The Alberta Gazette

Part I

Vol. 112 Edmonton, Saturday, February 13, 2016 No. 03

APPOINTMENTS

Reappointment of Part-time Provincial Court Judge

(Provincial Court Act)

January 24, 2016
Honourable Judge Lloyd Eric Malin

For a term to expire on January 23, 2017.

February 28, 2016
Honourable Judge Douglas G. Rae

For a term to expire on February 27, 2017.

ORDERS IN COUNCIL

O.C. 297/2015

(Municipal Government Act)

Approved and ordered:
Catherine A. Fraser
Administrator. December 18, 2015

The Lieutenant Governor in Council orders that

(a) effective January 1, 2016, the land described in Appendix A and shown on the sketch in Appendix B is separated from Beaver County and annexed to the Village of Ryley,

(b) any taxes owing to Beaver County at the end of December 31, 2015 in respect of the annexed land are transferred to and become payable to the Village of Ryley together with any lawful penalties and costs levied in respect of those taxes, and the Village of Ryley upon collecting those taxes, penalties and costs must pay them to Beaver County, and

(c) the assessor for the Village of Ryley must assess, for the purposes of taxation in 2017 and subsequent years, the annexed land and the assessable improvements to it,

and makes the Order in Appendix C.

Rachel Notley, Chair.

APPENDIX A

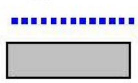
DETAILED DESCRIPTION OF THE LANDS SEPARATED FROM BEAVER COUNTY AND ANNEXED TO THE VILLAGE OF RYLEY

THE NORTHEAST QUARTER OF SECTION NINE (9), TOWNSHIP FIFTY (50), RANGE SEVENTEEN (17), WEST OF THE FOURTH MERIDIAN EXCEPTING THEREOUT PLAN 7521617.

APPENDIX B

A SKETCH SHOWING THE GENERAL LOCATION OF THE AREAS ANNEXED TO THE VILLAGE OF RYLEY

Legend



Existing Village of Ryley Boundary

Annexation Area

APPENDIX C

ORDER

1 In this Order, "annexed land" means the land described in Appendix A and shown on the sketch in Appendix B.

2 For the purposes of taxation in 2016 and in each subsequent year up to and including December 31, 2030, the annexed land and the assessable improvements to it

(a) must be assessed by the Village of Ryley on the same basis as if they had remained in Beaver County, and

(b) must be taxed by the Village of Ryley in respect of each assessment class that applies to the annexed land and the assessable improvements to it using

(i) the municipal tax rate established by Beaver County, or

(ii) the municipal tax rate established by the Village of Ryley,

whichever is lower.

3 Where, in any taxation year, a portion of the annexed land

(a) becomes a new parcel of land created

(i) as a result of subdivision,

(ii) as a result of separation of title by registered plan of subdivision, or

(iii) by instrument or any other method that occurs at the request of or on behalf of the landowner,

(b) is redesignated, at the request of or on behalf of the landowner, under the Village of Ryley's Land Use Bylaw to another designation, or

(c) is connected, at the request of or on behalf of the landowner, to the Village of Ryley's water and sewer services,

section 2 ceases to apply at the end of that taxation year in respect of that portion of the annexed land and the assessable improvements to it.

4 After section 2 ceases to apply to the annexed land or a portion of it, the annexed land or portion and the assessable improvements to it must be assessed and taxed for the purposes of property taxes in the following year in the same manner as other property of the same assessment class in the Village of Ryley is assessed and taxed.

GOVERNMENT NOTICES

Culture and Tourism

Hosting Expenses Exceeding $600.00
For the Period July 1 to September 30, 2015

Function: Alberta Foundation for the Arts / Edmonton Arts Council Board Reception
Date: September 3, 2015
Amount: $1,085.55
Purpose: Opportunity for the Edmonton Arts Council and the Alberta Foundation for the Arts to network.
Location: Prince of Wales Armoury, Edmonton, AB
BU #: 027

Function: Ammy Awards Gala
Date: September 29, 2015
Amount: $3,246.00
Purpose: To recognize and celebrate the achievement of visitor information centres and their staff in the areas of individual, visitor services, operational, and facility excellence.
Location: Lethbridge Lodge Hotel and Conference Centre, Lethbridge, AB
BU #: 022

Alberta Sport Connection

Hosting Expenses Exceeding $600.00
For the period July 1 to September 30, 2015

Function: 2015 Team Alberta Appreciation Night for Western Canada Summer Games - Phase 1
Date: August 8, 2015
Amount: $8,492.21
Purpose: The Appreciation Night is to recognize the contributions of the coaches, managers, parents and family of Team Alberta.
Location: Shell Place, Fort McMurray, AB
BU #: 029

Function: 2015 Western Canada Summer Games Mission Gathering
Date: August 9, 2015
Amount: $2,378.08
Purpose: Alberta hosted a mission gathering for all the provinces and territories' Mission Staff teams.
Location: Paddy McSwiggins Irish Pub, Fort McMurray, AB
BU #: 029

Function: 2015 Team Alberta Appreciation Night for Western Canada Summer Games - Phase 2
Date: August 13, 2015
Amount: $9,791.73
Purpose: The Appreciation Night is to recognize the contributions of the coaches, managers, parents and family of Team Alberta.
Location: Shell Place, Fort McMurray, AB
BU #: 029

Function: Alberta Future Leaders Community and Sponsor Recognition Day
Date: August 25, 2015
Amount: $7,506.76
Purpose: To provide luncheon and refreshments for Alberta Future Leaders Community and Sponsorship Recognition Day.
Location: Riverdale Community League, Edmonton, AB
BU #: 029

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 – Pembina Cardium Agreement No. 18" and that the Unit became effective on November 1, 2015.

EXHIBIT "A" - PART I

ATTACHED TO AND MADE PART OF AN AGREEMENT ENTITLED
"Pembina Cardium Agreement No. 18"

Tract No.	Land Description (W5M)	Lease Number	Royalty Owner	Tract Participation (%)	Working Interest Owner	Share of Working Interest (%)	Share of Tract Participation (%)
1	W5-04-049: SE Sec 13	Freehold	PrairieSky Royalty Ltd.	50.2852	Hitic Energy Ltd.	79.8	40.1276
					Bonterra Energy Corp.	20.2	10.1576
2	W5-04-049: NE Sec 12	0000005378	Crown	49.7148	Hitic Energy Ltd.	79.8	39.6724
					Bonterra Energy Ltd.	20.2	10.0424

Working Interest Owners:

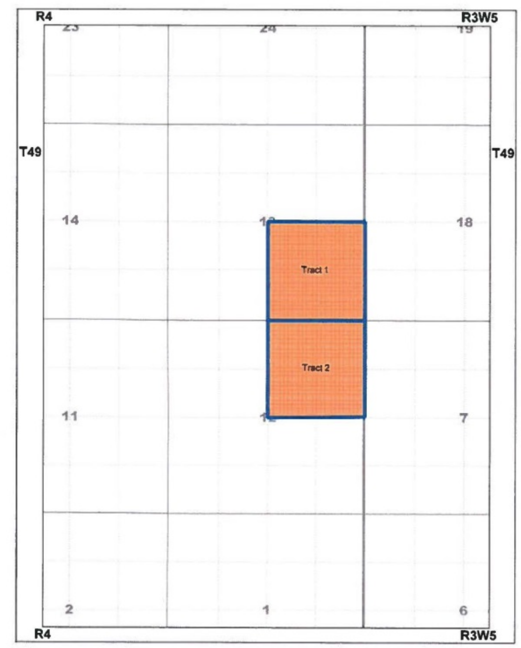
Hitic Energy Ltd. 79.8 %

Bonterra Energy Corp. 20.2 %

Effective as of the Effective Date

EXHIBIT "B"

ATTACHED TO AND MADE PART OF AN AGREEMENT ENTITLED
"Pembina Cardium Agreement No. 18"

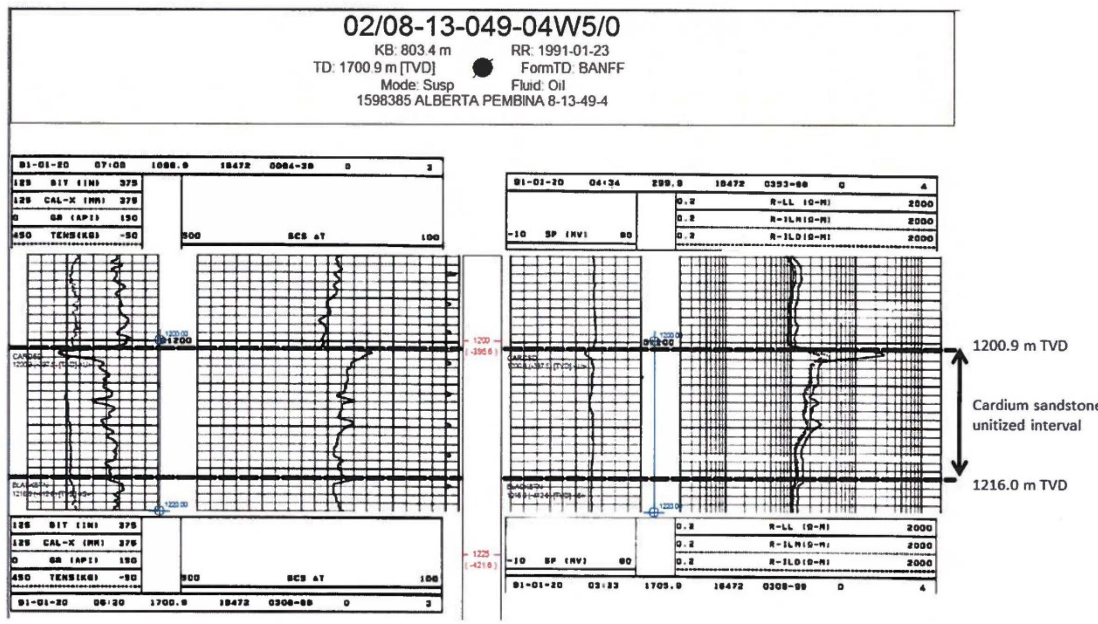


Effective as of the Effective Date

EXHIBIT "C"

ATTACHED TO AND MADE PART OF AN AGREEMENT ENTITLED
"Pembina Cardium Agreement No. 18"

A portion of the Sonic and Resistivity logs recorded at the well 102/08-13-049-04W5/0 located in LSD 8-13-049-04W5M.



Infrastructure

Sale or Disposition of Land

(Government Organization Act)

Name of Purchaser: Strathcona County
Consideration: $1.00
Land Description: Plan 1027079, Block 1, Lot 7. Excepting thereout all mines and minerals.

Justice and Solicitor General

Designation of Qualified Technician Appointment
(Intox EC/IR II)

Edmonton Police Service
Kirby, Andrew Lee
Leach, Todd Anthony Mark

(Date of Designation January 8, 2016)

RCMP K Division, Traffic Services
Cousineau, Olivier
Dunbar, Jeffrey Lawrence
Edgar, William Edward
Firmston, Larry
Flundra, Sherri Allison
Fung, King-Fai Kevin
Hardy, Dylan Fredrick
Gallant, Robert Joseph
Gratton, Stephanie Lauren
Greenland, Gavin Neal
Hansen, Katherine Ann
Howson, Matthew Edward Wesley
Illi, David Edward
Kyle, Kristopher Blaine
Macintyre, Dustin Jay
Organ, Resus Bernard
Pitcher, Nathan Philip
Proulx, Ryan Norman
Reed, Martin Conrad
Sauve, Daniel Gregory
Smith, Steven Derek
Spaans, Sarah Gene
Valade, Christopher Francis Claude
Wierenga, Jason Andrew
Zielke, Wilma Leanne

(Date of Designation January 25, 2016)

Municipal Affairs

Notice of the Mailing of the
2015 Assessment Year
2016 Tax Year
Linear Property Assessment Notices

(Municipal Government Act)

Pursuant to Section 311 of the *Municipal Government Act* Revised Statutes of Alberta 2000 Chapter M-26 as amended, the 2015 Assessment Year Linear Property Assessment Notices have been sent to all assessed linear property owners with copies to the affected municipalities. All assessed persons are deemed to have received their linear property assessment notices as a result of the publication of this notice.

The linear property assessment roll is open for viewing year round. A copy can be found at the:

Assessment Services Branch
15th Floor Commerce Place
10155 – 102 Street, Edmonton, AB
T5J 4L4

Questions concerning linear property assessment notices can be directed to the Assessment Services Branch of Municipal Affairs at (780) 422-1377 or toll free at 310-0000. Dial 310-0000 before dialing the office's area code and telephone number. Calling by cell phone? Start with one of the toll-free codes, and then punch in the office's area code and telephone number: *310 (Roger's Wireless) #310 (Bell and Telus).

Safety Codes Council

Agency Accreditation

(Safety Codes Act)

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

Behr Energy Services Ltd., Accreditation No. A000889, Order No. 2971

Having satisfied the terms and conditions of the Safety Codes Council is authorized to provide services under the Safety Codes Act including applicable Alberta amendments and regulations for **Fire**.

Consisting of all parts of the Alberta Fire Code including investigations.

Accredited Date: January 21, 2016 Issued Date: January 21, 2016.

Corporate Accreditation – Cancellation

(Safety Codes Act)

Pursuant to section 28 of the Safety Codes Act it is hereby ordered that

Blaze Energy Ltd., Accreditation No. C000815, Order No. 2577

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

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

Issued Date: January 25, 2016.

Alberta Securities Commission

MULTILATERAL INSTRUMENT 13-102
SYSTEM FEES FOR SEDAR AND NRD

(Securities Act)

Made as a rule by the Alberta Securities Commission on December 9, 2015 pursuant to sections 223 and 224 of the Securities Act.

MULTILATERAL INSTRUMENT 13-102
SYSTEM FEES FOR SEDAR AND NRD

PART 1
DEFINITIONS AND INTERPRETATION

Definitions
1. (1) In this Instrument,

“annual information form” means an “AIF” as defined by National Instrument 51-102 *Continuous Disclosure Obligations* or an annual information form for the purposes of Part 9 of National Instrument 81-106 *Investment Fund Continuous Disclosure*;

“initial filer profile” means a filer profile filed in accordance with subsection 5.1(1) of National Instrument 13-101 *System for Electronic Document Analysis and Retrieval (SEDAR)*;

“issuer bid”,

(a) except in Ontario, means an issuer bid to which Part 2 of Multilateral Instrument 62-104 *Take-Over Bids and Issuer Bids* applies, and

(b) in Ontario, means a “formal issuer bid” as defined by subsection 89(1) of the *Securities Act* (Ontario);

"shelf prospectus" means a prospectus filed under National Instrument 44-102 *Shelf Distributions*;

"take-over bid",

(a) except in Ontario, means a take-over bid to which Part 2 of Multilateral Instrument 62-104 *Take-Over Bids and Issuer Bids* applies, and

(b) in Ontario, means a "formal take-over bid" as defined by subsection 89(1) of the *Securities Act* (Ontario).

(2) In this Instrument, a term referred to in Column 1 of the following table has the meaning ascribed to it in the Instrument referred to in Column 2 opposite that term.

Column 1 Defined Term	**Column 2 Instrument**
CPC instrument	National Instrument 45-106 *Prospectus Exemptions*
firm filer	National Instrument 31-102 *National Registration Database*
individual filer	National Instrument 31-102 *National Registration Database*
long form prospectus	National Instrument 41-101 *General Prospectus Requirements*
MJDS prospectus	National Instrument 71-101 *The Multijurisdictional Disclosure System*
NRD	National Instrument 31-102 *National Registration Database*
principal jurisdiction	Multilateral Instrument 11-102 *Passport System*
principal regulator	Multilateral Instrument 11-102 *Passport System*
rights offering circular	Section 2.1 of National Instrument 45-106 *Prospectus Exemptions*
SEDAR	National Instrument 13-101 *System for Electronic Document Analysis and Retrieval (SEDAR)*
short form prospectus	National Instrument 41-101 *General Prospectus Requirements*
sponsoring firm	National Instrument 33-109 *Registration Information,* in Form 33-109F4 *Registration of Individuals and Review of Permitted Individuals*

Inconsistency with other instruments

2. If there is any conflict or inconsistency between this Instrument and National Instrument 13-101 *System for Electronic Document Analysis and Retrieval (SEDAR)* or National Instrument 31-102 *National Registration Database*, this Instrument prevails.

PART 2
SEDAR SYSTEM FEES

Local system fees
3. In Québec, a person or company making the type of filing described in Column C of Appendix A with the Autorité des marchés financiers must pay to the Autorité des marchés financiers the system fee specified in Column D of that Appendix.

System fees
4. (1) A person or company making a filing, in the local jurisdiction, of the type described in Column B of Appendix B, and of the category referred to in Column A of that Appendix, must pay to the securities regulatory authority the system fee specified in Column C or D of that Appendix, as the case may be.

(2) Despite subsection (1), if a person or company pays a fee referred to in item 1 or 2 of Appendix B, the person or company is not required to pay a fee with respect to any other filing referred to in that item made during the calendar year in which the payment was made.

(3) Despite subsection (1), in the calendar year that a person or company files its initial filer profile, the fee referred to in item 1 or 2 of Appendix B is prorated in accordance with the following formula:

$A \times B / 12$, where

A = the amount referred to in item 1 or 2 of Appendix B, as applicable, and

B = the number of months remaining in the calendar year following the month in which the initial filer profile was filed.

4.1 System fees for filings that do not require a principal regulator – (1) A person or company making a filing of the type described in Column B of Appendix C, and of the category referred to in Column A of that Appendix, must pay the system fee specified in Column C of that Appendix. The system fee is payable to, and allocated among, the securities regulatory authorities with whom the filing is required under National Instrument 13-101 *System for Electronic Document Analysis and Retrieval (SEDAR)*.

PART 3
NRD SYSTEM FEES

Enrolment Fee
5. If the local jurisdiction is a firm filer's principal jurisdiction, the firm filer must pay to the securities regulatory authority an enrolment fee of $500 upon enrolment in NRD.

NRD submission fee
6.(1) A firm filer must pay an NRD system fee in respect of an individual filer to the securities regulatory authority in the local jurisdiction if

(a) the firm filer is the sponsoring firm for the individual filer, and

(b) through the filing of a Form 33-109F4 *Registration of Individuals and Review of Permitted Individuals*, the individual filer registers or reactivates their registration in the local jurisdiction.

(2) The NRD system fee payable to the securities regulatory authority under subsection (1) by a sponsoring firm in respect of an individual filer is,

(a) if the securities regulatory authority is the principal regulator of the individual filer, $75.00, and

(b) in any other case, $20.50.

Annual NRD system fee
7. On December 31 of each year, a firm filer must pay an annual NRD system fee to the securities regulatory authority in the local jurisdiction equal to the total of the following:

(a) if the securities regulatory authority in the local jurisdiction is the principal regulator of one or more individuals who are individual filers on that date, and for which the firm filer is the sponsoring firm in that jurisdiction,

$75.00 × the number of those individuals, and

(b) if there are individual filers on that date for which the securities regulatory authority in the local jurisdiction is not the principal regulator, and for which the firm filer is the sponsoring firm in that jurisdiction,

$20.50 × the number of those individuals.

PART 4
PAYMENT OF FEES

Means of payment
8. A fee under section 3, 4, 4.1, 6 or 7 must be paid through SEDAR or NRD, as the case may be.

PART 5
EXEMPTION

Exemption
9. (1) The regulator or the securities regulatory authority may grant an exemption from this Instrument, in whole or in part, subject to such conditions or restrictions as may be imposed in the exemption.

(2) Despite subsection (1), in Ontario, only the regulator may grant such an exemption.

(3) Except in Ontario, an exemption referred to in subsection (1) is granted under the statute referred to in Appendix B of National Instrument 14-101 *Definitions*, opposite the name of the local jurisdiction.

PART 6
EFFECTIVE DATE

Effective Date
10. This Instrument comes into force on March 1, 2016.

Appendix A – Local SEDAR System Fees

(Section 3)

Column A Local Jurisdiction	Column B Category of Filing	Column C Type of Filing	Column D System Fee
Québec	Securities Offerings	Prospectus distribution to person outside Québec, if made from within Québec (section 12 of *Securities Act* (Québec))	$130.00

Appendix B – Other SEDAR System Fees

(Section 4)

Item	Column A Category of Filing	Column B Type of Filing	Column C System Fee Payable to Principal Regulator	Column D System Fee Payable to Each Other Securities Regulatory Authority
1	Annual filing fee for continuous disclosure - investment funds *Note: Excludes the annual information form and all other filings listed separately in items 3 to 21.*	Initial filer profile or annual financial statements (for investment funds)	$495.00	N/A
2	Annual filing fee for continuous disclosure *Note: Excludes the annual information form and all other filings listed separately in items 3 to 21.*	Initial filer profile or annual financial statements (for reporting issuers other than investment funds)	$705.00	$74.00

Item	Column A Category of Filing	Column B Type of Filing	Column C System Fee Payable to Principal Regulator	Column D System Fee Payable to Each Other Securities Regulatory Authority
3	Investment fund issuers / securities offerings	Simplified prospectus, annual information form and fund facts (National Instrument 81-101 *Mutual Fund Prospectus Disclosure*)	$585.00, which applies in total to a combined filing, if one annual information form and one simplified prospectus are used to qualify the investment fund securities of more than one investment fund for distribution	$162.50, which applies in total to a combined filing, if one annual information form and one simplified prospectus are used to qualify the investment fund securities of more than one investment fund for distribution
4		Long form prospectus	$715.00	$212.50
5	Investment fund issuers / continuous disclosure	Annual information form (National Instrument 81-106 *Investment Fund Continuous Disclosure*) for investment fund if not a short form prospectus issuer	$455.00	N/A
6	Investment fund issuers / continuous disclosure	Annual information form (National Instrument 81-106 *Investment Fund Continuous Disclosure*) for investment fund if short form prospectus issuer	$2,655.00	N/A
7	Investment fund issuers / exemptions and other applications	Exemptions and other applications (National Instrument 81-102 *Investment Funds*)	$195.00	$40.00

Item	Column A Category of Filing	Column B Type of Filing	Column C System Fee Payable to Principal Regulator	Column D System Fee Payable to Each Other Securities Regulatory Authority
8		Exemptions and other applications in connection with a prospectus filing	$195.00	$82.50
9	Other issuers / securities offerings	Short form prospectus (National Instrument 44-101 *Short Form Prospectus Distributions*)	$390.00	$115.00
10		Shelf prospectus	$390.00	$115.00
11		MJDS Prospectus (National Instrument 71-101 *The Multijurisdictional Disclosure System*)	$390.00	$115.00
12		Long form prospectus	$715.00	$212.50
13		Rights offering circular	$325.00	$115.00
14		Prospectus governed by CPC instrument (TSX Venture Exchange)	$715.00	$212.50
15	Other issuers / continuous disclosure	Annual information form, if neither an investment fund nor a short form prospectus issuer	$455.00	N/A
16		Annual information form, if a short form prospectus issuer (other than an investment fund)	$2,655.00	N/A
17	Exemptions and other applications (if not an investment fund)	Exemptions and other applications in connection with prospectus filing	$195.00	$82.50
18	Other issuers / going private / related party transactions	Going private transaction filings	$325.00	$115.00
19		Related party transaction filings	$325.00	$115.00
20	Other issuers / securities acquisitions	Issuer bid filings	$195.00	$82.50

Item	Column A Category of Filing	Column B Type of Filing	Column C System Fee Payable to Principal Regulator	Column D System Fee Payable to Each Other Securities Regulatory Authority
21	Third party filers / third party filings	Take-over bid filings	$195.00	$82.50

Appendix C – Other SEDAR System Fees
(for filings that do not require a principal regulator)

(Section 4.1)

Item	Column A Category of Filing	Column B Type of Filing	Column C System Fee Payable
1	Investment fund issuers / exempt market offerings and disclosure	Report of Exempt Distribution	$25.00
2	Other issuers / exempt market offerings and disclosure	Report of Exempt Distribution	$25.00

Alberta Securities Commission

NATIONAL INSTRUMENT 24-102
CLEARING AGENCY REQUIREMENTS

(Securities Act)

Made as a rule by the Alberta Securities Commission on November 10, 2015 pursuant to sections 223 and 224 of the Securities Act.

NATIONAL INSTRUMENT 24-102
CLEARING AGENCY REQUIREMENTS

PART 1
DEFINITIONS, INTERPRETATION AND APPLICATION

Definitions

1.1 In this Instrument

"accounting principles" means accounting principles as defined in National Instrument 52-107 *Acceptable Accounting Principles and Auditing Standards*;

"auditing standards" means auditing standards as defined in National Instrument 52-107 *Acceptable Accounting Principles and Auditing Standards*;

"board of directors" means, in the case of a recognized clearing agency that does not have a board of directors, a group of individuals that acts for the clearing agency in a capacity similar to a board of directors;

"central counterparty" means a person or company that interposes itself between the counterparties to securities or derivatives transactions in one or more financial markets, acting functionally as the buyer to every seller and the seller to every buyer or the counterparty to every party;

"central securities depository" means a person or company that provides centralized facilities as a depository of securities, including securities accounts, central safekeeping services and asset services, which may include the administration of corporate actions and redemptions;

"exempt clearing agency" means a clearing agency that has been granted a decision of the securities regulatory authority pursuant to securities legislation exempting it from the requirement in such legislation to be recognized by the securities regulatory authority as a clearing agency;

"link" means, in relation to a clearing agency, contractual and operational arrangements that directly or indirectly through an intermediary connect the clearing agency and one or more other systems for the clearing, settlement or recording of securities or derivatives transactions;

"participant" means a person or company that has entered into an agreement with a clearing agency to access the services of the clearing agency and is bound by the clearing agency's rules and procedures;

"PFMI Disclosure Framework Document" means a disclosure document completed substantially in the form of *Annex A: FMI disclosure template* of the December 2012 report *Principles for financial market infrastructures: Disclosure framework and Assessment methodology* published by the Committee on Payments and Market Infrastructures and the International Organization of Securities Commissions, as amended, supplemented or superseded from time to time, or a similar disclosure document required to be completed regularly and disclosed publicly by a clearing agency in accordance with the regulatory requirements of a foreign jurisdiction in which the clearing agency is located;

"PFMI Principle" means a principle, including applicable key considerations, in the April 2012 report *Principles for financial market infrastructures* published by the Committee on Payments and Market Infrastructures and the International Organization of Securities Commissions, as amended from time to time;

"publicly accountable enterprise" means a publicly accountable enterprise as defined in Part 3 of National Instrument 52-*107 Acceptable Accounting Principles and Auditing Standards*;

"securities settlement system" means a system that enables securities to be transferred and settled by book entry according to a set of predetermined multilateral rules.

Interpretation - Affiliated Entity, Controlled Entity and Subsidiary Entity

1.2 (1) In this Instrument, a person or company is considered to be an affiliated entity of another person or company if one is a subsidiary entity of the other or if both are subsidiary entities of the same person or company, or if each of them is a controlled entity of the same person or company.

(2) In this Instrument, a person or company is considered to be controlled by a person or company if

(a) in the case of a person or company,

(i) voting securities of the first-mentioned person or company carrying more than fifty percent of the votes for the election of directors are held, otherwise than by way of security only, by or for the benefit of the other person or company, and

(ii) the votes carried by the securities are entitled, if exercised, to elect a majority of the directors of the first-mentioned person or company;

(b) in the case of a partnership that does not have directors, other than a limited partnership, the second-mentioned person or company holds more than fifty percent of the interests in the partnership; or

(c) in the case of a limited partnership, the general partner is the second-mentioned person or company.

(3) In this Instrument, a person or company is considered to be a subsidiary entity of another person or company if

(a) it is a controlled entity of

(i) that other,

(ii) that other and one or more persons or companies, each of which is a controlled entity of that other, or

(iii) two or more persons or companies, each of which is a controlled entity of that other; or

(b) it is a subsidiary entity of a person or company that is the other's subsidiary entity.

Interpretation – Extended Meaning of Affiliated Entity

1.3 For the purposes of the PFMI Principles, a person or company is considered to be an affiliate of a participant, the person or company and the participant each being described in this section as a "party", where,

(a) a party holds, otherwise than by way of security only, voting securities of the other party carrying more than 20 percent of the votes for the election of directors, or

(b) in the event paragraph (a) is not applicable,

(i) a party holds, otherwise than by way of security only, an interest in the other party that allows it to direct the management or operations of the other party; or

(ii) financial information in respect of both parties is consolidated for financial reporting purposes.

Interpretation – Clearing Agency

1.4 For the purposes of this Instrument, in Québec, a clearing agency includes a clearing house, a central securities depository and a settlement system within the meaning of the Québec *Securities Act* and a clearing house and a settlement system within the meaning of the Québec *Derivatives Act*.

Application

1.5 (1) Part 3 applies to a recognized clearing agency that operates as any of the following:

(a) a central counterparty;

(b) a central securities depository;

(c) a securities settlement system.

(2) Unless the context otherwise indicates, Part 4 applies to a recognized clearing agency whether or not it operates as a central counterparty, central securities depository or securities settlement system.

(3) In Québec, if there is a conflict or an inconsistency between section 2.2 and the provisions of the Québec *Derivatives Act* governing the self-certification process with respect to a clearing agency implementing a significant change or a fee change, the provisions of the Québec *Derivatives Act* prevail.

(4) The requirements of section 2.2 or 2.5 apply only to the extent that the subject matters of the section are not otherwise governed by the terms and conditions of a decision of the securities regulatory authority that recognizes a clearing agency or that exempts a clearing agency from a recognition requirement.

PART 2
CLEARING AGENCY RECOGNITION OR EXEMPTION FROM RECOGNITION

Application and initial filing of information

2.1 (1) An applicant for recognition as a clearing agency under securities legislation, or for exemption from the requirement to be recognized as a clearing agency under securities legislation, must include in its application all of the following:

(a) if applicable, the applicant's most recently completed PFMI Disclosure Framework Document;

(b) sufficient information to demonstrate that the applicant is in compliance with

(i) provincial and territorial securities legislation, or

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

(c) any additional relevant information sufficient to demonstrate that it is in the public interest for the securities regulatory authority to recognize or exempt the applicant, as the case may be.

(2) In addition to the requirement set out in subsection (1), an applicant that has a head office or principal place of business located in a foreign jurisdiction must

(a) certify that it will assist the securities regulatory authority in accessing the applicant's books and records and in undertaking an onsite inspection and examination at the applicant's premises, and

(b) certify that it will provide the securities regulatory authority, if requested by such authority, with an opinion of legal counsel that the applicant has, as a matter of law, the power and authority to

(i) provide the securities regulatory authority with prompt access to its books and records, and

(ii) submit to onsite inspection and examination by the securities regulatory authority.

(3) In addition to the requirements set out in subsections (1) and (2), an applicant whose head office or principal place of business is located in a foreign jurisdiction must file a completed Form 24-102F1 *Submission to Jurisdiction and Appointment of Agent for Service*.

(4) An applicant must inform the securities regulatory authority in writing of any material change to the information provided in its application, or if any of the information becomes materially inaccurate for any reason, as soon as the change occurs or the applicant becomes aware of any inaccuracy.

Significant changes, fee changes and other changes in information

2.2 (1) In this section, for greater certainty, a "significant change" includes, in relation to a clearing agency,

(a) any change to the clearing agency's constating documents or by-laws;

(b) any change to the clearing agency's corporate governance or corporate structure, including any change of control of the clearing agency, whether direct or indirect;

(c) any material change to an agreement among the clearing agency and participants in connection with the clearing agency's operations and services, including those agreements to which the clearing agency is a party and those agreements among participants to which the clearing agency is not a party, but that are expressly referred to in the clearing agency's rules or procedures and are made available by participants to the clearing agency;

(d) any material change to the clearing agency's rules, operating procedures, user guides, manuals, or other documentation governing or establishing the rights, obligations and relationships among the clearing agency and participants in connection with the clearing agency's operations and services;

(e) any material change to the design, operation or functionality of any of the clearing agency's operations and services;

(f) the establishment or removal of a link or any material change to an existing link;

(g) commencing to engage in a new type of business activity or ceasing to engage in a business activity in which the clearing agency is then engaged;

(h) any other matter identified as a significant change in the recognition terms and conditions.

(2) Subject to subsection (4), a recognized clearing agency must not implement a significant change unless it has filed a written notice of the significant change with the securities regulatory authority at least 45 days before implementing the change.

(3) If a proposed significant change referred to in subsection (2) would affect the information set out in its PFMI Disclosure Framework Document filed with the securities regulatory authority, a recognized clearing agency must complete and file with the securities regulatory authority, concurrently with providing the written notice referred to in subsection (2), an appropriate amendment to its PFMI Disclosure Framework Document.

(4) If a recognized clearing agency proposes to modify a fee or introduce a new fee for any of its clearing, settlement or depository services, the clearing agency must notify in writing the securities regulatory authority of such fee change before implementing the fee change within a period stipulated by the terms and conditions of a decision of the securities regulatory authority that recognizes the clearing agency.

(5) An exempt clearing agency must notify in writing the securities regulatory authority of any material change to the information provided to the securities regulatory authority in its PFMI Disclosure Framework Document and related application materials, or if any of the information becomes materially inaccurate for any reason, as soon as the change occurs or the exempt clearing agency becomes aware of any inaccuracy.

Ceasing to carry on business

2.3 (1) A recognized clearing agency or exempt clearing agency that intends to cease carrying on business in the local jurisdiction as a clearing agency must file a report on Form 24-102F2 *Cessation of Operations Report for Clearing Agency* with the securities regulatory authority

(a) at least 180 days before ceasing to carry on business if a significant reason for ceasing to carry on business relates to the clearing agency's financial viability or any other matter that is preventing, or may potentially prevent, it from being able to provide its operations and services as a going concern, or

(b) at least 90 days before ceasing to carry on business for any other reason.

(2) A recognized clearing agency or exempt clearing agency that involuntarily ceases to carry on business in the local jurisdiction as a clearing agency must file a report on Form 24-102F2 *Cessation of Operations Report for Clearing Agency* with the securities regulatory authority as soon as practicable after it ceases to carry on that business.

Filing of initial audited financial statements

2.4 (1) An applicant must file audited financial statements for its most recently completed financial year with the securities regulatory authority as part of its application under section 2.1.

(2) The financial statements referred to in subsection (1) must

(a) be prepared in accordance with Canadian GAAP applicable to publicly accountable enterprises, IFRS or the generally accepted accounting principles of the foreign jurisdiction in which the person or company is incorporated, organized or located,

(b) identify in the notes to the financial statements the accounting principles used to prepare the financial statements,

(c) disclose the presentation currency, and

(d) be audited in accordance with Canadian GAAS, International Standards on Auditing or the generally accepted auditing standards of the foreign jurisdiction in which the person or company is incorporated, organized or located.

(3) The financial statements referred to in subsection (1) must be accompanied by an auditor's report that

(a) expresses an unmodified or unqualified opinion,

(b) identifies all financial periods presented for which the auditor's report applies,

(c) identifies the auditing standards used to conduct the audit,

(d) identifies the accounting principles used to prepare the financial statements,

(e) is prepared in accordance with the same auditing standards used to conduct the audit, and

(f) is prepared and signed by a person or company that is authorized to sign an auditor's report under the laws of a jurisdiction of Canada or a foreign jurisdiction, and that meets the professional standards of that jurisdiction.

Filing of annual audited and interim financial statements

2.5 (1) A recognized clearing agency or exempt clearing agency must file annual audited financial statements that comply with the requirements set out in subsections 2.4(2) and (3) with the securities regulatory authority no later than the 90th day after the end of the recognized clearing agency or exempt clearing agency's financial year.

(2) A recognized clearing agency or exempt clearing agency must file interim financial statements that comply with the requirements set out in paragraphs 2.4(2)(a) and (2)(b) with the securities regulatory authority no later than the 45th day after the end of each interim period.

PART 3
PFMI PRINCIPLES APPLICABLE TO RECOGNIZED CLEARING AGENCIES

PFMI Principles

3.1 A recognized clearing agency must establish, implement and maintain rules, procedures, policies or operations designed to ensure that it meets or exceeds PFMI Principles 1 to 3, 10, 13, 15 to 19, 20 other than key consideration 9, 21 to 23 and the following:

(a) if the clearing agency operates as a central counterparty, PFMI Principles 4 to 9, 12 and 14;

(b) if the clearing agency operates as a securities settlement system, PFMI Principles 4, 5, 7 to 9 and12; and

(c) if the clearing agency operates as a central securities depository, PFMI Principle 11.

PART 4
OTHER REQUIREMENTS OF RECOGNIZED CLEARING AGENCIES

Division 1 – Governance:

Board of directors

4.1 (1) A recognized clearing agency must have a board of directors.

(2) The board of directors must include appropriate representation by individuals who are

(a) independent of the clearing agency, and

(b) not employees or executive officers of a participant or their immediate family members.

(3) For the purposes of paragraph (2)(a), an individual is independent of a clearing agency if he or she has no direct or indirect material relationship with the clearing agency.

(4) For the purposes of subsection (3), a "material relationship" is a relationship that could, in the view of the clearing agency's board of directors, be reasonably expected to interfere with the exercise of a member's independent judgment.

Documented procedures regarding risk spill-overs

4.2 The board of directors and management of a recognized clearing agency must have documented procedures to manage possible risk spill over where the clearing agency provides services with a different risk profile than its depository, clearing and settlement services.

Chief Risk Officer and Chief Compliance Officer

4.3 (1) A recognized clearing agency must designate a chief risk officer and a chief compliance officer, who must report directly to the board of directors or, if determined by the board of directors, to the chief executive officer of the clearing agency.

(2) The chief risk officer must

(a) have full responsibility and authority to maintain, implement and enforce the risk management framework established by the clearing agency,

(b) make recommendations to the clearing agency's board of directors regarding the clearing agency's risk management framework,

(c) monitor the effectiveness of the clearing agency's risk management framework, and

(d) report to the clearing agency's board of directors on a timely basis upon becoming aware of any significant deficiency with the risk management framework.

(3) The chief compliance officer must

(a) establish, implement, maintain and enforce written policies and procedures to identify and resolve conflicts of interest and ensure that the clearing agency complies with securities legislation,

(b) monitor compliance with the policies and procedures described in paragraph (a),

(c) report to the board of directors of the clearing agency as soon as practicable upon becoming aware of any circumstance indicating that the clearing agency, or any individual acting on its behalf, is not in compliance with securities legislation and one or more of the following apply:

(i) the non-compliance creates a risk of harm to a participant,

(ii) the non-compliance creates a risk of harm to the broader financial system,

(iii) the non-compliance is part of a pattern of non-compliance, or

(iv) the non-compliance may have an impact on the ability of the clearing agency to carry on business in compliance with securities legislation,

(d) prepare and certify an annual report assessing compliance by the clearing agency, and individuals acting on its behalf, with securities legislation and submit the report to the board of directors,

(e) report to the clearing agency's board of directors as soon as practicable upon becoming aware of a conflict of interest that creates a risk of harm to a participant or to the capital markets, and

(f) concurrently with submitting a report under paragraphs (c), (d) or (e), file a copy of such report with the securities regulatory authority.

Board or advisory committees

4.4 (1) The board of directors of a recognized clearing agency must, at a minimum, establish and maintain committees on risk management, finance and audit.

(2) If a committee is a board committee, it must be chaired by a sufficiently knowledgeable individual who is independent of the clearing agency.

(3) Subject to subsection (4), a committee must have an appropriate representation by individuals who are independent of the clearing agency.

(4) An audit or risk committee must have an appropriate representation by individuals who are

(a) independent of the clearing agency, and

(b) not employees or executive officers of a participant or their immediate family members.

Division 2 – Default management:

Use of own capital

4.5 A recognized clearing agency that operates as a central counterparty must dedicate and use a reasonable portion of its own capital to cover losses resulting from one or more participant defaults.

Division 3 – Operational risk:

Systems requirements

4.6 For each system operated by or on behalf of a recognized clearing agency that supports the clearing agency's clearing, settlement and depository functions, the clearing agency must

(a) develop and maintain

(i) an adequate system of internal controls over that system, and

(ii) adequate information technology general controls, including, without limitation, controls relating to information systems operations, information security, change management, problem management, network support and system software support,

(b) in accordance with prudent business practice, on a reasonably frequent basis and, in any event, at least annually

(i) make reasonable current and future capacity estimates, and

(ii) conduct capacity stress tests to determine the ability of that system to process transactions in an accurate, timely and efficient manner, and

(c) promptly notify the regulator or, in Québec, the securities regulatory authority of any material systems failure, malfunction, delay or security breach, and provide timely updates on the status of the failure, malfunction, delay or security breach, the resumption of service, and the results of the clearing agency's internal review of the failure, malfunction, delay or security breach.

Systems reviews

4.7 (1) A recognized clearing agency must annually engage a qualified party to conduct an independent systems review and vulnerability assessment and prepare a report in accordance with established audit standards and best industry practices to ensure that the clearing agency is in compliance with paragraph 4.6(a) and section 4.9.

(2) The clearing agency must provide the report resulting from the review conducted under subsection (1) to

(a) its board of directors, or audit committee, promptly upon the report's completion, and

(b) the regulator or, in Québec, the securities regulatory authority, by the earlier of the 30th day after providing the report to its board of directors or the audit committee or the 60th day after the calendar year end.

Clearing agency technology requirements and testing facilities

4.8 (1) A recognized clearing agency must make available to participants, in their final form, all technology requirements regarding interfacing with or accessing the clearing agency

(a) if operations have not begun, sufficiently in advance of operations to allow a reasonable period for testing and system modification by participants, and

(b) if operations have begun, sufficiently in advance of implementing a material change to technology requirements to allow a reasonable period for testing and system modification by participants.

(2) After complying with subsection (1), the clearing agency must make available testing facilities for interfacing with or accessing the clearing agency

(a) if operations have not begun, sufficiently in advance of operations to allow a reasonable period for testing and system modification by participants, and

(b) if operations have begun, sufficiently in advance of implementing a material change to technology requirements to allow a reasonable period for testing and system modification by participants.

(3) The clearing agency must not begin operations before

(a) it has complied with paragraphs (1)(a) and (2)(a), and

(b) the chief information officer of the clearing agency, or an individual performing a similar function, has certified in writing to the regulator or, in Québec, the securities regulatory authority, that all information technology systems used by the clearing agency have been tested according to prudent business practices and are operating as designed.

(4) The clearing agency must not implement a material change to the systems referred to in section 4.6 before

(a) it has complied with paragraphs (1)(b) and (2)(b), and

(b) the chief information officer of the clearing agency, or an individual performing a similar function, has certified in writing to the regulator or, in Québec, the securities regulatory authority, that the change has been tested according to prudent business practices and is operating as designed.

(5) Subsection (4) does not apply to the clearing agency if the change must be made immediately to address a failure, malfunction or material delay of its systems or equipment and if

(a) the clearing agency immediately notifies the regulator or, in Québec, the securities regulatory authority, of its intention to make the change, and

(b) the clearing agency discloses to its participants the changed technology requirements as soon as practicable.

Testing of business continuity plans

4.9 A recognized clearing agency must

(a) develop and maintain reasonable business continuity plans, including disaster recovery plans, and

(b) test its business continuity plans, including its disaster recovery plans, according to prudent business practices and on a reasonably frequent basis and, in any event, at least annually.

Outsourcing

4.10 If a recognized clearing agency outsources a critical service or system to a service provider, including to an affiliated entity of the clearing agency, the clearing agency must do all of the following:

(a) establish, implement, maintain and enforce written policies and procedures to conduct suitable due diligence for selecting service providers to which a critical service and system may be outsourced and for the evaluation and approval of those outsourcing arrangements;

(b) identify any conflicts of interest between the clearing agency and the service provider to which a critical service and system is outsourced, and establish, implement, maintain and enforce written policies and procedures to mitigate and manage those conflicts of interest;

(c) enter into a written contract with the service provider to which a critical service or system is outsourced that

(i) is appropriate for the materiality and nature of the outsourced activities,

(ii) includes service level provisions, and

(iii) provides for adequate termination procedures;

(d) maintain access to the books and records of the service provider relating to the outsourced activities;

(e) ensure that the securities regulatory authority has the same access to all data, information and systems maintained by the service provider on behalf of the clearing agency that it would have absent the outsourcing arrangements;

(f) ensure that all persons conducting audits or independent reviews of the clearing agency under this Instrument have appropriate access to all data, information and systems maintained by the service provider on behalf of the clearing agency that such persons would have absent the outsourcing arrangements;

(g) take appropriate measures to determine that the service provider to which a critical service or system is outsourced establishes, maintains and periodically tests an appropriate business continuity plan, including a disaster recovery plan;

(h) take appropriate measures to ensure that the service provider protects the clearing agency's proprietary information and participants' confidential information, including taking measures to protect information from loss, thefts, vulnerabilities, threats, unauthorized access, copying, use and modification, and discloses it only in circumstances where legislation or an order of a court or tribunal of competent jurisdiction requires the disclosure of such information;

(i) establish, implement, maintain and enforce written policies and procedures to monitor the ongoing performance of the service provider's contractual obligations under the outsourcing arrangements.

Division 4 – Participation requirements:

Access requirements and due process

4.11 (1) A recognized clearing agency must not

(a) unreasonably prohibit, condition or limit access by a person or company to the services offered by the clearing agency,

(b) unreasonably discriminate among its participants or indirect participants,

(c) impose any burden on competition that is not reasonably necessary and appropriate,

(d) unreasonably require the use or purchase of another service for a person or company to utilize the clearing agency's services offered by it, and

(e) impose fees or other material costs on its participants that are unfairly or inequitably allocated among the participants.

(2) For any decision made by the clearing agency that terminates, suspends or restricts a participant's membership in the clearing agency or that declines entry to membership to an applicant that applies to become a participant, the clearing agency must ensure that

(a) the participant or applicant is given an opportunity to be heard or make representations, and

(b) it keeps records of, gives reasons for, and provides for reviews of its decisions, including, for each applicant, the reasons for granting access or for denying or limiting access to the applicant, as the case may be.

(3) Nothing in subsection (2) limits or prevents the clearing agency from taking timely action in accordance with its rules and procedures to manage the default of one or more participants or in connection with the clearing agency's recovery or orderly wind-down, whether or not such action adversely affects a participant.

PART 5
BOOKS AND RECORDS AND LEGAL ENTITY IDENTIFIER

Books and records

5.1 (1) A recognized clearing agency or exempt clearing agency must keep books, records and other documents as are necessary to account for the conduct of its clearing, settlement and depository activities, business transactions and financial affairs and must keep those other books, records and documents as may otherwise be required under securities legislation.

(2) The clearing agency must retain the books and records maintained under this section

(a) for a period of seven years from the date the record was made or received, whichever is later,

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

(c) in a manner that permits them to be provided promptly to the securities regulatory authority.

Legal Entity Identifier

5.2 (1) In this section,

"Global Legal Entity Identifier System" means the system for unique identification of parties to financial transactions developed by the LEI Regulatory Oversight Committee, and

"LEI Regulatory Oversight Committee" means the international working group established by the Finance Ministers and the Central Bank Governors of the Group of Twenty nations and the Financial Stability Board, under the Charter of the Regulatory Oversight Committee for the Global Legal Entity Identifier System dated November 5, 2012.

(2) For the purposes of any recordkeeping and reporting requirements required under securities legislation, a recognized clearing agency or exempt clearing agency must identify itself by means of a single legal entity identifier assigned to the clearing agency in accordance with the standards set by the Global Legal Entity Identifier System.

(3) If the Global Legal Entity Identifier System is unavailable to the clearing agency, all of the following apply:

(a) the clearing agency must obtain a substitute legal entity identifier that complies with the standards established by the LEI Regulatory Oversight Committee for pre-legal entity identifiers;

(b) the clearing agency must use the substitute legal entity identifier until a legal entity identifier is assigned to the clearing agency in accordance with the standards set by the Global Legal Entity Identifier System;

(c) after the holder of a substitute legal entity identifier is assigned a legal entity identifier in accordance with the standards set by the Global Legal Entity Identifier System, the clearing agency must ensure that it is identified only by the assigned identifier.

PART 6
EXEMPTIONS

Exemption

6.1 (1) The regulator or the securities regulatory authority may grant an exemption from the provisions of this Instrument, in whole or in part, subject to such conditions or restrictions as may be imposed in the exemption.

(2) Despite subsection (1), in Ontario, only the regulator may grant an exemption.

(3) Except in Ontario, an exemption referred to in subsection (1) is granted under the statute referred to in Appendix B of National Instrument 14-101 *Definitions* opposite the name of the local jurisdiction.

PART 7
EFFECTIVE DATE AND TRANSITION

Effective date and transition

7.1 (1) This Instrument comes into force on February 17, 2016.

(2) Despite section 3.1, until December 31, 2016, a recognized clearing agency is not required to implement rules, procedures, policies or operations designed to ensure that a recognized clearing agency meets or exceeds the following:

(a) PFMI Principle 14;

(b) key consideration 4 of PFMI Principle 3 and key consideration 3 of PFMI Principle 15 with respect to a clearing agency's recovery and orderly wind-down plans; and

(c) PFMI Principle 19.

(3) In Saskatchewan, despite subsection (1), if these regulations are filed with the Registrar of Regulations after February 17, 2016, these regulations come into force on the day on which they are filed with the Registrar of Regulations.

FORM 24-102F1
CLEARING AGENCY SUBMISSION TO JURISDICTION AND APPOINTMENT OF AGENT FOR SERVICE OF PROCESS

1. Name of clearing agency (the "Clearing Agency"):

   ____

2. Jurisdiction of incorporation, or equivalent, of Clearing Agency:

   ____

3. Address of principal place of business of Clearing Agency:

   ____

4. Name of the agent for service of process (the "Agent") for the Clearing Agency:

   ____

5. Address of the Agent in ___________ [name of local jurisdiction]:

   ____

6. The __________________ [name of securities regulatory authority] ("securities regulatory authority") issued an order recognizing the Clearing Agency as a clearing agency pursuant to securities legislation, or the securities regulatory authority issued an order exempting the Clearing Agency from the requirement to be recognized as a clearing agency pursuant to such legislation, on ____________.

7. The Clearing Agency designates and appoints the Agent 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, penal or other proceeding arising out of or relating to or concerning the activities of the Clearing Agency in ______________ [province of local jurisdiction]. The Clearing Agency hereby irrevocably waives any right to challenge service upon its Agent as not binding upon the Clearing Agency.

8. The Clearing Agency agrees to unconditionally and irrevocably attorn to the non-exclusive jurisdiction of (i) the courts and administrative tribunals of ______________ [name of local jurisdiction] and (ii) any proceeding in any province or territory arising out of, related to, concerning or in any other manner connected with the regulation and oversight of the activities of the Clearing Agency in ______________ [name of local jurisdiction].

9. The Clearing Agency must file a new submission to jurisdiction and appointment of agent for service of process in this form at least 30 days before the Clearing Agency ceases to be recognized or exempted by the securities regulatory authority, to be in effect for six years from the date it ceases to be

recognized or exempted unless otherwise amended in accordance with section 10.

10. Until six years after it has ceased to be a recognized or exempted by the securities regulatory authority, the Clearing Agency must file an amended submission to jurisdiction and appointment of agent for service of process at least 30 days before any change in the name or above address of the Agent.

11. The Clearing Agency agrees that this submission to jurisdiction and appointment of agent for service of process is to be governed by and construed in accordance with the laws of ______________ [name of local jurisdiction].

Dated: _________________________________

____
Signature of the Clearing Agency

____
Print name and title of signing officer of the Clearing Agency

AGENT
CONSENT TO ACT AS AGENT FOR SERVICE

I, ______________________________________ [name of Agent in full; if a corporation, full corporate name] of ______________________________________ [business address], hereby accept the appointment as agent for service of process of ______________________________________ [insert name of Clearing Agency] and hereby consent to act as agent for service pursuant to the terms of the appointment executed by ______________________________________ [insert name of Clearing Agency] on ______________________________________ [insert date].

Dated: ________________________________

____
Signature of Agent

____
Print name of person signing and, if Agent is not an individual, the title of the person

FORM 24-102F2
CESSATION OF OPERATIONS REPORT FOR CLEARING AGENCY

1. Identification:

   A. Full name of the recognized or exempted clearing agency:

   B. Name(s) under which business is conducted, if different from item 1A:

2. Date clearing agency proposes to cease carrying on business as a clearing agency:

3. If cessation of business was involuntary, date clearing agency has ceased to carry on business as a clearing agency:

Exhibits

File all exhibits with the Cessation of Operations Report. For each exhibit, include the name of the clearing agency, the date of filing of the exhibit and the date as of which the information is accurate (if different from the date of the filing). If any exhibit required is inapplicable, a statement to that effect must be provided instead of the exhibit.

Exhibit A

The reasons for the clearing agency ceasing to carry on business as a clearing agency.

Exhibit B

A list of all participants in Canada during the last 30 days prior to ceasing business as a clearing agency.

Exhibit C

A description of the alternative arrangements available to participants in respect of the services offered by the clearing agency immediately before the cessation of business as a clearing agency.

Exhibit D

A description of all links the clearing agency had immediately before the cessation of business as a clearing agency with other clearing agencies or trade repositories.

CERTIFICATE OF CLEARING AGENCY

The undersigned certifies that the information given in this report is true and correct.

DATED at ________________ this ________ day of _________________ 20 _____

____
(Name of clearing agency)

____
(Name of director, officer or partner – please type or print)

____
(Signature of director, officer or partner)

____
(Official capacity – please type or print)

Treasury Board and Finance

Insurance Notice

(Insurance Act)

Effective January 1, 2016, The North Waterloo Farmers Mutual Insurance Company changed its name to **Heartland Farm Mutual Inc.**

David Sorensen
Deputy Superintendent of Insurance.

Workers' Compensation Board

2016 Premium Rates
Sector Index

(Workers' Compensation Act)

Rate Group	Industry	Industry Title	2016 Premium Rate	Notes
		Sector 1 - Agriculture and Forestry		
012100				
	01200	Beef Producers	2.97	
	01201	Feed Lots	2.97	
	01202	Livestock Auctions/Stockyards	2.97	
	01203	Dairy Farms	2.97	
	01204	Elk/Bison Producers	2.97	
	01205	Llama/Alpaca Producers	2.97	
	01206	Riding Academies/Horse Stables	2.97	
014100				
	01400	Hog Producers	1.75	
	01401	Poultry/Egg Producers	1.75	
	01402	Goat/Sheep Producers	1.75	
	01403	Fishing/Fish or Fur Farms	1.75	
	01404	Apiaries	1.75	
016100				
	01600	Hay/Grain/Crop Farming	2.25	
	01601	Harvesting/Baling – Custom	2.25	
	01602	Forage & Peat Moss Processing	2.25	
018100				
	01800	Greenhouses/Market Gardens	1.70	
	01801	Mushroom Producers/Bait Farms	1.70	
	01802	Agri-Tourism Farms	1.70	

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 **Sarus Energy Ltd.** on January 19, 2016.

Dated at Calgary, Alberta on January 19, 2016.

Jonathan D. Warren, *Warren Benson Amantea LLP.*

Notice is hereby given that a Certificate of Intent to Dissolve was issued to **Solar Construction Co. Ltd.** on January 12, 2016.

Dated at Edmonton, Alberta on January 28, 2016.

Ross Nelson, *Director.*

Notice of Liquidation

Loric Glass Ltd.

(Business Corporations Act)

TAKE NOTICE that Grant Thornton Limited (the "Liquidator") has been appointed as Liquidator of Loric Glass Ltd. operating as an outsourced sales service for manufacturers in Edmonton (the "Company") by Order of Court of Queen's Bench of Alberta dated January 18, 2016 in Action Number 1503 17989, Judicial District of Edmonton.

All persons having claims against the Company, whether liquidated, unliquidated, future or contingent, are required to present particulars of such claim in writing to the Liquidator along with copies of any supporting documentation of such claim not later than March 4, 2016. All such claims and supporting documentation shall be provided by personal delivery, fax or email to the Liquidator, a copy of the Proof of Claim form can be found on the liquidator website at http://www.grantthornton.ca/services/reorg/bankruptcy_and_insolvency/loric. Provided that nothing in this Notice shall preclude the Liquidator from disallowing all or any portion of any claim submitted or from seeking additional clarification or documentation with respect to any such claim.

All persons who are indebted to the Company are hereby required to pay to the Liquidator an amount equating to such indebtedness. Such payments are to be directed to the Liquidator no later than thirty days after the publication of this Notice. Nothing in the Notice shall limit or preclude the Liquidator from asserting that a person is indebted to the Company for a sum in excess of that asserted or paid by that person in response to this Notice. Payment to any other party will not discharge your liability to the Company.

All persons possessing any property of the Company are, subject to the remaining provisions of this paragraph, required to deliver such property to the Liquidator on or before thirty days after the publication of this Notice. Prior to delivering any such property, any person in the possession of property of the Company is to provide seven day written notice to the Liquidator by way of personal delivery or fax communication. Such notice shall briefly describe the property of the Company which is in possession of the person giving the notice and shall include a return address, phone number, fax number or email address of the person giving notice. The Liquidator may in its absolute discretion provide to the person giving notice alternative directions or instructions with respect to delivery of the property.

All payments, notices and deliveries to the Liquidator shall be directed to the Liquidator at Grant Thornton Limited, 1701 Scotia Place II, 10060 Jasper Avenue, Edmonton, AB, T5J 3R8, Fax No. 780-426-3208, Attention: Mr. David Lewis.

Dated at Edmonton, Alberta on January 27th, 2016.

Grant Thornton Limited, *In its capacity as Liquidator of Loric Glass Ltd.*

Public Sale of Land

(Municipal Government Act)

City of Lethbridge

Notice is hereby given that under the provisions of the Municipal Government Act, the City of Lethbridge will offer for sale, by public auction, in the Culver City Room (Room 147) on the main floor of City Hall, 910 4 Avenue South, Lethbridge, Alberta, on Thursday, April 7, 2016, at 11:00 a.m., the following parcels of land:

Plan	Block	Lot/Unit	Civic Address
0614257	16	78	18 Couleesprings Pl S
2478R	1	33,34	1015 12B St S
4353S	68	1,2	1402 2 Ave S
384B		40-42	809 7 Ave S
0311888	19	117	813 Blackfoot Terr W
7911317	5	43	10 Mt Blakiston Pl W
8310663	1	1	300 Bridge Dr W
5329JK	G		320 Bridge Dr W
1011902	12	17	800 Canyonview Close W

9610158	4	6	15 Chilcotin Lane W
8311181		22	305-420 Columbia Blvd W
8311181		46	206-440 Columbia Blvd W
7811640	28	100	22 Columbia Pl W
8110763	4A	18	27 Dakota Rd W
9011100	1	17	26 Heritage Close W
1012954	11	35	3 Mt Sundial Bay W
7410532	25	25	21 Robin Rd N
8480GQ	6	7	625 Stafford Dr N
1044AI	2	13,14	1116 Stafford Dr N
7710767	4	2	1706 St Edward Blvd N
0513779	2	58	99 Jessie Robinson Close
6212GP	2	20	1119 7 St N
406R	160	22,23	702 12B St N
4863IA	2	24	1207 12B St N
406R	169	31,32	807 12C St N
2932AA		21,22	1818 4 Ave N
3365Y		10,11	1722 5A Ave N
0414358		19	4-4002 9 Ave N

Each property will be offered for sale subject to a reserve bid and to the following Terms and Conditions:

The properties are being offered for sale on an "as is, where is" basis and the City of Lethbridge makes no representation and gives no warranty whatsoever as to the adequacy of services, soil conditions, zoning, building and development conditions, absence or presence of environmental contamination, vacant possession, or the development potential of the lands for any intended use by the successful bidder.

The successful bidder has a right to a clear title with some exceptions. Section 423(1)(a) to (h) of the MGA states "*a person who purchases a parcel of land at a public auction acquires the land free of all encumbrances, except (a) encumbrances arising from claims of the Crown in right of Canada, (b) irrigation of drainage debentures, (c) caveats referred to in section 39(12) of the Condominium Property Act, (d) registered easements and instruments registered pursuant to section 69 of the Land Titles Act, (e) right of entry orders as defined in the Surface Rights Act registered under the Land Titles Act, (f) a notice of lien filed pursuant to section 38 of the Rural Utilities Act, (g) a notice of lien filed pursuant to section 20 of the Rural*

Electrification Loan Act, and (h) liens registered pursuant to section 21 of the Rural Electrification Long-term Financing Act."

The purchaser of the property will be responsible for property taxes for the current year.

The successful bidder must, at the time of the sale, make a **non-refundable** ten percent (10%) deposit payable to the municipality, with the balance of the purchase price due on closing date.

Closing date for all sales will be fourteen (14) days after Auction Date.

Goods and Services Tax (GST) will apply to all vacant parcels of land sold at the Public Auction.

No terms or conditions of the sale will be considered other than those specified by the municipality.

Payments by cash, certified cheque or bank draft only. Vendor financing or financing using third party mortgages or encumbrances upon the purchased lands, or other similar financing arrangements, cannot be accommodated.

The auctioneer, councilors, the chief administrative officer and the designated officers and employees of the municipality must not bid or buy any property offered for sale, unless directed by the municipality to bid for or buy a parcel of land on behalf of the municipality.

If no offer is received on a property or if the reserve bid is not met, the property cannot be sold at the public auction.

Once the property is declared sold to another individual at public auction the previous owner has no further right of possession by paying the tax arrears.

The risk of the property lies with the purchaser immediately following the auction.

The purchaser will be required to execute a Sale Agreement in form and substance provided by the municipality.

The purchaser is responsible for obtaining vacant possession.

The purchaser will be responsible for the transfer registration fee.

The City of Lethbridge may, after the public auction, become the owner of any property that is not sold at the public auction.

A property will be removed from the Public Auction if payment of all arrears of taxes and costs occurs at any time prior to the sale.

Dated at Lethbridge, Alberta, February 13, 2016.

Stan Dilworth, *Assessment and Taxation Manager*.

City of St. Albert

Notice is hereby given that under the provisions of the Municipal Government Act, the City of St. Albert will offer for sale, by public auction, in the Douglas Cardinal Boardroom, Third Floor, St. Albert Place, 5 St. Anne Street, St. Albert, Alberta, on Tuesday, April 12, 2016, at 2:00 p.m., the following lands:

	Lot or Unit	**Block**	**Plan**
1	7		9320406
2	116	3	9123409
3	14		7922344
4	24	19	8621985
5	5	1	4708RS
6	16	12	2924TR
7	55	27	7922714
8	34	1	0324400
9	12		0920186

Each parcel of land offered for sale will be subject to a reserve bid and to the reservations and conditions contained in the existing certificate of title. Redemption of a parcel of land offered for sale may be effected by certified payment of all arrears of taxes, penalties and costs at any time prior to the date of the Public Auction.

Terms: 10% deposit and balance payable within 30 days of the date of the Public Auction. G.S.T. will apply to all applicable lands.

The City of St. Albert may, after the public auction, become the owner of any parcel of land that is not sold at the public auction.

The lands are being offered for sale on an “as is, where is” basis and the City of St. Albert 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, vacant possession, 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 will be considered other than those specified by the City of St. Albert. The minimum reserve bid cannot be lower than the market value estimate predetermined by the City Assessor. The successful bidder shall be required to execute a Sale Agreement in a form and substance acceptable to The City of St. Albert. No further information is available at the auction regarding the lands to be sold.

Dated at St. Albert, Alberta, January 26, 2016.

Director, *Assessment and Taxation Services*.

Regional Municipality of Wood Buffalo

Notice is hereby given that under the provisions of the Municipal Government Act, The Regional Municipality of Wood Buffalo will offer for sale, by public auction, in the Jubilee Center, 4th Floor Boardroom, 9909 Franklin Avenue, Fort McMurray, Alberta, on Thursday, March 31, 2016, at 10:00 a.m., the following lands:

Plan	**Blk**	**Lot**	**Unit**	**Certificate of Title Number**	**Reserve Bid**	**Location**
9924071			Unit 501	092357482	233,560	Fort McMurray
8120257			Unit 93	112070383	320,000	Fort McMurray
0321365			Unit 22	042349706	59,440	Fort McMurray
1021359			Unit 352	112385344002	289,900	Fort McMurray
2274NY	1	3A		072475442	637,410	Fort McMurray
1268NY	1	8		072475441	869,330	Fort McMurray
1268NY	1	4		072475437	574,080	Fort McMurray
1268NY	1	5		072475438	574,080	Fort McMurray
1268NY	1	6		072475439	574,110	Fort McMurray
1268NY	1	7		072475440	574,100	Fort McMurray
7620092	45	38		042131910	591,700	Fort McMurray
7921223	67	49		082137972	705,470	Fort McMurray
7921223	69	3		902210503	571,060	Fort McMurray
8021471	49	7B		902274502	531,940	Fort McMurray
8022553	84	20		122150250	617,740	Fort McMurray
0224952			Unit 8	052435450	439,900	Fort McMurray
8521401	4	21		012169263	854,490	Fort McMurray
0325300	8	27		042515434	942,970	Fort McMurray
0725760	27	22		112218285	640,450	Fort McMurray
1022191	26	36		102308501	871,100	Fort McMurray
8321682	1	27		072331907	84,670	Fort Chipewyan
8321682	3	26		882289619	84,850	Fort Chipewyan
8321906		110		092174490	95,600	Janvier
8321906		106		042222496	99,690	Janvier
8321550		130		082551245	298,650	Conklin

0024365	2	6	052241038	400,340	Fort McMurray
0024365	5	12	112074539	367,880	Fort McMurray

The parcel will be offered for sale subject to a reserve bid and to the reservation 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 Regional Municipality of Wood Buffalo makes no representation and gives no warranty whatsoever as to the adequacy of services, soil condition, 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 property. No further information is available at the auction regarding the lands to be sold.

Terms: Cash, Bank Draft or Certified Cheque made payable to the Regional Municipality of Wood Buffalo.

The Regional Municipality of Wood Buffalo may, after the public auction, become the owner of any parcel of land that is 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.

If you have any inquiries regarding the above parcels of land, please contact us at 780-743-7819 or 780-743-7901.

Dated at Fort McMurray, Alberta, February 1, 2016.

Helen Baxter/Aasma Amin, *Assessment and Taxation Department*
Regional Municipality of Wood Buffalo.

Town of Coalhurst

Notice is hereby given that under the provisions of the Municipal Government Act, the Town of Coalhurst will offer for sale, by public auction, in the Council Chambers, Town Administration Building, located at 100 – 51 Avenue, Coalhurst, Alberta, on Thursday, March 31, 2016, at 10:00 a.m., the following lands:

Lot	**Block**	**Plan**
7	4	7610392
9	12	8110790

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 land is being offered for sale on an "as is, where is" basis and the Town of Coalhurst 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, vacant possession or the 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 of sale will be considered other than those specified by the Town of Coalhurst. No further information is available at the auction regarding the lands to be sold.

The Town of Coalhurst may, after the public auction, become the owner of any parcel of land not sold at the public auction.

Terms: 10% deposit by way of cash, bank draft or certified cheque, made payable to the Town of Coalhurst, on date of public auction, with final payment to be received within 30 days, by bank draft or certified cheque, made payable to the Town of Coalhurst. Failure to pay the balance within the specified time will result in the forfeit of the deposit and the Town will consider the next bid. The above property may be subject to G.S.T.

Redemption may be effected by payment of all arrears of taxes and costs at any time prior to the sale.

Dated at Coalhurst, Alberta, January 25, 2016.

Kyle Bullock, *Director of Corporate Services*.

Town of Morinville

Notice is hereby given that, under the provisions of the Municipal Government Act, the Town of Morinville will offer for sale, by public auction, at St. Germain Place, 10125 – 100 Avenue, Morinville, Alberta, in the Council Chambers on Tuesday, March 29, 2016, at 2:30 p.m., the following lands:

Roll	**Legal Description**
149100	Lot 60 Block 5 Plan 7920204

The lands are being offered for sale on an "as is, where is" basis, and the Town of Morinville 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 lands for any intended use by the Purchaser.

The parcels 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 Morinville may, after the public auction, become the owner of any parcel of land that is not sold at the public auction.

Terms: payment in Cash, Bank Draft or Certified Cheque. 10% deposit and balance within 30 days of date of Public Auction. GST may apply.

Redemption may be effected by payment of all arrears of taxes and costs at any time prior to the sale.

Dated at Morinville, Alberta, January 19, 2016.

Andrew Isbister, *Interim Chief Administration Officer*.

Town of Taber

Notice is hereby given that, under the provisions of the Municipal Government Act, the Town of Taber will offer for sale, by public auction, in the Council Chambers, Town Administration Building, A – 4900 50 Street, Taber, Alberta, on Wednesday, March 30, 2016, at 10:00 a.m., the following parcels of land:

Lot	Block	Plan	C of T
10, 11, 12	46	575T	111314068

This land is being offered for sale on an "as is, where is" basis. The Town of Taber 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 subject land for any intended use by the purchaser.

Each parcel will be offered for sale subject to a reserve bid, and to the reservations and conditions contained in the Certificate of Title that applies to that parcel.

Terms: 10% cash deposit, balance within forty-five (45) working days.

The Town of Taber may, after the public auction, become the owner of any parcel of land that is not sold at the public auction.

If tax arrears are paid on any of these parcels of land prior to the auction, that parcel will be removed from the auction list. If the auction is cancelled as a result of all tax arrears being paid, the Town of Taber will post a notice in the Town Administration Building foyer.

Dated at Taber, Alberta, February 1, 2016.

Greg Birch, *Chief Administrative Officer*.

Town of Vermilion

Notice is hereby given that, under the provisions of the Municipal Government Act, the Town of Vermilion will offer for sale, by public auction, in the Town Hall, 5021 – 49th Avenue, Vermilion, Alberta, on Tuesday, March 29, 2016, at 1:00 p.m., the following land:

Lot	Block	Plan	Civic Address	Certificate of Title
20	38	635V	4715 55 Avenue	912046113
19	52	5706	5728 Park Drive	012225966

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 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, vacant possession, or the 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 of sale will be considered other than those specified by the Town.

The Town of Vermilion 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 Vermilion, Alberta, February 2, 2016.

Village of Chipman

Notice is hereby given that, under the provisions of the Municipal Government Act, the Village of Chipman will offer for sale, by public auction, in the Village Administration Office, 4816-50 Street, Chipman, Alberta, on Monday, April 11, 2016, at 10:00 a.m., the following lands:

Lot(s)	Block	Plan
1 & 2	2	5250-Q
17	1	5250-Q

Pt NE-30-54-18-4 containing 0.413 Hectares (1.02 Acres) more or less.

Each parcel of land 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 Village of Chipman 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 subject land for an 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 Village. No further information is available at the auction regarding the lands to be sold.

The Village may, after the public auction, become the owner of any property or parcel of land that is 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 Chipman, Alberta, January 11, 2016.

Pat Tomkow, *Administrator*.

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 emailed 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*
February 29	April 10
March 15	April 25
March 31	May 11
April 15	May 26
April 30	June 10
May 14	June 24
May 31	July 11
June 15	July 26
June 30	August 10
July 15	August 25
July 30	September 9
August 15	September 25

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