

# NOTICE AND ACCESS

## Checklist for Canadian Issuers

This checklist may be used by Canadian Issuers to help determine their eligibility and readiness to implement Notice and Access for their securityholders. Related Broadridge resources are listed beside the issuer checklist where applicable.

### Issuer Eligibility/Readiness for Notice and Access

- Review Articles of Incorporation/By-laws
- Consult Legal Counsel:
  - Eligibility to use Notice and Access?
  - U.S. or Canadian Notice and Access rule?
- Notice and Access timeline analysis
- Service provider timeline analysis
- Cost/Benefit Analysis (Traditional Full Set package vs. the new Notice and Access package)
- Budget/Project Approval
- Processing Requirements

### Implementation Considerations:

- Shareholder Intelligence
- First-time notice: 25 days before record date
- SEDAR and Non-SEDAR web sites
- 40-60-day Record Date
- Stratification:
  - Geographic
  - Share Range
  - Material Selection
  - OBO/NOBO
- Information Circular Disclosure:
  - Stratification explanation
  - NOBO direct delivery
  - OBO payment intention
- Notice Requirements:
  - Explanation of Notice and Access
  - Reminder to review material before voting
  - Explanation of how to vote
  - Information Circular
  - Toll free number
- Fulfillment (pre- and post-meeting):
  - Full Set Request standing instructions data collection
  - Fulfillment file pick-up
  - Fulfillment delivery
- Web-friendly documents
- Issuer Delivery Preference
  - e-Delivery
  - NOBO direct mail
  - OBO Payment
- Meeting Type
  - Physical
  - Virtual
  - Both
- Post-meeting Vote Analysis

### Broadridge Proxy Resources

- N/A
- [www.chartingthecourse.ca](http://www.chartingthecourse.ca)
- [www.noticeandaccess.ca](http://www.noticeandaccess.ca)
- Meeting Planner
- Meeting Services
- Mail Cost Analysis
- N/A
- Notice and Access Processing
- Cross-border Account Management
- Managed Account Processing
- Over-reporting Prevention Service
- Shareholder Forum
- Meeting Planner
- Web Hosting
- Meeting Planner
- Securityholder Analytical Reports
- N/A
- Notice and Access Services
- Fulfillment Services
- Inventory Management Services
- Interactive Document (HTML) Conversion Service
- Investor Preference Database
- Investor Preference Delivery Processing
- Meeting Services
- Virtual Meeting Services
- MyService.Broadridge.com

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