for Comments	#20 (May 20) 4205
National Instrument 62-103 The Early Warning System and Related Take-Over Bid and Insider Reporting Issues	
CSA Notice and Request for Comment	#17 (April 29) 3627
Request for Comments	#20 (May 20) 4205
National Instrument 71-102 Continuous Disclosure and Other Exemptions Relating to Foreign Issuers	
Request for Comments	#20 (May 20) 4205
National Instrument 81-101 Mutual Fund Prospectus Disclosure	
Request for Comments	#20 (May 20) 4205
OSC Notice of Amendments – Prohibition of Deferred Sales Charges for Mutual Funds	#22 (June 3) 4719
Notice of Ministerial Approval.....	#26 (June 30) 5578
Rules and Policies	#26 (June 30) 5647
Supplement 3.....	#40 (October 7) 1
Supplement 5.....	#51 (December 23) 1
National Instrument 81-102 Investment Funds	
Supplement 3.....	#40 (October 7) 1
Supplement 5.....	#51 (December 23) 1
National Instrument 81-105 Mutual Fund Sales Practices	
OSC Notice of Amendments – Prohibition of Deferred Sales Charges for Mutual Funds	#22 (June 3) 4719
Notice of Ministerial Approval.....	#26 (June 30) 5578
Rules and Policies	#26 (June 30) 5645
National Instrument 81-106 Investment Fund Continuous Disclosure	
Supplement 3.....	#40 (October 7) 1
Supplement 5.....	#51 (December 23) 1
National Instrument 81-107 Independent Review Committee for Investment Funds	
Supplement 3.....	#40 (October 7) 1
Supplement 5.....	#51 (December 23) 1
National Instrument 94-102 Derivatives: Customer Clearing and Protection of Customer Collateral and Positions	
CSA Notice and Request for Comment	#17 (April 29) 3627
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Notice of Coming into Force – Amendments.....	#35 (September 2) 7399
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National Policy 11-201 Electronic Delivery of Documents	
Request for Comments	#20 (May 20) 4205
National Policy 11-202 Process for Prospectus Reviews in Multiple Jurisdictions	
Supplement 3.....	#40 (October 7) 1
Supplement 5.....	#51 (December 23) 1
National Policy 11-206 Process for Cease to be a Reporting Issuer Applications	
Request for Comments	#20 (May 20) 4205
National Policy 11-207 Failure-To-File Cease Trade Orders and Revocations in Multiple Jurisdictions	
Request for Comments	#20 (May 20) 4205

National Policy 12-202 Revocation of Certain Cease Trade Orders	
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National Policy 12-203 Management Cease Trade Orders	
Request for Comments	#20 (May 20) 4205
National Policy 41-201 Income Trusts and Other Indirect Offerings	
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National Policy 51-201 Disclosure Standards	
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NBI Canadian Equity Fund	
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NBI Canadian Index Fund	
Decision	#19 (May 13) 3965
NBI Canadian Small Cap Equity Private Portfolio	
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NBI Dividend Fund	
Decision	#19 (May 13) 3965
NBI Global Bond Fund	
Decision	#19 (May 13) 3965
NBI High Yield Bond Private Portfolio	
Decision	#19 (May 13) 3965
NBI International Currency Neutral Index Fund	
Decision	#19 (May 13) 3965
NBI International Index Fund	
Decision	#19 (May 13) 3965
NBI Jarislowsky Fraser Select Balanced Fund	
Decision	#19 (May 13) 3965
NBI Municipal Bond Plus Private Portfolio	
Decision	#19 (May 13) 3965
NBI Real Assets Private Portfolio	
Decision	#19 (May 13) 3965
NBI Strategic U.S. Income and Growth Fund	
Decision	#19 (May 13) 3965
NBI Tactical Mortgage & Income Fund	
Decision	#19 (May 13) 3965
NBI U.S. Currency Neutral Index Fund	
Decision	#19 (May 13) 3965

NBI U.S. Dividend Fund	
Decision	#19 (May 13) 3965
NBI U.S. Index Fund	
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NDB Group Syndications Inc.	
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NEI Growth & Income Fund	
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Neo Exchange Inc.	
Marketplaces – Listing Manual Amendments – Notice of Approval	#3 (January 21) 696
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Marketplaces – Notice of Housekeeping Rule Amendments to the Trading Policies	#30 (July 29) 6688
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Marketplaces – Public Interest Rule Amendments to the Trading Policies – Notice of Approval	#37 (September 16) 7877
Marketplaces – Listing Manual – Request for Comments	#46 (November 18) 9397
Neo-Criterion Capital Limited	
Voluntary Surrender	#5 (February 4) 1019
Neo-Criterion Capital Singapore Pte. Ltd.	
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Neptra Foods Inc.	
Decision	#32 (August 12) 6867
NetCents Technology Inc.	
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Netcoins Inc.	
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Neuberger Berman Breton Hill ULC	
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Neuberger Berman Canada ULC	
Name Change.....	#50 (December 16) 10323
New Klondike Exploration Ltd.	
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New Look Vision Group Inc.	
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New Oroperu Resources Inc.	
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New Wave Holdings Corp.	
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Cease Trading Order	#33 (August 19) 7057
Cease Trading Order	#34 (August 26) 7297
Cease Trading Order	#35 (September 2) 7457
Cease Trading Order	#36 (September 9) 7605
Cease Trading Order	#37 (September 16) 7761
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New Wave Ventures Inc.	
Notice of Hearing with Related Statements of Allegations – ss. 127(1), 127(10)	#16 (April 22) 3464
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New York Mercantile Exchange, Inc.	
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Newlox Gold Ventures Corp.	
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NEX SEF Limited	
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Next Edge Biotech and Life Sciences Opportunities Fund	
Decision	#38 (September 23) 7891
Next Edge Capital Corp.	
Decision	#38 (September 23) 7891
Next Edge Strategic Metals and Commodities Fund	
Decision	#38 (September 23) 7891
NextPoint Acquisition Corp.	
Decision	#26 (June 30) 5588
NextPoint Financial Inc.	
Cease Trading Order	#47 (November 25) 9489
Cease Trading Order	#48 (December 2) 9769
Cease Trading Order	#49 (December 9) 9953
Cease Trading Order	#50 (December 16) 10153
Cease Trading Order	#51 (December 23) 10389
Nexus Real Estate Investment Trust	
Decision	#33 (August 19) 7036
Ninepoint Bitcoin ETF	
Decision	#20 (May 20) 4183
Ninepoint Concentrated Canadian Equity Fund	
Decision	#6 (February 11) 1043
Ninepoint Focused Global Dividend Fund	
Decision	#46 (November 18) 9265

Ninepoint Partners LP	
Decision	#6 (February 11) 1043
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Decision	#46 (November 18) 9265
Ninepoint Resource Fund	
Decision	#46 (November 18) 9265
Ninepoint Return Advantaged U.S. Equity Index Fund	
Decision	#46 (November 18) 9265
Ninepoint Risk Advantaged U.S. Equity Index Fund	
Decision	#46 (November 18) 9265
Ninepoint Silver Equities Fund	
Decision	#46 (November 18) 9265
Nodal Exchange, LLC	
Variation of Exemption Orders – s. 144 of the OSA and s. 78 of the CFA	#11 (March 18) 2315
Norbord Inc.	
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Nordea Investment Management North America, Inc.	
Voluntary Surrender	#1 (January 7) 185
Northern Alliance Financial Corporation	
New Registration	#34 (August 26) 7393
Northview Canadian High Yield Residential Fund	
Decision	#6 (February 11) 1050
Northwest & Ethical Investments L.P.	
Decision	#19 (May 13) 3926
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Novamind Inc.	
Cease Trading Order	#45 (November 11) 9091
Novoheart Holdings Inc.	
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Cease Trading Order	#1 (January 7) 11
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Cease Trading Order	#4 (January 28) 745
Cease Trading Order	#5 (February 4) 923
Cease Trading Order	#6 (February 11) 1075
Cease Trading Order	#7 (February 18) 1309
Cease Trading Order	#8 (February 25) 1559
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Oakhaven Wealth Advisors Inc.	
Name Change	#34 (August 26) 7393
Oakmark International Equity Class	
Decision	#19 (May 13) 3943
Oakmark International Equity Registered Fund	
Decision	#19 (May 13) 3943

Oakmark U.S. Equity Class	
Decision	#19 (May 13) 3943
Oakmark U.S. Equity Registered Fund	
Decision	#19 (May 13) 3943
OceanFront Investment Counsel Inc.	
New Registration.....	#49 (December 9) 10099
Old API Wind-down Ltd.	
Cease Trading Order	#48 (December 2) 9769
OmniArch Capital Group Inc.	
Notice of Hearing with Related Statements of Allegations – ss. 127(1), 127(10)	#16 (April 22) 3464
Notice from the Office of the Secretary	#16 (April 22) 3474
Notice from the Office of the Secretary	#28 (July 15) 6025
Order.....	#28 (July 15) 6037
Reasons and Decision – ss. 127(1), 127(10)	#28 (July 15) 6043
OmniArch Global Bond Corp.	
Notice of Hearing with Related Statements of Allegations – ss. 127(1), 127(10)	#16 (April 22) 3464
Notice from the Office of the Secretary	#16 (April 22) 3474
Notice from the Office of the Secretary	#28 (July 15) 6025
Order.....	#28 (July 15) 6037
Reasons and Decision – ss. 127(1), 127(10)	#28 (July 15) 6043
OmniArch Global Secured Corporation	
Notice of Hearing with Related Statements of Allegations – ss. 127(1), 127(10)	#16 (April 22) 3464
Notice from the Office of the Secretary	#16 (April 22) 3474
Notice from the Office of the Secretary	#28 (July 15) 6025
Order.....	#28 (July 15) 6037
Reasons and Decision – ss. 127(1), 127(10)	#28 (July 15) 6043
OmniArch Ventures Inc.	
Notice of Hearing with Related Statements of Allegations – ss. 127(1), 127(10)	#16 (April 22) 3464
Notice from the Office of the Secretary	#16 (April 22) 3474
Notice from the Office of the Secretary	#28 (July 15) 6025
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ONEnergy Inc.	
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Notice of Coming into Force	#28 (July 15) 5886
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Notice of Ministerial Approval	#38 (September 23) 7881
Rules and Policies	#38 (September 23) 7975
Supplement 3	#40 (October 7) 1
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Ontario Securities Commission Rule 25-501 (Commodity Futures Act) Designated Benchmarks and Benchmark Administrators

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Notice of Coming into Force#28 (July 15) 5886

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Supplement 1#5 (February 4) 1

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Ontario Securities Commission Rule 48-501 Trading During Distributions, Formal Bids and Share Exchange Transactions

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OSC Notice 11-794 – Statement of Priorities – Request for Comments Regarding Statement of Priorities for Financial Year to End March 31, 2023

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OSC Policy 51-601 Reporting Issuer Defaults

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OSC Policy 51-604 Defence for Misrepresentations in Forward-Looking Information

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OSC Rule 11-501 Electronic Delivery of Documents to the Ontario Securities Commission

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CSA Notice and Request for Comment – Proposed Amendments	#30 (July 29) 6525
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Notice of Ministerial Approval.....	#38 (September 23) 7881
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Supplement 3.....	#40 (October 7) 1
Supplement 5.....	#51 (December 23) 1

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OSC Rule 25-501 (Commodity Futures Act) Designated Benchmarks and Benchmark Administrators

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Supplement 1.....	#5 (February 4) 1
Supplement 4.....	#50 (December 16) 1

OSC Rule 45-501 Ontario Prospectus and Registration Exemptions

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Notice of Ministerial Approval.....	#38 (September 23) 7881
Rules and Policies	#38 (September 23) 7976

OSC Rule 48-501 Trading During Distributions, Formal Bids and Share Exchange Transactions

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OSC Rule 51-801 Implementing National Instrument 51-102 Continuous Disclosure Obligations

Request for Comments	#20 (May 20) 4205
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OSC Rule 56-501 Restricted Shares

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OSC Rule 71-802 Implementing National Instrument 71-102 Continuous Disclosure and Other Exemptions Relating to Foreign Issuers

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OSC Staff Notice 11-737 (Revised) – Securities Advisory Committee – Vacancies

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Notice from the Office of the Secretary.....	#44 (November 4) 8959
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OTT Financial Canada Inc.	
Change in Registration Category.....	#20 (May 20) 4479
Outback Goldfields Corp.	
Consent – s. 4(b) of Ont. Reg. 289/00 under the OBCA.....	#3 (January 21) 703
Ovintiv Inc.	
Decision.....	#50 (December 16) 10119
Pacgen Life Science Corporation	
Order.....	#3 (January 21) 549
Order.....	#9 (March 4) 1737
Palos Wealth Management Inc.	
Change in Registration Category.....	#44 (November 4) 9045
Pembina Pipeline Corporation	
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PenderFund Capital Management Ltd.	
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Penn National Gaming, Inc.	
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Pennant Capital Partners Inc.	
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Pennine Petroleum Corporation

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Revocation Order	#26 (June 30) 5607

People Corporation

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Cease Trading Order	#21 (May 27) 4576
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