The Alberta Gazette

Part I

Vol. 107 Edmonton, Thursday, June 30, 2011 No. 12

GOVERNMENT NOTICES

Agriculture and Rural Development

Form 15

(Irrigation Districts Act)
(Section 88)

Notice to Irrigation Secretariat:
Change of Area of an Irrigation District

On behalf of the **Western Irrigation District**, I hereby request that the Irrigation Secretariat forward a certified copy of this notice to the Registrar for Land Titles for the purposes of registration under section 22 of the *Land Titles Act* and arrange for notice to be published in the Alberta Gazette.

The following parcels of land should be **removed** from the irrigation district and the notation removed from the certificate of title:

LINC Number	Short Legal Description as shown on title	Title Number
0017 820 069	7710634;4;45	111 123 107

I certify the procedures required under part 4 of the *Irrigation Districts Act* have been completed and the area of the **Western Irrigation District** should be changed according to the above list.

Rebecca Fast, *Office Administrator,*
Irrigation Secretariat.

Culture and Community Spirit

Decisions on Geographical Names

(Historical Resources Act)

Notice is hereby given that pursuant to section 18, subsection 3 of the Historical Resources Act the following decisions on geographical names were duly authorized on February 15, 2008.

APPROVED

NTS Map Sheet 84 D/7 – "Eureka River"

Ednam Lake
(lake)

Located in:
Sec. 23, 26 and 27, Twp. 85, Rge. 4, West of 6th Meridian
(50° 23′ 44″ N & 118° 31′ 14″ W)
Approximately 37 km northwest of Fairview.

This small, shallow lake is named for the nearby Ednam School District No. 4359 that operated from 1931 to 1941. The school was located approximately 8 kilometres SSW of the lake. The name is likely derived from the community of Ednam, Scotland, which is located in The Scottish Borders. The immigration papers for William Gibb, a homesteader in the region and one of the first school district trustees, state that he was born at Gordon, Scotland, in about 1900 and his four sons were all born at Kelso, Scotland. The communities of Kelso, Ednam and Gordon are in close proximity to each other. Ednam, Scotland is situated on the River Eden and the name Ednam is derived from "Eden-ham" meaning "settlement on the Eden."

Signed January 23, 2008

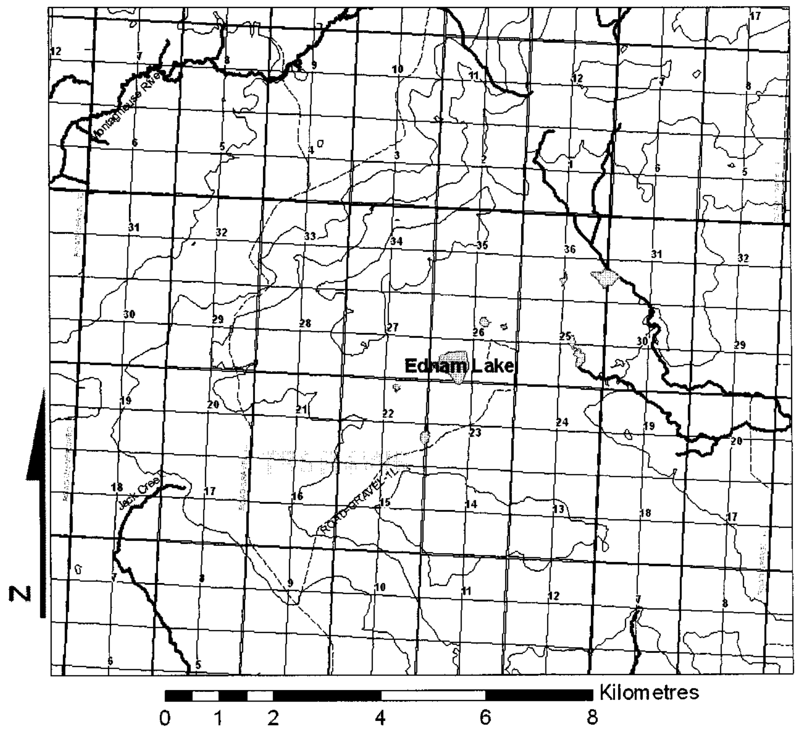
Irene Nicolson, Chair
Alberta Historical Resources Foundation

Signed February 15, 2008

Hector Goudreau, Minister
Tourism, Parks, Recreation and Culture

APPENDIX

A Sketch Showing the General Vicinity of Ednam Lake



Notice is hereby given that pursuant to section 18, subsection 3 of the Historical Resources Act the following decisions on geographical names were duly authorized on February 15, 2008.

RESCINDED

NTS Map Sheet 73 E/10 – "Clandonald"

Lac Tremble
(lake)

Located in:
Sec. 30, Twp. 52, Rge. 4, West of 4th Meridian
(53° 30′ 49″ N & 110° 36′ 08″ W)
Approximately 9 km southwest of Dewberry

This lake no longer exists. Although the lake appears on maps dating back to the 1850s, by the 1980s it had been either drained or dried up. The location of the former lake is now a hay flat.

Signed January 23, 2008

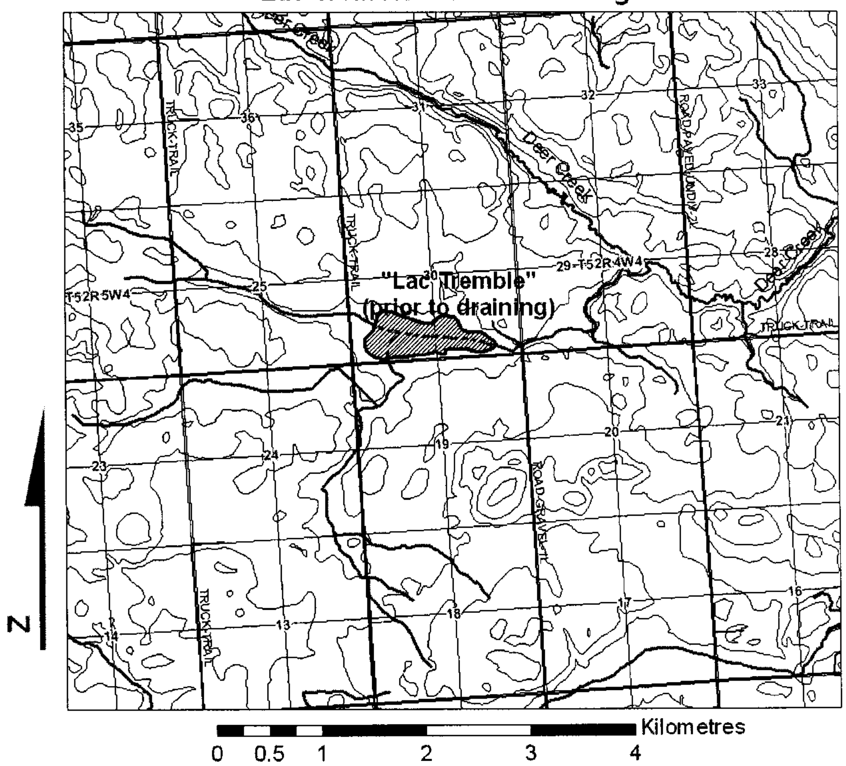
Irene Nicolson, Chair
Alberta Historical Resources Foundation

Signed February 15, 2008

Hector Goudreau, Minister
Tourism, Parks, Recreation and Culture

APPENDIX

A Sketch Showing the General Location of Lac Tremble Prior to Draining



Hosting Expenses Exceeding $600.00
For the Period January 1, 2011 to March 31, 2011

Function: 2010 Grey Cup Youth Brunch
Date: November 27, 2010
Amount: $600 (the total event cost was $1,200, shared by two ministries)
Purpose: A youth brunch to kick-off their Grey Cup experience hosted jointly by Minstry of Tourism, Parks and Recreation and Culture and Community Spirit.
Location: Crowne Plaza Chateau Lacombe Hotel, Edmonton, AB
BU #: 022

Function: Minister's meeting with film/television industry executives/producers in the Los Angeles area
Date: January 19, 2011
Amount: $1,172.51
Purpose: Promotion of Alberta's film, television, and digital media industries to the Los Angeles/Hollywood marketplace to help facilitate opportunities of co-production and filming on location in Alberta.
Location: Coast Restaurant, Santa Monica, California, USA
BU #: 022

Function: Alberta's Delegation Debriefing of the Minister's Marketing trip to Los Angeles
Date: January 20, 2011
Amount: $803.82
Purpose: Promotion of Alberta's film, television, and digital media industries to the Los Angeles/Hollywood marketplace to help facilitate opportunities of co-production and filming on location in Alberta.
Location: i Cugini Restaurant, Santa Monica, California, USA
BU #: 022

Energy

Production Allocation Unit Agreement

(Mines and Minerals Act)

Notice is hereby given, pursuant to section 102 of the Mines and Minerals Act, that the Minister of Energy on behalf of the Crown has executed counterparts of the agreement entitled "Production Allocation Unit Agreement – Suffield Upper Mannville Agreement #38" and that the Unit became effective on May 1, 2011.

EXHIBIT "A" - PART I

ATTACHED TO AND MADE PART OF AN AGREEMENT ENTITLED
"Suffield Upper Mannville Agreement #38"

Tract No.	Land Description (W4M)	Lease Number	Royalty Owner	Tract Participation (%)	Working Interest Owner	Share of Working Interest (%)	Share of Tract Participation (%)
1	Twp 18 Rge 7 W4M: 26L1	Fee Title (C000337)	Canpar Holdings Ltd.	64.44%	Cenovus Energy Inc.	100%	100%
2	Twp 18 Rge 7 W4M 23L16	Crown Lease 0400040253 (M007727)	Alberta Energy	35.56%	Cenovus Energy Inc.	100%	100%

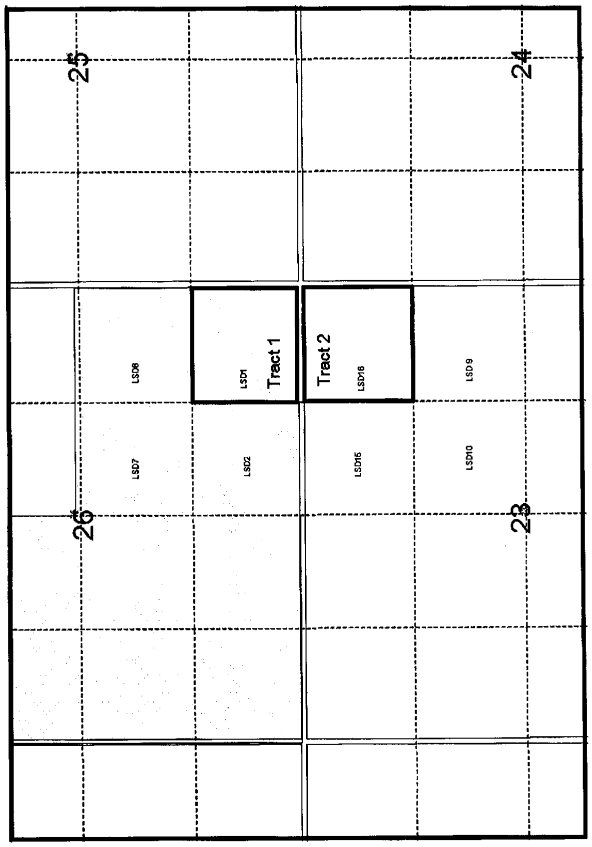
Working Interest Owners:

Cenovus Energy Inc. 100%

Effective as of the Effective Date

EXHIBIT "B" - TRACT

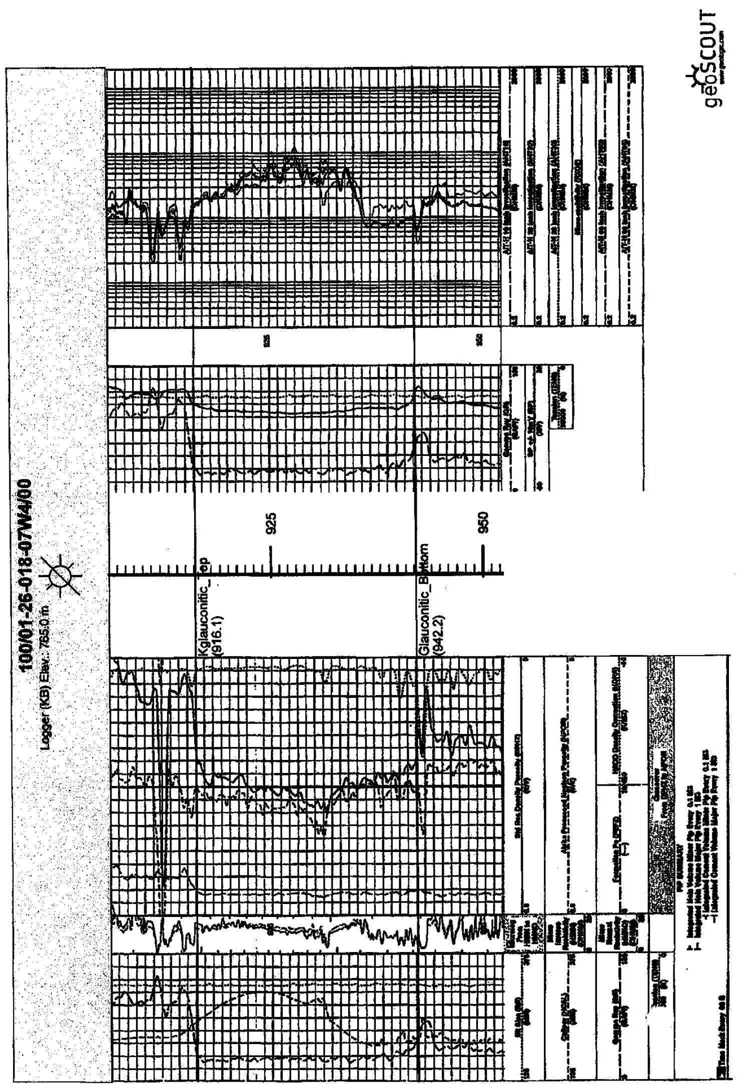
ATTACHED TO AND MADE PART OF AN AGREEMENT ENTITLED
"SUFFIELD UPPER MANNVILLE AGREEMENT #38"



Effective as of the Effective Date

T18R7W4

EXHIBIT "C" – WELL LOG
ATTACHED TO AND MADE PART OF AN AGREEMENT ENTITLED
"SUFFIELD UPPER MANNVILLE AGREEMENT #38"



Safety Codes Council

Agency Accreditation

Pursuant to Section 30 of the Safety Codes Act it is hereby ordered that

Accurate Inspection Services, Accreditation No. **A000855**, Order No. **2816**

Having satisfied the terms and conditions of the Safety Codes Council is authorized to provide services under the Safety Codes Act for **Electrical**.

Consisting of all parts of the Canadian Electrical Code, Code for Electrical Installations at Oil and Gas Facilities and Alberta Electrical Utility Code.

Accredited Date: June 1, 2011 Issued Date: June 1, 2011.

Municipal Accreditation - Cancellation

(Safety Codes Act)

Pursuant to section 26 of the Alberta Safety Codes Act it is hereby ordered that

Summer Village of Sunset Point, Accreditation No. M000306, Order No. 1150

Is to cease administration under the Safety Codes Act within its jurisdiction for **Building**

Issued Date: June 1, 2011.

Pursuant to section 26 of the Alberta Safety Codes Act it is hereby ordered that

Summer Village of Sunset Point, Accreditation No. M000306, Order No. 1151

Is to cease administration under the Safety Codes Act within its jurisdiction for **Electrical**

Issued Date: June 1, 2011.

Pursuant to section 26 of the Alberta Safety Codes Act it is hereby ordered that

Summer Village of Sunset Point, Accreditation No. M000306, Order No. 1152

Is to cease administration under the Safety Codes Act within its jurisdiction for **Gas**

Issued Date: June 1, 2011.

Pursuant to section 26 of the Alberta Safety Codes Act it is hereby ordered that

Summer Village of Sunset Point, Accreditation No. M000306, Order No. 1153

Is to cease administration under the Safety Codes Act within its jurisdiction for **Plumbing**

Issued Date: June 1, 2011.

Joint Municipal Accreditation - Cancellation

(Safety Codes Act)

Pursuant to section 23 of the Safety Codes Act it is hereby ordered that

Beaver County, Village of Holden, Village of Ryley, Town of Tofield, Town of Viking, Accreditation No. J000147, Order No. 1321

Due to the voluntary withdrawal from accreditation is to cease administration under the Safety Codes Act within its jurisdiction for **Fire**

Consisting of all parts of the Alberta Fire Code, including investigations, including applicable Alberta amendments and regulations. Excluding Part 4 requirements for tank storage of flammable and combustible liquids. Excluding any or all things, processes or activities that fall within the boundaries of a Corporation where that Corporation was accredited to administer the Safety Codes Act prior to the accreditation date of this Order. A Corporation accredited prior to a corporation maintains jurisdiction over the administration of the Safety Codes Act unless the Corporation agrees and transitions authority in writing to the municipality.

Issued Date: June 13, 2011.

Regional Services Commission Accreditation

(Safety Codes Act)

Pursuant to section 27 of the Safety Codes Act it is hereby ordered that

Beaver Emergency Services Commission, Accreditation No. R000856, Order No. 2817

Having satisfied the terms and conditions of the Safety Codes Council is authorized to administer the Safety Codes Act within their jurisdiction for **Fire**

Consisting of all parts of the Alberta Fire Code, including investigations, including applicable Alberta amendments and regulations. Excluding Part 4 requirements for tank storage of flammable and combustible liquids. Excluding any or all things, processes or activities that fall within the boundaries of a Corporation where that Corporation was accredited to administer the Safety Codes Act prior to the accreditation date of this Order. A Corporation accredited prior to a corporation maintains jurisdiction over the administration of the Safety Codes Act unless the Corporation agrees and transitions authority in writing to the municipality.

Accredited Date: June 13, 2011 Issued Date: June 13, 2011.

Alberta Securities Commission

AMENDMENTS TO NATIONAL INSTRUMENT 31-103 *REGISTRATION REQUIREMENTS AND EXEMPTIONS*

(Securities Act)

Made as a rule by the Alberta Securities Commission on April 12, 2011 pursuant to sections 223 and 224 of the Securities Act.

1. ***National Instrument 31-103 Registration Requirements and Exemptions is amended by this Instrument.***

2. The instrument title is amended by replacing "and Exemptions" with ", Exemptions and Ongoing Registrant Obligations".

3. Subsection 1.1 is amended by

(a) deleting the definition of "NI 45-106",

(b) replacing paragraph (d) of the definition of **"**permitted client**"** ***with the following:***

(d) a person or company registered under the securities legislation of a jurisdiction of Canada as an adviser, investment dealer, mutual fund dealer or exempt market dealer;, **and**

(c) by replacing **"**NI 45-106**"** ***wherever the expression occurs with*** **"**National Instrument 45-106 *Prospectus and Registration Exemptions***"**.

4. ***Subsection 1.3 (1) is amended***

(a) ***in paragraphs (a) and (b) by replacing*** **"**registered firm**"** ***with*** **"**person or company**"**,

(b) ***in subparagraph (b)(i) by replacing*** **"**firm**"** ***wherever the expression occurs with*** **"**person or company**"**, ***and***

(c) in subparagraph (b)(ii) by replacing **"**firm's" ***with*** **"**person or company's**".**

5. ***Section 3.1 is amended***

(a) ***in the definition of*** **"**Canadian Investment Funds Exam**"** ***by replacing*** **"**Canadian Investment Funds Exam**"** ***with*** **"**Canadian Investment Funds Course Exam**"*****,***

(b) ***by replacing*** **"**Investment Funds Institute of Canada**"** ***wherever it occurs with*** **"**IFSE Institute**"*****, and***

(c) ***by adding the following after the definition of*** **"**Canadian Securities Course Exam**"*****:***

Chief Compliance Officers Qualifying Exam" means the examination prepared and administered by CSI Global Education Inc. and so named on the day this Instrument comes into force, and every examination that preceded that examination, or succeeded that examination, that does not have a significantly reduced scope and content when compared to the scope and content of the first-mentioned examination;.

6. ***Section 3.3 is replaced with the following:***

3.3 Time limits on examination requirements

(1) For the purpose of this Part, an individual is deemed to have not passed an examination unless the individual passed the examination not more than 36 months before the date of his or her application for registration.

(2) Subsection (1) does not apply if the individual passed the examination more than 36 months before the date of his or her application and has met one of the following conditions:

(a) the individual was registered in the same category in any jurisdiction of Canada at any time during the 36-month period before the date of his or her application;

(b) the individual has gained 12 months of relevant securities industry experience during the 36-month period before the date of his or her application.

(3) For the purpose of paragraph (2)(a), an individual is not considered to have been registered during any period in which the individual's registration was suspended..

7. ***Subsection 3.4 (1) is amended by adding*** **",** including understanding the structure, features and risks of each security the individual recommends**"** ***after*** **"**competently**".**

8. ***Section 3.5 is replaced with the following:***

3.5 Mutual fund dealer – dealing representative

A dealing representative of a mutual fund dealer must not act as a dealer in respect of the securities listed in section 7.1(2)(b) unless any of the following apply:

(a) the individual has passed the Canadian Investment Funds Course Exam, the Canadian Securities Course Exam or the Investment Funds in Canada Course Exam;

(b) the individual has met the requirements of section 3.11 [*portfolio manager – advising representative*];

(c) the individual has earned a CFA Charter and has gained 12 months of relevant securities industry experience in the 36-month period before applying for registration;

(d) the individual is exempt from section 3.11 [*portfolio manager – advising representative*] because of subsection 16.10(1) [*proficiency for dealing and advising representatives*]**.**.

9. ***Section 3.6 is amended***

(a) ***in subparagraph (a)(i) by replacing*** **"**Canadian Investment Funds Exam**"** ***with*** **"**Canadian Investment Funds Course Exam**",**

(b) ***in subparagraph (a)(ii) by replacing*** **"**or**"** ***with*** **","** ***and by adding*** **"**or the Chief Compliance Officers Qualifying Exam**;"** ***after*** **"**Compliance Exam**",** ***and***

(c) ***by adding the following after paragraph (b):***

(c) section 3.13 [*portfolio manager – chief compliance officer*] does not apply in respect of the individual because of subsection 16.9(2) [*registration of chief compliance officers*]**.**.

10. ***Section 3.7 is replaced with the following:***

3.7 Scholarship plan dealer – dealing representative

A dealing representative of a scholarship plan dealer must not act as a dealer in respect of the securities listed in section 7.1(2)(c) unless the individual has passed the Sales Representative Proficiency Exam.**.**

11. ***Section 3.8 is amended by adding, in paragraph (c), after*** **"**Exam**"**, **"**or the Chief Compliance Officers Qualifying Exam.**".**

12. ***Section 3.9 is replaced with the following:***

3.9 Exempt market dealer – dealing representative

A dealing representative of an exempt market dealer must not perform an activity listed in section 7.1(2)(d) unless any of the following apply:

(a) the individual has passed the Canadian Securities Course Exam;

(b) the individual has passed the Exempt Market Products Exam;

(c) the individual has earned a CFA Charter and has gained 12 months of relevant securities industry experience in the 36-month period before applying for registration;

(d) the individual satisfies the conditions set out in section 3.11 [*portfolio manager– advising representative*];

(e) the individual is exempt from section 3.11 [*portfolio manager – advising representative*] because of subsection 16.10(1) [*proficiency for dealing and advising representatives*]..

13. ***Section 3.10 is replaced with the following:***

3.10 Exempt market dealer – chief compliance officer

An exempt market dealer must not designate an individual as its chief compliance officer under subsection 11.3(1) [*designating a chief compliance officer*] unless any of the following apply:

(a) the individual has passed the following:

(i) the Exempt Market Products Exam or the Canadian Securities Course Exam; and

(ii) the PDO Exam or the Chief Compliance Officers Qualifying Exam;

(b) the individual has met the requirements of section 3.13 [*portfolio manager – chief compliance officer*];

(c) section 3.13 [*portfolio manager – chief compliance officer*] does not apply in respect of the individual because of subsection 16.9(2) [*registration of chief compliance officers*]..

14. ***Section 3.11 is replaced with the following:***

3.11 Portfolio manager – advising representative

An advising representative of a portfolio manager must not act as an adviser on behalf of the portfolio manager unless any of the following apply:

(a) the individual has earned a CFA Charter and has gained 12 months of relevant investment management experience in the 36-month period before applying for registration;

(b) the individual has received the Canadian Investment Manager designation and has gained 48 months of relevant investment management experience, 12 months of which was gained in the 36-month period before applying for registration.**.**

15. ***Section 3.12 is replaced with the following:***

3.12 Portfolio manager – associate advising representative

An associate advising representative of a portfolio manager must not act as an adviser on behalf of the portfolio manager unless any of the following apply:

(a) the individual has completed Level 1 of the Chartered Financial Analyst program and has gained 24 months of relevant investment management experience;

(b) the individual has received the Canadian Investment Manager designation and has gained 24 months of relevant investment management experience.**.**

16. ***Section 3.13 is amended***

(a) by replacing subparagraph (a)(ii) with the following:

(ii) passed the PDO Exam or the Chief Compliance Officers Qualifying Exam and, unless the individual has earned the CFA Charter, the Canadian Securities Course Exam, and,

(b) in clause (a)(iii)(B) by adding "also***" after "***and***",***

(c) in paragraph (b) by replacing "the PDO***" with "***either the PDO Exam or the Chief Compliance Officers Qualifying***",***

(d) in subparagraph (b)(ii) by adding "also***" after "***and***", and***

(e) in paragraph (c) by replacing "the PDO" ***with "***either the PDO Exam or the Chief Compliance Officers Qualifying***".***

17. ***Section 3.14 is amended***

(a) ***by replacing subparagraph (a)(ii) with the following:***

(ii) passed the PDO Exam or the Chief Compliance Officers Qualifying Exam and, unless the individual has earned the CFA Charter, the Canadian Securities Course Exam, and,

(b) ***in clause (a)(iii)(B) by adding "***also***" after "***and***",***

(c) ***in subparagraph (b)(i) by adding "***Course***" after "***Canadian Investment Funds***",***

(d) ***in subparagraph b(ii) by adding "***or the Chief Compliance Officers Qualifying Exam***" after "***Exam***", and***

(e) ***by adding the following after paragraph (c):***

(d) section 3.13 [*portfolio manager – chief compliance officer*] does not apply in respect of *the* individual because of subsection 16.9(2) [*registration of chief compliance officers*].**.**

18. ***Section 3.15 is amended***

(a) ***in subsection (1) by adding "***that is a member of IIROC***" after "***dealer***", and***

(b) ***in subsection (2) by adding "***that is a member of the MFDA***" after "***dealer***".***

19. ***Subsection 3.16 (3) is replaced with the following:***

(3) In Québec, the requirements listed in subsection (2) do not apply to a registered individual who is a dealing representative of a mutual fund dealer to the extent equivalent requirements to those listed in subsection (2) are applicable to the registered individual under the regulations in Québec.**.**

20. ***Section 4.1 is replaced with the following:***

4.1 Restriction on acting for another registered firm

(1) A registered firm must not permit an individual to act as a dealing, advising or associate advising representative of the registered firm if the individual

(a) acts as an officer, partner or director of another registered firm that is not an affiliate of the first-mentioned registered firm, or

(b) is registered as a dealing, advising or associate advising representative of another registered firm.

(2) Paragraph (1)(b) does not apply in respect of a representative whose registration as a dealing, advising or associate advising representative of more than one registered firm was granted before July 11, 2011.**.**

21. ***Subsection 4.2(3) is amended by adding "***or, in Québec, the securities regulatory authority***" after "***the regulator***".***

22. ***Section 6.7 is replaced with the following:***

6.7 Exception for individuals involved in a hearing or proceeding

Despite section 6.6, if a hearing or proceeding concerning a suspended registrant is commenced under securities legislation or under the rules of an SRO, the registrant's registration remains suspended.**.**

23. ***Section 7.1 is amended***

(a) in subparagraph (2)(b)(ii) by striking out "except in Québec,***", and***

(b) by repealing subsection (3).

24. ***Section 8.6 is amended***

(a) by replacing the heading with "Investment fund trades by adviser to managed account***",***

(b) in subsection (1) by replacing "a non-prospectus qualified***" with "***an***",***

(c) in subsection (2) by striking out "non-prospectus qualified***",***

(d) in subsection (3) by adding "or, in Québec, the securities regulatory authority***" after "***regulator***", and***

(e) in subsection (3) by replacing "7 days***" with "***10 days***".***

25. ***Section 8.14 is amended by replacing "***NI 45-106***" with "***National Instrument 45-106 Prospectus and Registration Exemptions***".***

26. ***Subsection 8.16 (1) is amended by deleting "*** "control person" has the same meaning as in section 1.1 of NI 45-106***;" and by replacing "***NI 45-106***" with "***National Instrument 45-106 Prospectus and Registration Exemptions***" wherever the expression occurs.***

27. ***Subsection 8.17 (5) is amended by replacing "***8.3.1***" with "***8.4***" and "***NI 45-106***" with "***National Instrument 45-106 Prospectus and Registration Exemptions***".***

28. ***Section 8.18 is amended***

(a) ***in subsection (1) by deleting "," after "***In this section***" and by adding the following before the definition of "***foreign security***":***

"Canadian permitted client" means a permitted client referred to in any of paragraphs (a) to (e), (g) or (i) to (r) of the definition of "permitted client" in section 1.1 if

(a) in the case of an individual, the individual is a resident of Canada;

(b) in the case of a trust, the terms of the trust expressly provide that those terms are governed by the laws of a jurisdiction of Canada;,

(c) in any other case, the permitted client is incorporated, organized or continued under the laws of Canada or a jurisdiction of Canada.,

(b) ***in subsection (2) by adding "***any of***" after "***in respect of***",***

(c) ***in paragraphs (b), (c) and (d) by adding "***Canadian***" before "***permitted client***",***

(d) ***in subsection (3) by replacing "***exemptions***" with "***exemption***" and "***are***" with "***is***",***

(e) ***by replacing paragraph (3)(d) with the following:***

(d) the person or company is acting as principal or as agent for

(i) the issuer of the securities

(ii) a permitted client, or

(iii) a person or company that is not a resident of Canada;,

(f) ***by replacing paragraph (4) with the following:***

(4) The exemption under subsection (2) is not available to a person or company in respect of a trade with a Canadian permitted client unless one of the following applies:

(a) the Canadian permitted client is a person or company registered under the securities legislation of a jurisdiction of Canada as an adviser or dealer;

(b) the person or company has notified the Canadian permitted client of all of the following:

(i) the person or company is not registered in the local jurisdiction to make the trade;

(ii) the foreign jurisdiction in which the head office or principal place of business of the person or company is located;

(iii) all or substantially all of the assets of the person or company may be situated outside of Canada;

(iv) there may be difficulty enforcing legal rights against the person or company because of the above;

(v) the name and address of the agent for service of process of the person or company in the local jurisdiction.,

(g) by replacing subsection (5) with the following:

(5) A person or company that relied on the exemption in subsection (2) during the 12 month period preceding December 1 of a year must notify the regulator or, in Québec, the securities regulatory authority of that fact by December 1 of that year., ***and***

(h) by adding the following after subsection (6):

(7) The adviser registration requirement does not apply to a person or company that is exempt from the dealer registration requirement under this section if the person or company provides advice to a client and the advice is

(a) in connection with an activity or trade described under subsection (2), and

(b) not in respect of a managed account of the client.**.**

29. ***Subparagraph 8.19(2)(a)(i) is amended by adding, after “***dealer***”, “***in respect of securities listed in section 7.1(2)(b)***”.***

30. ***Paragraph 8.22 (2)(d) is amended by replacing “***$25 000***” with “***$25,000***”.***

31. ***The Note to Section 8.25 is amended by replacing “***7.24***” with “***8.25***”.***

32. ***Section 8.26 is amended by***

(a) ***replacing the definition of "***permitted client***" with the following:***

"Canadian permitted client" means a permitted client referred to in any of paragraphs (a) to (c), (e), (g) or (i) to (r) of the definition of "permitted client" in section 1.1 if

(a) in the case of an individual, the individual is a resident of Canada;

(b) in the case of a trust, the terms of the trust expressly provide that those terms are governed by the laws of a jurisdiction of Canada; and

(c) in any other case, the permitted client is incorporated, organized or continued under the laws of Canada or a jurisdiction of Canada., ***and***

(b) ***replacing paragraphs (3), (4) and (5) with the following:***

(3) The adviser registration requirement does not apply to a person or company in respect of its acting as an adviser to a Canadian permitted client if the adviser does not advise that client on securities of Canadian issuers, unless providing that advice is incidental to its providing advice on a foreign security.

(4) The exemption under subsection (3) is not available unless all of the following apply:

(a) the adviser's head office or principal place of business is in a foreign jurisdiction;

(b) the adviser is registered or operates under an exemption from registration, under the securities legislation of the foreign jurisdiction in which its head office or principal place of business is located, in a category of registration that permits it to carry on the activities in that jurisdiction that registration as an adviser would permit it to carry on in the local jurisdiction;

(c) the adviser engages in the business of an adviser in the foreign jurisdiction in which its head office or principal place of business is located;

(d) as at the end of its most recently completed financial year, not more than 10% of the aggregate consolidated gross revenue of the adviser, its affiliates and its affiliated partnerships was derived from the portfolio management activities of the adviser, its affiliates and its affiliated partnerships in Canada;

(e) before advising a client, the adviser notifies the client of all of the following:

(i) the adviser is not registered in the local jurisdiction to provide the advice described under subsection (3);

(ii) the foreign jurisdiction in which the adviser's head office or principal place of business is located;

(iii) all or substantially all of the adviser's assets may be situated outside of Canada;

(iv) there may be difficulty enforcing legal rights against the adviser because of the above;

(v) the name and address of the adviser's agent for service of process in the local jurisdiction;

(f) the adviser has submitted to the securities regulatory authority a completed Form 31-103F2 Submission to Jurisdiction and Appointment of Agent for Service.

(5) A person or company that relied on the exemption in subsection (3) during the 12 month period preceding December 1 of a year must notify the regulator or, in Québec, the securities regulatory authority of that fact by December 1 of that year..

33. ***Section 8.29 is amended by adding the following after subsection (2):***

(3) This section does not apply in Ontario.

Note: In Ontario, subsection 35.1 of the *Securities Act* (Ontario) provides a general exemption from the registration requirement for trust companies, trust corporations and other specified financial institutions.

34. ***Section 9.3 is amended***

(a) in the heading by replacing "SRO***" with "***IIROC***",***

(b) by replacing the introductory sentence in subsection (1) with the following:

(1) Unless it is also registered as an investment fund manager, a registered firm that is a member of IIROC is exempt from the following requirements:,

(c) in subsection (1) by inserting the following after paragraph (l):

(l.1) section 13.15 [*handling complaints*];,

(d) by replacing subsection (2) with the following:

(2) If a registered firm is a member of IIROC and is registered as an investment fund manager, the firm is exempt from the following requirements:

(a) section 12.3 [*insurance – dealer*];

(b) section 12.6 [*global bonding or insurance*];

(c) section 12.12 [*delivering financial information – dealer*];

(d) subsection 13.2(3) [*know your client*];

(e) section 13.3 [*suitability*];

(f) section 13.12 [*restriction on lending to clients*];

(g) section 13.13 [*disclosure when recommending the use of borrowed money*];

(h) section 13.15 [*handling complaints*];

(i) subsection 14.2(2) [*relationship disclosure information*];

(j) section 14.6 [*holding client assets in trust*];

(k) section 14.8 [*securities subject to a safekeeping agreement*];

(l) section 14.9 [*securities not subject to a safekeeping agreement*];

(m) section 14.12 [*content and delivery of trade confirmation*]., ***and***

(e) by repealing subsections (3), (4), (5) and (6).

35. ***This instrument is amended by adding the following after section 9.3:***

9.4 Exemptions from certain requirements for MFDA members

(1) Unless it is also registered as an exempt market dealer, a scholarship plan dealer or an investment fund manager, a registered firm that is a member of the MFDA is exempt from the following requirements:

(a) section 12.1 [*capital requirements*];

(b) section 12.2 [*notifying the regulator of a subordination agreement*];

(c) section 12.3 [*insurance – dealer*];

(d) section 12.6 [*global bonding or insurance*];

(e) section 12.7 [*notifying the regulator of a change, claim or cancellation*];

(f) section 12.10 [*annual financial statements*];

(g) section 12.11 [*interim financial information*];

(h) section 12.12 [*delivering financial information – dealer*];

(i) section 13.3 [*suitability*];

(j) section 13.12 [*restriction on lending to clients*];

(k) section 13.13 [*disclosure when recommending the use of borrowed money*];

(l) section 13.15 [*handling complaints*];

(m) subsection 14.2(2) [*relationship disclosure information*];

(n) section 14.6 [*holding client assets in trust*];

(o) section 14.8 [*securities subject to a safekeeping agreement*];

(p) section 14.9 [*securities not subject to a safekeeping agreement*];

(q) section 14.12 [*content and delivery of trade confirmation*].

(2) If a registered firm is a member of the MFDA and is registered as an exempt market dealer, scholarship plan dealer or investment fund manager, the firm is exempt from the following requirements:

(a) section 12.3 [*insurance – dealer*];

(b) section 12.6 [*global bonding or insurance*];

(c) section 13.3 [*suitability*];

(d) section 13.12 [*restriction on lending to clients*];

(e) section 13.13 [*disclosure when recommending the use of borrowed money*];

(f) section 13.15 [*handling complaints*];

(g) subsection 14.2(2) [*relationship disclosure information*];

(h) section 14.6 [*holding client assets in trust*];

(i) section 14.8 [*securities subject to a safekeeping agreement*];

(j) section 14.9 [*securities not subject to a safekeeping agreement*];

(k) section 14.12 [*content and delivery of trade confirmation*].

(3) Subsections (1) and (2) do not apply in Québec.

(4) In Québec, the requirements listed in subsection (1) do not apply to a mutual fund dealer to the extent equivalent requirements to those listed in subsection (1) are applicable to the mutual fund dealer under the regulations in Québec.**.**

36. ***Section 10.6 is amended***

(a) in the heading by adding "*or proceeding****" after "****hearing****", and***

(b) by adding "or proceeding***" after "***hearing***".***

37. ***Subsection 11.2 (2) is replaced with the following:***

(2) A registered firm must designate an individual under subsection (1) who is one of the following:

(a) the chief executive officer of the registered firm or, if the firm does not have a chief executive officer, an individual acting in a capacity similar to a chief executive officer;

(b) the sole proprietor of the registered firm;

(c) the officer in charge of a division of the registered firm, if the activity that requires the firm to register occurs only within the division and the firm has significant other business activities.**.**

38. ***The heading of section 11.4 is amended by replacing "***board***" with "***the board of directors***".***

39. ***Subsection 11.6(1) and (2) are replaced with the following:***

(1) A registered firm must keep a record that it is required to keep under securities legislation

(a) for 7 years from the date the record is created,

(b) in a safe location and in a durable form, and

(c) in a manner that permits it to be provided to the regulator or, in Québec, the securities regulatory authority in a reasonable period of time.

(2) A record required to be provided to the regulator or, in Québec, the securities regulatory authority must be provided in a format that is capable of being read by the regulator or the securities regulatory authority.**.**

40. ***The note to s. 11.6 is amended by replacing "***require***" with "***required***".***

41. ***Section 11.9 is replaced with the following:***

11.9 Registrant acquiring a registered firm's securities or assets

(1) A registrant must give the regulator or, in Québec, the securities regulatory authority written notice in accordance with subsection (2) if it proposes to acquire any of the following:

(a) beneficial ownership of, or direct or indirect control or direction over, a security of a registered firm;

(b) beneficial ownership of, or direct or indirect control or direction over, a security of a person or company of which a registered firm is a subsidiary;

(c) all or a substantial part of the assets of a registered firm.

(2) The notice required under subsection (1) must be delivered to the regulator or, in Québec, the securities regulatory authority at least 30 days before the proposed acquisition and must include all relevant facts regarding the acquisition sufficient to enable the regulator or the securities regulatory authority to determine if the acquisition is

(a) likely to give rise to a conflict of interest,

(b) likely to hinder the registered firm in complying with securities legislation,

(c) inconsistent with an adequate level of investor protection, or

(d) otherwise prejudicial to the public interest.

(3) Subsection (1) does not apply to the following:

(a) a proposed acquisition if the beneficial ownership of, or direct or indirect control or direction over, the person or company whose security is to be acquired will not change;

(b) a registrant who, alone or in combination with any other person or company, proposes to acquire securities that, together with the securities already beneficially owned, or over which direct or indirect control or direction is already exercised, do not exceed more than 10% of any class or series of securities.

(4) Except in Ontario and British Columbia, if, within 30 days of the regulator's, or, in Québec, the securities regulatory authority's receipt of a notice under subsection (1), the regulator or the securities regulatory authority notifies the registrant making the acquisition that the regulator or the securities regulatory authority objects to the acquisition, the acquisition must not occur until the regulator or the securities regulatory authority approves it.

(5) In Ontario, if, within 30 days of the regulator's receipt of a notice under subsection (1)(a) or (c), the regulator notifies the registrant making the acquisition that the regulator objects to the acquisition, the acquisition must not occur until the regulator approves it.

(6) Following receipt of a notice of objection under subsection (4) or (5), the person or company who submitted the notice to the regulator or, in Québec, the securities regulatory authority may request an opportunity to be heard on the matter..

42. ***Section 11.10 is replaced with the following:***

11.10 Registered firm whose securities are acquired

(1) A registered firm must give the regulator or, in Québec, the securities regulatory authority written notice in accordance with subsection (2) if it knows or has reason to believe that any person or company, alone or in combination with any other person or company, is about to acquire, or has acquired, beneficial ownership of, or direct or indirect control or direction over, 10% or more of any class or series of voting securities of any of the following:

(a) the registered firm;

(b) a person or company of which the registered firm is a subsidiary.

(2) The notice required under subsection (1) must,

(a) be delivered to the regulator or, in Québec, the securities regulatory authority as soon as possible,

(b) include the name of each person or company involved in the acquisition, and

(c) after the registered firm has applied reasonable efforts to gather all relevant facts, include facts regarding the acquisition sufficient to enable the regulator or the securities regulatory authority to determine if the acquisition is

(i) likely to give rise to a conflict of interest,

(ii) likely to hinder the registered firm in complying with securities legislation,

(iii) inconsistent with an adequate level of investor protection, or

(iv) otherwise prejudicial to the public interest.

(3) This section does not apply to an acquisition in which the beneficial ownership of, or direct or indirect control or direction over, a registered firm does not change.

(4) This section does not apply if notice of the acquisition was provided under section 11.9 [*registrant acquiring a registered firm's securities or assets*].

(5) Except in British Columbia and Ontario, if, within 30 days of the regulator's or, in Québec, the securities regulatory authority's receipt of a notice under subsection (1), the regulator or the securities regulatory authority notifies the person or company making the acquisition that the regulator or the securities regulatory authority objects to the acquisition, the acquisition must not occur until the regulator or the securities regulatory authority approves it.

(6) In Ontario, if, within 30 days of the regulator's receipt of a notice under subsection (1)(a), the regulator notifies the person or company making the acquisition that the regulator objects to the acquisition, the acquisition must not occur until the regulator approves it.

(7) Following receipt of a notice of objection under subsection (5) or (6), the person or company proposing to make the acquisition may request an opportunity to be heard on the matter.

43. ***Section 12.1 is replaced with the following:***

12.1 Capital requirements

(1) If, at any time, the excess working capital of a registered firm, as calculated in accordance with Form 31-103F1 *Calculation of Excess Working Capital*, is less than zero, the registered firm must notify the regulator or, in Québec, the securities regulatory authority as soon as possible.

(2) The excess working capital of a registered firm, as calculated in accordance with Form 31-103F1 *Calculation of Excess Working Capital*, must not be less than zero for 2 consecutive days.

(3) For the purpose of completing Form 31-103F1 *Calculation of Excess Working Capital*, the minimum capital is

(a) $25,000, for a registered adviser that is not also a registered dealer or a registered investment fund manager,

(b) $50,000, for a registered dealer that is not also a registered investment fund manager, and

(c) $100,000, for a registered investment fund manager.

(4) Paragraph (3)(c) does not apply to a registered investment fund manager that is exempt from the dealer registration requirement under section 8.6 [*investment fund trades by adviser to managed account*] in respect of all investment funds for which it acts as adviser.

(5) This section does not apply to a registered firm that is a member of IIROC and is registered as an investment fund manager if all of the following apply:

(a) the firm has a minimum capital of not less than $100,000 as calculated in accordance with IIROC Form 1 *Joint Regulatory Financial Questionnaire and Report*;

(b) the firm notifies the regulator or, in Québec, the securities regulatory authority as soon as possible if, at any time, the firm's risk adjusted capital, as calculated in accordance with IIROC Form 1 *Joint Regulatory Financial Questionnaire and Report* is less than zero;

(c) the risk adjusted capital of the firm, as calculated in accordance with IIROC Form 1 *Joint Regulatory Financial Questionnaire and Report*, is not less than zero for 2 consecutive days.

(6) This section does not apply to a mutual fund dealer that is a member of the MFDA if it is also registered as an exempt market dealer, a scholarship plan dealer or an investment fund manager and if all of the following apply:

(a) the firm has a minimum capital, as calculated in accordance with MFDA Form 1 MFDA Financial Questionnaire and Report, of not less than

(i) $50,000, if the firm is registered as an exempt market dealer or scholarship plan dealer,

(ii) $100,000, if the firm is registered as an investment fund manager;

(b) the firm notifies the regulator or, in Québec, the securities regulatory authority as soon as possible if, at any time, the firm's risk adjusted capital, as calculated in accordance with MFDA Form 1 MFDA Financial Questionnaire and Report is less than zero;

(c) the risk adjusted capital of the firm, as calculated in accordance with MFDA Form 1 MFDA Financial Questionnaire and Report, is not less than zero for 2 consecutive days..

44. ***Section 12.2 is amended***

(a) ***by replacing the heading with "***Notifying the regulator or the securities regulatory authority of a subordination agreement***",***

(b) ***by adding "***or, in Québec, the securities regulatory authority***" after "***regulator***", and***

(c) ***by replacing "***5 days***" with "***10 days***".***

45. ***Subsection 12.3(2) is amended by deleting "***and***".***

46. ***Subsections 12.4(2) and (3) are amended by deleting "***and***" wherever it occurs after "***Appendix A***".***

47. ***Subsection 12.5 (2) is amended by deleting "***and***" after "***Appendix A***".***

48. ***Section 12.7 is amended by***

(a) ***replacing the heading with*** "Notifying the regulator or the securities regulatory authority of a change, claim or cancellation", ***and***

(***b***) ***by adding*** "or, in Québec, the securities regulatory authority" ***after*** "regulator".

49. ***Section 12.8 is replaced with the following:***

12.8 Direction by the regulator or the securities regulatory authority to conduct an audit or review

A registered firm must direct its auditor in writing to conduct any audit or review required by the regulator or, in Québec, the securities regulatory authority during its registration and must deliver a copy of the direction to the regulator or the securities regulatory authority

(a) with its application for registration, and

(b) no later than the 10th day after the registered firm changes its auditor..

50. ***Section 12.10 is amended in subsections (1) and (2) by adding "***or, in Québec, the securities regulatory authority***" after "***regulator***".***

51. ***Subsection 12.11(1) and (2) is amended by adding "***or, in Québec, the securities regulatory authority***" after "***regulator***".***

52. ***Section 12.12 is amended***

(a) ***by adding "***or, in Québec, the securities regulatory authority***" after "***regulator***" wherever the expression occurs,***

(b) ***by adding, after section (2), the following:***

(2.1) If a registered firm is a member of the MFDA and is registered as an exempt market dealer or scholarship plan dealer, the firm is exempt from paragraphs (1)(b) and (2)(b) if all of the following apply:

(a) the firm has a minimum capital of not less than $50,000 as calculated in accordance with MFDA Form 1 *MFDA Financial Questionnaire and Report*;

(b) the firm delivers to the regulator or, in Québec, the securities regulatory authority a completed MFDA Form 1 *MFDA Financial Questionnaire and Report*, no later than the 90th day after the end of its financial year, that shows the calculation of the firm's risk adjusted capital as at the end of the financial year and as at the end of the immediately preceding financial year, if any;

(c) the firm delivers to the regulator or, in Québec, the securities regulatory authority a completed MFDA Form 1 *MFDA Financial Questionnaire and Report*, no later than the 30th day after the end of the first, second and third interim period of its financial year, that shows the calculation of the firm's risk adjusted capital as at the end of the interim period and as at the end of the immediately preceding month, if any., ***and***

(c) ***in subsection (3) by adding "***unless it is also registered in another category***" after "***exempt market dealer***".***

53. ***Section 12.13 is amended by adding "***or, in Québec, the securities regulatory authority***" after "***regulator***".***

54. ***Section 12.14 is amended***

(a) ***by adding "***or, in Québec, the securities regulatory authority***" after "***regulator***" wherever the expression occurs, and***

(b) ***by adding, after subsection (3), the following:***

(4) If a registered firm is a member of IIROC and is registered as an investment fund manager, the firm is exempt from paragraphs (1)(b) and (2)(b) if

(a) the firm has a minimum capital of not less than $100,000, as calculated in accordance with IIROC Form 1 *Joint Regulatory Financial Questionnaire and Report*;

(b) the firm delivers to the regulator or, in Québec, the securities regulatory authority a completed IIROC Form 1 *Joint Regulatory Financial Questionnaire and Report*, no later than the 90th day after the end of its financial year, that shows the calculation of the firm's risk adjusted capital as at the end of the financial year and as at the end of the immediately preceding financial year, if any, and

(c) the firm delivers to the regulator or, in Québec, the securities regulatory authority a completed IIROC Form 1 *Joint Regulatory Financial Questionnaire and Report*, no later than the 30th day after the end of the first, second and third interim period of its financial year, that shows the calculation of the firm's risk adjusted capital as at the end of the interim period and as at the end of the immediately preceding month, if any.

(5) If a registered firm is a member of the MFDA and is registered as an investment fund manager, the firm is exempt from paragraphs (1)(b) and (2)(b) if

(a) the firm has a minimum capital of not less than $100,000, as calculated in accordance with MFDA Form 1 *MFDA Financial Questionnaire and Report*,

(b) the firm delivers to the regulator or, in Québec, the securities regulatory authority a completed MFDA Form 1 *MFDA Financial Questionnaire and Report*, no later than the 90th day after the end of its financial year, that shows the calculation of the firm's risk adjusted capital as at the end of the financial year and as at the end of the immediately preceding financial year, if any, and

(c) the firm delivers to the regulator or, in Québec, the securities regulatory authority a completed MFDA Form 1 *MFDA Financial Questionnaire and Report*, no later than the 30th day after the end of the first, second and third interim period of its financial year, that shows the calculation of the firm's risk adjusted capital as at the end of the interim period and as at the end of the immediately preceding month, if any..

55. ***Section 13.1 is amended by adding "***an investment fund manager in respect of its activities as***" after "***apply to***".***

56. ***Section 13.2 is amended***

(a) ***in subsection (3) by deleting "***under paragraph (2)(a)***",***

(b) ***in subparagraph (3)(b)(i) by replacing "***10%***" with "***25%***", and***

(c) ***by adding the following after subsection (6):***

(7) Paragraph (2)(b) does not apply to a registrant in respect of a client for which the registrant only trades securities referred to in paragraphs 7.1(2)(b) and (2)(c)**.**

57. ***Paragraph 13.6 (b) is amended by adding*** ", or is managed by an affiliate of,***" after "***affiliate of***".***

58. ***Section 13.8 is replaced with the following:***

13.8 Permitted referral arrangements

A registered firm, or a registered individual whose registration is sponsored by the registered firm, must not participate in a referral arrangement with another person or company unless,

(a) before a client is referred by or to the registrant, the terms of the referral arrangement are set out in a written agreement between the registered firm and the person or company;

(b) the registered firm records all referral fees, and

(c) the registrant ensures that the information prescribed by subsection 13.10(1) [*disclosing referral arrangements to clients*] is provided to the client in writing before the party receiving the referral either opens an account for the client or provides services to the client.**.**

59. ***Section 13.9 is amended by***

(a) ***replacing*** **"**registrant that refers**"** ***with*** **"**registered firm, or a registered individual whose registration is sponsored by the registered firm, must not refer**",**

(b) ***replacing*** **"**must take**"** ***with*** **"**unless the firm first takes", ***and***

(c) ***deleting*** **"**himself, herself, or**".**

60. ***Subsection 13.10 (1) is amended***

(a) ***in paragraph (a) by replacing "***referral arrangement***" with "***agreement referred to in paragraph 13.8(a)***",***

(b) ***in paragraph (b) by replacing "***referral arrangement***" with "***agreement***", and***

(c) ***in paragraph (c) by replacing "***referral arrangement***" with "***agreement***".***

61. ***Section 13.12 is amended by adding the following:***

(2) Notwithstanding subsection (1), an investment fund manager may lend money on a short term basis to an investment fund it manages, if the loan is for the purpose of funding redemptions of its securities or meeting expenses incurred by the investment fund in the normal course of its business.**.**

62. ***Subsection 13.13 (2) is amended by***

(a) ***adding "***one of the following applies***" after "***if***", and***

(b) ***repealing paragraph (b).***

63. ***Section 13.14 is replaced with the following:***

13.14 Application of this Division

(1) This Division does not apply to an investment fund manager in respect of its activities as an investment fund manager.

(2) In Québec, a registered firm is deemed to comply with this Division if it complies with sections 168.1.1 to 168.1.3 of the *Securities Act* (Québec).**.**

64. ***Section 14.1 is replaced with the following:***

14.1 Investment fund managers exempt from Part 14

14.1 Other than sections 14.6 [*holding client assets in trust*], 14.12(5) [*content and delivery of trade confirmation*] and 14.14 [*account statements*], this Part does not apply to an investment fund manager in respect of its activities as an investment fund manager.**.**

65. ***Subsection 14.2 (2) is amended***

(a) ***by replacing paragraph (j) with the following:***

(j) If section 13.16 applies to the registered firm, disclosure that independent dispute resolution or mediation services are available at the registered firm's expense, to resolve any dispute that might arise between the client and the firm about any trading or advising activity of the firm or one of its representatives;, ***and***

(b) in paragraph (k) by adding "registered***" after "***that the***".***

66. ***Section 14.5 is replaced with the following:***

14.5 Notice to clients by non-resident registrants

(1) A registered firm whose head office is not located in the local jurisdiction must provide a client in the local jurisdiction with a statement in writing disclosing the following:

(a) the firm is not resident in the local jurisdiction;

(b) the jurisdiction in Canada or the foreign jurisdiction in which the head office or the principal place of business of the firm is located;

(c) all or substantially all of the assets of the firm may be situated outside the local jurisdiction;

(d) there may be difficulty enforcing legal rights against the firm because of the above;

(e) the name and address of the agent for service of process of the firm in the local jurisdiction.

(2) This section does not apply to a registered firm whose head office is in Canada if the firm is registered in the local jurisdiction.**.**

67 ***Section 14.12 is amended***

(a) in subsection (1) by replacing "Subject to subsection (2), a***" with "***A***" and by adding "***or, if the client consents in writing, to a registered adviser acting for the client,***" after "***deliver to the client***",***

(b) by replacing subsection (3) with the following:

(3) Paragraph (1)(h) does not apply if all of the following apply:

(a) the security is a security of a mutual fund that is established and managed by the registered dealer or by an affiliate of the registered dealer, in its capacity as investment fund manager of the mutual fund;

(b) the names of the dealer and the mutual fund are sufficiently similar to indicate that they are affiliated or related., ***and***

(c) by adding the following after subsection (4):

(5) A registered investment fund manager that has executed a redemption order received directly from a security holder must promptly deliver to the security holder a written confirmation of the redemption, setting out the following:

(a) the quantity and description of the security redeemed;

(b) the price per security received by the client;

(c) the commission, sales charge, service charge and any other amount charged in respect of the redemption;

(d) the settlement date of the redemption.

(6) Section 14.12 (5) does not apply to trades in a security of an investment fund made on reliance on section 8.6.**.**

68. ***Section 14.13 is amended***

(a) in the heading by replacing "Semi-annual confirmations***" with "***Confirmations***", and***

(b) by repealing paragraph (d).

69. ***Section 14.14 is amended***

(a) in the heading by replacing "Client***" with "***Account***",***

(b) in subsection (2) by deleting ", other than a mutual fund dealer,***" after "***registered dealer***",***

(c) by adding the following after subsection (2):

(2.1) Subsection (2) does not apply to a mutual fund dealer in connection with its activities as a dealer in respect of the securities listed in section 7.1(2)(b).,

(d) by adding the following after subsection (3):

(3.1) If there is no dealer of record for a security holder on the records of a registered investment fund manager, the investment fund manager must deliver a statement to the security holder at least once every 12 months,,

(e) by replacing subsection (4) with the following:

(4) A statement delivered under subsection (1), (2), (3) or (3.1) must include all of the following information for each transaction made for the client or security holder during the period covered by the statement:

(a) the date of the transaction;

(b) the type of transaction;

(c) the name of the security;

(d) the number of securities;

(e) the price per security;

(f) the total value of the transaction.,

(f) by replacing subsection (5) with the following:

(5) A statement delivered under subsection (1), (2), (3) or (3.1) must include all of the following information about the client's or security holder's account as at the end of the period for which the statement is made:

(a) the name and quantity of each security in the account;

(b) the market value of each security in the account;

(c) the total market value of each security position in the account;

(d) any cash balance in the account;

(e) the total market value of all cash and securities in the account, and

(g) by adding the following after subsection (5):

(6) Subsections (1) and (2) do not apply to a scholarship plan dealer if both of the following apply:

(a) the dealer is not registered in another dealer or adviser category;

(b) the dealer delivers to the client a statement at least once every 12 months that provides the information in subsections (4) and (5)..

70. ***Subsection 15.1 is amended by adding "***in Québec***" after "***regulator***".***

71. ***Subsection 16.4 is amended***

(a) ***in paragraph (1)(b) by adding "***or, in Québec, the securities regulatory authority***" after "***regulator***", and***

(b) ***in subsection (3) by adding "***a***" after "***dealer or***".***

72. ***Subsection 16.5(1) is replaced with the following:***

(1) A person or company is not required to register in the local jurisdiction as an investment fund manager if it is registered, or has applied for registration, as an investment fund manager in the jurisdiction of Canada in which its head office is located.

(2) Subsection (1) is repealed on September 28, 2012.**.**

73. ***Subsection 16.6(2) is replaced with the following:***

(2) Subsection (1) is repealed on September 28, 2012.**.**

74. ***Subsections 16.7(3) and (4) are amended by adding "or***, in Québec, the securities regulatory authority***" after "***regulator***" wherever this expression occurs.***

75. ***Subsection 16.8(b) is amended by adding "***or, in Québec, the securities regulatory authority***" after "***regulator***".***

76. ***Subsection 16.9 is amended***

(a) ***in paragraph (1)(b), by adding "***or, in Québec, the securities regulatory authority***" after "***regulator***", and***

(b) ***in subsection (2), by adding "***in a jurisdiction of Canada***" after "***compliance officer***".***

77. ***Subsection 16.10 (1) is amended by adding "***in a jurisdiction of Canada***" after "***is registered***".***

78. ***Subsection 16.16(1) is amended***

(a) ***by adding "***in a jurisdiction of Canada***" after "***registered firm***", and***

(b) ***in subsection (2) by replacing "***2 years after this Instrument comes into force***" with "***on September 28, 2012***".***

79. ***Section 16.17 is replaced with the following:***

16.17 Account statements – mutual fund dealers

(1) Section 14.14 [*account statements*] does not apply to a person or company that was, on September 28, 2009, either of the following:

(a) a member of the MFDA;

(b) a mutual fund dealer in Québec, unless it was also a portfolio manager in Québec.

(2) Subsection (1) is repealed on September 28, 2011**.**.

80. ***Form 31-103F1 is replaced with the following:***

FORM 31-103F1 CALCULATION OF EXCESS WORKING CAPITAL

____
Firm Name

Capital Calculation
(as at ________________ with comparative figures as at ______________)

	Component	**Current period**	**Prior period**
1.	Current assets		
2.	Less current assets not readily convertible into cash (e.g., prepaid expenses)		
3.	Adjusted current assets Line 1 minus line 2 =		
4.	Current liabilities		

5.	Add 100% of long-term related party debt unless the firm and the lender have executed a subordination agreement in the form set out in Appendix B and the firm has delivered a copy of the agreement to the regulator or, in Québec, the securities regulatory authority		
6.	Adjusted current liabilities Line 4 plus line 5 =		
7.	Adjusted working capital Line 3 minus line 6 =		
8.	Less minimum capital		
9.	Less market risk		
10.	Less any deductible under the bonding or insurance policy required under Part 12 of National Instrument 31-103, *Registration Requirements, Exemptions and Ongoing Registrant Obligations*		
11.	Less Guarantees		
12.	Less unresolved differences		
13.	**Excess working capital**		

Notes:

This form must be prepared using the accounting principles that you use to prepare your financial statements in accordance with National Instrument 52-107 *Acceptable Accounting Principles and Auditing Standards*. Section 12.1 of Companion Policy 31-103CP *Registration Requirements, Exemptions and Ongoing Registrant Obligations* provides further guidance in respect of these accounting principles.

Line 5. Related-party debt – Refer to the CICA Handbook for the definition of "related party" for publicly accountable enterprises.

Line 8. Minimum Capital – The amount on this line must be not less than (a) $25,000 for an adviser and (b) $50,000 for a dealer. For an investment fund manager, the amount must be not less than $100,000 unless subsection 12.1(4) applies.

Line 9. Market Risk – The amount on this line must be calculated according to the instructions set out in Schedule 1 to this Form.

Line 11. Guarantees – If the registered firm is guaranteeing the liability of another party, the total amount of the guarantee must be included in the capital calculation. If the amount of a guarantee is included in the firm's statement of financial position as a current liability and is reflected in line 4, do not include the amount of the guarantee on line 11.

Line 12. Unresolved differences – Any unresolved differences that could result in a loss from either firm or client assets must be included in the capital calculation. The examples below provide guidance as to how to calculate unresolved differences:

(i) If there is an unresolved difference relating to client securities, the amount to be reported on Line 12 will be equal to the fair value of the client securities that are short, plus the applicable margin rate for those securities.

(ii) If there is an unresolved difference relating to the registrant's investments, the amount to be reported on Line 12 will be equal to the fair value of the investments (securities) that are short.

(iii) If there is an unresolved difference relating to cash, the amount to be reported on Line 12 will be equal to the amount of the shortfall in cash.

Please refer to section 12.1 of Companion Policy 31-103CP *Registration Requirements, Exemptions and Ongoing Registrant Obligations* for further guidance on how to prepare and file this form.

Management Certification

Registered Firm Name: ____

We have examined the attached capital calculation and certify that the firm is in compliance with the capital requirements as at ______________________________.

Name and Title	Signature	Date
1.____________________ ____________________	_________________________	________________________
2. ___________________ ____________________	_________________________	________________________

Schedule 1 of Form 31-103F1 Calculation of Excess Working Capital
(calculating line 9 [market risk])

For purposes of completing this form:

(1) "Fair value" means the value of a security determined in accordance with Canadian GAAP applicable to publicly accountable enterprises.

(2) For each security whose value is included in line 1, Current Assets, multiply the fair value of the security by the margin rate for that security set out below. Add up the resulting amounts for all of the securities you hold. The total is the "market risk" to be entered on line 9.

(a) Bonds, Debentures, Treasury Bills and Notes

(i) Bonds, debentures, treasury bills and other securities of or guaranteed by the Government of Canada, of the United Kingdom, of the United States of America and of any other national foreign government (provided such foreign government securities are currently rated Aaa or AAA by Moody's Investors Service, Inc. or Standard & Poor's Corporation, respectively), maturing (or called for redemption):

within 1 year:	1% of fair value multiplied by the fraction determined by dividing the number of days to maturity by 365
over 1 year to 3 years:	1 % of fair value
over 3 years to 7 years:	2% of fair value
over 7 years to 11 years:	4% of fair value
over 11 years:	4% of fair value

(ii) Bonds, debentures, treasury bills and other securities of or guaranteed by any jurisdiction of Canada and obligations of the International Bank for Reconstruction and Development, maturing (or called for redemption):

within 1 year:	2% of fair value multiplied by the fraction determined by dividing the number of days to maturity by 365
over 1 year to 3 years:	3 % of fair value
over 3 years to 7 years:	4% of fair value
over 7 years to 11 years:	5% of fair value
over 11 years:	5% of fair value

(iii) Bonds, debentures or notes (not in default) of or guaranteed by any municipal corporation in Canada or the United Kingdom maturing:

within 1 year:	3% of fair value multiplied by the fraction determined by dividing the number of days to maturity by 365
over 1 year to 3 years:	5 % of fair value
over 3 years to 7 years:	5% of fair value
over 7 years to 11 years:	5% of fair value
over 11 years:	5% of fair value

(iv) Other non-commercial bonds and debentures, (not in default): 10% of fair value

(v) Commercial and corporate bonds, debentures and notes (not in default) and non-negotiable and non-transferable trust company and mortgage loan company obligations registered in the registered firm's name maturing:

within 1 year:	3% of fair value
over 1 year to 3 years:	6 % of fair value
over 3 years to 7 years:	7% of fair value
over 7 years to 11 years:	10% of fair value
over 11 years:	10% of fair value

(b) Bank Paper

Deposit certificates, promissory notes or debentures issued by a Canadian chartered bank (and of Canadian chartered bank acceptances) maturing:

within 1 year:	2% of fair value multiplied by the fraction determined
over 1 year:	apply rates for commercial and corporate bonds, debentures and notes

(c) Acceptable foreign bank paper

Deposit certificates, promissory notes or debentures issued by a foreign bank, readily negotiable and transferable and maturing:

within 1 year:	2% of fair value multiplied by the fraction determined by dividing the number of days to maturity by 365
over 1 year:	apply rates for commercial and corporate bonds, debentures and notes

"Acceptable Foreign Bank Paper" consists of deposit certificates or promissory notes issued by a bank other than a Canadian chartered bank with a net worth (i.e., capital plus reserves) of not less than $200,000,000.

(d) Mutual Funds

Securities of mutual funds qualified by prospectus for sale in any jurisdiction of Canada:

(i) 5% of the net asset value per security as determined in accordance with National Instrument 81-106 *Investment Fund Continuous Disclosure*, where the fund is a money market mutual fund as defined in National Instrument 81-102 *Mutual Funds*; or

(ii) the margin rate determined on the same basis as for listed stocks multiplied by the net asset value per security of the fund as determined in accordance with National Instrument 81-106 *Investment Fund Continuous Disclosure*.

(e) Stocks

In this paragraph, "securities" includes rights and warrants and does not include bonds and debentures.

(i) On securities including investment fund securities, rights and warrants, listed on any exchange in Canada or the United States of America:

Long Positions – Margin Required

Securities selling at $2.00 or more – 50% of fair value

Securities selling at $1.75 to $1.99 – 60% of fair value

Securities selling at $1.50 to $1.74 – 80% of fair value

Securities selling under $1.50 – 100% of fair value

Short Positions – Credit Required

Securities selling at $2.00 or more – 150% of fair value

Securities selling at $1.50 to $1.99 - $3.00 per share

Securities selling at $0.25 to $1.49 – 200% of fair value

Securities selling at less than $0.25 – fair value plus $0.25 per shares

(ii) For positions in securities that are constituent securities on a major broadly-based index of one of the following exchanges, 50% of the fair value:

(a) Australian Stock Exchange Limited
(b) Bolsa de Madrid
(c) Borsa Italiana
(d) Copenhagen Stock Exchange
(e) Euronext Amsterdam
(f) Euronext Brussels
(g) Euronext Paris S.A.
(h) Frankfurt Stock Exchange
(i) London Stock Exchange
(j) New Zealand Exchange Limited
(k) Stockholm Stock Exchange
(l) Swiss Exchange
(m) The Stock Exchange of Hong Kong Limited
(n) Tokyo Stock Exchange

(f) Mortgages

(i) For a firm registered in any jurisdiction of Canada except Ontario:

(a) Insured mortgages (not in default): 6% of fair value

(b) Mortgages which are not insured (not in default): 12% of fair value of the loan or the rates set by Canadian financial institutions or Schedule III banks, whichever is greater.

(ii) For a firm registered in Ontario:

(a) Mortgages insured under the National Housing Act (Canada) (not in default): 6% of fair value

(b) Conventional first mortgages (not in default): 12% of fair value of the loan or the rates set by Canadian financial institutions or Schedule III banks, whichever is greater.

If you are registered in Ontario regardless of whether you are also registered in another jurisdiction of Canada, you will need to apply the margin rates set forth in (ii) above.

(g) For all other securities – 100% of fair value.

81. Form 31-103F2 is replaced with the following:

FORM 31-103F2 SUBMISSION TO JURISDICTION AND APPOINTMENT OF AGENT FOR SERVICE
(sections 8.18 [international dealer] and 8.26 [international adviser])

1. Name of person or company ("International Firm"):

2. If the International Firm was previously assigned an NRD number as a registered firm or an unregistered exempt international firm, provide the NRD number of the firm.

3. Jurisdiction of incorporation of the International Firm:

4. Head office address of the International Firm:

5. The name, e-mail address, phone number and fax number of the International Firm's chief compliance officer.

   Name:
   E-mail address:
   Phone:
   Fax:

6. Section of National Instrument 31-103, *Registration Requirements, Exemptions and Ongoing Registrant Obligations* the International Firm is relying on:

   ☐ Section 8.18 [*international dealer*]
   ☐ Section 8.26 [*international adviser*]
   ☐ Other

7. Name of agent for service of process (the "Agent for Service"):

8. Address for service of process on the Agent for Service:

9. The International Firm designates and appoints the Agent for Service at the address stated above as its agent upon whom may be served a notice, pleading, subpoena, summons or other process in any action, investigation or administrative, criminal, quasi-criminal or other proceeding (a "Proceeding") arising out of or relating to or concerning the International Firm's activities in the local jurisdiction and irrevocably waives any right to raise as a defence in any such proceeding any alleged lack of jurisdiction to bring such Proceeding.

10. The International Firm irrevocably and unconditionally submits to the non-exclusive jurisdiction of the judicial, quasi-judicial and administrative tribunals of the local jurisdiction in any Proceeding arising out of or related to or concerning the International Firm's activities in the local jurisdiction.

11. Until 6 years after the International Firm ceases to rely on section 8.18 [*international dealer*] or section 8.26 [*international adviser*], the International Firm must submit to the securities regulatory authority

    a. a new Submission to Jurisdiction and Appointment of Agent for Service in this form no later than the 30th day before the date this Submission to Jurisdiction and Appointment of Agent for Service is terminated; and

    b. an amended Submission to Jurisdiction and Appointment of Agent for Service no later than the 30th day before any change in the name or above address of the Agent for Service.

12. This Submission to Jurisdiction and Appointment of Agent for Service is governed by and construed in accordance with the laws of the local jurisdiction.

Dated: ____________________________________

____
(Signature of the International Firm or authorized signatory)

____
(Name and Title of authorized signatory)

Acceptance

The undersigned accepts the appointment as Agent for Service of (Insert name of International Firm) under the terms and conditions of the foregoing Submission to Jurisdiction and Appointment of Agent for Service.

Dated: ____________________________________

____
(Signature of Agent for Service or authorized signatory)

____
(Name and Title of authorized signatory)

82. Form 31-103F3 is amended by replacing "*and Exemptions****" with "****,*** *Exemptions and Ongoing Registrant Obligations****"****.*

83. Appendix B is amended

(a) by replacing "and Exemptions***" with ",*** Exemptions and Ongoing Registrant Obligations***", and***

(b) **in section 1 by replacing** "owned" **with** "owed"**, and**

(c) ***in section 4 by adding "***10 days before***" after*** "Securities Regulatory Authority***" and by deleting "***prior to***" after "***Securities Regulatory Authority***".***

84. This instrument comes into force on July 11, 2011.

AMENDMENTS TO NATIONAL INSTRUMENT 33-109 *REGISTRATION INFORMATION*

(Securities Act)

Made as a rule by the Alberta Securities Commission on April 12, 2011 pursuant to sections 223 and 224 of the Securities Act.

1. ***National Instrument 33-109 Registration Information is amended by this Instrument.***

2. ***Section 1.1 is amended***

(a) ***by deleting the definitions of "***NI 31-102***" and "***NI 31-103***", and***

(b) ***in the opening statement of the definition of "***permitted individual***" by deleting the words "***who is not a registered individual and***".***

3. ***Sections 1.2, 2.1 and 2.2 are amended by replacing "***NI 31-102***" wherever the expression occurs with "***National Instrument 31-102 *National Registration Database****".***

4. ***Section 2.3 is amended***

(a) ***in subsection (1) by replacing "***NI 31-102***" with "***National Instrument 31-102 *National Registration Database****",***

(b) ***in subsection (2) by replacing "***NI 31-103***" with "***National Instrument 31-103-*Registration Requirements, Exemptions and Ongoing Registrant Obligations****" and by replacing "***NI 31-102***" with "***National Instrument 31-102 *National Registration Database****", and***

(c) ***in paragraph (2)(b) by adding "***resigned voluntarily,***" after "***resign,***".***

5. ***Section 2.4 is amended by replacing "***NI 31-102***" with "***National Instrument 31-102 *National Registration Database****".***

6. ***Section 2.5 is amended***

(a) ***in subsection (1) by replacing "***NI 31-102***" with "***National Instrument 31-102 *National Registration Database****" and by replacing "***7 days***" with "***10 days***",***

(b) ***in paragraph (2)(a) by replacing "***NI 31-102***" with "***National Instrument 31-102 *National Registration Database**", and***

(c) ***in subparagraph 2(a)(i) by replacing "***7 days ***" with "***10 days***".***

7. ***Sections 2.6 is amended by replacing "***NI 31-102***" with "***National Instrument 31-102 *National Registration Database**".***

8. ***Section 3.1 is amended by replacing "***7 days***" with "***10 days***" wherever the expression occurs.***

9. ***Section 3.2 is amended by replacing "***NI 31-102***" with "***National Instrument 31-102 National *Registration Database**" and by replacing "***7 days***" with "***10 days***".***

10. ***Subsection 4.1 is amended***

(a) ***in subsection (1) by replacing "***7 days***" with "***10 days***",***

(b) ***in subsection (3) and (4) by replacing "***NI 31-102***" with "***National Instrument 31-102 *National Registration Database**", and***

(c) ***by replacing paragraph (4)(b) with the following paragraphs:***

(b) the removal or the addition of a category of registration;

(c) the surrender of registration in one or more non-principal jurisdictions**.**

11. ***Section 4.2 is amended***

(a) ***in subsection (1) by replacing "***NI 31-102***" with "***National Instrument 31-102 *National Registration Database**",***

(b) ***in paragraph (1)(b) by deleting "***or retirement***" and "***or the completion or expiry of an employment or agency contract***",***

(c) ***in subsections (2), (3) and (4), by replacing "***7 days***" wherever the expression occurs with "***10 days***", and***

(d) ***in subsections (3) and (4), by replacing "***person or company***" wherever the expression occurs with "***registered firm***".***

12. ***Section 6.2 is amended by replacing "***instrument***" wherever it occurs with "***Instrument***" and by replacing "***7 days***" wherever the expression occurs with "***10 days***".***

13. ***Section 6.4 is amended by replacing "***NI 31-102***" with "***National Instrument 31-102 *National Registration Database**".***

14. ***Form 33-109F1 is amended***

(a) ***under "*****GENERAL INSTRUCTIONS*****" by replacing "***person***" after "***permitted***" with "***individual***" and by adding at the end "***or has ceased to act in a registerable activity or as a permitted individual***",***

(b) ***under "*****Terms*****" by replacing at the end ";" with ".",***

(c) ***under "*****When to submit the form*****" by replacing "***five business days***" with "***10 days***",***

(d) ***in Item 5 by replacing the instructions above "**[For NRD Format only:]**" with the following:***

Complete Item 5 except where the individual is deceased. In the space below:

- state the reason(s) for the cessation / termination and
- provide details if the answer to any of the following questions is "Yes".***,***

(e) ***in Item 5 under "**[For NRD Format only:]**" by replacing "***completed temporary employment contract, retired or***" with "***individual is***", and***

(f) ***by repealing Item 6 and Schedule A.***

15. ***Form 33-109F2 is amended***

(a) ***in the heading by replacing "*****section 4.2 or 2.2(2) or 2.5(2)*****" with "*****section 2.2(2), 2.4, 2.6(2) or 4.1(4)*****",***

(b) ***by replacing Item 2 with the following:***

Item 2 Registration jurisdictions

1. Are you filing this form under the passport system / interface for registration?

Choose "no" if you are registered in:

(a) only one jurisdiction in Canada**,**

(b) more than one jurisdiction in Canada and you are requesting a surrender in a non-principal jurisdiction or jurisdictions, but not in your principal jurisdiction, or

(c) more than one jurisdiction in Canada and you are requesting a change only in your principal jurisdiction.*,* *(c)* ***by replacing Item 4 with the following:***

Item 4 Adding categories

1. Categories

What categories are you seeking to add?

____

2. Professional liability insurance (Québec mutual fund dealers and Québec scholarship plan dealers)

If you are seeking registration as a representative of a mutual fund dealer or of a scholarship plan dealer in Québec, are you covered by your sponsoring firm's professional liability insurance?

Yes ☐ No☐

If "No", state:

The name of your insurer ____________________________

Your policy number ________________________________

3. **Relevant securities industry experience**

If you have not been registered in the last 36 months and you passed the required examination more than 36 months ago, do you consider that you have gained 12 months of relevant securities industry experience during the 36 month period?

Yes ☐ **No** ☐ **N/A** ☐

If you are an individual applying for IIROC approval, select "Not Applicable" above.

If "yes", complete Schedule A.*,*

(d) ***by replacing Schedule A with the following:***

SCHEDULE A
Relevant securities industry experience (Item 4)

Describe your responsibilities in areas relating to the category you are applying for, including the title(s) you have held, as well as start and end dates:

____

____

____
____

What is the percentage of your time devoted to these activities?
_____%

Indicate the continuing education activities which you have participated in during the last 36 months and which are relevant to the category of registration you are applying for:

____

____

____

____

(e) by adding the following after Schedule A:

Schedule B
Contact information for
Notice of collection and use of personal information

Alberta
Alberta Securities Commission,
Suite 600, 250-5th St. SW
Calgary, AB T2P 0R4
Attention: Information Officer
Telephone: (403) 355-4151

British Columbia
British Columbia Securities Commission
P.O. Box 10142, Pacific Centre
701 West Georgia Street
Vancouver, BC V7Y 1L2
Attention: Freedom of Information Officer
Telephone: (604) 899-6500 or (800) 373-6393 (in BC)

Manitoba
The Manitoba Securities Commission
500 - 400 St. Mary Avenue
Winnipeg, MB R3C 4K5
Attention: Director of Registrations
Telephone (204) 945-2548
Fax (204) 945-0330

Nunavut
Legal Registries Division
Department of Justice
Government of Nunavut
P.O. Box 1000 Station 570
Iqaluit, NU X0A 0H0
Attention: Deputy Registrar of Securities
Telephone: (867) 975-6590

Ontario
Ontario Securities Commission
Suite 1903, Box 55
20 Queen Street West
Toronto, ON M5H 3S8
Attention: Compliance and Registrant Regulation
Telephone: (416) 593-8314
e-mail: registration@osc.gov.on.ca

Prince Edward Island
Securities Registry
Office of the Attorney General B
Consumer, Corporate and
Insurance Services Division
P.O. Box 2000

New Brunswick
New Brunswick Securities Commission
Suite 300, 85 Charlotte Street
Saint John, NB E2L 2J2
Attention: Director, Regulatory Affairs
Telephone: (506) 658-3060

Newfoundland and Labrador
Securities NL
Financial Services Regulation Division
Department of Government Services
P.O. Box 8700, 2nd Floor, West Block
Confederation Building
St. John's, NL A1B 4J6
Attention: Manager of Registrations
Tel: (709) 729-5661

Nova Scotia
Nova Scotia Securities Commission
2nd Floor, Joseph Howe Building
1690 Hollis Street
P.O. Box 458
Halifax, NS B3J 2P8
Attention: Deputy Director, Capital Markets
Telephone: (902) 424-7768

Northwest Territories
Government of the Northwest Territories
P.O. Box 1320
Yellowknife, NWT X1A 2L9
Attention: Deputy Superintendent of Securities
Telephone: (867) 920-8984

Charlottetown, PE C1A 7N8
Attention: Deputy Registrar of Securities
Telephone: (902) 368-6288

Québec
Autorité des marchés financiers
800, square Victoria, 22e étage
C.P. 246, tour de la Bourse
Montréal (Québec) H4Z 1G3
Attention: Responsable de l'accès à l'information
Telephone: (514) 395-0337 or (877) 525-0337 (in Québec)

Saskatchewan
Saskatchewan Financial Services Commission
Suite 601, 1919 Saskatchewan Drive
Regina, SK S4P 4H2
Attention: Director
Telephone: (306) 787-5842

Yukon
Yukon Securities Office
Department of Community Services
P.O. Box 2703 C-6
Whitehorse, YT Y1A 2C6
Attention: Superintendent of Securities
Telephone: (867) 667-5225

Self-regulatory organization
Investment Industry Regulatory Organization of Canada
121 King Street West, Suite 1600
Toronto, Ontario M5H 3T9
Attention: Privacy Officer
Telephone: (416) 364-6133
E-mail: PrivacyOfficer@iiroc.ca

16. ***Form 33-109F3 is amended by replacing Schedule A with the following:***

Schedule A
Contact information for
Notice of collection and use of personal information

Alberta
Alberta Securities Commission,
Suite 600, 250-5th St. SW
Calgary, AB T2P 0R4
Attention: Information Officer
Telephone: (403) 355-4151

British Columbia
British Columbia Securities Commission
P.O. Box 10142, Pacific Centre
701 West Georgia Street
Vancouver, BC V7Y 1L2
Attention: Freedom of Information Officer
Telephone: (604) 899-6500 or (800) 373-6393 (in BC)

Manitoba
The Manitoba Securities Commission
500 - 400 St. Mary Avenue
Winnipeg, MB R3C 4K5
Attention: Director of Registrations
Telephone (204) 945-2548
Fax (204) 945-0330

New Brunswick
New Brunswick Securities Commission
Suite 300, 85 Charlotte Street
Saint John, NB E2L 2J2
Attention: Director, Regulatory Affairs
Telephone: (506) 658-3060

Newfoundland and Labrador
Securities NL
Financial Services Regulation Division
Department of Government Services
P.O. Box 8700, 2nd Floor, West Block
Confederation Building
St. John's, NL A1B 4J6
Attention: Manager of Registrations

Nunavut
Legal Registries Division
Department of Justice
Government of Nunavut
P.O. Box 1000 Station 570
Iqaluit, NU X0A 0H0
Attention: Deputy Registrar of Securities
Telephone: (867) 975-6590

Ontario
Ontario Securities Commission
Suite 1903, Box 55
20 Queen Street West
Toronto, ON M5H 3S8
Attention: Compliance and Registrant Regulation
Telephone: (416) 593-8314
e-mail: registration@osc.gov.on.ca

Prince Edward Island
Securities Registry
Office of the Attorney General B
Consumer, Corporate and
Insurance Services Division
P.O. Box 2000
Charlottetown, PE C1A 7N8
Attention: Deputy Registrar of Securities
Telephone: (902) 368-6288

Québec
Autorité des marchés financiers
800, square Victoria, 22e étage
C.P. 246, tour de la Bourse
Montréal (Québec) H4Z 1G3
Attention: Responsable de l'accès à l'information
Telephone: (514) 395-0337 or (877) 525-0337 (in Québec)

Saskatchewan
Saskatchewan Financial Services

Tel: (709) 729-5661

Nova Scotia
Nova Scotia Securities Commission
2nd Floor, Joseph Howe Building
1690 Hollis Street
P.O. Box 458
Halifax, NS B3J 2P8
Attention: Deputy Director, Capital Markets
Telephone: (902) 424-7768

Northwest Territories
Government of the Northwest Territories
P.O. Box 1320
Yellowknife, NWT X1A 2L9
Attention: Deputy Superintendent of Securities
Telephone: (867) 920-8984

Commission
Suite 601, 1919 Saskatchewan Drive
Regina, SK S4P 4H2
Attention: Director
Telephone: (306) 787-5842

Yukon
Yukon Securities Office
Department of Community Services
P.O. Box 2703 C-6
Whitehorse, YT Y1A 2C6
Attention: Superintendent of Securities
Telephone: (867) 667-5225

Self-regulatory organization
Investment Industry Regulatory Organization of Canada
121 King Street West, Suite 1600
Toronto, Ontario M5H 3T9
Attention: Privacy Officer
Telephone: (416) 364-6133
E-mail: PrivacyOfficer@iiroc.ca

17. ***Form 33-109F4 is amended***

(a) ***in the definition of "***Approved person***" under "*****Terms*****" by replacing "***member of the IIROC (Member)***" with "***member **(Member)** of the **Investment Industry Regulatory Organization of Canada** (IIROC)***",***

(b) ***in the paragraphs "NRD format" and "Format, other than NRD format", under the heading "*****How to submit this form*****", by adding "***with securities regulation experience***" after "***legal adviser***",***

(c) ***in section 1 of Item 8 by***

(i) ***replacing the title with the following:***

Course, Examination or Designation Information and Other Education

(ii) ***replacing "***course and***" with "***course,***" and by adding "***and designation***" in the first sentence of item 1, after "***examination***", and***

(iii) ***replacing "***course or***" with "***course,***" and by adding "***or designation***" in the second sentence of item 1, after "***examination***",***

(d) ***in section 2 of Item 8 by adding the following after "***Advocis (formerly CAIFA):__________________________***":***

RESP Dealers Association of Canada:
____

Other:
____

(e) ***in section 3 of Item 8 by adding "***, designation***" after the word "***examination***",***

(f) ***in Item 8 by adding the following after section 3:***

4. Relevant securities industry experience

If you are an individual applying for IIROC approval, select "Not Applicable below".

If you have not been registered in the last 36 months and you passed the required examination more than 36 months ago, do you consider that you have gained 12 months of relevant securities industry experience during the 36 month period?

Yes ☐ No ☐ N/A ☐

If "yes", complete Schedule F.*,*

(g) ***in section 4 of Item 9 by adding "***supervisor or***" after "***Name of***",***

(h) ***in Item 14 by replacing "****Immigration Act****" with "****Immigration and Refugee Protection Act****", and "****Young Offenders Act****" wherever the expression occurs with "***former *Young Offenders Act****",***

(i) ***in Item 1.3 of Schedule A to Form 33-109F4 by adding the following after "***No ☐***":***

N\A ☐

(j) ***in Schedule C by replacing "***Investment Industry Regulatory Organization of Canada***" with "***IIROC***",***

(k) ***by replacing Schedule E with the following:***

SCHEDULE E
Proficiency (Item 8)

Item 8.1 Course, examination or designation information and other education

Course, examination, designation or other education	Date completed (YYYY/MM/DD)	Date exempted (YYYY/MM/DD)	Regulator / securities regulatory authority granting the exemption

If you have listed the CFA Charter in Item 8.1, please indicate by checking the box below whether you are a current member of the CFA Institute permitted to use the CFA Charter.

Yes ☐ No☐

If "no", please explain why you no longer hold this designation:

If you have listed the CIM designation in Item 8.1, please indicate by checking the box below whether you are currently permitted to use the CIM designation.

Yes ☐ No☐

If "no", please explain why you no longer hold this designation:

(l) in Schedule F

(i) in the heading by replacing* “Item 8.3”** ***with **“Items 8.3 and 8.4”,**

(ii) by adding the word “, designation***” after the word “***examination***” wherever it occurs, and***

(iii) by adding the following after Item 8.3:

Item 8.4 Relevant securities industry experience

Describe your responsibilities in areas relating to the category you are applying for, including the title(s) you have held, as well as the start and end dates:

____
____
____
____
____
____

What is the percentage of your time devoted to these activities?
_____%

Indicate the continuing education activities which you have participated in during the last 36 months and which are relevant to the category of registration you are applying for:

____
____
____
____

(m) in Schedule G by replacing section 5 with the following:

5. Conflicts of interest

If you have more than one employer or are engaged in business related activities**:**

A**.** Disclose any potential for confusion by clients and any potential for conflicts of interest arising from your multiple employment or business related activities or proposed business related activities.

____
____
____
____

B. Indicate whether or not any of your employers or organizations where you engage in business related activities are listed on an exchange.

C. Confirm whether the firm has procedures for minimizing potential conflicts of interest and if so, confirm that you are aware of these procedures.

D. State the name of the person at your sponsoring firm who has reviewed and approved your multiple employment or business related activities or proposed business related activities

E. If you do not perceive any conflicts of interest arising from this employment, explain why.

(n) by replacing Schedule O with the following:

Schedule O
Contact information for
Notice of collection and use of personal information

Alberta
Alberta Securities Commission,
Suite 600, 250-5th St. SW
Calgary, AB T2P 0R4
Attention: Information Officer
Telephone: (403) 355-4151

British Columbia
British Columbia Securities Commission
P.O. Box 10142, Pacific Centre
701 West Georgia Street
Vancouver, BC V7Y 1L2
Attention: Freedom of Information Officer
Telephone: (604) 899-6500 or (800) 373-6393 (in BC)

Manitoba
The Manitoba Securities Commission
500 - 400 St. Mary Avenue

Nunavut
Legal Registries Division
Department of Justice
Government of Nunavut
P.O. Box 1000 Station 570
Iqaluit, NU X0A 0H0
Attention: Deputy Registrar of Securities
Telephone: (867) 975-6590

Ontario
Ontario Securities Commission
Suite 1903, Box 55
20 Queen Street West
Toronto, ON M5H 3S8
Attention: Compliance and Registrant Regulation
Telephone: (416) 593-8314
e-mail: registration@osc.gov.on.ca

Prince Edward Island

Winnipeg, MB R3C 4K5
Attention: Director of Registrations
Telephone (204) 945-2548
Fax (204) 945-0330

New Brunswick
New Brunswick Securities Commission
Suite 300, 85 Charlotte Street
Saint John, NB E2L 2J2
Attention: Director, Regulatory Affairs
Telephone: (506) 658-3060

Newfoundland and Labrador
Securities NL
Financial Services Regulation Division
Department of Government Services
P.O. Box 8700, 2nd Floor, West Block
Confederation Building
St. John's, NL A1B 4J6
Attention: Manager of Registrations
Tel: (709) 729-5661

Nova Scotia
Nova Scotia Securities Commission
2nd Floor, Joseph Howe Building
1690 Hollis Street
P.O. Box 458
Halifax, NS B3J 2P8
Attention: Deputy Director, Capital Markets
Telephone: (902) 424-7768

Northwest Territories
Government of the Northwest Territories
P.O. Box 1320
Yellowknife, NWT X1A 2L9
Attention: Deputy Superintendent of Securities
Telephone: (867) 920-8984

Securities Registry
Office of the Attorney General B
Consumer, Corporate and
Insurance Services Division
P.O. Box 2000
Charlottetown, PE C1A 7N8
Attention: Deputy Registrar of Securities
Telephone: (902) 368-6288

Québec
Autorité des marchés financiers
800, square Victoria, 22e étage
C.P. 246, tour de la Bourse
Montréal (Québec) H4Z 1G3
Attention: Responsable de l'accès à l'information
Telephone: (514) 395-0337 or (877) 525-0337 (in Québec)

Saskatchewan
Saskatchewan Financial Services Commission
Suite 601, 1919 Saskatchewan Drive
Regina, SK S4P 4H2
Attention: Director
Telephone: (306) 787-5842

Yukon
Yukon Securities Office
Department of Community Services
P.O. Box 2703 C-6
Whitehorse, YT Y1A 2C6
Attention: Superintendent of Securities
Telephone: (867) 667-5225

Self-regulatory organization
Investment Industry Regulatory Organization of Canada
121 King Street West, Suite 1600
Toronto, Ontario M5H 3T9
Attention: Privacy Officer
Telephone: (416) 364-6133
E-mail: PrivacyOfficer@iiroc.ca

18. ***Form 33-109F5 is amended***

(a) ***under "*****How to submit this form*****" by adding the following after subparagraph (b) of the second paragraph:***

Name of firm
____

Registration categories
____

NRD number (firm) ______________________

(b) ***in Item 1 by adding the following under "*****☐** Form 33-109F6***":***

If submitting changes to Form 33-109F6, please attach a blackline of the amended sections of the form.***,***

(c) ***in Item 5 by deleting the line "***name of firm***", and***

(d) ***by replacing Schedule A with the following:***

Schedule A
Contact information for
Notice of collection and use of personal information

Alberta
Alberta Securities Commission,
Suite 600, 250-5th St. SW
Calgary, AB T2P 0R4
Attention: Information Officer
Telephone: (403) 355-4151

British Columbia
British Columbia Securities Commission
P.O. Box 10142, Pacific Centre
701 West Georgia Street
Vancouver, BC V7Y 1L2
Attention: Freedom of Information Officer
Telephone: (604) 899-6500 or (800) 373-6393 (in BC)

Manitoba
The Manitoba Securities Commission
500 - 400 St. Mary Avenue
Winnipeg, MB R3C 4K5
Attention: Director of Registrations
Telephone (204) 945-2548

Nunavut
Legal Registries Division
Department of Justice
Government of Nunavut
P.O. Box 1000 Station 570
Iqaluit, NU X0A 0H0
Attention: Deputy Registrar of Securities
Telephone: (867) 975-6590

Ontario
Ontario Securities Commission
Suite 1903, Box 55
20 Queen Street West
Toronto, ON M5H 3S8
Attention: Compliance and Registrant Regulation
Telephone: (416) 593-8314
e-mail: registration@osc.gov.on.ca

Prince Edward Island
Securities Registry
Office of the Attorney General B
Consumer, Corporate and

Fax (204) 945-0330

New Brunswick
New Brunswick Securities Commission
Suite 300, 85 Charlotte Street
Saint John, NB E2L 2J2
Attention: Director, Regulatory Affairs
Telephone: (506) 658-3060

Newfoundland and Labrador
Securities NL
Financial Services Regulation Division
Department of Government Services
P.O. Box 8700, 2nd Floor, West Block
Confederation Building
St. John's, NL A1B 4J6
Attention: Manager of Registrations
Tel: (709) 729-5661

Nova Scotia
Nova Scotia Securities Commission
2nd Floor, Joseph Howe Building
1690 Hollis Street
P.O. Box 458
Halifax, NS B3J 2P8
Attention: Deputy Director, Capital Markets
Telephone: (902) 424-7768

Northwest Territories
Government of the Northwest Territories
P.O. Box 1320
Yellowknife, NWT X1A 2L9
Attention: Deputy Superintendent of Securities
Telephone: (867) 920-8984

Insurance Services Division
P.O. Box 2000
Charlottetown, PE C1A 7N8
Attention: Deputy Registrar of Securities
Telephone: (902) 368-6288

Québec
Autorité des marchés financiers
800, square Victoria, 22e étage
C.P. 246, tour de la Bourse
Montréal (Québec) H4Z 1G3
Attention: Responsable de l'accès à l'information
Telephone: (514) 395-0337 or (877) 525-0337 (in Québec)

Saskatchewan
Saskatchewan Financial Services Commission
Suite 601, 1919 Saskatchewan Drive
Regina, SK S4P 4H2
Attention: Director
Telephone: (306) 787-5842

Yukon
Yukon Securities Office
Department of Community Services
P.O. Box 2703 C-6
Whitehorse, YT Y1A 2C6
Attention: Superintendent of Securities
Telephone: (867) 667-5225

Self-regulatory organization
Investment Industry Regulatory Organization of Canada
121 King Street West, Suite 1600
Toronto, Ontario M5H 3T9
Attention: Privacy Officer
Telephone: (416) 364-6133
E-mail: PrivacyOfficer@iiroc.ca

19. ***Form 33-109F6 is amended***

(a) ***in the definition of "***NI 31-103***" by replacing "****and Exemptions****" with "****, Exemptions and Ongoing Registrant Obligations****",***

(b) ***under "*****Definitions*****" by adding the following definitions in alphabetical order:***

Foreign jurisdiction – see National Instrument 14-101 *Definitions*.

Jurisdiction or jurisdiction of Canada – see National Instrument 14-101 *Definitions*.

NI 52-107 – National Instrument 52-107 *Acceptable Accounting Principles and Auditing Standards*.***,***

(c) ***under "*****Contents of the form*****" by replacing "***Alberta and Manitoba***" with "***Alberta, Manitoba and New Brunswick***",***

(d) ***in the next to last paragraph under "*****How to complete and submit the form*****" by deleting "***and fees***",***

(e) ***under "*****How to complete and submit the form*****" by adding the following paragraph before the last paragraph:***

In most of this form, answers are required to questions which apply only to Canadian provinces and territories; you will find that the questions are referenced to "jurisdictions" or "jurisdiction of Canada". These refer to all provinces and territories of Canada. However, the questions in Part 4 –*Registration History* and Part 7 – *Regulatory Action* are to be answered in respect of any jurisdiction in the world.***,***

(f) ***in section 1.3 of Part 1 by***

(i) ***replacing "***Questions 1.1, 1.2, 1.4, 1.5, 2.4, and Part 9***" with "***Questions 1.1, 1.2, 1.4, 1.5, 2.4, 3.9, 5.4, 5.6*, and Part 9",

(j) ***replacing "***Questions 1.1, 1.2, 1.4, 1.5, 5.1, 5.4, 5.5, 5.6, 5.7, 5.8, Part 6 and Part 9***" with "***Questions 1.1, 1.2, 1.4, 1.5, 3.1, 5.1, 5.4, 5.5*, 5.6*, 5.7, 5.8, Part 6 and Part 9***", and***

(ii) ***adding the following after "***Part 6 and Part 9***":***

* If the firm is adding Québec as a jurisdiction for registration in the category of mutual fund dealer or scholarship plan dealer, complete question 5.6.***,***

(g) ***in the table in section 1.4 under "*****Jurisdiction*****" by replacing "***NT***" with "***NS***", and by replacing "***NS***" with "***NT***",***

(h) ***in the table in section 1.5 under “***Jurisdiction(s) where the firm has applied for the exemption***” by replacing “***NT***” with “***NS***”, and by replacing “***NS***” with “***NT***”,***

(i) ***in the table in paragraph 2.2 (b) of Part 2 by replacing “***NT***” with “***NS***”, and by replacing “***NS***” with “***NT***”,***

(j) ***in sections 2.5 and 2.6 by replacing the word “***Title***” with the following:***

Officer title
Telephone number
E-mail address

(k) ***in section 3.3 in Part 3 by replacing “***Alberta or Manitoba***” with “***Alberta, Manitoba or New Brunswick***”,***

(l) ***by replacing the first sentence of Part 4 with the following:***

The questions in Part 4 apply to any jurisdiction and any foreign jurisdiction.***,***

(m) ***in section 4.5 by deleting the word “***ever***” ,***

(n) ***by replacing section 5.1 of Part 5 with the following:***

5.1 Calculation of excess working capital

Attach the firm’s calculation of excess working capital.

- Investment dealers must use the capital calculation form required by the Investment Industry Regulatory Organization of Canada (IIROC).
- Mutual fund dealers must use the capital calculation form required by the Mutual Fund Dealers Association of Canada (MFDA), except for mutual fund dealers registered in Québec only.
- Firms that are not members of either IIROC or the MFDA must use Form 31-103F1 *Calculation of Excess Working Capital.* See Schedule C.***,***

(o) ***in section 5.4 by replacing “***NT***” with “***NS***”, and by replacing “***NS***” with “***NT***”,***

(p) ***in section 5.5 by adding the following after “***Annual aggregate coverage ($)***”:***

Total coverage ($)	

(q) ***in section 5.5 by replacing “***Renewal date***” with “***Expiry date***”,***

(r) ***in section 5.6***

(i) ***by adding the following after “***Annual aggregate coverage ($)***”:***

Total coverage ($)	

(ii) ***under “***Jurisdictions covered:***”, by replacing “***NT***” with “***NS***”, and by replacing “***NS***” with “***NT***”,***

(s) ***by replacing section 5.13 with the following:***

5.13 Audited financial statements

(a) Attach, for your most recently completed year, either

(i) non-consolidated audited financial statements; or

(ii) audited financial statements prepared in accordance with section 3.2(3) of NI 52-107.

(b) If the audited financial statements attached for item (a) were prepared for a period ending more than 90 days before the date of this application, also attach an interim financial report for a period of not more than 90 days before the date of this application.

If the firm is a start-up company, you can attach an audited opening statement of financial position instead.***,***

(t) ***in Part 6***

(i) ***by adding the following before section 6.1 and after “***31-103CP***”:***

For guidance regarding whether a firm will hold or have access to client assets see section 12.4 of Companion Policy 31-103CP.***, and***

(ii) ***in section 6.1 by replacing “***does***” with “***will***”,***

(u) ***in Part 7 by replacing the first sentence with the following:***

The questions in Part 7 apply to any jurisdiction and any foreign jurisdiction. The information must be provided in respect of the last 7 years.***,***

(v) ***in section 7.1, by deleting "***ever***",***

(w) ***in Part 8 by replacing the first paragraph with the following:***

The firm must disclose offences or legal actions under any statute governing the firm and its business activities in any jurisdiction. The information must be provided in respect of the last 7 years.***,***

(x) ***in section 8.1 by deleting "***ever***",***

(y) ***by replacing Schedule A with the following:***

Schedule A
Contact information for
Notice of collection and use of personal information

Alberta
Alberta Securities Commission,
Suite 600, 250-5th St. SW
Calgary, AB T2P 0R4
Attention: Information Officer
Telephone: (403) 355-4151

British Columbia
British Columbia Securities Commission
P.O. Box 10142, Pacific Centre
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Attention: Freedom of Information Officer
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The Manitoba Securities Commission
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Winnipeg, MB R3C 4K5
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Fax (204) 945-0330

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New Brunswick Securities Commission

Nunavut
Legal Registries Division
Department of Justice
Government of Nunavut
P.O. Box 1000 Station 570
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Telephone: (867) 975-6590

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Suite 1903, Box 55
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Toronto, ON M5H 3S8
Attention: Compliance and Registrant Regulation
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Prince Edward Island
Securities Registry
Office of the Attorney General B
Consumer, Corporate and
Insurance Services Division
P.O. Box 2000
Charlottetown, PE C1A 7N8
Attention: Deputy Registrar of Securities

Suite 300, 85 Charlotte Street
Saint John, NB E2L 2J2
Attention: Director, Regulatory Affairs
Telephone: (506) 658-3060

Newfoundland and Labrador
Securities NL
Financial Services Regulation Division
Department of Government Services
P.O. Box 8700, 2nd Floor, West Block
Confederation Building
St. John's, NL A1B 4J6
Attention: Manager of Registrations
Tel: (709) 729-5661

Nova Scotia
Nova Scotia Securities Commission
2nd Floor, Joseph Howe Building
1690 Hollis Street
P.O. Box 458
Halifax, NS B3J 2P8
Attention: Deputy Director, Capital Markets
Telephone: (902) 424-7768

Northwest Territories
Government of the Northwest Territories
P.O. Box 1320
Yellowknife, NWT X1A 2L9
Attention: Deputy Superintendent of Securities
Telephone: (867) 920-8984

Telephone: (902) 368-6288

Québec
Autorité des marchés financiers
800, square Victoria, 22e étage
C.P. 246, tour de la Bourse
Montréal (Québec) H4Z 1G3
Attention: Responsable de l'accès à l'information
Telephone: (514) 395-0337 or (877) 525-0337 (in Québec)

Saskatchewan
Saskatchewan Financial Services Commission
Suite 601, 1919 Saskatchewan Drive
Regina, SK S4P 4H2
Attention: Director
Telephone: (306) 787-5842

Yukon
Yukon Securities Office
Department of Community Services
P.O. Box 2703 C-6
Whitehorse, YT Y1A 2C6
Attention: Superintendent of Securities
Telephone: (867) 667-5225

Self-regulatory organization
Investment Industry Regulatory Organization of Canada
121 King Street West, Suite 1600
Toronto, Ontario M5H 3T9
Attention: Privacy Officer
Telephone: (416) 364-6133
E-mail: PrivacyOfficer@iiroc.ca

(z) ***in Schedule B by adding the following under "***Address for service of process on the Agent for Service***":***

Phone number of the Agent for Service:

____

(aa) ***in paragraphs 7(a) and 7(b) of Schedule B by replacing "***7th day***" with "***10th day***", and***

(bb) ***by replacing Schedule C with the following:***

Schedule C
FORM 31-103F1 CALCULATION OF EXCESS WORKING CAPITAL

____
Firm Name

Capital Calculation
(as at ________________ with comparative figures as at ______________)

	Component	Current period	Prior period
1.	Current assets		
2.	Less current assets not readily convertible into cash (e.g., prepaid expenses)		
3.	Adjusted current assets Line 1 minus line 2 =		
4.	Current liabilities		
5.	Add 100% of long-term related party debt unless the firm and the lender have executed a subordination agreement in the form set out in Appendix B and the firm has delivered a copy of the agreement to the regulator or, in Québec, the securities regulatory authority		
6.	Adjusted current liabilities Line 4 plus line 5 =		
7.	Adjusted working capital		

	Line 3 minus line 6 =		
8.	Less minimum capital		
9.	Less market risk		
10.	Less any deductible under the bonding or insurance policy required under Part 12 of National Instrument 31-103, *Registration Requirements, Exemptions and Ongoing Registrant Obligations*		
11.	Less Guarantees		
12.	Less unresolved differences		
13.	**Excess working capital**		

Notes:

This form must be prepared using the accounting principles that you use to prepare your financial statements in accordance with National Instrument 52-107 *Acceptable Accounting Principles and Auditing Standards*. Section 12.1 of Companion Policy 31-103CP *Registration Requirements, Exemptions and Ongoing Registrant Obligations* provides further guidance in respect of these accounting principles.

Line 5. Related-party debt – Refer to the CICA Handbook for the definition of "related party" for publicly accountable enterprises.

Line 8. Minimum Capital – The amount on this line must be not less than (a) $25,000 for an adviser and (b) $50,000 for a dealer. For an investment fund manager, the amount must be not less than $100,000 unless subsection 12.1(4) applies.

Line 9. Market Risk – The amount on this line must be calculated according to the instructions set out in Schedule 1 to this Form.

Line 11. Guarantees – If the registered firm is guaranteeing the liability of another party, the total amount of the guarantee must be included in the capital calculation. If the amount of a guarantee is included in the firm's statement of financial position as a current liability and is reflected in line 4, do not include the amount of the guarantee on line 11.

Line 12. Unresolved differences – Any unresolved differences that could result in a loss from either firm or client assets must be included in the capital calculation. The examples below provide guidance as to how to calculate unresolved differences:

(i) If there is an unresolved difference relating to client securities, the amount to be reported on Line 12 will be equal to the fair value of the client securities that are short, plus the applicable margin rate for those securities.

(ii) If there is an unresolved difference relating to the registrant's investments, the amount to be reported on Line 12 will be equal to the fair value of the investments (securities) that are short.

(iii) If there is an unresolved difference relating to cash, the amount to be reported on Line 12 will be equal to the amount of the shortfall in cash.

Please refer to section 12.1 of Companion Policy 31-103CP *Registration Requirements, Exemptions and Ongoing Registrant Obligations* for further guidance on how to prepare and file this form.

Management Certification

Registered Firm Name: ____

We have examined the attached capital calculation and certify that the firm is in compliance with the capital requirements as at ______________________________.

Name and Title	**Signature**	**Date**
1.____________________ ____________________	________________________	________________________
2. ____________________ ____________________	________________________	________________________

Schedule 1 of Form 31-103F1 Calculation of Excess Working Capital
(calculating line 9 [market risk])

For purposes of completing this form:

(1) “Fair value” means the value of a security determined in accordance with Canadian GAAP applicable to publicly accountable enterprises.

(2) For each security whose value is included in line 1, Current Assets, multiply the fair value of the security by the margin rate for that security set out below. Add up the resulting amounts for all of the securities you hold. The total is the "market risk" to be entered on line 9.

(a) Bonds, Debentures, Treasury Bills and Notes

(i) Bonds, debentures, treasury bills and other securities of or guaranteed by the Government of Canada, of the United Kingdom, of the United States of America and of any other national foreign government (provided such foreign government securities are currently rated Aaa or AAA by Moody's Investors Service, Inc. or Standard & Poor's Corporation, respectively), maturing (or called for redemption):

within 1 year:	1% of fair value multiplied by the fraction determined by dividing the number of days to maturity by 365
over 1 year to 3 years:	1 % of fair value
over 3 years to 7 years:	2% of fair value
over 7 years to 11 years:	4% of fair value
over 11 years:	4% of fair value

(ii) Bonds, debentures, treasury bills and other securities of or guaranteed by any jurisdiction of Canada and obligations of the International Bank for Reconstruction and Development, maturing (or called for redemption):

within 1 year:	2% of fair value multiplied by the fraction determined by dividing the number of days to maturity by 365
over 1 year to 3 years:	3 % of fair value
over 3 years to 7 years:	4% of fair value
over 7 years to 11 years:	5% of fair value
over 11 years:	5% of fair value

(iii) Bonds, debentures or notes (not in default) of or guaranteed by any municipal corporation in Canada or the United Kingdom maturing:

within 1 year:	3% of fair value multiplied by the fraction determined by dividing the number of days to maturity by 365
over 1 year to 3 years:	5 % of fair value
over 3 years to 7 years:	5% of fair value
over 7 years to 11 years:	5% of fair value
over 11 years:	5% of fair value

(iv) Other non-commercial bonds and debentures, (not in default): 10% of fair value

(v) Commercial and corporate bonds, debentures and notes (not in default) and non-negotiable and non-transferable trust company and mortgage loan company obligations registered in the registered firm's name maturing:

within 1 year:	3% of fair value
over 1 year to 3 years:	6 % of fair value
over 3 years to 7 years:	7% of fair value
over 7 years to 11 years:	10% of fair value
over 11 years:	10% of fair value

(b) Bank Paper

Deposit certificates, promissory notes or debentures issued by a Canadian chartered bank (and of Canadian chartered bank acceptances) maturing:

within 1 year:	2% of fair value multiplied by the fraction determined by dividing the number of days to maturity by 365
over 1 year:	apply rates for commercial and corporate bonds, debentures and notes

(c) Acceptable foreign bank paper

Deposit certificates, promissory notes or debentures issued by a foreign bank, readily negotiable and transferable and maturing:

within 1 year:	2% of fair value multiplied by the fraction determined by dividing the number of days to maturity by 365
over 1 year:	apply rates for commercial and corporate bonds, debentures and notes

"Acceptable Foreign Bank Paper" consists of deposit certificates or promissory notes issued by a bank other than a Canadian chartered bank with a net worth (i.e., capital plus reserves) of not less than $200,000,000.

(d) Mutual Funds

Securities of mutual funds qualified by prospectus for sale in any jurisdiction of Canada:

(i) 5% of the net asset value per security as determined in accordance with National Instrument 81-106 *Investment Fund Continuous Disclosure*, where the fund is a money market mutual fund as defined in National Instrument 81-102 *Mutual Funds*; or

(ii) the margin rate determined on the same basis as for listed stocks multiplied by the net asset value per security of the fund as determined in accordance with National Instrument 81-106 *Investment Fund Continuous Disclosure*.

(e) Stocks

In this paragraph, "securities" includes rights and warrants and does not include bonds and debentures.

(i) On securities including investment fund securities, rights and warrants, listed on any exchange in Canada or the United States of America:

Long Positions – Margin Required

Securities selling at $2.00 or more – 50% of fair value

Securities selling at $1.75 to $1.99 – 60% of fair value

Securities selling at $1.50 to $1.74 – 80% of fair value

Securities selling under $1.50 – 100% of fair value

Short Positions – Credit Required

Securities selling at $2.00 or more – 150% of fair value

Securities selling at $1.50 to $1.99 - $3.00 per share

Securities selling at $0.25 to $1.49 – 200% of fair value

Securities selling at less than $0.25 – fair value plus $0.25 per shares

(ii) For positions in securities that are constituent securities on a major broadly-based index of one of the following exchanges, 50% of the fair value:

(a) Australian Stock Exchange Limited
(b) Bolsa de Madrid
(c) Borsa Italiana

(d) Copenhagen Stock Exchange
(e) Euronext Amsterdam
(f) Euronext Brussels
(g) Euronext Paris S.A.
(h) Frankfurt Stock Exchange
(i) London Stock Exchange
(j) New Zealand Exchange Limited
(k) Stockholm Stock Exchange
(l) Swiss Exchange
(m) The Stock Exchange of Hong Kong Limited
(n) Tokyo Stock Exchange

(f) Mortgages

(i) For a firm registered in any jurisdiction of Canada except Ontario:

(a) Insured mortgages (not in default): 6% of fair value

(b) Mortgages which are not insured (not in default): 12% of fair value of the loan or the rates set by Canadian financial institutions or Schedule III banks, whichever is greater.

(ii) For a firm registered in Ontario:

(a) Mortgages insured under the National Housing Act (Canada) (not in default): 6% of fair value

(b) Conventional first mortgages (not in default): 12% of fair value of the loan or the rates set by Canadian financial institutions or Schedule III banks, whichever is greater.

If you are registered in Ontario regardless of whether you are also registered in another jurisdiction of Canada, you will need to apply the margin rates set forth in (ii) above.

(g) For all other securities – 100% of fair value.

20. ***Form 33-109F7 is amended***

(a) ***in section 1 under*** **"GENERAL INSTRUCTIONS"** ***by adding*** "the end of" ***after*** "on or before"***, and by replacing*** "termination" ***with*** "cessation"***,***

(b) ***in section 3 under*** **"GENERAL INSTRUCTIONS"** ***by deleting*** "dismissed, or was"***, and by adding*** "resigned voluntarily or was dismissed," ***after*** "resign,"***,***

(c) ***in the definition for*** "you"***,*** "your" ***and*** "individual" ***under*** **"Terms"** ***by adding*** "or their status as permitted individual" ***after*** "registration"***,***

(d) ***in section 5 of Item 5 by deleting "***Date on which you will become authorized to act on behalf of the new sponsoring firm as a registered individual or permitted individual YYYY/MM/DD***)",***

(e) ***in paragraph 2 (b) of Item 9 by adding "***or resigned voluntarily***" after "***resign***",***

(f) ***in Schedule B by replacing "***Investment Industry Regulatory Organization of Canada***" with "***IIROC***",***

(g) ***by replacing section 5 of Schedule D with the following:***

5. Conflict of Interest

If you have more than one employer or are engaged in business related activities:

A. Disclose any potential for confusion by clients and any potential for conflicts of interest arising from your multiple employment or business related activities or proposed business related activities.

B. Indicate whether or not any of your employers or organizations where you engage in business related activities are listed on an exchange.

C. Confirm whether the firm has procedures for minimizing potential conflicts of interest and if so, confirm that you are aware of these procedures.

D. If you do not perceive any conflicts of interest arising from this employment, explain why.

(h) by replacing Schedule F with the following:

Schedule F
Contact information for
Notice of collection and use of personal information

Alberta
Alberta Securities Commission,
Suite 600, 250-5th St. SW
Calgary, AB T2P 0R4
Attention: Information Officer
Telephone: (403) 355-4151

British Columbia
British Columbia Securities Commission
P.O. Box 10142, Pacific Centre
701 West Georgia Street
Vancouver, BC V7Y 1L2
Attention: Freedom of Information Officer
Telephone: (604) 899-6500 or (800) 373-6393 (in BC)

Manitoba
The Manitoba Securities Commission
500 - 400 St. Mary Avenue
Winnipeg, MB R3C 4K5
Attention: Director of Registrations
Telephone (204) 945-2548
Fax (204) 945-0330

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New Brunswick Securities Commission
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Attention: Director, Regulatory Affairs
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Newfoundland and Labrador
Securities NL
Financial Services Regulation Division
Department of Government Services
P.O. Box 8700, 2nd Floor, West Block
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Attention: Manager of Registrations

Nunavut
Legal Registries Division
Department of Justice
Government of Nunavut
P.O. Box 1000 Station 570
Iqaluit, NU X0A 0H0
Attention: Deputy Registrar of Securities
Telephone: (867) 975-6590

Ontario
Ontario Securities Commission
Suite 1903, Box 55
20 Queen Street West
Toronto, ON M5H 3S8
Attention: Compliance and Registrant Regulation
Telephone: (416) 593-8314
e-mail: registration@osc.gov.on.ca

Prince Edward Island
Securities Registry
Office of the Attorney General B
Consumer, Corporate and
Insurance Services Division
P.O. Box 2000
Charlottetown, PE C1A 7N8
Attention: Deputy Registrar of Securities
Telephone: (902) 368-6288

Québec
Autorité des marchés financiers
800, square Victoria, 22e étage
C.P. 246, tour de la Bourse
Montréal (Québec) H4Z 1G3
Attention: Responsable de l'accès à l'information
Telephone: (514) 395-0337 or (877) 525-0337 (in Québec)

Saskatchewan
Saskatchewan Financial Services

Tel: (709) 729-5661

Nova Scotia
Nova Scotia Securities Commission
2nd Floor, Joseph Howe Building
1690 Hollis Street
P.O. Box 458
Halifax, NS B3J 2P8
Attention: Deputy Director, Capital Markets
Telephone: (902) 424-7768

Northwest Territories
Government of the Northwest Territories
P.O. Box 1320
Yellowknife, NWT X1A 2L9
Attention: Deputy Superintendent of Securities
Telephone: (867) 920-8984

Commission
Suite 601, 1919 Saskatchewan Drive
Regina, SK S4P 4H2
Attention: Director
Telephone: (306) 787-5842

Yukon
Yukon Securities Office
Department of Community Services
P.O. Box 2703 C-6
Whitehorse, YT Y1A 2C6
Attention: Superintendent of Securities
Telephone: (867) 667-5225

Self-regulatory organization
Investment Industry Regulatory Organization of Canada
121 King Street West, Suite 1600
Toronto, Ontario M5H 3T9
Attention: Privacy Officer
Telephone: (416) 364-6133
E-mail: PrivacyOfficer@iiroc.ca

21. This Instrument comes into force on July 11, 2011.

Service Alberta

Vital Statistics
Notice of Change of Personal Name

(Change of Name Act)

May 2, 2011
Brinson-McMullen, Britton Douglas to McMullen, Britton Douglas Brinson – 68755
Gunsch, Johnathan Oliver to Knull, Johnathan Oliver – 68766
Albrecht, Lucas Ray Edwin to Albrecht - Robertson, Lucas Ray Edwin – 68769
Chopek, Mary Elizabeth to Chopek, Marie Elizabeth – 68774
Bonwick, Kristina Irene to Reed, Kristina Irene – 68773
Lunn, Jeffery Bradley Daniel to MacIsaac, Bradley Daniel - 68775
Horel, Bree Alison to Zorel, Bree Alison – 68776
Buffalo, Karen Lucille to Anderson, Karen Lucille – 68779
Andrews, Frank Thomas to Halcrow, Frank Thomas – 68791
Yeung, Hoi Yui to Yeung, Joseph Hoi Yui – 68811
Guttormson, Craig Adam to Adam, Craig – 68862

May 5, 2011
Carr, Trinity Lorianne to Draper, Trinity Lorianne – 66792
Beatty, Darian Kelsey to Beatty-Gemmell, Darian Kelsey – 68412
Dery, Aires Darnell to Dery, Ariss Darnell – 68538
Harris, Kayden William Cowan to Cowan, Kayden William – 68551
Gould, Rita Katharina Marie to Robinson, Rita Katharina Marie – 68600
Green, Gwendolyn Doreen to Clark, Gwendolyn Doreen Vivian – 68627
Sawchyn, Devin Theodore to Sawchyn Jones, Devin Theodore – 68634
Vedprakash, Individual has only one name to Yadav, Vedprakash – 68655
Narayanasamy, Harini Selvaraj to Selvarajan, Harini – 68737
Badalians Kalaleh, Vahick to Badalian, Vahik – 68756
Zhen, Wen Zhe to Zhen, Cody – 68758
Schmutz, Judith Joen to Schmutz, J. Joen – 68760
Lepine, Cam Craig to Lamming, Cam Craig – 68926
Lacuesta, Jerome Bandong to Lacuesta, Hiromi Samantha – 69001

May 6, 2011
Goulard-Shewfelt, Luke Marc to Shewfelt, Luke Marc – 68649
Goulard-Shewfelt, Alexandre Cliff to Shewfelt, Alexandre Cliff – 68651
Cooper, Genevieve Elizabeth to Shewfelt, Geneviève Elizabeth Cooper – 68648
Goulard-Shewfelt, Éva Lynn to Shewfelt, Éva Lyn – 68650
Liu, Cong Ya to Liu, Chris – 68751
Upshall, Ryleigh Mary McKayla to Denis, Ryleigh Mary McKayla – 68782
Plamondon, Nickolas Andrew Leo to Franks, Nickolas Andrew Leo – 68794
Plamondon, Rae-Lynn Victoria to Franks, Rae-Lynn Victoria – 68793
McCormick, Elsbeth Shelagh to McCormick, Mary Shelagh – 68800
Elias, Jolene Rachael to Dyck, Jolene Rachael – 68806
Andersen, Ronald Sern to dei Medici, Ephram – 68802
Whitley, Birgit Nicole to Kerik, Birgit Elnora Russell Nicole – 68808
Van Koughnett, Linsey Mae to Prout, Linsey Mae – 68809
Van Koughnett, Tegan Rheane Arnold to Prout, Tegan Rheane – 68810
Henry, Karen Lyn to Gee, Karen Lyn – 68815
Henry, Jack James to Gee, Jack James – 68816
Nugent, Emily Jade to Wilkinson, Emily Jade – 68822
Nugent, Angela Claire to Wilkinson, Angela Claire – 68824
Bullen, Brittany Paige to Paige, Brittany – 68823

May 9, 2011
Barkale, Magersa Abdo to Abdo, Yusuf Hadi – 68637
Barkale, Hamza Magersa to Hadi, Hamza Yusuf – 68638
Abdo, Rahma Magersa to Hadi, Rahma Yusuf – 68639
Ritchot, Barbara Marie Therese to Ritchot, Linda Marie – 68828
Klassen, Kayla Renee to Hughes, Kayla Elizabeth – 68829
Spargo, Keaton Francis to Pearce, Keaton Francis – 68838
Spargo, Shayla Marie to Pearce, Shayla Marie – 68837
Wild, Trent Brian to Wild, Leah Brianne – 68845
Webb, Paul Wayne to Finch, Paul Wayne – 68850
Delayer, Dominic Daniel to Schaeffer, Dominic Daniel – 68852
Hayer, Rubdeep Singh to Hayer, Ravi – 68853
Clark, Keelan Michael David to McCormack, Keelan Michael – 68858

Peng, Hao Ran to Peng, Harry Haoran – 68860
Mapes-Lund, Micheal David to Lund, Michael David – 68864
Cameron, Florence Pit Fui to Lye, Florence Khyun Fui – 68865

May 10, 2011
Sun, Tian Bao to Zhu, Steven XuanRui – 65993
Coulombe, Declan Michael to Langabeer Coulombe, Declan Michael – 67490
Singh, Tejkaran to Goraya, Tej Singh – 68471
Stamhuis, Beau Nathaniel to Tolan, Beau Nathaniel – 68861
Piers, Brandan Daniel to DeBruin, Brandan Daniel – 68868
Pierce, Jayden Brian to Neufeld, Jayden Brian – 68874
Chettab, Mohamed Elzine to Chettab, Adam – 68876
Chettab, Taylor Malik to Chettab, Liam Malik – 68877
Swityk, Andrea Louise to Jones-Swityk, Andrea Louise – 68878
Jones, Kim Kathleen to Jones, Kaie Kim – 68879
Zeineddine, Taghrid to Zeineddine, Lulu – 68884
Forester, Nicole Reneé to Matos, Nicole Reneé – 68886
Unrau, Ethan Philip to Bronson, Ethan Philip – 68891
Smith, Robert Kas to Matkin, Robert Kas – 68892
Kauppi, Kayla Brianne to Hainsworth, Kayla Brianne – 68901
Kauppi, Hailey Irene to Hainsworth, Hailey Irene – 68902
Williams, Abdallah Fadi Salameh to Salameh, Abdallah Fadi – 68905
Rowland-Dietl, Rylee Michael George to Dietl, Rylee Michael George – 68915
Rowland-Dietl, Maila Dawn Marie to Dietl, Maila Dawn Marie – 68916
Didzena, Ildiko Lydia to Etthidzine, Ildiko Lydia – 68918
Ewasiuk, Brennan Jayme to Roberts, Brennan Jayme – 68919
Bensen Pardoe, Patrick to Bensen, Patrick – 68922
Kun, Miyong Gattur to Kun, Miyong Dizor Gattur – 68923
Dickson, Dylan John to Dempsey, Dylan John – 68924
Chang, Jum Sook to Chang, JeeSoo – 68925
Demens, Eugene Peter to Willes, Jessica Eryn – 68928
Qasim, Muhammad Rehan to Qasim, Saifullah – 68934
Rawnaq, Abdurahman to Rawnaq, Aasif – 68936
Mohamed, Ahmed Abdi to Mohamed, Issa Mohamoud – 68937
March, Colby James to Young, Colby James – 68939
Murvihill, Tarikua Tisha to Murvihill, Hayley Tarikua – 68942
Alberkant, Yonatan to Alberkant, Jonathan – 68944
Currie, Daniel Hunter to Currie, Charlotte Ariel – 68945
Vigneau, Ryley Nevaeh to Chinn-Vigneau, Ryley Nevaeh – 68951
Lee, Wonyoung to Lee, Jamie – 68954
Lee, Seayoung to Lee, Claire – 68955
Siminoski, Daniel Peter to Inuke, Kyomaru – 68956
Stratton, Shana Ann to Adams, Shana Ann – 68959
Crookes, Taryn Noelle to Smith, Taryn Noelle – 68960
Podio, Jose Miguel to Podio Cuervo, Jose Miguel – 68999

May 11, 2011
McGrath, Alyssa Fay Ann to McGrath-Merton, Alyssa Fay Ann – 59608
Jaggi, Sahbaz Singh to Heir, Sahbaz Singh – 68788
Karanja, Paul Kamau to Njagi, Simon Paul – 68819

Karanja, Leah Njambi to Njagi, Leah Njambi – 68820
Tailfeathers, Taylor Page to Robbie, Taylor Page – 68841
Bergsma, Leah Anne to Esotera, Alayah – 68898
Buss, Tyla Christine to Thompson, Tyla Christine – 68946
Yuen, Malcolm Ming Kit to Kan, Malcolm Ming Kit – 68963
Yuen, Matthias Owen to Kan, Matthias Owen – 68964
Lymburner, Caleb Marshall to Blackstock, Caleb Marshall Lymburner – 68966
Lymburner, Noah Thomas to Blackstock, Noah Thomas Lymburner – 68967
King, Kaylor Edward to Klause, Kaylor Edward – 68968
Radcliffe, Christa Jean Danielle to Betson, Christa Danielle – 68971
Toor, Santokh Kaur to Buttar, Santokh Kaur – 68975
Crawler, Coy Austin to Big Crow, Coy Austin – 68977
Crawler, Haze Reed to Big Crow, Haze Reed – 68978
Big Crow-Crawler, Makana Dawn to Big Crow, Makana Dawn – 68979
Lockhead, Hannah Leigh to Pewarchuk, Hannah Leigh – 68981
Kayachumbi, Pierre Mucunguz to Mucunguzi, Norman – 68982
Beeson, Joan Louisette Marie to Hildebrand, Joan Louisette Marie – 68984
Paré, Joan Louisette Marie to Hildebrand, Joan Louisette Marie – 68984
Derksen-Moyan, Harmony Rae to Derksen, Harmony Rae – 68988
Dentman, Annika Meadow to Bartholow, Annika Meadow – 69017
Choi, Man Ho Tony to Choi, Tony – 69030
Wong, Danny to Wong, Daniel – 69045
Singh, Hargavinder to Bamra, Gavin - 69094
Kelm, Winter Eve-Angél Leah Julia to Kelm, Olivia Alexis Eve – 69121
Kuany, Matut Chol to Kuany, Thijin Gatwech – 69135
Mc Collin, Kareem Arnold to Romero, Ajay Arnold Elijah – 69136
Singh, Narinder to Sokhal, Narinder – 69138

May 12, 2011
Pruden, Chelsea Anne to Miller, Chelsea Anne – 68790
Kallos-Huot, Jeremy Joseph to Huot, Jeremy Daniel – 68913
Moradzadeh, Fereshteh to Rahimi, Angelina – 68996
Phan, Thic Lien to Phan, Rachael Lien – 69003
Zec, Sasa to Zec, Sasha – 69019
Badger, Tamikah Cree to Prince, Tamikah Cree – 69024
Saad, Avery Lauren to Dadds, Avery Lauren – 69023
Sheets, William Ryier to Hommy, William Ryier – 69033
Kennedy, Isabel Adhara to Mori-Kennedy, Isabel Adhara – 69037
Brown, Brooke Taylor to Keil, Brooke Taylor – 69052
Stadé, Drew Alexander to Paterson, Drew Alexander – 69053
Johnston, Gregory Robert to Johnston, Greg Robert – 69054
Pound, Darryl Michael to Marsh, Darryl Michael – 69058
Sanfaçon, Marie Christine to Fedel, Marie Christina – 69062
Dang, Jennifer to Dang, Tieu Linh Jennifer – 69063
Bainah, Lade Abdullahi to Ahmed, Lade Abdikani – 69069
Khing, Ma Huin to Khine, Mikhine – 69070
Ma, Chap Di to Ma, Khoa Don – 69076
Kaima, Janet Nightingale to Kaima, Janet – 69079
Karunanayake Mudiyan, Dinuk Nishantha to Jayatillake, Dinuk Nishantha – 69088
Neangoda, Samarakoon Mudh to Jayatillake, Nadine – 69089

Wang, Juan to Wang, Monica Juan – 69100
Johnson, Camryn Aja to Boechler, Camryn Aja – 69101
Johnson, Jace Connor to Boechler, Jace Connor – 69102
Singh, Kulwinder to Sokhal, Kulwinder Singh – 69105
Kaur, Tirath to Sokhal, Tirath Kaur – 69106

May 13, 2011
Polanski, Coby Craig to Charron, Coby Craig – 68322
Polanski, Caden Clark to Charron, Caden Clark – 68323
Baumgarte, Ronaldus Bernardus Antonius to Mode, Ron Arie – 68885
Khatun, Mst Mahbuba to Khatun, Mahbuba – 69110
Habib, Noor Tahmid to Alam, Noor Tahmid – 69111
Piercey, Jamie to Piercey, Stacey Jamie – 68995
Martinez Hurtado, Juan Javier to Martin, Xavier – 69006
Gutierrez Sanchez, Nancy Carolina to Martin, Nancy – 69007
Bezanson, Stacy Marie to Bezanson, Stacey Marie – 69026
Amero, Haiden Richard James to Self, Haiden Richard James – 69032
Madore, Mildred Elsie to Madore, Alicia Mildred – 69071
Zykaj, Erjon to Zyka, Roni – 69077
Balson, Kaitlyn Viva to Vanmerlin, Abagail – 69078
Seemann, Shannon to Nimrichter, Shannon – 69104
Proulx, Brayden Parker to Wolframe, Brayden Parker – 69116
Thung, Clinton Anthony to Anderson, Clinton Anthony – 69127
Mac Aulay, Raylin Heather Dawn to Zieffle, Raylin Heather Dawn – 69129
Butler, Richard Masterson to Masterson, Richard Ernest Lloyd – 69130

May 16, 2011
Hartmann, Daryl Alvin to Dagg, Daryl Timothy Clare – 68940
White Wolf, Cody to Avram, Elazar David – 68985
Amina, Individual has only one name to Nabizada, Amina – 69056
Nardelli, Phiefer Ariel to Johnson, Phiefer Ariel – 69057
Woods, Spencer Ross Sainsbury to Tulloch, Spencer Ross Sainsbury – 69097
Antoniuk, Dale Allan to Antoniuk, Dale Allen – 69112

May 17, 2011
Chizawsky, Alicia Love to McKallister, Alicia Marie – 68562
Labelle, Eric William to Wright-Labelle, Eric William – 68843
Labelle, Lukas Joseph to Wright-Labelle, Lukas Joseph – 68844
Kaur, Anand to Kaur, Sahajanand – 68855
Sun, Jianing to Sun, Jennifer Jianing – 68894
Whiteside, Terry Lee to Reilly, Terry Lee – 68897
Wei, Mei Yan to Konkin, Lily-Wei Mei Yan – 68911
Moscicki, Cole Adam to Hardy, Cole Adam – 69148
Moscicki, Chastity Lane to Hardy, Chastity Lane – 69147
Francis, Krissy Jo-Lene to Remin, Krissy Jo-Lene – 69155
Richmond, Robert Christopher to Richmond, Rebecca Kristy – 69189

May 18, 2011
Tilahun, Abyssinia Yohan to Zerfu, Abyssinia Yohannes – 68896
Gamble, Stephen Jeffery II to Hicks, Jeffery Bobby – 68991

Saeipour, Mohammad to Saiepour, Mohammed Adam – 69038
Hosseini, Payam to Hosseini-Ferdowsi, Payum – 69087
Schrock, Louise Julia to Le Blanc, Jacquielynn Louise – 69099
Condon, Elayna Frances Shenandoah to Campbell, Elayna Frances Shenandoah – 69113
MacKinnon, Catherine Carol Ann to Shand, Catherine Carol Ann – 69126
Dave, Angeli Manohar to Davé, Angeli M – 69150
Duong, Hue To to Yeung, Tina Do-Wai – 69154
Nwigwe Orakwue, Udemezue Giorgi to Nwigwe, Giorgio Randy – 69163
Chen, Wei Chen to Wu, Esca – 69171
Bélanger- Nzakimuena, Charles to Bélanger Nzakimuena, Charles Maximilien – 69170
Stacey, Mya Medoria to Stacey Eliuk, Mya Medoria – 69173

May 19, 2011
Oriold-Fraser, Emma Ray to Oriold, Emma Ray – 68542
Oriold-Fraser, Abby Lynne to Oriold, Abby Lynne – 68543
George, Fadhel to Gazala, Fadhel George – 69182
Lloyd, Margaret Jean to Lloyd, Margo Jean – 69185
Coccimiglio-Smekal, Kayden Paul to Coccimiglio, Kayden Paul – 69186
Pekau, Jan Michael to Riser, Mark – 69192
Sosa Delgado, Roger Ivan to Delgado, Roger Ivan – 69194
Sosa-Delgado, Roger Migel to Delgado, Roger Miguel – 69196
Sosa-Delgado, Mateo Ivan to Delgado, Mateo Ivan – 69197
Delgado, Brianna Esperansa to Delgado, Brianna Esperanza – 69195
Sosa-Delgado, Gabriel Alejandro to Delgado, Gabriel Alejandro – 69198
Delane, Aydin Reed to Carley, Aydin Reed – 69223
Gu, Xia to Goo, Brenda – 69234

May 20, 2011
Huey, Andrew to Hui, Andrew Man Long – 69206
Johnson, Pamela Opal to Wilde, Olivia Ann – 69207
Tran, Leo L. to Cam, Leo Lucky – 69233
Van Den Oetelaar, Josef Michiel to Quewezance, Christina Michelle – 69237

May 24, 2011
Kuo, Hsin Yu to Kuo, Melissa Hsin-Yu – 68958
Chaudhari, Jayantibhai Somabhai to Chaudhari, Jay – 69039
Chaudhari, Padmaben to Chaudhari, Parul – 69040
Hreherchuk, Jordan Edward Russel to Parker, Mark Anthony – 69047

May 27, 2011
Stephens, Trey Jaxon to Stephens-Archer, Trey Jaxon – 68327
Maillard, Abigail Susie Rae to Jenkins, Abigail Susie-Rae – 68517
Littlewolf, Joseph Henry to Pitchow, Henry – 68676
Mohebbi, Mohammad Reza to Mohebbi, Reza – 68680
Wako, Abdulmenan Mohamed to Awel, Nasrudin – 68738
Hudson-Brumsey, Saoirse Louise to Hudson, Saoirse Louise – 68762
Habtemariam, Paulos H to Habtemariam, Paul Halemariam – 68827
Khondokar, Ryan to Khondokar, Ryeen – 68834

Watson, Melanie Pacanta to Watson, Melanie Ogale – 68921
Blackman, Donna May to Carlson, Donna May – 68957
Broenink, Calvin Wayne to Seymour, Calvin Wayne – 68969
Watchel, Brayden Paul to Bremner, Braydon Paul – 68983
Jackson, Terry Lee to Jackson, Terrie Lee – 68986
Big Woman, Joseph to Simeon, Joseph James – 69114
Park, Sang Ho to Park, Teddy Sang Ho – 69134
Kaur, Jasvir to Kalsi, Jasvir Kaur – 69139
Sanjna Panwar, Baby Girl to Panwar, Sanjna – 69191
Boulanger-Bilodeau, Valérie to Boulanger Gauthier, Valérie – 69202
Major, Jared Joshua Robert James to Ens-Rempel, Jared Joshua Robert James – 69215
Fedoruk, Hendrika Wilhelmina to Fedoruk, Wilma Hendrika – 69219
Zilke, Seamus Alexander to Kavanagh, Seamus Alexander – 69226
Waldron, Dorian James to Wandler, Dorian James – 69228
Sharma, Dheer to Sharma, Shyam – 69231
Chase, Shelly Ann to Lachlan, Shelly Ann – 69238
Beaudry, Jonathan David to Lachlan, Jonathan David – 69239
Tanzharbay, Nurbolat to Graves, Harry – 69243
Chugg, Andrew Wesley to Sample, Andrew Wesley – 69245
Wdowiak, Peter Bogdan to Zareba, Peter Bogdan – 69246
Smith, Nicholas Russell to McGuire, Calvin Ceecee – 69252
Guttormson, Karen Jean to Adam, Karen Jean – 69256
Wisniewski, Urszula to Anderson, Ursula – 69257
Zahacy, Urszula to Anderson, Ursula – 69257
Baldwin, Danielle Elizabeth to Tomkinson, Danielle Aidyn Elizabeth – 69275
Sadon, Mustfa to Sadon, William – 69282
Breen, Allison Cynthia to Robins, Allison Cynthia – 69303
Thini, Muatz Mustafa to Thini, Mutaz Mustafa – 69309

May 30, 2011
Cao, Thomas to Cao, Thomas Yiming – 68176
Harris, Vera Katalin to Harris, Veronika Katalin – 68875
Mehari, Merhawi Tewolde to Tewolde, Merhawi Medhanie – 69091
Wong, Qiong Zhi to Wong, Kathy Qiong Zhi – 69092
Dreaver, Savannah Sarah to Chemelli, Savannah Sarah – 69120
Nguyen, Huyen Thi Thanh to Nguyen, Victoria – 69177
Zissoff, Joshua Mark to Sem, Joshua Mark – 69218

May 31, 2011
Morris, Linda Diane to Morris, Diane Elizabeth – 69221
Wang, Zhongqiu to Shima, Ken – 69249
Stronski, Gregory Ronald Scott to Carolla, Gregory Ronald Scott – 69255
Ranseth, Aileen Joy to Alfonso, Aileen Joy – 69263
Meyer, Margaret Jane to Meyer, Jane Margaret – 69265
Fromm, Carter Merrill to Whitehead, Carter Merrill – 69274
Dixon - Blackhorse, Treydell Jordan Tayzin to Dixon, Treydell Jordan Tayzin – 69279
Allan, Shanna Louise Elizabeth to Allan, Tshanna Eeyvohnne Louise Elizabeth –

69280
Groening, Stacy Jane to Wiebe, Stacy Jane – 69288
Moore, Alan Richard Blair to Stack, Alan Richard Blair – 69290
Orum-Waunch, Fantasia Carol Bernice to Orum, Fantasia Carol – 69292
Sukhbaatar, Khongorzul to Romanuck, Khongorzul – 69294
Khongorzul, Misheel to Romanuck, Mishele – 69295
Laird, Lennox to Laird, Iain Andrew William – 69305
Kumar-Rahelu, Arjun to Kumar, Arjun – 69307
Love, Sherry Julie to Huot, Dennis George - 69319

Notice of Intent to Dissolve

(Cooperatives Act)

Eagle Head Campground Co-op

Notice is hereby given that a Notice of Intent to Dissolve was issued to **Eagle Head Campground Co-op** on June 2, 2011.

Dated at Edmonton, Alberta, June 2, 2011.

Brock Ketcham, *Director of Cooperatives.*

Lakeland Breeders Association

Notice is hereby given that a Notice of Intent to Dissolve was issued to **Lakeland Breeders Association** on June 1, 2011.

Dated at Edmonton, Alberta, June 1, 2011.

Brock Ketcham, *Director of Cooperatives.*

Ranchers Own Meat Processors Inc.

Notice is hereby given that a Notice of Intent to Dissolve was issued to **Ranchers Own Meat Processors Inc.** on June 2, 2011.

Dated at Edmonton, Alberta, June 2, 2011.

Brock Ketcham, *Director of Cooperatives.*

Solicitor General and Public Security

Designation of Qualified Technician Appointment
(Intoxilyzer 5000C)

Royal Canadian Mounted Police
Allan, Bryan Keith
Crawford, Jaimie Lynn
Currie, Stephen James
Cutcliffe, John Gregory
Da Silva, Alexander
Edwards, Ryan Robert
Erb, Jeffrey Phillip Weldon
Foster, Amanda Joelle
Gallant, James Andrew
Grobb, Clifford George Wallace
Harrison, Ryan Ray
Hiscocks, Richard Stephen
Hogg, Timothy David
Horne, William Ernest
MacMullin, Marc Bradley
Malyon, Gary Leslie
Molineux, Dustin Jae
Nelson, Katherine Leanne
Penny, Philip Aaron
Robitaille, Michael Rene
Rochon, Dillon Garrett Philippe
Ryan, Darren Gordon
Simpson, Jason Alan
Skelhorn, Meagan Cara
Smiley, Christopher Donald
Smith, Jason Scott
Sorensen, Christopher Richard
St. John, Adam James
Sturgis, Daniel Ryan

(Date of Designation June 8, 2011)

Royal Canadian Mounted Police
Al-Kadri, Adams
Brewer, Jennifer Anne
Coates, Sheldon David
D'Arcy, Christopher John
Dehaan, Nathan Jeremy
Douglas, Gregory Harold Edward
Farrell, Jack Dale
Fenton, Daniel Fredrick
Fichtner, Jason Mervin
Flewelling, Brendan Paul
Gaudette, Sidney James
Harms, Robert Glenn
MacDuff, Brent Cameron
MacUmber, Matthew Kenneth Ira James
McKean, Hannah Mary Frances
Michaud, Jean-Philippe Francois
Scott, Hayley Kristina

Shepherd, Andrew Richard Gordon
Slipp, Matthew Robert
Stepanick, Russell Ray
Underhill, Matthew Robert
Watson, William Gerard Joseph
Yome, David Edwin
Zerr, Christopher David

(Date of Designation June 9, 2011)

Hosting Expenses Exceeding $600.00

For the period September 21, 2010 to March 31, 2011

Purpose: Police Planning and Research Consortium Meeting
Place: Red Deer, AB
Amount: $ 648.41
Date of Function: September 21, 2010

Purpose: Domestic Violence Police Training
Place: Calgary and Killam, AB
Amount: $ 6,267.85
Date of Function: October 6 – 7, 2010, March 10 – 11, 2011

Purpose: Meeting of Public Complaint Directors from Police Commissions and Police Committees
Place: Calgary, AB
Amount: $ 1,286.77
Date of Function: November 8, 2010

Purpose: Crisis Management Program Review Me**etings**
Place: Edmonton, AB
Amount: $ 2,117.55
Date of Function: November 22, 2010, January 11 – 26, 2011

Purpose: Provincial Police Services Contract Advisory Committee Meeting
Place: Toronto. ON
Amount: $ 2,009.63
Date of Function: November 30, 2010

Purpose: Police Act Regulations Amendments Meeting
Place: Red Deer, AB
Amount: $ 2,132.21
Date of Function: December 10, 2010

Purpose: Justice Canada Intensive Rehabilitative Custody and Supervision Training Sessions
Place: Edmonton and Calgary, AB

Amount: $ 10,272.88
Date of Function: February 23 – March 2, 2011

Purpose: Volunteer Appreciation and Awards Banquet, Calgary Young Offender Centre
Place: Calgary, AB
Amount: $ 950.00
Date of Function: March 20, 2011

Purpose: Priority and Prolific Offenders Program Round Table
Place: Edmonton, AB
Amount: $ 3,816.98
Date of Function: March 23, 2011

ADVERTISEMENTS

Notice of Certificate of Intent to Dissolve

(Business Corporations Act)

Notice is hereby given that a Certificate of Intent to Dissolve was issued to **Pro-Developments Corporation** on June 6, 2011.

Dated at Water Valley, Alberta on June 6, 2011.

Mark Greenhalgh.

Public Sale of Land

(Municipal Government Act)

Parkland County

Notice is hereby given that under the provisions of the Municipal Government Act, Parkland County will offer for sale, by public auction, at the Parkland County Centre, 53109A HWY 779, Parkland County, Alberta, on Wednesday, August 17, 2011, at 10:00 a.m., the following lands:

Roll #	Lot	Block	Plan	Legal	Acres	C of T #
51001	1	1	9925513	SE 7-51-26-W4	39.880	072427296
51002	2	1	9925513	SE 7-51-26-W4	39.880	072427296001
144044	37	-	126266	SW 30-51-26-W4	2.230	042016628
218003	E	-	6347KS	NE 33-52-26-W4	19.980	082164464
218004	F	-	3635MC	NE 33-52-26-W4	17.330	082164464001

301110	113	-	23359	SE 23-53-26-W4	0.540	012304994
386008	5	2	8021895	NW 12-51-27-W4	3.380	932115991
445004	4	2	7720136	SW 27-51-27-W4	6.300	072520570
725045	38	1	0520780	NE 34-53-27-W4	2.080	052077534
728018	2	2	0620412	NW 35-53-27-W4	2.420	062101944
728023	12	2	0620412	NW 35-53-27-W4	2.110	062101944001
739009	9	1	2542RS	SW 5-54-27-W4	3.250	012406186
845000	1	1	1925TR	NE 1-54-28-W4	3.100	072185220
1065003	4	1	7722648	NW 6-52-1-5-W4	3.030	022307441
1192029	26	2	70MC	NW 9-53-1-W5	-	072734445
1223002	2	1	7620154	SW 17-53-1-W5	3.320	972199049
1224005	5	1	7621050	NW 17-53-1-W5	5.130	012354739
1311022	23	2	7620521	SW 5-54-1-W5	3.330	012259498
1735007	8	1	7820951	NW 30-53-2-W5	3.310	982248750001
1626005	2	2	7923161	SW 35-52-2-W5	3.530	992291982
1725020	20	1	7720174	SE 24-53-2-W5	3.370	022052819
1735014	15	1	7820951	NW 30-53-2-W5	5.220	062273632
1920072	8-16	7	4733AQ	SW 35-52-3-W5	0.900	052183438
2008028	30	2	7621642	SE 22-53-3-W5	3.150	022220469
2019011	12	1	7622246	NE 24-53-3-W5	3.000	992330365
2354106	7	8	7920494	SW 9-53-4-W5	-	082092989
2836027	2	2	61MC	SE 15-53-5-W5	0.230	072179708001
2986001	-	2	7822810	SE 31-50-6-W5	39.530	992196989
3922000	-	-	-	SW 20-51-7-W5	108.300	052058897
3982000	-	-	-	SW 35-51-7-W5	161.000	932332550
572002	2	1	9722030	SW 23-52-27-W4	4.800	032137789

1. The market values presented as reserve bids on the properties being offered for sale by public auction on August 17, 2011.

2. That each parcel offered for sale at public auction be subject to the reserve bid and to the reservations and conditions contained in the existing certificates of title.

3. Redemption of a parcel of land offered for sale may be affected by payment of all arrears of taxes, penalties and costs at any time prior to 10:00 a.m. on August 17, 2011.

4. The terms and conditions of sale for purchasing auction properties are:

   a. Sales are cash only, with a 10% deposit upon acceptance of an offer at the public auction, with the balance of the purchase price due within thirty (30) days, and

   b. GST will be applied on all lands sold at public auction, and

   c. The deposit is non-refundable, and

   d. Properties will be offered for sale on an "as is, where is" basis, and Parkland County makes no representation and gives no warranty whatsoever as to the adequacy of services, soil conditions, land use districting, building and development conditions, absence or presence of environmental contamination, or the developability of any subject land for any intended use by the Purchaser, and

   e. No terms and conditions of sale will be considered other than those specified by Parkland County, and

   f. No bid will be accepted where the bidder attempts to attach conditions to the sale of any parcel of land, and

   g. All successful bidders are required to execute a Sale Agreement in a form and substance acceptable to Parkland County at the close of the public auction.

Dated at Parkland County, Alberta, June 8, 2011.

Jennifer McAdam, *Coordinator, Legislative & Administrative Services*.

Town of McLennan

Notice is hereby given that under the provisions of the Municipal Government Act, the Town of McLennan will offer for sale, by public auction, in the Council Chambers at the Municipal Office, McLennan, Alberta, on Thursday, September 8, 2011, at 10:30 a.m., the following lands:

Lot	**Block**	**Plan**	**C. of T. or Linc**
17	22	8355 ET	012 007 883
5 & 6	21	2200 ET	062 075 855
21	32	N4979 HW	972 156 145

Each parcel will be offered for sale subject to a reserve bid and to the reservations and conditions contained in the existing Certificate of Title.

The Town of McLennan may, after the public auction, become the owner of any parcel of land not sold at the public auction.

Redemption may be effected by payment of all arrears of taxes and costs at any time prior to the sale.

Terms: Cash

Dated at McLennan, Alberta, June 10, 2011.

Tammy Dillabough, *Chief Administrative Officer*.

Town of Sundre

Notice is hereby given that, under the provisions of the Municipal Government Act, the Town of Sundre will offer for sale, by public auction (sealed bids), at the Town Office, 717 Main Avenue W., Sundre, Alberta, on Wednesday, August 31, 2011, at 3:00 p.m., the following lands:

Title	**Lot**	**Block**	**Plan**	**Roll #**
971 159 433	1	X	9711022	1931.000

Each parcel will be offered for sale, subject to a reserve bid and to the reservations and conditions contained in the existing certificate of title.

The land is being offered for sale on an "as is, where is" basis, and the Town of Sundre makes no representation and gives no warranty whatsoever as to the adequacy of services, soil conditions, land use districting, building and development conditions, absence or presence of environmental contamination, or developability of the subject land for any intended use by the Purchaser. No bid will be accepted where the bidder attempts to attach conditions precedent to the sale of any parcel. No terms and conditions will be considered other than those specified by the Town of Sundre.

The Town of Sundre may, after the public auction, become the owner of any parcel of land not sold at the public auction.

Terms: All bids must be presented in a sealed envelope; Cash or Certified cheque. A 10% deposit is payable upon the acceptance of the bid at the public auction. The balance of the accepted bid is due within thirty days from the date of the auction or the deposit will be forfeited and the Town will consider the next bid. Purchaser must pay Sep. 1 – Dec. 31, 2011 taxes of $812.58 for Roll # 1931.000 within 30 days of purchase.

Redemption may be affected by payment of all arrears of taxes and costs at any time prior to the sale.

Dated at the Town of Sundre, Alberta, June 30, 2011.

Ryan Leuzinger, *Interim Chief Administrative Officer*.

Town of Tofield

Notice is hereby given that, under the provisions of the Municipal Government Act, the Town of Tofield will offer for sale, by public auction, in the Council Chambers, Town Administration Building, 5407 50 Street, Tofield, Alberta, on Monday, August 15, 2011, at 10:00 a.m., the following land:

Plan	**Block**	**Lot**	**C of T**
3999AC	18	16	082383955

Each parcel will be offered for sale, subject to a reserve bid and to the reservations and conditions contained in the existing certificate of title.

The land is being offered for sale on an “as is, where is” basis, and the Town of Tofield makes no representation and gives no warranty whatsoever as to the adequacy of services, soil conditions, land use districting, building and development conditions, absence or presence of environmental contamination, or the develop ability of the subject land for any intended use by the Purchaser. No bid will be accepted where the bidder attempts to attach conditions precedent to the sale of any parcel. No terms and conditions of sale will be considered other than those specified by the Town. No further information is available at the auction regarding the land to be sold.

Redemption may be effected by certified payment of all arrears of taxes, penalties and costs, at any time, prior to the date of public auction.

Terms: 10 % deposit and balance within 90 days of date of public auction. All sales are subject to current taxes. GST may apply on properties sold at the public auction.

Dated at Tofield, Alberta, June 15, 2011.

Cindy Neufeld, *Chief Administrative Officer*.

Town of Valleyview

Notice is hereby given that, under the provisions of the Municipal Government Act, the Town of Valleyview will offer for sale, by public auction, in the Town Council Chambers 4802 – 50^{th} Street, Valleyview, Alberta, on Thursday, September 8, 2011, at 2:00 p.m., the following lands:

Lot	**Block**	**Plan**	**C of T**
24	16	1229 KS	082090299

5A & 6A	19	7721351	952223668 & 952223668+1
2	8	6877 KS	082234432
8 & 9	15	6107 HW	102115619
8	B	7521716	#8 Westview Manufactured Home Park
13	B	7521716	#13 Westview Manufactured Home Park
4	B	6375 MC	#4 Horizon Mobile Home Park

Each parcel will be offered for sale, subject to a reserve bid and to the reservations and conditions contained in the existing certificate of title.

The land is being offered for sale on an "as is, where is" basis, and the Town of Valleyview makes no representation and gives no warranty whatsoever as to the adequacy of services, soil conditions, land use districting, building and development conditions, absence or presence of environmental contamination, or the developability of the lands for any intended use by the successful bidder. No bid will be accepted where the bidder attempts to attach conditions to the sale of any parcel of land. No terms and conditions of sale will be considered other than those specified by the Town of Valleyview.

The Town of Valleyview may, after the public auction, become the owner of any parcel of land not sold at the public auction.

Terms: Cash or Certified Cheque

Redemption may be effected by payment of all arrears of taxes and costs at any time prior to the sale.

Dated at Valleyview, Alberta, June 13, 2011.

Garry Peterson, *Town Manager*.

Town of Viking

Notice is hereby given that under the provisions of the Municipal Government Act, the Town of Viking will offer for sale, by public auction, in the Town Office, Viking, Alberta, on Wednesday, August 24, 2011, at 12:30 p.m., the following land:

Lots	**Block**	**Plan**	**C of T**
14 thru 18	6	1174W	022 467 928

The parcel will be offered for sale subject to a reserve bid and to the reservations and conditions contained in the existing Certificate of Title.

The property contains a derelict building and a number of chattels stored in the yard, resulting in an unsightly appearance. A purchaser of this land will be required, in a timely manner (to be determined by the Town of Viking and the purchaser); to remove the building and the chattels. If these steps are not taken by the purchaser, the Town will issue an order requiring these steps be carried out, failing which the Town will do so and add the costs to the tax roll of the property.

The Town of Viking may, after the public auction, become the owner of any parcel of land not sold at the public auction.

Terms: Cash or certified cheque.

Redemption may be effected by payment of all arrears of taxes and costs at any time prior to the sale.

Dated at Viking, Alberta, May 24, 2011.

Rod Krips, *Chief Administrative Officer*.

Village of Berwyn

Notice is hereby given that under the provisions of the Municipal Government Act, the Village of Berwyn will offer for sale, by public auction, in the Village Office Council Chambers, Village of Berwyn Administration Building, Berwyn, Alberta, on Wednesday, August 10, 2011, at 2:00 p.m., the following lands:

Lot	**Block**	**Plan**	**C. of T.**
12	2	1090CL	002 159 472
17	1	3973RS	002 175 065
21	4	8132ET	032 235 303
11	9	7821034	042 379 235
-	1	8322677	052 370 530
2,3	2	1449CL	062 244 940
21	8	7921617	062 307 992
14	1	2529ET	062 508 711
18	1	4675MC	072 002 673
13	9	7921617	072 335 206
1	2	1449CL	072 458 778
5	9	7821034	082 249 669
17	7	8220282	092 365 553

Each parcel will be offered for sale subject to a reserve bid and to the reservations and conditions contained in the existing Certificate of Title.

The Village of Berwyn may, after the public auction, become the owner of any parcel of land not sold at the public auction.

Terms: Cash

Redemption may be effected by payment of all arrears of taxes and costs at any time prior to the sale.

Dated at Berwyn, Alberta, June 10, 2011.

Mike Rudkin, *Chief Administrative Officer*.

NOTICE TO ADVERTISERS

The Alberta Gazette is issued twice monthly, on the 15th and last day.

Notices and advertisements must be received ten full working days before the date of the issue in which the notices are to appear. Submissions received after that date will appear in the next regular issue.

Notices and advertisements should be typed or written legibly and on a sheet separate from the covering letter. An electronic submission by email or disk is preferred. Email submissions may be sent to the Editor of The Alberta Gazette at albertagazette@gov.ab.ca. The number of insertions required should be specified and the names of all signing officers typed or printed. Please include name and complete contact information of the individual submitting the notice or advertisement.

Proof of Publication: Statutory Declaration is available upon request.

A copy of the page containing the notice or advertisement will be mailed to each advertiser without charge.

The dates for publication of Tax Sale Notices in The Alberta Gazette are as follows:

Issue of	*Earliest date on which sale may be held*
July 15	August 25
July 30	September 9
August 15	September 25
August 31	October 11
September 15	October 26
September 30	November 10
October 15	November 25
October 31	December 11
November 15	December 26
November 30	January 10
December 15	January 25
December 31	February 10

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