



# CanaGlobe

COMPLIANCE SOLUTIONS INC.

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## The Compliance Connection

Public Company. Compliant Company.

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### Our Services Include:

- Corporate Secretary Services
- SEDAR Filings
- EDGAR Filings
- SEDI Filings
- Compliance Consulting
- Shareholder Meetings
- Stock Exchange Applications
- Whistleblowing

### CanaGlobe Compliance Solutions Inc.

CanaGlobe Compliance Solutions Inc is a consulting firm providing corporate compliance and governance services to private and public companies.

We offer assistance with regulatory filings to the various Stock Exchanges and Securities Commissions in Canada as well as in the United States.

In addition, we offer full Corporate Secretary Services and provide assistance in creating Corporate Governance policies for our clients.

Email: [info@canaglobecompliance.com](mailto:info@canaglobecompliance.com)

Website: [www.canaglobecompliance.com](http://www.canaglobecompliance.com)

### Professional Development Day- January 21st, 2014 - Calgary, AB

CanaGlobe is working with industry professionals to bring you an interactive day of discussions to help you navigate the obligations of a public company. The following topics will be presented:

- Broadridge – Overview – Who they are and what do they do?
- Notice and Access Post Mortem
- Corporate & Securities Law: 101
- Panel Discussion - Proxy Voting Process
- IR Basics
- An update from the Alberta Securities Commission

Further information and registration details can be found [on our website](#).

### OSC Forward Looking Statements Review

The Ontario Securities Commission (“OSC”) has completed a review of Forward Looking Information (“FLI”) which assessed the overall quality of FLI disclosure. The notice provides guidance and examples to assist reporting issuers in preparing FLI and the four common areas where improvement is needed:

- clear identification of FLI
- disclosure of the material factors or assumptions used to develop FLI
- updating previously disclosed FLI comparison of actual results to the future oriented financial information or financial outlook previously disclosed

You can read the complete notice [HERE](#).



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[www.canaglobecompliance.com](http://www.canaglobecompliance.com)

Don't forget to visit our Blog at:

[http://](http://theconnection.wordpress.com)

[theconnection.wordpress](http://theconnection.wordpress.com)

[.com](http://theconnection.wordpress.com)

## **2013 Filing Deadlines/Downloadable Calendars**

### **Now Available for Download**

We have created downloadable and installable calendars to help simplify the complicated world of filing due dates for both Venture and Non-venture reporting companies. This feature contains calendars that are organized by year end and stock exchange and contain the filing deadlines specific to that year end. By simply selecting the appropriate link from the list you will be able to download your financial filing deadlines for the 2013 calendar year either into your current calendar or you can create a separate calendar within your email program.

*You can find the calendars and the download instructions [HERE](#).*

For information on the fees payable with the filing of the audited financial statements please see [our website](#).

## **CSA Consultation Paper 54-401 Review of the Proxy Voting Infrastructure**

The CSA has published for comment Consultation Paper 54-401 Review of the Proxy Voting Infrastructure. The paper seeks to outline and obtain feedback from issuers, investors and other stakeholders on a proposed approach to address concerns regarding the integrity and reliability of the proxy voting infrastructure, including the following:

- *Is accurate vote reconciliation occurring within the proxy voting infrastructure?*
- *What type of end-to-end vote confirmation system should be added to the proxy voting infrastructure?*

Comments must be submitted in writing by November 13, 2013.

You can read the complete consultation paper [HERE](#).

## **Interactive Pay-for-Performance**

### **Analysis Tool**

The Globe and Mail has published the Global Governance Advisors interactive pay-for-performance analysis tool that measures CEO compensation against company performance relative to other Top 100 companies in the S&P/TSX Composite Index as of Dec. 31, 2012.

This tool allows users to look at pay in five different combinations and measures it against one or more of seven common performance metrics.

You can find the Interactive Pay-for-Performance tool [HERE](#).

## **OSC Staff Notice 43-705 Review of Technical**

### **Reports by Ontario Mining Issuers**

The Ontario Securities Commission ("OSC") has published Staff Notice 43-705 the Report on Staff's Review of Technical Reports by Ontario Mining Issuers.

The purpose of this notice is to summarize the results of the Review and to provide guidance for mining issuers and qualified persons on compliance with Form 43-101F1 in the areas of concern identified during the Review.

Issuers should anticipate staff requests for re-filings, additional disclosure, or other staff action, where appropriate, if an issuer and qualified person have not fully met the requirements of Form 43-101F1 and NI 43-101.

You can find the complete notice [HERE](#).

**Reminder** – An issuer event report must be filed on SEDI whenever a stock dividend, stock split, consolidation, amalgamation, reorganization, merger or other similar event occurs.

*DISCLAIMER: The contents of this Newsletter is provided for information purposes only and does not provide advice, legal or otherwise.*