The Alberta Gazette

Part I

Vol. 117 Edmonton, Friday, December 31, 2021 No. 24

PROCLAMATION

[GREAT SEAL]
CANADA
PROVINCE OF ALBERTA Salma Lakhani, *Lieutenant Governor.*

ELIZABETH THE SECOND, by the Grace of God, of the United Kingdom, Canada, and Her Other Realms and Territories, **QUEEN**, Head of the Commonwealth, Defender of the Faith

P R O C L A M A T I O N

To all to Whom these Presents shall come

G R E E T I N G

Frank Bosscha, Q.C., *Deputy Attorney General*

WHEREAS section 8 of the Municipal Government (Restoring Tax Accountability) Amendment Act, 2021 provides that that Act comes into force on Proclamation; and

WHEREAS it is expedient to proclaim the Municipal Government (Restoring Tax Accountability) Amendment Act, 2021 in force:

NOW KNOW YE THAT by and with the advice and consent of Our Executive Council of Our Province of Alberta, by virtue of the provisions of the said Act hereinbefore referred to and of all other power and authority whatsoever in Us vested in that behalf, We have ordered and declared and do hereby proclaim the Municipal Government (Restoring Tax Accountability) Amendment Act, 2021 in force on the date of issue of this Proclamation.

IN TESTIMONY WHEREOF We have caused these Our Letters to be made Patent and the Great Seal of Our Province of Alberta to be hereunto affixed.

WITNESS: THE HONOURABLE SALMA LAKHANI, Lieutenant Governor of Our Province of Alberta, this 8th day of December in the Year of Our Lord Two Thousand Twenty-one and in the Seventieth Year of Our Reign.

BY COMMAND Kaycee Madu, Q.C., *Provincial Secretary.*

PROCLAMATION

[GREAT SEAL]
CANADA
PROVINCE OF ALBERTA Salma Lakhani, *Lieutenant Governor.*

ELIZABETH THE SECOND, by the Grace of God, of the United Kingdom, Canada, and Her Other Realms and Territories, **QUEEN**, Head of the Commonwealth, Defender of the Faith

P R O C L A M A T I O N

To all to Whom these Presents shall come

G R E E T I N G

Frank Bosscha, Q.C., *Deputy Attorney General*

WHEREAS section 1(22) of the Advanced Education Statutes Amendment Act, 2021 provides that section 1 of that Act comes into force on Proclamation; and

WHEREAS it is expedient to proclaim section 1(1), (2), (6), (8), (9) and (19) of the Advanced Education Statutes Amendment Act, 2021 in force:

NOW KNOW YE THAT by and with the advice and consent of Our Executive Council of Our Province of Alberta, by virtue of the provisions of the said Act hereinbefore referred to and of all other power and authority whatsoever in Us vested in that behalf, We have ordered and declared and do hereby proclaim section 1(1), (2), (6), (8), (9) and (19) of the Advanced Education Statutes Amendment Act, 2021 in force on the date of issue of this Proclamation.

IN TESTIMONY WHEREOF We have caused these Our Letters to be made Patent and the Great Seal of Our Province of Alberta to be hereunto affixed.

WITNESS: THE HONOURABLE SALMA LAKHANI, Lieutenant Governor of Our Province of Alberta, this 8th day of December in the Year of Our Lord Two Thousand Twenty-one and in the Seventieth Year of Our Reign.

BY COMMAND Kaycee Madu, Q.C., *Provincial Secretary.*

PROCLAMATION

[GREAT SEAL]
CANADA
PROVINCE OF ALBERTA Salma Lakhani, *Lieutenant Governor.*

ELIZABETH THE SECOND, by the Grace of God, of the United Kingdom, Canada, and Her Other Realms and Territories, **QUEEN**, Head of the Commonwealth, Defender of the Faith

P R O C L A M A T I O N

To all to Whom these Presents shall come

G R E E T I N G

Frank Bosscha, Q.C., *Deputy Attorney General*

WHEREAS section 35 of the Geothermal Resource Development Act provides that that Act comes into force on Proclamation; and

WHEREAS it is expedient to proclaim the Geothermal Resource Development Act in force:

NOW KNOW YE THAT by and with the advice and consent of Our Executive Council of Our Province of Alberta, by virtue of the provisions of the said Act hereinbefore referred to and of all other power and authority whatsoever in Us vested in that behalf, We have ordered and declared and do hereby proclaim the Geothermal Resource Development Act in force on the date of issue of this Proclamation.

IN TESTIMONY WHEREOF We have caused these Our Letters to be made Patent and the Great Seal of Our Province of Alberta to be hereunto affixed.

WITNESS: THE HONOURABLE SALMA LAKHANI, Lieutenant Governor of Our Province of Alberta, this 8th day of December in the Year of Our Lord Two Thousand Twenty-one and in the Seventieth Year of Our Reign.

BY COMMAND Kaycee Madu, Q.C., *Provincial Secretary.*

PROCLAMATION

[GREAT SEAL]
CANADA
PROVINCE OF ALBERTA Salma Lakhani, *Lieutenant Governor.*

ELIZABETH THE SECOND, by the Grace of God, of the United Kingdom, Canada, and Her Other Realms and Territories, **QUEEN**, Head of the Commonwealth, Defender of the Faith

P R O C L A M A T I O N

To all to Whom these Presents shall come

G R E E T I N G

Frank Bosscha, Q.C., *Deputy Attorney General*

WHEREAS section 3(28) of the Education Statutes (Students First) Amendment Act, 2021 provides that section 3 of that Act comes into force on Proclamation; and

WHEREAS it is expedient to proclaim section 3(1), (7)(b), to the extent that it enacts section 24(3.1)(a) of the Teaching Profession Act, (10)(c) and (23), to the extent that it enacts section 57.1(1)(a), (c) and (d) of the Teaching Profession Act, of the Education Statutes (Students First) Amendment Act, 2021 in force:

NOW KNOW YE THAT by and with the advice and consent of Our Executive Council of Our Province of Alberta, by virtue of the provisions of the said Act hereinbefore referred to and of all other power and authority whatsoever in Us vested in that behalf, We have ordered and declared and do hereby proclaim section 3(1), (7)(b), to the extent that it enacts section 24(3.1)(a) of the Teaching Profession Act, (10)(c) and (23), to the extent that it enacts section 57.1(1)(a), (c) and (d) of the Teaching Profession Act, of the Education Statutes (Students First) Amendment Act, 2021 in force on the date of issue of this Proclamation.

IN TESTIMONY WHEREOF We have caused these Our Letters to be made Patent and the Great Seal of Our Province of Alberta to be hereunto affixed.

WITNESS: THE HONOURABLE SALMA LAKHANI, Lieutenant Governor of Our Province of Alberta, this 15th day of December in the Year of Our Lord Two Thousand Twenty-one and in the Seventieth Year of Our Reign.

BY COMMAND Kaycee Madu, Q.C., *Provincial Secretary.*

PROCLAMATION

[GREAT SEAL]
CANADA
PROVINCE OF ALBERTA Salma Lakhani, *Lieutenant Governor.*

ELIZABETH THE SECOND, by the Grace of God, of the United Kingdom, Canada, and Her Other Realms and Territories, **QUEEN**, Head of the Commonwealth, Defender of the Faith

P R O C L A M A T I O N

To all to Whom these Presents shall come

G R E E T I N G

Frank Bosscha, Q.C., *Deputy Attorney General*

WHEREAS section 11(3)(b) and (c) and (19) of the Restoring Balance in Alberta's Workplaces Act, 2020 were proclaimed in force on October 30, 2020; and

WHEREAS section 11(14), (16), (23)(a), (24), (25), (31), (36), (37), (38) and (42), to the extent that it enacts section 209(2)(d) and (h) of the Labour Relations Code, of the Restoring Balance in Alberta's Workplaces Act, 2020 were proclaimed in force on February 10, 2021; and

WHEREAS section 11(43) of the Restoring Balance in Alberta's Workplaces Act, 2020 provides that section 11(3)(b) and (c), (7), (8), (9), (10), (11), (12), (14), (16), (19), (23)(a), (24), (25), (31), (32)(a), (33)(b)(i) and (ii), (36), (37), (38) and (42), to the extent that it enacts section 209(2)(d) and (h) of the Labour Relations Code, of that Act comes into force on Proclamation; and

WHEREAS section 12(4) of the Restoring Balance in Alberta's Workplaces Act, 2020 provides that section 12 of that Act comes into force on Proclamation; and

WHEREAS section 13(5) of the Restoring Balance in Alberta's Workplaces Act, 2020 provides that section 13 of that Act comes into force on Proclamation; and

WHEREAS section 14(4) of the Restoring Balance in Alberta's Workplaces Act, 2020 provides that section 14 of that Act comes into force on Proclamation; and

WHEREAS section 15(8) of the Restoring Balance in Alberta's Workplaces Act, 2020 provides that section 15 of that Act comes into force on Proclamation; and

WHEREAS it is expedient to proclaim certain provisions of the Restoring Balance in Alberta's Workplaces Act, 2020 in force:

NOW KNOW YE THAT by and with the advice and consent of Our Executive Council of Our Province of Alberta, by virtue of the provisions of the said Act hereinbefore referred to and of all other power and authority whatsoever in Us vested in that behalf, We have ordered and declared and do hereby proclaim the following provisions of the Restoring Balance in Alberta's Workplaces Act, 2020 in force on the following dates:

(a) on February 1, 2022, sections 11(1), (8), (9), to the extent that it enacts sections 26.1(1), (3), (5), (6) and (9) to (13) of the Labour Relations Code, (10), (11), (32)(a)(ii), to the extent that it enacts section 149(1)(d.1) and (d.3) of the Labour Relations Code, and (33)(b)(i), 12(1) and (3), to the extent that it enacts section 42.1(1), (2), (4), (6), (7) and (10) to (12) of the Police Officers Collective Bargaining Act, 13, 14(1) and (2), to the extent that it enacts section 5.1(1), (2), (4), (6), (8) and (11) to (13) of the Public Education Collective Bargaining Act, and 15(1), (3), (4), (5), to the extent that it enacts section 22.1(1), (3), (5), (6) and (9) to (11) of the Public Service Employee Relations Act, (6)(b), to the extent that it enacts section 45(3)(e.2) and (e.4) of the Public Service Employee Relations Act, and (7)(a);

(b) on August 1, 2022, sections 11(7) and (9), to the extent that it enacts sections 26.1(2), (4), (7) and (8) of the Labour Relations Code, (12), (32)(a)(i) and (ii), to the extent that it enacts section 149(1)(d.2) of the Labour Relations Code, and (33)(b)(ii), 12(2) and (3), to the extent that it enacts section 42.1(3), (5), (8) and (9) of the Police Officers Collective Bargaining Act, 14(2), to the extent that it enacts section 5.1(3), (5), (7), (9) and (10) of the Public Education Collective Bargaining Act, and (3), and 15(2) and (5), to the extent that it enacts section 22.1(2), (4), (7) and (8) of the Public Service Employee Relations Act, (6)(a) and (b), to the extent that it enacts section 45(3)(e.3) of the Public Service Employee Relations Act, and (7)(b).

IN TESTIMONY WHEREOF We have caused these Our Letters to be made Patent and the Great Seal of Our Province of Alberta to be hereunto affixed.

WITNESS: THE HONOURABLE SALMA LAKHANI, Lieutenant Governor of Our Province of Alberta, this 15th day of December in the Year of Our Lord Two Thousand Twenty-one and in the Seventieth Year of Our Reign.

BY COMMAND Kaycee Madu, Q.C., *Provincial Secretary.*

PROCLAMATION

[GREAT SEAL]
CANADA
PROVINCE OF ALBERTA Salma Lakhani, *Lieutenant Governor.*

ELIZABETH THE SECOND, by the Grace of God, of the United Kingdom, Canada, and Her Other Realms and Territories, **QUEEN**, Head of the Commonwealth, Defender of the Faith

P R O C L A M A T I O N

To all to Whom these Presents shall come

G R E E T I N G

Frank Bosscha, Q.C., *Deputy Attorney General*

WHEREAS section 26.1(12) of the Labour Relations Code provides that certain provisions of the Labour Relations Code do not apply to academic staff associations, graduate students associations or postdoctoral fellows associations until a Proclamation is issued fixing the date of application of those provisions; and

WHEREAS it is expedient to proclaim the date of the application of certain provisions of the Labour Relations Code to academic staff associations, graduate students associations and postdoctoral fellows associations:

NOW KNOW YE THAT by and with the advice and consent of Our Executive Council of Our Province of Alberta, by virtue of the provisions of the said Act hereinbefore referred to and of all other power and authority whatsoever in Us vested in that behalf, We have ordered and declared and do hereby proclaim the date of the application of the following provisions of the Labour Relations Code to academic staff associations, graduate students associations and postdoctoral fellows associations:

(a) February 1, 2022, in respect of sections 26.1(1), (3), (5), (6) and (9) to (13) and 27;

(b) August 1, 2022, in respect of sections 26.1(2), (4), (7) and (8), 29(2), 149(1)(a)(iii) and 151(g).

IN TESTIMONY WHEREOF We have caused these Our Letters to be made Patent and the Great Seal of Our Province of Alberta to be hereunto affixed.

WITNESS: THE HONOURABLE SALMA LAKHANI, Lieutenant Governor of Our Province of Alberta, this 15th day of December in the Year of Our Lord Two Thousand Twenty-one and in the Seventieth Year of Our Reign.

BY COMMAND Kaycee Madu, Q.C., *Provincial Secretary.*

APPOINTMENTS

Appointment of Non-Presiding Justice of the Peace

(Justice of the Peace Act)

December 2, 2021
Curley, Joshua Russell of Vermilion
Hagel, Kristine Rayanne of Red Deer
Quartly, Nicole Erin of High Prairie

Designation of Full-time Justice of the Peace

(Justice of the Peace Act)

December 8, 2021
Catherine Ann Workun, Q.C.

Reappointment of Part-time Provincial Court Judge

(Provincial Court Act)

December 16, 2021
Honourable Judge Kenneth Edmund Tjosvold

For a term to expire December 15, 2022.

December 19, 2021
Honourable Judge William John Cummings

For a term to expire December 18, 2022.

ORDERS IN COUNCIL

O.C. 361/2021

(Municipal Government Act)

Approved and ordered:
Salma Lakhani
Lieutenant Governor. December 8, 2021

The Lieutenant Governor in Council makes the Order Annexing Land from Mountain View County to the Town of Olds set out in the attached Appendix.

Jason Kenney, Chair.

APPENDIX

ORDER ANNEXING LAND FROM MOUNTAIN VIEW COUNTY TO THE TOWN OF OLDS

1 In this Order,

(a) "annexed land" means the land described in Schedule 1 and shown on the sketch in Schedule 2;

(b) "farmstead" means an established residential site that previously contained or currently contains a dwelling and other improvements used in connection with the raising or production of crops, livestock or poultry, situated on the same land used in connection with the farming operations;

(c) "Town of Olds Land Use Bylaw" means the Town of Olds Land Use Bylaw 01-23 in effect as of September 25, 2001, as amended or replaced from time to time.

2 Effective January 1, 2022, the land described in Schedule 1 and shown on the sketch in Schedule 2 is separated from Mountain View County and annexed to the Town of Olds.

3 Any taxes owing to Mountain View County at the end of December 31, 2021 in respect of the annexed land and any assessable improvements to it are transferred to and become payable to the Town of Olds together with any lawful penalties and costs levied in respect of those taxes, and the Town of Olds on collecting those taxes, penalties and costs must pay them to Mountain View County.

4(1) For the purpose of taxation in 2022 and in each subsequent year up to and including 2041, the annexed land and assessable improvements to it

(a) must be assessed by the Town of Olds on the same basis as if they had remained in Mountain View County, and

(b) must be taxed by the Town of Olds 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 Mountain View County, or

(ii) the municipal tax rate established by the Town of Olds,

whichever is lower, for property of the same assessment class.

(2) Where in 2022 or any subsequent taxation year up to and including 2041 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 the 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 Town of Olds Land Use Bylaw to another designation,

(c) is subject to a local improvement bylaw for a local improvement project initiated by or with the support of the landowner which results in the connection of the parcel of land and improvements to the Town of Olds water or sanitary sewer servicing, or

(d) is connected, at the request of or on behalf of the landowner, to water or sanitary sewer services provided by the Town of Olds

subsection (1) 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.

(3) After subsection (1) ceases to apply to a portion of the annexed land in a taxation year, that portion of the annexed land and the assessable improvements to it must be assessed and taxed for the purposes of property taxes in the same manner as other property of the same assessment class in the Town of Olds is assessed and taxed.

(4) Notwithstanding subsection (2)(a), subsection (1) does not cease to apply if

(a) the subdivision is the separation of an existing farmstead from a previously undivided quarter section, or

(b) the subdivision becomes a residual portion of 16 hectares or more after a new parcel referred to in subclause 2(a) has been created.

(5) Notwithstanding subsection (2)(b),subsection (1) does not cease to apply if a portion of the annexed land is redesignated under the Town of Olds Land Use Bylaw to the designation “Urban Reserve”.

(6) Notwithstanding subsection (2)(d), subsection (1) does not cease to apply if the subdivision in respect of any portion of the annexed land has an existing connection to water or sanitary sewer services provided by the Town of Olds on the date that annexation takes effect.

(7) After subsection (1) ceases to apply to a portion of the annexed land in a taxation year, that portion of the annexed land and the assessable improvements to it must be assessed and taxed for the purposes of property taxes in the same manner as other property of the same assessment class in the Town of Olds is assessed and taxed.

5 For the purpose of taxation in 2023 and subsequent years, the assessor for the Town of Olds must assess the annexed land and the assessable improvements to it.

6 The Town of Olds shall pay Mountain View County

(a) $16 280.90 on or before February 1, 2022, and

(b) $65 023.59 on or before December 31, 2022.

Schedule 1

DETAILED DESCRIPTION OF THE LANDS SEPARATED FROM MOUNTAIN VIEW COUNTY AND ANNEXED TO THE TOWN OF OLDS

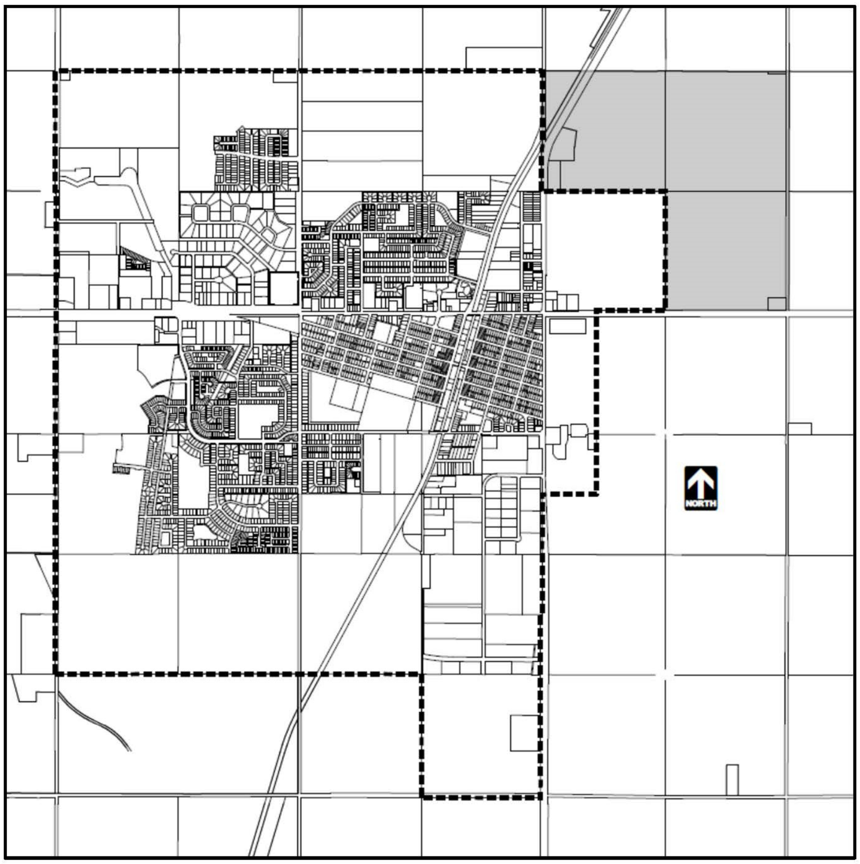
ALL THAT PORTION OF THE NORTHEAST QUARTER OF SECTION FIVE (5), TOWNSHIP THIRTY-THREE (33), RANGE ONE (1) WEST OF THE FIFTH (5) MERIDIAN NOT WITHIN THE TOWN OF OLDS.

THE NORTHWEST QUARTER OF SECTION FOUR (4), TOWNSHIP THIRTY-THREE (33), RANGE ONE (1) WEST OF THE FIFTH (5) MERIDIAN

ALL THAT PORTION OF THE EAST HALF OF SECTION FOUR (4), TOWNSHIP THIRTY-THREE (33), RANGE ONE (1) WEST OF THE FIFTH (5) MERIDIAN LYING NORTH OF THE NORTH BOUNDARY OF PLAN 7027 HX AND INCLUDING THAT PORTION OF THE NORTH-SOUTH ROAD ALLOWANCE ADJACENT TO THE EAST BOUNDARY OF SAID HALF SECTION LYING NORTH OF THE PROJECTION EAST OF THE NORTH BOUNDARY OF PLAN 7027 HX.

Schedule 2

SKETCH SHOWING THE GENERAL LOCATION OF THE AREAS SEPARATED FROM MOUNTAIN VIEW COUNTY AND ANNEXED TO THE TOWN OF OLDS



Legend

Existing Town of Olds Boundary

Annexation Area

O.C. 362/2021

(Municipal Government Act)

Approved and ordered:
Salma Lakhani
Lieutenant Governor.

December 8, 2021

The Lieutenant Governor in Council makes the Order Annexing Land from Sturgeon County to the City of St. Albert set out in the attached Appendix.

Jason Kenney, Chair.

APPENDIX

ORDER ANNEXING LAND FROM STURGEON COUNTY TO THE CITY OF ST. ALBERT

1 In this Order,

(a) "annexed land" means the land described in Schedule 1 and shown on the sketch in Schedule 2;

(b) "Sturgeon County Land Use Bylaw" means Sturgeon County Land Use Bylaw 1385/17 in effect as of September 2, 2020.

2 Effective January 1, 2022, the land described in Schedule 1 and shown on the sketch in Schedule 2 is separated from Sturgeon County and annexed to the City of St. Albert.

3 Any taxes owing to Sturgeon County at the end of December 31, 2021 in respect of the annexed land and any assessable improvements to it are transferred to and become payable to the City of St. Albert together with any lawful penalties and costs levied in respect of those taxes, and the City of St. Albert on collecting those taxes, penalties and costs must pay them to Sturgeon County.

4(1) For the purpose of taxation in 2022 and in each subsequent year up to and including 2065, the annexed land and assessable improvements to it, excluding linear property,

(a) must be assessed by the City of St. Albert on the same basis as if they had remained in Sturgeon County, and

(b) must be taxed by the City of St. Albert 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 Sturgeon County, or

(ii) the municipal tax rate established by the City of St. Albert, whichever is lower, for property of the same assessment class.

(2) Where in 2022 or any subsequent taxation year up to and including 2065 a portion of the annexed land

(a) becomes a new parcel of land created at the request of or on behalf of the landowner

(i) as a result of subdivision,

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

(iii) by instrument or any other method,

except where the subdivision of the parcel is from land zoned as AG in the Sturgeon County Land Use Bylaw and conforms to the maximum combined density specified in Part 11, Section 11.1(3)(a) in the Sturgeon County Land Use Bylaw,

(b) is redesignated, at the request of or on behalf of the landowner, under the City of St. Albert Land Use Bylaw to another designation, or

(c) is connected, at the request of or on behalf of the landowner, to water or sanitary sewer services provided by the City of St. Albert,

subsection (1) 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.

(3) After subsection (1) ceases to apply to a portion of the annexed land in a taxation year, that portion of the annexed land and the assessable improvements to it must be assessed and taxed for the purposes of property taxes in the same manner as other property of the same assessment class in the City of St. Albert is assessed and taxed.

5 For the purpose of taxation in 2023 and subsequent years, the assessor for the City of St. Albert must assess the annexed land and the assessable improvements to it.

6 The City of St. Albert shall pay Sturgeon County the sum of $600 000 on or before April 1, 2022.

7 Despite any other provision in this Order, title to the land described as follows shall remain vested in Sturgeon County and shall not transfer to the City of St. Albert:

ALL THAT PORTION OF THE UNDERGROUND WATER AND WASTEWATER INFRASTRUCTURE IN EXISTENCE AS OF DECEMBER 31, 2021 LOCATED IN THE EAST-WEST ROAD ALLOWANCE ON THE SOUTH BOUNDARY OF SECTIONS THIRTY (30), TWENTY–NINE (29), TWENTY–EIGHT (28) AND TWENTY–SEVEN (27) OF TOWNSHIP FIFTY–FOUR (54), RANGE TWENTY–FIVE (25), WEST OF THE FOURTH (4) MERIDIAN LYING EAST OF

THE PROJECTION NORTH OF THE MOST EASTERN POINT OF LOT 2, PLAN 872 2561 AND EXTENDING EAST TO THE PROJECTION SOUTH OF THE WESTERN BOUNDARY OF BLOCK 1, LOT 4, PLAN 102 5693.

Schedule 1

DETAILED DESCRIPTION OF THE LANDS SEPARATED FROM STURGEON COUNTY AND ANNEXED TO THE CITY OF ST. ALBERT

ALL THAT PORTION OF THE NORTH HALF OF SECTION ONE (1), TOWNSHIP FIFTY-FOUR (54), RANGE TWENTY-SIX (26), WEST OF THE FOURTH (4) MERIDIAN NOT WITHIN THE CITY OF ST. ALBERT LYING NORTH OF THE NORTH BOUNDARY OF PLAN 6054 AO.

ALL THAT PORTION OF SECTION TWELVE (12), TOWNSHIP FIFTY-FOUR (54), RANGE TWENTY-SIX (26), WEST OF THE FOURTH (4) MERIDIAN NOT WITHIN THE CITY OF ST. ALBERT LYING NORTH OF THE NORTH BOUNDARY OF PLAN 6054 AO AND THE WESTERLY PROJECTION THEREOF.

ALL THAT PORTION OF SECTION THIRTEEN (13), TOWNSHIP FIFTY-FOUR (54), RANGE TWENTY-SIX (26), WEST OF THE FOURTH (4) MERIDIAN NOT WITHIN THE CITY OF ST. ALBERT.

ALL THAT PORTION OF THE SOUTHWEST QUARTER OF SECTION TWENTY-FOUR (24), TOWNSHIP FIFTY-FOUR (54), RANGE TWENTY-SIX (26), WEST OF THE FOURTH (4) MERIDIAN LYING SOUTH OF THE NORTH BOUNDARY OF LOT 1, PLAN 992 5995.

ALL THAT PORTION OF LOT 2, BLOCK 1, PLAN 932 0111 LYING SOUTH OF THE PROJECTION EAST OF THE NORTH BOUNDARY OF LOT 1, PLAN 992 5995 INCLUDING THAT PORTION OF THE SOUTHEAST QUARTER OF SECTION TWENTY-FOUR (24), TOWNSHIP FIFTY-FOUR (54), RANGE TWENTY-SIX (26), WEST OF THE FOURTH (4) MERIDIAN ADJACENT TO THE SOUTH BOUNDARY OF LOT 2, BLOCK 1, PLAN 932 011 AND INCLUDING THAT PORTION OF THE SOUTHWEST QUARTER OF SECTION NINETEEN (19), TOWNSHIP FIFTY-FOUR (54), RANGE TWENTY-FIVE (25), WEST OF THE FOURTH (4) MERIDIAN LYING WEST OF THE PROJECTION SOUTH OF THE EAST BOUNDARY OF LOT 2, BLOCK 1, PLAN 932 0111.

ALL THAT PORTION OF THE SOUTHEAST QUARTER OF SECTION TWENTY-THREE (23), TOWNSHIP FIFTY-FOUR (54), RANGE TWENTY-SIX (26), WEST OF THE FOURTH (4) MERIDIAN LYING EAST AND NORTH OF THE WEST AND SOUTH BOUNDARY OF ROAD PLAN 1311 K EXCLUDING LOT 4, PLAN 982 6489 AND EXCLUDING THAT PORTION OF ROAD PLAN 1311 K LYING NORTH OF THE PROJECTION WEST OF THE NORTH BOUNDARY OF LOT 1, PLAN 992 5995.

ALL THAT PORTION OF SECTION EIGHTEEN (18), TOWNSHIP FIFTY-FOUR (54), RANGE TWENTY-FIVE (25), WEST OF THE FOURTH (4) MERIDIAN NOT WITHIN THE CITY OF ST. ALBERT.

ALL THAT PORTION OF THE SOUTH HALF OF SECTION NINETEEN (19), TOWNSHIP FIFTY-FOUR (54), RANGE TWENTY-FIVE (25), WEST OF THE FOURTH (4) MERIDIAN LYING EAST OF THE EASTERN BOUNDARY OF LOT 2, BLOCK 1, PLAN 932 0111 AND THE SOUTHERLY PROJECTION THEREOF.

ALL THAT PORTION OF THE NORTHEAST QUARTER OF SECTION NINETEEN (19), TOWNSHIP FIFTY-FOUR (54), RANGE TWENTY-FIVE (25), WEST OF THE FOURTH (4) MERIDIAN LYING EAST OF THE EASTERN BOUNDARY OF LOT 2, PLAN 872 2561 INCLUDING THE EAST-WEST ROAD ALLOWANCE ADJACENT TO THE NORTH SIDE OF SAID QUARTER SECTION LYING EAST OF THE PROJECTION NORTH OF THE EASTERN POINT OF LOT 2, PLAN 872 2561.

ALL THAT PORTION OF SECTION TWENTY (20), TOWNSHIP FIFTY-FOUR (54), RANGE TWENTY-FIVE (25), WEST OF THE FOURTH (4) MERIDIAN NOT WITHIN THE CITY OF ST. ALBERT INCLUDING THAT PORTION OF THE EAST-WEST ROAD ALLOWANCE ADJACENT TO THE NORTH BOUNDARY OF SAID SECTION AND INCLUDING THAT PORTION OF ROAD PLAN 202 2789 ADJOINING THE NORTH BOUNDARY OF THE EAST-WEST ROAD ALLOWANCE ADJACENT TO THE NORTH BOUNDARY OF SAID SECTION.

ALL THAT PORTION OF SECTION SEVENTEEN (17), TOWNSHIP FIFTY-FOUR (54), RANGE TWENTY-FIVE (25), WEST OF THE FOURTH (4) MERIDIAN NOT WITHIN THE CITY OF ST. ALBERT.

ALL THAT PORTION OF SECTION TWENTY-ONE (21), TOWNSHIP FIFTY-FOUR (54), RANGE TWENTY-FIVE (25), WEST OF THE FOURTH (4) MERIDIAN NOT WITHIN THE CITY OF ST. ALBERT INCLUDING THAT PORTION OF THE EAST-WEST ROAD ALLOWANCE ADJACENT TO THE NORTH BOUNDARY OF SAID SECTION AND INCLUDING THE NORTH-SOUTH ROAD ALLOWANCE ADJACENT TO THE EAST SIDE OF SAID SECTION.

ALL THAT PORTION OF THE NORTHWEST QUARTER OF SECTION TWENTY-TWO (22), TOWNSHIP FIFTY-FOUR (54), RANGE TWENTY-FIVE (25), WEST OF THE FOURTH (4) MERIDIAN WHICH IS BOUNDED ON THE SOUTHEAST BY THE NORTHERLY BOUNDARY OF THE ROAD ALLOWANCE SEPARATING ST. ALBERT SETTLEMENT FROM THE SAID QUARTER SECTION AS SHOWN ON A PLAN OF SURVEY OF THE SAID TOWNSHIP SIGNED AT OTTAWA ON THE 5 DAY OF MARCH A.D. 1884 AND WHICH LIES TO THE SOUTHWEST OF A LINE DESCRIBED AS FOLLOWS:

COMMENCING AT A POINT ON THE NORTH BOUNDARY OF THE ROAD ALLOWANCE SEPARATING THE ST. ALBERT SETTLEMENT FROM THE SAID QUARTER SECTION, WHICH POINT LIES 73.90 METRES SOUTHWEST OF THE INTERSECTION OF THE NORTH BOUNDARY OF THE SAID ROAD ALLOWANCE WITH THE PRODUCTION NORTH-WESTERLY OF THE EAST BOUNDARY OF RIVER LOT 37 WITHIN THE ST. ALBERT SETTLEMENT,

THENCE NORTHWESTERLY TO A POINT ON THE WEST BOUNDARY OF THE SAID QUARTER SECTION 325.20 METRES NORTH OF THE SOUTHWEST CORNER OF THE TITLED PORTION OF SAID QUARTER SECTION.

ALL THAT PORTION OF THE RIVER LOT THIRTY-SEVEN (37) AS SHOWN ON A PLAN OF SURVEY OF THE SAID SETTLEMENT SIGNED AT OTTAWA ON THE 7TH DAY OF OCTOBER A.D. 1910 WITHIN THE NORTHWEST QUARTER OF SECTION TWENTY-TWO (22), TOWNSHIP FIFTY-FOUR (54), RANGE TWENTY-FIVE (25), WEST OF THE FOURTH (4) MERIDIAN AND INCLUDING ALL THAT PORTION OF THE ROAD ALLOWANCE ADJACENT TO THE NORTH BOUNDARY OF SAID RIVER LOT THIRTY-SEVEN (37) LYING WEST OF THE PROJECTION NORTHWESTERLY OF THE EASTERN BOUNDARY OF SAID RIVER LOT THIRTY-SEVEN (37).

ALL THAT PORTION OF THE SOUTHWEST QUARTER OF SECTION TWENTY-TWO (22), TOWNSHIP FIFTY-FOUR (54), RANGE TWENTY-FIVE (25), WEST OF THE FOURTH (4) MERIDIAN LYING WEST OF THE EASTERN BOUNDARY OF RIVER LOT THIRTY-SEVEN (37) AS SHOWN ON A PLAN OF SURVEY OF THE SAID SETTLEMENT SIGNED AT OTTAWA ON THE 7TH DAY OF OCTOBER A.D. 1910.

ALL THAT PORTION OF SECTION FIFTEEN (15), TOWNSHIP FIFTY-FOUR (54), RANGE TWENTY-FIVE (25), WEST OF THE FOURTH (4) MERIDIAN NOT WITHIN THE CITY OF ST. ALBERT LYING WEST OF A LINE PROJECTED SOUTHEASTERLY FROM THE POINT THE EASTERN BOUNDARY OF RIVER LOT THIRTY-SEVEN (37) AS SHOWN ON A PLAN OF SURVEY OF THE SAID SETTLEMENT SIGNED AT OTTAWA ON THE 7TH DAY OF OCTOBER A.D. 1910 INTERSECTS THE NORTHERN BOUNDARY OF SAID SECTION TO THE RIGHT BANK OF THE STURGEON RIVER AND LYING NORTH OF THE RIGHT BANK OF THE STURGEON RIVER.

ALL THAT PORTION OF THE NORTHEAST QUARTER OF SECTION TEN (10), TOWNSHIP FIFTY-FOUR (54), RANGE TWENTY-FIVE (25), WEST OF THE FOURTH (4) MERIDIAN NOT WITHIN THE CITY OF ST. ALBERT.

ALL THAT PORTION OF THE EAST HALF OF SECTION FIFTEEN (15), TOWNSHIP FIFTY-FOUR (54), RANGE TWENTY-FIVE (25), WEST OF THE FOURTH (4) MERIDIAN NOT WITHIN THE CITY OF ST. ALBERT LYING SOUTH AND EAST OF THE RIGHT BANK OF THE STURGEON RIVER AND SOUTH OF THE NORTHEASTERN BOUNDARY OF ST. ALBERT

SETTLEMENT RIVER LOT FIFTY-SIX (56) AS SHOWN ON A PLAN OF SURVEY OF SAID SETTLEMENT SIGNED AT OTTAWA ON THE 7TH DAY OF OCTOBER A.D. 1910.

ALL THAT PORTION OF THE SOUTHWEST QUARTER OF SECTION FOURTEEN (14), TOWNSHIP FIFTY-FOUR (54), RANGE TWENTY-FIVE (25), WEST OF THE FOURTH (4) MERIDIAN LYING SOUTH OF THE PROJECTION OF A LINE COMMENCING AT THE INTERSECTION OF ST. ALBERT SETTLEMENT RIVER LOT FIFTY-SIX (56) AS SHOWN ON A PLAN OF SURVEY OF SAID SETTLEMENT SIGNED AT OTTAWA ON THE 7TH DAY OF OCTOBER A.D. 1910 AND THE WESTERN BOUNDARY OF SAID QUARTER SECTION TO THE INTERSECTION OF SAID RIVER LOT FIFTY-SIX (56) AND THE EASTERN BOUNDARY OF SAID QUARTER SECTION.

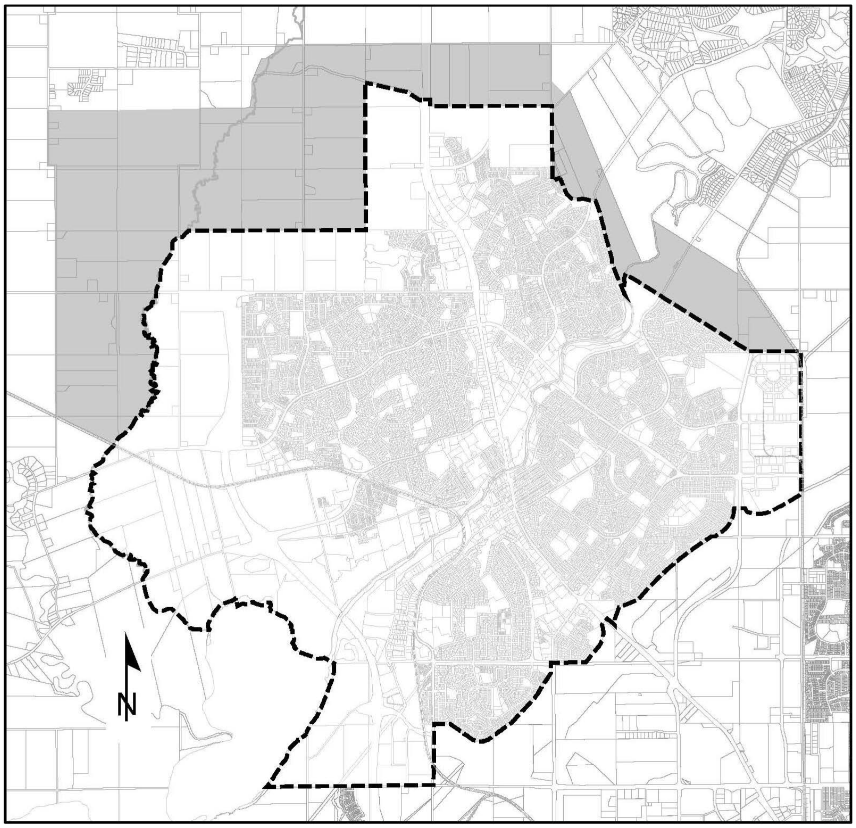
ALL THAT PORTION OF THE NORTHWEST QUARTER OF SECTION ELEVEN (11), TOWNSHIP FIFTY-FOUR (54), RANGE TWENTY-FIVE (25), WEST OF THE FOURTH (4) MERIDIAN NOT WITHIN THE CITY OF ST. ALBERT.

BLOCK A, PLAN 3951RS.

ALL THAT PORTION OF THE NORTHEAST QUARTER OF SECTION ELEVEN (11), TOWNSHIP FIFTY-FOUR (54), RANGE TWENTY-FIVE (25), WEST OF THE FOURTH (4) MERIDIAN NOT WITHIN THE CITY OF ST. ALBERT LYING WEST OF THE WESTERN BOUNDARY OF PLAN 5773 AY AND INCLUDING THAT PORTION OF THE EAST-WEST ROAD ALLOWANCE ADJACENT TO THE NORTH BOUNDARY OF SAID QUARTER SECTION LYING WEST OF THE WESTERN BOUNDARY OF PLAN 5773 AY.

Schedule 2

SKETCH SHOWING THE GENERAL LOCATION OF THE AREAS SEPARATED FROM STURGEON COUNTY AND ANNEXED TO THE CITY OF ST. ALBERT



Legend

- - - - - Existing City of St. Albert Boundary

Annexation Area

O.C. 363/2021

(Municipal Government Act)

Approved and ordered:
Salma Lakhani
Lieutenant Governor. December 8, 2021

The Lieutenant Governor in Council makes the Order Annexing Land from Strathcona County to the City of Fort Saskatchewan set out in the attached Appendix.

Jason Kenney, Chair.

APPENDIX

ORDER ANNEXING LAND FROM STRATHCONA COUNTY TO THE CITY OF FORT SASKATCHEWAN

1 Effective January 1, 2022, the land described in Schedule 1 and shown on the sketch in Schedule 2 is separated from Strathcona County and annexed to the City of Fort Saskatchewan.

Schedule 1

DETAILED DESCRIPTION OF THE LANDS SEPARATED FROM STRATHCONA COUNTY AND ANNEXED TO THE CITY OF FORT SASKATCHEWAN

ALL THAT PORTION OF THE EAST HALF OF SECTION THIRTY-THREE (33), TOWNSHIP FIFTY-FOUR (54), RANGE TWENTY-TWO (22), WEST OF THE FOURTH (4) MERIDIAN NOT WITHIN THE CITY OF FORT SASKATCHEWAN INCLUDING ALL THAT LAND LYING WEST OF THE EAST BOUNDARY OF THE NORTH-SOUTH ROAD ALLOWANCE ADJACENT TO THE EAST SIDE OF SAID HALF SECTION.

Schedule 2

SKETCH SHOWING THE GENERAL LOCATION OF THE AREAS SEPARATED FROM STRATHCONA COUNTY AND ANNEXED TO THE CITY OF FORT SASKATCHEWAN

Legend

■■■■■■■■■■ Existing City of Fort Saskatchewan Boundary

Annexation Area

GOVERNMENT NOTICES

Agriculture, Forestry and Rural Economic Development

Form 15

(Irrigation Districts Act)
(Section 88)

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

On behalf of the **Raymond Irrigation District**, I hereby request that the Irrigation Secretariat forward a certified copy of this notice to the Registrar of 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 **added** to the irrigation district and the appropriate notation added to the certificate of title:

LINC Number	Short Legal Description as shown on title	Title Number
0022 795 422	4;19;5;31;NW	961 269 749
0022 795 430	4;19;5;31;NE	961 269 749
0022 290 952	4;19;6;5;SW	961 269 749 +2

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

Rebecca Fast, *Office Administrator,*
Irrigation Secretariat.

On behalf of the **Western Irrigation District**, I hereby request that the Irrigation Secretariat forward a certified copy of this notice to the Registrar of 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 **added** to the irrigation district and the appropriate notation added to the certificate of title:

LINC Number	Short Legal Description as shown on title	Title Number
0016 418 121	4;23;25;2;SE	911 003 414

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.*

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
0023 921 372	4;21;22;13;SE	051 069 410 +1
0038 913 703	2111258;2;5	211 212 911
0036 588 409	4;25;22;4;SW	151 072 694 +5
0038 126 827	1812235;11;1	201 218 324

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.*

Energy

Declaration of Withdrawal from Unit Agreement

(Petroleum and Natural Gas Tenure Regulations)

The Minister of Energy on behalf of the Crown in Right of Alberta hereby declares and states that the Crown has withdrawn as a party to the agreement entitled “Provost Viking Agreement No. 19” effective October 31, 2021.

Stacey Szeto, *for Minister of 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 – Ferrier Cardium Agreement No. 13" and that the Unit became effective on February 1, 2021.

EXHIBIT "A" - PART I

ATTACHED TO AND MADE PART OF AN AGREEMENT ENTITLED
"Ferrier Cardium Agreement No. 13"

Tract No.	Land Description (M-R-T-S)	Lease No.	Royalty Interest Owner	Share of Royalty Interest Owner (%)	Tract Participation (%)	Working Interest Owner	Share of Working Interest (%)	Share of Tract Participation (%)
1	5-07-037: 08 NE	112 242 378	PrairieSky Royalty Ltd.	27.8275	22.9759	Yangarra Resources Corp.	100	22.9759
		942 343 247	Freehold Royalties Ltd.	72.1725				
		082 074 296						
2	5-07-037: 08 SE	112 242 378	PrairieSky Royalty Ltd.	27.8275	26.2389	Yangarra Resources Corp.	100	26.2389
		942 343 247	Freehold Royalties Ltd.	72.1725				
		082 074 296						
3	5-07-037: 05 NE	0518110081	Crown	100	26.2410	Yangarra Resources Corp.	100	26.2410
4	5-07-037: 05 SE	0518110081	Crown	100	24.5442	Yangarra Resources Corp.	100	24.5442

Working Interest Owners:

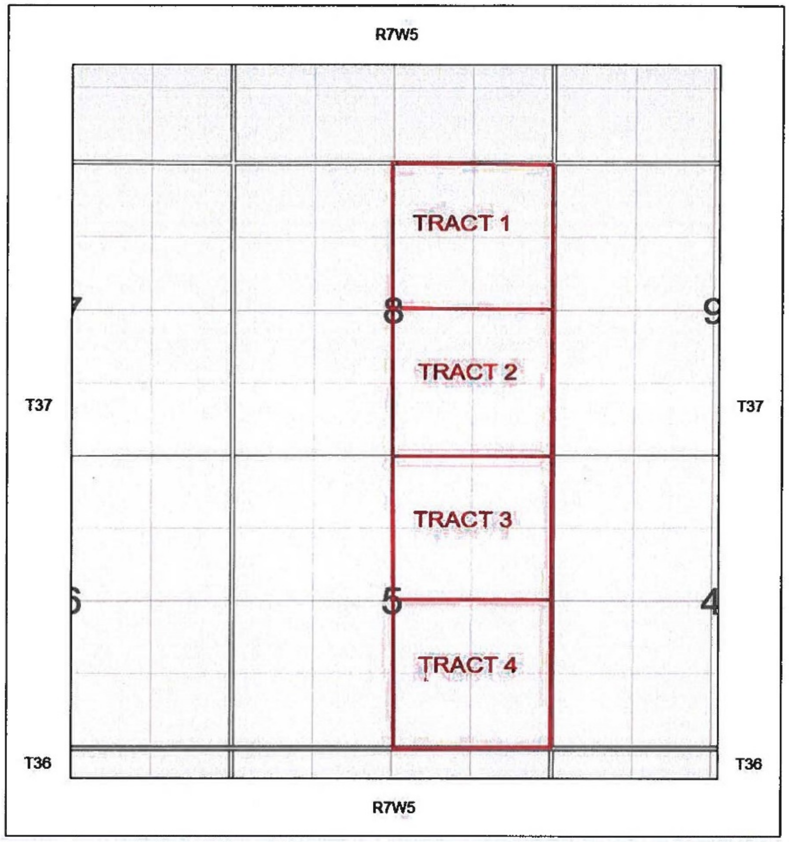
Yangarra Resources Corp. 100%

Effective as of the Effective Date

Note: The Crown is not responsible for the information provided by the Royalty Interest Owners who have an absolute ownership interest, or a fee simple or similar ownership estate in the Production Allocation Substances in the Production Allocation Zone.

EXHIBIT "B"

ATTACHED TO AND MADE PART OF AN AGREEMENT ENTITLED
"Ferrier Cardium Agreement No. 13"

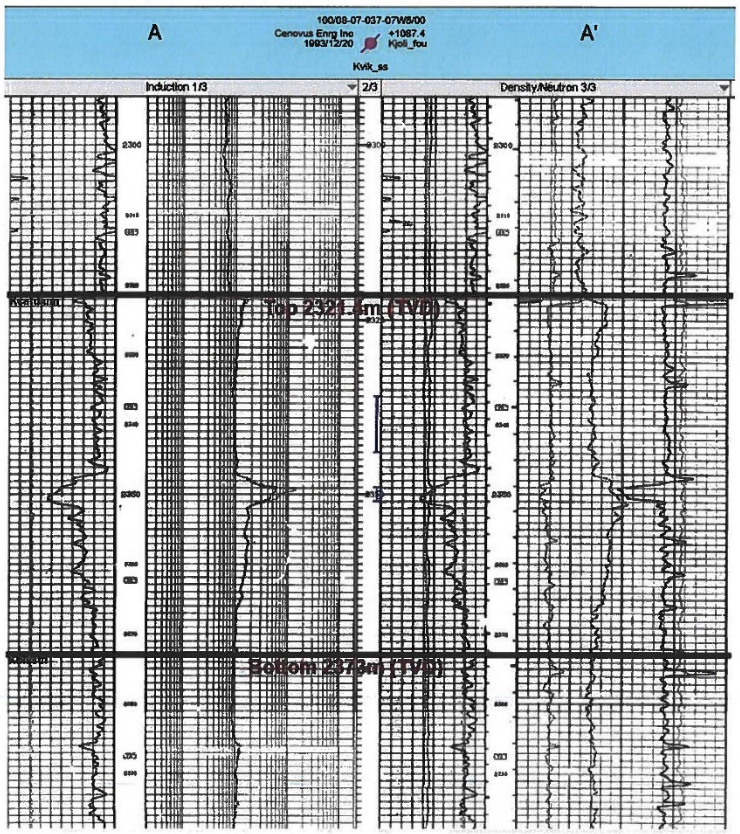


Effective as of the Effective Date

EXHIBIT "C"

ATTACHED TO AND MADE PART OF AN AGREEMENT ENTITLED
"Ferrier Cardium Agreement No. 13"

A portion of the photo density dual spaced neutron array induction log recorded at the well 100/08-07-037-07W5/00 located in LSD 08.



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 – Ferrier Cardium Agreement No. 14" and that the Unit became effective on February 1, 2021.

EXHIBIT "A" - PART I

ATTACHED TO AND MADE PART OF AN AGREEMENT ENTITLED
"Ferrier Cardium Agreement No. 14"

Tract No.	Land Description (M-R-T:S)	Lease No.	Royalty Interest Owner	Share of Royalty Interest Owner (%)	Tract Participation (%)	Working Interest Owner	Share of Working Interest (%)	Share of Tract Participation (%)
1	5-07-037: 08 NE	112 242 378	PrairieSky Royalty Ltd.	27.8275	22.9725	Yangarra Resources Corp.	100	22.9725
		942 343 247	Freehold Royalties Ltd.	72.1725				
		082 074 296						
2	5-07-037: 08 SE	112 242 378	PrairieSky Royalty Ltd.	27.8275	26.2026	Yangarra Resources Corp.	100	26.2026
		942 343 247	Freehold Royalties Ltd.	72.1725				
		082 074 296						
3	5-07-037: 05 NE	0518110081	Crown	100	26.2042	Yangarra Resources Corp.	100	26.2042
4	5-07-037: 05 SE	0518110081	Crown	100	24.6207	Yangarra Resources Corp.	100	24.6207

Working Interest Owners:

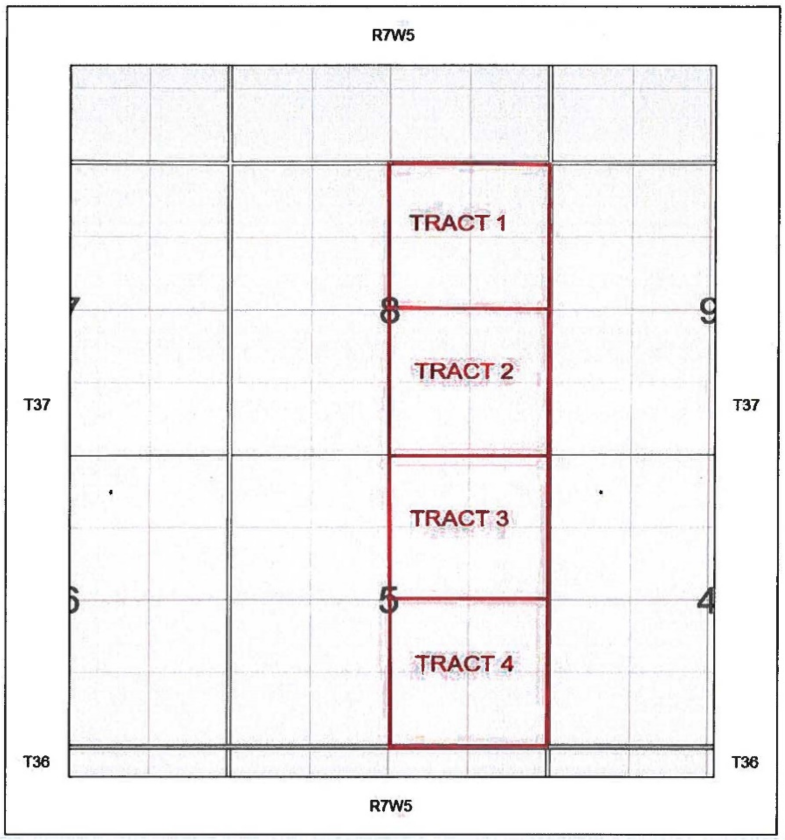
Yangarra Resources Corp. 100%

Effective as of the Effective Date

Note: The Crown is not responsible for the information provided by the Royalty Interest Owners who have an absolute ownership interest, or a fee simple or similar ownership estate in the Production Allocation Substances in the Production Allocation Zone.

EXHIBIT "B"

ATTACHED TO AND MADE PART OF AN AGREEMENT ENTITLED
"Ferrier Cardium Agreement No. 14"

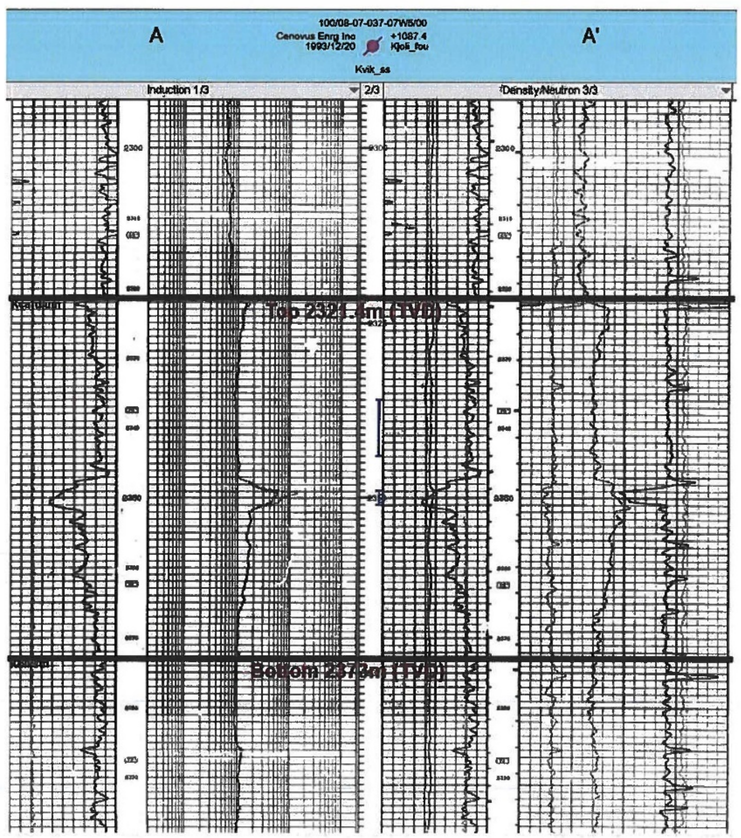


Effective as of the Effective Date

EXHIBIT "C"

ATTACHED TO AND MADE PART OF AN AGREEMENT ENTITLED
"Ferrier Cardium Agreement No. 14"

A portion of the photo density dual spaced neutron array induction log recorded at the well 100/08-07-037-07W5/00 located in LSD 08.



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 – Ferrier Cardium Agreement No. 15" and that the Unit became effective on February 1, 2021.

EXHIBIT "A" - PART I

ATTACHED TO AND MADE PART OF AN AGREEMENT ENTITLED
"Ferrier Cardium Agreement No. 15"

Tract No.	Land Description (M-R-T:S)	Lease No.	Royalty Interest Owner	Share of Royalty Interest Owner (%)	Tract Participation (%)	Working Interest Owner	Share of Working Interest (%)	Share of Tract Participation (%)
1	5-07-037: 08 NE	112 242 378	PrairieSky Royalty Ltd.	27.8275	22.9793	Yangarra Resources Corp.	100	22.9793
		942 343 247	Freehold Royalties Ltd.	72.1725				
		082 074 296						
2	5-07-037: 08 SE	112 242 378	PrairieSky Royalty Ltd.	27.8275	26.2752	Yangarra Resources Corp.	100	26.2752
		942 343 247	Freehold Royalties Ltd.	72.1725				
		082 074 296						
3	5-07-037: 05 NE	0518110081	Crown	100	26.2778	Yangarra Resources Corp.	100	26.2778
4	5-07-037: 05 SE	0518110081	Crown	100	24.4677	Yangarra Resources Corp.	100	24.4677

Working Interest Owners:

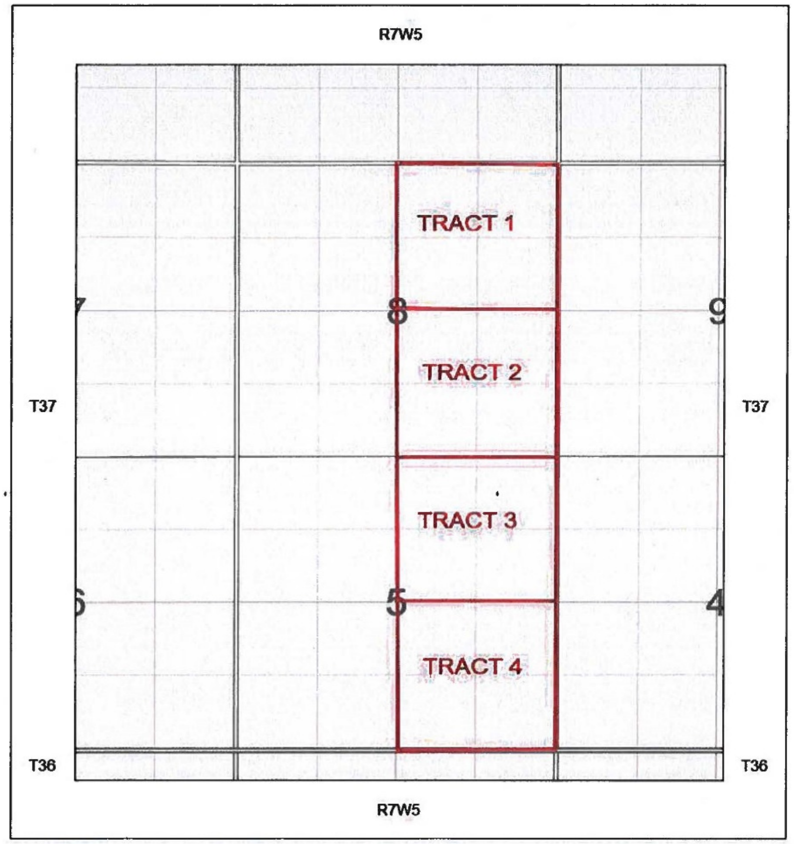
Yangarra Resources Corp. 100%

Effective as of the Effective Date

Note: The Crown is not responsible for the information provided by the Royalty Interest Owners who have an absolute ownership interest, or a fee simple or similar ownership estate in the Production Allocation Substances in the Production Allocation Zone.

EXHIBIT "B"

ATTACHED TO AND MADE PART OF AN AGREEMENT ENTITLED
"Ferrier Cardium Agreement No. 15"

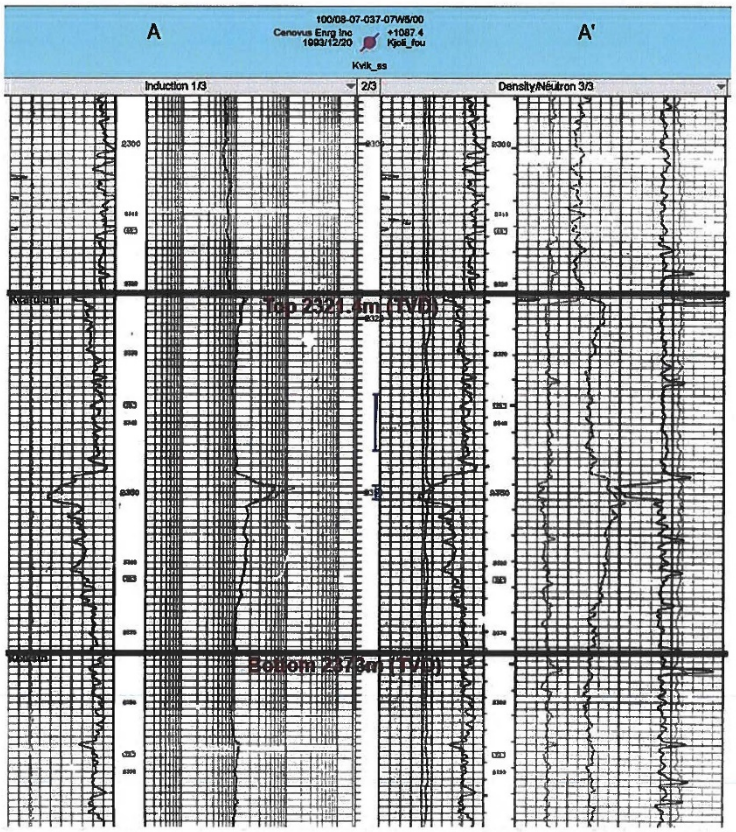


Effective as of the Effective Date

EXHIBIT "C"

ATTACHED TO AND MADE PART OF AN AGREEMENT ENTITLED
"Ferrier Cardium Agreement No. 15"

A portion of the photo density dual spaced neutron array induction log recorded at the well 100/08-07-037-07W5/00 located in LSD 08.



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 – Morningside Middle Mannville Agreement No. 5" and that the Unit became effective on January 1, 2021.

EXHIBIT "A" - PART I

ATTACHED TO AND MADE PART OF AN AGREEMENT ENTITLED
"Morningside Middle Mannville Agreement No. 5"

Tract No.	Land Description (M R T: Sec)	Lease Number	Royalty Interest Owner	Share of Royalty Interest (%)	Tract Participation (%)	Working Interest Owner	Share of Working Interest (%)	Share of Tract Participation (%)
1	4-28-042: Sec 24	PNG Lease No. 0400110692	Crown	100	21.68	BONAVISTA ENERGY CORPORATION	100	21.68
2	4-28-042: NW 13 As to an Und. 1/10 Mineral Interest	FH PNG Lease dated April 30, 2014	Charlotte Ann Cummings	10% of 11.2525	45.01	BONAVISTA ENERGY CORPORATION	100	45.01
	4-28-042: NW 13 As to an Und. 1/10 Mineral Interest	FH PNG Lease dated April 30, 2014	Kathleen Jo Cummings	10% of 11.2525		BONAVISTA ENERGY CORPORATION	100	
	4-28-042: NW 13 As to an Und. 1/5 Mineral Interest	FH PNG Lease dated April 30, 2014	Lyall Gary Riley	20% of 11.2525		BONAVISTA ENERGY CORPORATION	100	
	4-28-042: NW 13 As to an Und. 1/5 Mineral Interest	FH PNG Lease dated April 30, 2014	Bruce Ellis Riley	20% of 11.2525		BONAVISTA ENERGY CORPORATION	100	
	4-28-042: NW 13 As to an Und. 1/5 Mineral Interest	FH PNG Lease dated April 30, 2014	Kelvin Jon Riley	20% of 11.2525		BONAVISTA ENERGY CORPORATION	100	
	4-28-042: NW 13 As to an Und. 1/5 Mineral Interest	FH PNG Lease dated April 30, 2014	Brent Murray Riley	20% of 11.2525		BONAVISTA ENERGY CORPORATION	100	
	4-28-042: NE 13	M177983	PrairieSky Royalty Ltd.	100% of 11.2525		BONAVISTA ENERGY CORPORATION	100	
	4-28-042: SW 13	FH PNG Lease dated October 19, 2015	Bonavista Energy Corporation	100% of 11.2525		BONAVISTA ENERGY CORPORATION	100	
	4-28-042: SE 13	FH PNG Lease dated August 26, 2014	Byron Harvey Riley	100% of 11.2525		BONAVISTA ENERGY CORPORATION	100	

Page 1 of 2

EXHIBIT "A" - PART I

ATTACHED TO AND MADE PART OF AN AGREEMENT ENTITLED
"Morningside Middle Mannville Agreement No. 5"

Tract No.	Land Description (M R T: Sec)	Lease Number	Royalty Interest Owner	Share of Royalty Interest Owner (%)	Tract Participation (%)	Working Interest Owner	Share of Working Interest (%)	Share of Tract Participation (%)
3	4-28-042: Sec 12	PNG Lease No. 0487050348	Crown	100	33.31	BONAVISTA ENERGY CORPORATION	100	33.31

Working Interest Owners:

<u>BONAVISTA ENERGY CORPORATION</u> <u>100%</u>

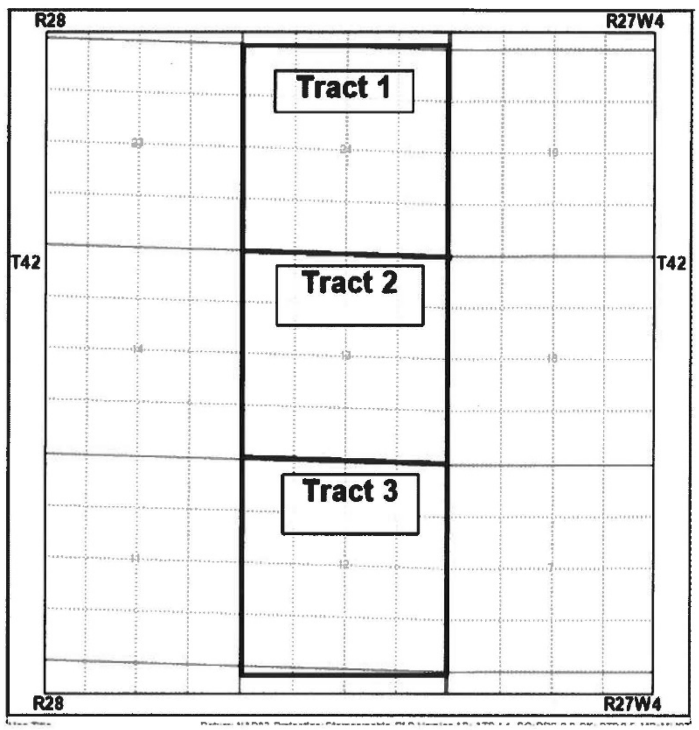
Effective as of the Effective Date

Note: The Crown is not responsible for the information provided by the Royalty Interest Owners who have an absolute ownership interest, or a fee simple or similar ownership estate in the Production Allocation Substances in the Production Allocation Zone.

Page 2 of 2

EXHIBIT "B"

ATTACHED TO AND MADE PART OF AN AGREEMENT ENTITLED
"Morningside Middle Mannville Agreement No. 5"

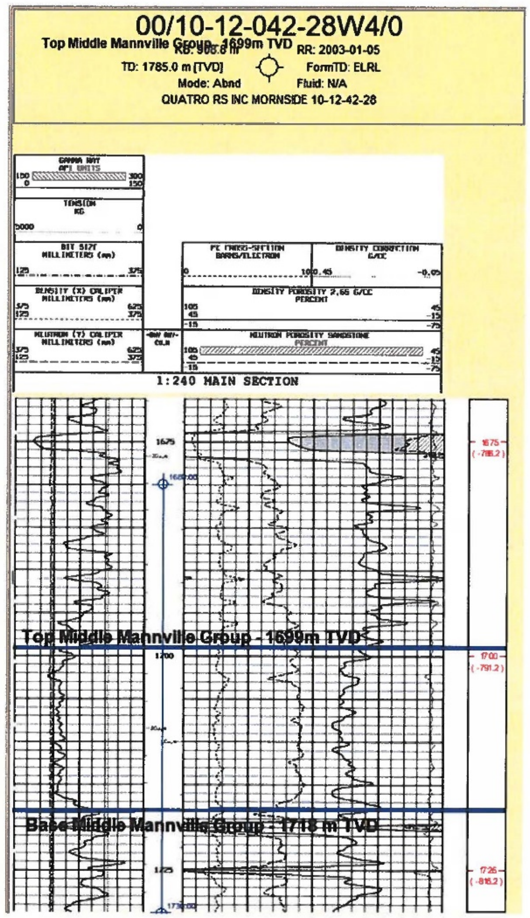


Effective as of the Effective Date

EXHIBIT "C"

ATTACHED TO AND MADE PART OF AN AGREEMENT ENTITLED
"Morningside Middle Mannville Agreement No. 5"

A portion of the Neutron Density log recorded at the well 100/10-12-042-28W4/00 located in LSD 10



Environment and Parks

Code of Practice for Hydrovac Facilities

Made under the Environmental Protection and Enhancement Act
and the Waste Control Regulation
(Effective December 15, 2021)

DEFINITIONS

1(1) All definitions in the *Environmental Protection and Enhancement Act* and associated regulations shall apply, except where expressly defined in this Code of Practice.

(2) For the purpose of this Code of Practice,

(a) "Act" means the Environmental Protection and Enhancement Act, R.S.A. 2000 c. E-12, as amended;

(b) "active area" means the physical locations at a hydrovac facility that are used for receiving, processing, handling or storing of hydrovac waste, car wash sump waste, drilling waste, hydrovac solids, hydrovac wastewater, run-off, amendments, chemicals or fuels;

(c) "Alberta Tier 1 Guidelines" means Alberta Tier 1 Soil and Groundwater Remediation Guidelines, published by Alberta Environment and Parks, January 2019, as amended or replaced from time to time;

(d) "Alberta Tier 2 Guidelines" means Alberta Tier 2 Soil and Groundwater Remediation Guidelines, published by Alberta Environment and Parks, January 2019, as amended or replaced from time to time;

(e) "amendment" means a product or material that is mixed with hydrovac waste during treatment;

(f) "amendment storage area" means a physical location at a hydrovac facility that is used to store amendments;

(g) "baseline groundwater quality" means the quality of groundwater, in a particular groundwater zone, that is representative of the groundwater quality prior to the start of operations at a hydrovac facility;

(h) "Code of Practice" means the *Code of Practice for Hydrovac Facilities*, as amended;

(i) "composite sample" means a sample that is taken by collecting and combining a number of discrete samples into one homogenized sample in order to represent the average concentration of the material from which the discrete samples were taken;

(j) "car wash sump waste" means waste collected from sumps at a car wash, but does not include slurries from tanker cleaning or industrial wash sump waste;

(k) "day" means any period of 24 consecutive hours;

(l) "design capacity" means the total maximum volume (in cubic meters) of all wastes and amendments that a hydrovac facility is capable of receiving, processing and storing at any point in time;

(m) "drilling waste" means waste created from horizontal and directional drilling excavation processes;

(n) "final closure" means the period after a hydrovac facility has permanently stopped accepting and processing waste;

(o) "grab sample" means a discrete individual sample of a substance that is representative of the substance that is being sampled, but does not include a composite sample;

(p) "groundwater" means groundwater as defined in the *Water Act*, RSA 2000, c W-3, as amended from time to time;

(q) "groundwater monitoring well" means a water well as defined in the *Water Act*, RSA 2000, c W-3, as amended from time to time, that is used by a hydrovac facility to measure groundwater levels and collect groundwater samples for the purpose of physical, chemical, or biological analysis;

(r) "groundwater parameter" means any of the parameters listed in Schedule A to this Code of Practice;

(s) "groundwater quality control limit" means an established level for a groundwater parameter;

(t) "hydrovac" means an excavation process to create an opening in the ground surface and through the subsurface wherein pressurized water (liquid) is used to loosen surface or subsurface material, which is then vacuumed and removed from the excavation opening that is created;

(u) "hydrovac solids" means solid materials that have been separated from hydrovac waste;

(v) "hydrovac solids storage area" means the physical location at a hydrovac facility that is used to store hydrovac solids;

(w) "hydrovac wastewater" means any liquid that has been separated from hydrovac waste;

(x) "ISO/IEC 17025" means the international standard developed and published by the International Organization for Standardization (ISO) and International Electrotechnical Commission (IEC) specifying the management and technical requirements for laboratories, as amended;

(y) “liner” means a continuous layer constructed of natural or man-made materials beneath and on the sides of a structure or facility that restricts the downward or lateral migration of the contents from the structure or facility;

(z) “NORM” means naturally occurring radioactive materials;

(aa) “NORM waste” means any waste with concentrations of NORM above the limits specified in Tables 5.1, 5.2, or 5.3 of the *Canadian Guidelines for the Management of Naturally Occurring Radioactive Materials, April 2014*, published by Health Canada, as amended or replaced from time to time;

(bb) “person responsible” for a hydrovac facility means a person responsible as defined in the Waste Control Regulation;

(cc) “wastewater” means any or any combination of:

(i) equipment wash down water, or

(ii) other wastewater generated at a hydrovac facility

but does not include hydrovac wastewater;

(dd) "qualified professional" means a person who:

(i) is registered in good standing in Alberta with a professional association and is subject to that professional association’s code of ethics and disciplinary action, and

(ii) has acquired the relevant education, work experience, accreditation, and expertise to provide technical advice pertaining to this Code of Practice;

(ee) “receiving area” means a physical location at a hydrovac facility that is used to receive and temporarily store hydrovac waste prior to processing;

(ff) “retention pond” means a pond that is designed to store hydrovac wastewater or run-off;

(gg) “run-off” means any precipitation that falls on or drains as surface flow from the active area of a hydrovac facility;

(hh) “run-on” means any precipitation that falls on or that drains as surface flow from adjacent areas onto the active area of a hydrovac facility;

(ii) “subsoil” means the layer of soil directly below topsoil, to a maximum depth of 1.2 metres below the topsoil surface, that consists of the B and C horizons as defined in *The System of Soil Classification for Canada, Third Edition*, published by Agriculture and Agri-Food Canada, as amended or replaced from time to time;

(jj) “topsoil” means the uppermost layers of soil that consist of:

(i) the A-horizons and all organic horizons as defined in *The System of Soil Classification for Canada, Third Edition*, published by Agriculture and Agri-Food Canada, as amended or replaced from time to time, and

(ii) the soil ordinarily moved during tillage;

(kk) "treat", with reference to hydrovac waste, car wash sump waste, and drilling waste, means to apply a method, technique, or process, including, without limitation, neutralization and stabilization, that is designed to change the physical, chemical, or biological character or composition of the substances in the hydrovac wastes, but does not include:

(i) unassisted gravity separation, or

(ii) mechanically assisted gravity separation, including centrifuge;

(ll) "treatment area" means the physical location at a hydrovac facility that is used to treat hydrovac waste car wash sump waste, drilling waste, hydrovac solids, or hydrovac wastewater;

(mm) "water well" means a water well as defined in the *Water Act*, RSA 2000, c W-3, as amended from time to time;

(nn) "water body" means a water body as defined in the *Water Act*, RSA 2000, c W-3, as amended from time to time;

(oo) "working surface" means a surface that has been designed to withstand the wear and tear of the equipment upon it, and provides a protective layer over a liner;

(pp) "year" means a calendar year.

COMPLIANCE WITH THIS CODE

2(1) This Code of Practice applies to:

(a) a hydrovac facility that accepts and treats not more than 50,000 tonnes of hydrovac waste per year, or

(b) a hydrovac facility that accepts not more than 50,000 tonnes or less of hydrovac waste per year for reuse.

(2) An existing hydrovac facility that holds an approval issued in accordance with the Act must comply with the approval for that hydrovac facility until a registration for the hydrovac facility is issued by the Director and the approval has been cancelled.

(3) The total capacity of the storage areas on the site listed in section 4 shall not exceed 50,000 tonnes.

REGISTRATION REQUIREMENTS

3(1) In addition to any information required by the Director under the Approvals and Registration Procedure Regulation (A.R. 113/93), the person responsible shall submit the following information to the Director, prior to commencing construction of a hydrovac facility:

(a) a completed registration application form, in the form prescribed in Schedule B to this Code of Practice,

(b) a facility design plan and specifications, prepared in accordance with section 4,

(c) a soil conservation plan, prepared in accordance with section 5,

(d) an operations plan, prepared in accordance with section 6,

(e) a groundwater monitoring program, prepared in accordance with section 7, and

(f) financial security calculations, as required under Part 4 of the Waste Control Regulation.

FACILITY DESIGN PLAN AND SPECIFICATIONS

4(1) The facility design plan and specifications must include:

(a) designs that include distinctive areas to prevent cross contamination for the acceptance of:

(i) car wash sump waste, drilling waste, and hydrovac waste containing contaminants, including septage or drilling additives, and

(ii) hydrovac waste not containing contaminants,

(b) the technology that will be used,

(c) a block process flow diagram showing all inputs, outputs and waste streams for and connections between each of the processes and units,

(d) a Safety Data Sheet for each chemical and for each amendment that will be used,

(e) a description of the steps that will be taken to prevent the tracking of mud onto the public road surface,

(f) impacts on the ability to use the hydrovac solids or hydrovac wastewater based on the type of amendment(s) or chemicals used,

(g) the design capacity (tonnes per year) of the hydrovac facility, including:

(i) the maximum vertical and lateral dimensions of each of the following, measured in metres:

(A) receiving areas,

(B) amendment, chemical and fuel storage areas, where applicable,

(C) treatment areas, where applicable,

(D) areas for unassisted gravity separation or mechanically assisted gravity separation (such as a centrifuge),

(E) waste storage areas for car wash sump waste, drilling waste and hydrovac waste storage areas,

(F) hydrovac wastewater storage areas,

(G) hydrovac solids storage areas,

(H) areas for run-off management, and

(I) tanks, bins and processing equipment, where applicable.

(ii) the maximum volume, measured in cubic metres, of each of the:

(A) receiving areas,

(B) amendment, chemical and fuel storage areas,

(C) treatment areas, where applicable,

(D) areas for unassisted gravity separation or mechanically assisted gravity separation (such as a centrifuge),

(E) waste storage areas for car wash sump waste, drilling waste and hydrovac waste storage area,

(F) hydrovac wastewater storage areas,

(G) hydrovac solids storage areas,

(H) areas for run-off management, and

(I) tanks, bins and processing equipment, where applicable,

(h) designs for the working surface used to protect the liner(s) in subsection (2), as applicable,

(i) designs for the containment system for hydrovac waste, car wash sump waste, drilling waste, hydrovac solids, hydrovac wastewater, run-off and wastewater in accordance with subsection (2) or subsection (3),

(j) a detailed process flow diagram along with a mass balance based on the design capacity in accordance with subsection (2) or subsection (3),

(k) designs for a run-on control system that is, at a minimum, capable of preventing the flow of water, that is not less than the peak discharge from a 1-in-25 year storm event lasting 24 hours in duration, onto active areas of the hydrovac facility,

(l) designs for a run-off control system that is, at a minimum, capable of collecting and containing the volume of run-off expected from a 1-in-25 year storm event lasting 24 hours in duration,

(m) design of a groundwater monitoring system that, at a minimum, includes:

(i) at least one groundwater monitoring well up-gradient of the hydrovac facility,

(ii) at least two groundwater monitoring wells down-gradient of the hydrovac facility,

(iii) the use of a type of groundwater monitoring well that is appropriate to monitor for groundwater contaminants,

(iv) if one of the down-gradient wells is a nested pair to monitor for different vertical layers of groundwater flow, at least one additional groundwater monitoring well down-gradient of the hydrovac facility, and

(v) a description of the relationship between the site operations, hydrogeologic setting and potential contaminant pathways to receptors, and interpretation of groundwater elevations, flow, patterns and composition,

(n) a site plan, drawn to scale in metric units, showing:

(i) the location of the hydrovac facility relative to adjacent developments, including residences, potable water sources, public roadways, and water bodies,

(ii) topographic site plans showing the overall site development and setbacks from property lines,

(iii) facility drainage plan showing catchment areas and collection ditches and pipes leading to the run-off control system,

(iv) all buildings and structures within the facility boundary, and

(v) cross-sections showing grades and elevations of working surfaces in the active areas and retention ponds,

(o) a description of site restoration procedures, and

(p) a description of the proposed final end use of the site as required in section 17.

(2) The designs for the containment system referred to in subsection (1)(i) must conform to the following:

(a) for the containment of hydrovac solids, use of a liner system that has a separation of at least 1 metre between the seasonally high water table and the bottom of the liner and is constructed of:

(i) a clay material with:

(A) a thickness of at least 0.5 metres measured perpendicular to the liner surface, and

(B) a hydraulic conductivity of 1 x 10^{-9} metres per second or less, or

(ii) an alternative liner material that will achieve performance equivalent to the requirements set out in subsection (2)(a)(i), and

(b) for the containment of hydrovac waste, car wash sump waste, drilling waste, hydrovac wastewater, run-off, and wastewater, a retention pond liner system that has a separation of at least 1 metre between the seasonally high water table and the bottom of the liner and is constructed of:

(i) a clay material with:

(A) a thickness of at least 1.0 metres measured perpendicular to the liner surface, and

(B) a hydraulic conductivity of 1 x 10^{-9} metres per second or less, or

(ii) an alternative liner that will achieve performance equivalent to the requirements set out in subsection (2)(b)(i).

(3) The designs for the containment system referred to in subsection (2) can be replaced with a tank or bin that is constructed of non-earthen material and provides containment and structural support.

(4) The total capacity of all storage areas on the site listed in section 4(1)(g) must not exceed the annual volume of the design capacity as listed in section 4(1)(g) with a maximum of 50,000 tonnes.

(5) The facility design plan and specifications must be prepared and signed by a qualified professional.

SOIL CONSERVATION PLAN

5(1) In the soil conservation plan, the person responsible must include the following:

(a) detailed plans to conserve on site topsoil and subsoil as described in section 10(11),

(b) an evaluation of the site topsoil and subsoil depth prior to commencement of the facility;

(c) a map showing the proposed locations of topsoil and subsoil stockpiles, and

(d) an initial siting soil sample of the underlying subsoil for the soil parameters listed in Schedule 3 prior to commencement of the facility.

OPERATIONS PLAN

6(1) In the operations plan, the person responsible must include at least each of the following:

(a) criteria for the acceptance of waste at the hydrovac facility including:

(i) procedures for the pre-screening of hydrovac waste, car wash sump waste, and drilling waste to be transported to the hydrovac facility to prevent unauthorized waste from being transported to the facility, and

(ii) a response plan for managing unauthorized wastes at the facility,

(b) procedures for handling, treatment and storage of hydrovac wastes, car wash sump waste, drilling waste, amendments, chemicals and fuels at the hydrovac facility, including:

(i) receiving of hydrovac waste, car wash sump waste and drilling waste,

(ii) treatment or separation of hydrovac waste, car waste sump waste and drilling waste,

(iii) treatment of hydrovac wastewater and hydrovac solids for use or disposal, and

(iv) storage of hydrovac waste, hydrovac wastewater, hydrovac solids, car wash sump waste, drilling waste, amendments, chemicals and fuels,

(c) procedures for quantifying hydrovac waste, hydrovac wastewater, hydrovac solids, car wash sump waste, drilling waste, run-off, and wastewater at all times at the hydrovac facility,

(d) a description of the operational procedures that will be used at the hydrovac facility, including:

(i) the type of hydrovac waste to be accepted, including distinctive areas for the acceptance of:

(A) car wash sump waste, drilling waste, hydrovac waste containing contaminants, including septage or drilling additives, and

(B) hydrovac waste not containing contaminants,

(ii) if the hydrovac facility will accept the types of hydrovac waste listed in (A) or (B),

(e) procedures to prevent cross contamination or mixing of hydrovac wastes, hydrovac solids and hydrovac wastewater stored or processed in the areas listed in section 6(1)(d)(i)(A) and (B),

(f) procedures for the use of hydrovac wastewater in accordance with the requirements set out in section 13,

(g) procedures for the release and use of run-off in accordance with the requirements set out in section 14,

(h) procedures for the use of hydrovac solids, in accordance with the requirements set out in section 15,

(i) procedures for monitoring and quality testing of hydrovac wastewater, run-off, and hydrovac solids, in accordance with the requirements set out in sections 13, 14, and 15,

(j) procedures for site security and public access controls at the hydrovac facility,

(k) a program for the inspection and maintenance of:

(i) working surfaces at the hydrovac facility,

(ii) process equipment,

(iii) retention pond(s), and

(iv) tanks or bins,

(l) procedures for management of tanks and retention ponds, including monthly monitoring of water levels in the tanks and retention ponds;

(m) procedures for managing and tracking the disposal of hydrovac wastes, hydrovac solids, hydrovac wastewater, wastewater and run-off;

(n) an emergency response plan,

(o) a spill response plan, and

(p) procedures to meet all reporting and record-keeping requirements set out in this Code of Practice.

GROUNDWATER MONITORING PROGRAM

7(1) An applicant must establish baseline groundwater quality using at least one of the following methods:

(a) by using historical data,

(b) by obtaining groundwater samples from monitoring wells established hydraulically up gradient in nearby physical locations not more than 200 meters from the boundary of the hydrovac facility site, on which no hydrovac operations have taken place, or

(c) through the collection and analysis of groundwater samples from groundwater monitoring wells at the hydrovac facility prior to commencing operation of the facility.

(2) The groundwater monitoring program must include, at a minimum, each of the following:

(a) detailed plans for collection and analysis of groundwater samples, including the frequency of sampling,

(b) detailed plans for monitoring the depth of water at each groundwater monitoring well at the times of each sampling event,

(c) detailed plans for collection of representative groundwater samples semi-annually from each groundwater monitoring well for four consecutive years until groundwater quality control limits are established,

(d) provide a copy of the baseline groundwater quality,

(e) detailed plans for the method to establish the groundwater quality control limit for naturally occurring parameters, by using the baseline groundwater quality and an additional eight sample sets to determine the mean and three standard deviations from the mean,

(f) detailed plans for collection of representative groundwater samples annually from each groundwater monitoring well per year, once groundwater quality control limits are established,

(g) detailed plans for at a minimum laboratory analysis of each groundwater sample for each groundwater parameter as listed in Schedule A,

(h) detailed plans for laboratory analysis of each groundwater sample for any additional parameters as identified by a qualified professional, and

(i) a groundwater response plan to address any exceedances of any groundwater parameters above the groundwater quality control limit or indicate groundwater contamination.

(3) The groundwater monitoring program must be prepared and signed by a qualified professional.

CONSTRUCTION SPECIFICATIONS

8(1) The person responsible for a hydrovac facility must construct and operate the hydrovac facility in accordance with the plans that have been submitted as part of the registration and that have been accepted by the Director through the issuance of the registration, including the:

(a) facility design plan and specifications,

(b) soil conservation plan,

(c) operations plan, and

(d) groundwater monitoring program.

(2) No person may commence the construction of a new hydrovac facility until the Director has issued a registration.

CHANGES TO PLANS OR PERSON RESPONSIBLE

9(1) The person responsible for a hydrovac facility that is the subject of a registration under this Code of Practice shall not make any changes to the

(a) facility design plan and specifications,

(b) soil conservation plan,

(c) operations plan, or

(d) groundwater monitoring program,

unless the person responsible applies for a new registration to authorize those changes.

(2) Subsection (1) does not apply to:

(a) administrative updates to any of the plans in (1)(b) to (d),

(b) administrative updates to the emergency response plan,

(c) minor adjustments, repairs, routine replacements or maintenance to any of the machinery, equipment or processes set out in any of the plans in (1)(a) to (d) in the normal course of operations, or

(d) temporary modifications to machinery, equipment or processes in the carrying out of any activities at the hydrovac facility that do not cause an adverse effect or release of a substance to the environment.

(3) No transfer, sale, lease, assignment or other disposition of a registration under this Code of Practice is valid unless that transfer, sale, lease, assignment or other disposition is undertaken in accordance with section 11 of the Approvals and Registrations Procedure Regulation (A.R.113/93).

OPERATION OF HYDROVAC FACILITY

10(1) Upon accepting waste at a hydrovac facility, the person responsible for a hydrovac facility must:

(a) Immediately inspect the hydrovac waste in accordance with the procedures set out in the operations plan, and

(b) only accept hydrovac waste that meets the acceptance criteria set out in the operations plan.

(2) When waste under subsection (1) does not meet the hydrovac facility's waste acceptance criteria, before truck has been offloaded, the person responsible for the hydrovac facility must:

(a) reject the waste and

(b) record the reason for rejecting the waste.

(3) When waste under subsection (1) does not meet the hydrovac facility's waste acceptance criteria and the truck has been offloaded, the person responsible for the hydrovac facility must:

(a) segregate the waste immediately,

(b) report the waste to the Director, immediately, and

(c) no later than seven days after the waste arrived at the hydrovac facility, dispose of the waste at a waste management facility authorized under the Act for that waste.

(4) The person responsible for a hydrovac facility must not accept any of the following waste:

(a) hazardous waste or hazardous recyclables,

(b) dangerous oilfield waste that is regulated by the Alberta Energy Regulator,

(c) biomedical waste,

(d) radioactive materials defined as Class 7 by the Transportation of Dangerous Goods Regulations (SOR/2001-286), as amended from time to time,

(e) substances regulated by the Canadian Nuclear Safety Commission,

(f) explosive materials defined as Class 1 by the Transportation of Dangerous Goods Regulations (SOR/2001-286), as amended from time to time,

(g) NORM waste,

(h) industrial sump wastes,

(i) sewage, septage or biosolids, subject to subsection (5),

(j) municipal solid waste,

(k) waste containing sulphur, and

(l) waste containing asbestos.

(5) Notwithstanding subsection (4)(i), the person responsible for a hydrovac facility may accept hydrovac waste that has been contaminated with sewage, septage, or biosolids if:

(a) this hydrovac waste type is listed in the operations plan that has been accepted by the Director,

(b) this hydrovac waste is not comingled with other hydrovac waste at the hydrovac facility,

(c) hydrovac solids derived from this hydrovac waste is disposed at an authorized waste management facility, and

(d) hydrovac wastewater derived from this hydrovac waste is disposed at an authorized waste management facility.

(6) The person responsible for a hydrovac facility may only accept car wash sump waste and drilling wastes if:

(a) this waste type is listed in the operations plan that has been accepted by the Director,

(b) the drilling waste and car wash sump waste is not comingled with other hydrovac waste at the hydrovac facility,

(c) solids derived from the drilling waste or car wash sump waste is disposed at an authorized waste management facility, and

(d) wastewater derived from the drilling waste or car wash sump waste is disposed at an authorized waste management facility.

(7) All hydrovac waste, drilling waste, car wash sump waste, hydrovac solids, hydrovac wastewater, run-off, and wastewater must be stored in containment systems that conform to the requirements set out in the facility design plan and specifications.

(8) Amendments stored on site must be protected from the weather and wind exposure and must not be stored directly on the ground.

(9) The person responsible for a hydrovac facility must at all times post and maintain signage at the entrance to the hydrovac facility that includes:

(a) the name of the person responsible for the hydrovac facility,

(b) telephone numbers for:

(i) the 24-hour emergency contact for the hydrovac facility,

(ii) the local fire department, and

(iii) Alberta Environment and Parks (1-800-222-6514),

(c) the hours of operation of the hydrovac facility, and

(d) a notice that no person may dispose of any waste at the hydrovac facility outside of operating hours.

(10) Upon receiving any complaints from any person regarding the hydrovac facility, including complaints regarding nuisances, odours, dust, traffic, noise, environmental harm, or the failure to operate the facility in accordance with the registered plans, this Code of Practice or legislation, the person responsible for a hydrovac facility must:

(a) investigate the report, and

(b) establish and maintain a written record of:

(i) the place, date, and time of the report,

(ii) the name and address of the complainant, if provided,

(iii) the nature of the report,

(iv) the actions taken to investigate the report,

(v) the findings from the investigation of the report,

(vi) the actions taken to respond to the report, and

(vii) whether the issues raised in the report were resolved to the satisfaction of the person who made the report.

(11) The person responsible for a hydrovac facility must:

(a) keep topsoil and subsoil on-site,

(b) topsoil and subsoil stockpiles are kept away from the active area,

(c) prevent admixing of topsoil and subsoil,

(d) prevent erosion of topsoil and subsoil stockpiles, including by revegetating the stockpiles,

(e) immediately suspend the conservation of topsoil or subsoil when wet or frozen field conditions will result in mixing, loss, or degradation of soil, and

(f) recommence the conservation of topsoil or subsoil only when the conditions referred to in subsection (11)(e) no longer exist.

MONITORING AND TESTING STANDARDS

11(1) The person responsible for a hydrovac facility must collect, preserve, store, handle and analyze any sample required to be taken under this Code of Practice in accordance with:

(a) Standard Methods for the Examination of Water and Wastewater, published by the American Public Health Association, American Water Works

Association, and the Water Environment Federation, 2010, as amended or replaced from time to time,

(b) Toxicity Concentration Leaching Procedure (TCLP) US EPA Regulation 40, CFR 261, Appendix II, Method 1311, as amended or replaced from time to time,

(c) Test Methods for Evaluating Solids Wastes: Physical, Chemical Methods, published by the United States Environmental Protection Agency, 1996, as amended or replaced from time to time,

(d) Test methods set out in the Alberta User Guide for Waste Managers, 1996, published by the Department, as amended or replaced from time to time, or

(e) Soil Sampling and Methods of Analysis, Second Edition, published by CRC Press, 2007, as amended or replaced from time to time.

(2) The person responsible for a hydrovac facility must have each sample referred to in subsection (1) analyzed in a laboratory that is accredited pursuant to the ISO/IEC 17025 standard in respect of the specific parameter to be analyzed.

GROUNDWATER QUALITY MONITORING

12(1) The person responsible for a hydrovac facility must implement and maintain a groundwater monitoring program, as described in section 7, throughout:

(a) the operation of the hydrovac facility, and

(b) the final closure of the hydrovac facility.

(2) The person responsible for a hydrovac facility must:

(a) protect each groundwater monitoring well from damage,

(b) keep each groundwater monitoring well in good working condition, and

(c) lock each groundwater monitoring well, except when groundwater samples are being taken.

(3) In the event that a groundwater sample cannot be obtained at a scheduled sampling time due to improper functioning of a groundwater monitoring well, the person responsible for a hydrovac facility must:

(a) immediately repair or replace that groundwater monitoring well, and

(b) immediately obtain a groundwater sample once the groundwater monitoring well has been repaired or replaced.

(4) In the event that a groundwater monitoring well has been replaced under subsection (3) and is no longer used for groundwater monitoring, the person responsible for a hydrovac facility must properly decommission that groundwater monitoring well within two years.

(5) In addition to other record keeping requirements set out in this Code of Practice, the person responsible for a hydrovac facility must record the following information for each groundwater sample that is collected:

(a) a description of purging and sampling procedures that were used,

(b) the static elevation above sea level, and depth below ground surface, of fluid phases in the groundwater monitoring well prior to purging,

(c) the temperature of the sample at the time of sampling,

(d) the pH of the sample at the time of sampling, and

(e) the specific conductance of the sample at the time of sampling.

(6) In the event that:

(a) groundwater contamination occurs,

(b) the measured level of a groundwater parameter naturally present in groundwater exceeds a groundwater quality control limit, or

(c) a groundwater parameter that is not naturally present in groundwater is detected in three consecutive sampling events,

the person responsible for a hydrovac facility must immediately:

(i) notify the Director in accordance with the Act and regulations under the Act, and

(ii) implement the groundwater response plan and take all necessary and applicable actions under the groundwater response plan.

HYDROVAC WASTEWATER QUALITY MONITORING

13(1) Subject to subsections (2) and (3), the person responsible for a hydrovac facility must not release, use, offer, give away, trade, or sell any hydrovac wastewater produced by or brought to the hydrovac facility unless that hydrovac wastewater:

(a) meets all of the criteria set out in Schedule C to this Code of Practice, and

(b) does not contain any additives that do not pass the toxicity test as set out in Schedule D to this Code of Practice.

(2) The person responsible for a hydrovac facility must dispose of any hydrovac wastewater that does not meet the criteria in subsection (1) at a waste management facility, a wastewater treatment plant authorized under the Act to accept the hydrovac wastewater, or in accordance with section 176 of the Act.

(3) The person responsible for a hydrovac facility must not use hydrovac wastewater exceeding the criteria in subsection (1) for any purpose except for the following:

(a) for equipment cleaning in areas where the wastewater is collected, or

(b) for use in dust control at the hydrovac facility in active areas.

(4) Unless the hydrovac wastewater is disposed of in accordance with subsection (2), the person responsible for a hydrovac facility must collect and test one grab sample from each 250 cubic meters of hydrovac wastewater produced.

RUN-OFF QUALITY MONITORING

14(1) Subject to subsections (2) and (3), the person responsible for a hydrovac facility must not release, use, offer, give away, trade, or sell any run-off unless that run-off meets all of the criteria set out in Schedule C to this Code of Practice.

(2) The person responsible for a hydrovac facility must dispose of any run-off that does not meet the criteria in subsection (1) at a waste management facility or wastewater treatment plant authorized under the Act to accept the run-off or in accordance with section 176 of the Act.

(3) The person responsible for a hydrovac facility must not use run-off exceeding the criteria in subsection (1) for any purpose except for the following

(a) for equipment cleaning in areas where the wastewater is collected, or

(b) for use in dust control at the hydrovac facility in any active areas.

(4) Unless the run-off is disposed of in accordance with subsection (2), the person responsible for a hydrovac facility must collect and test at least one grab sample prior to release or use.

HYDROVAC SOLIDS QUALITY MONITORING

15(1) Subject to subsection (2), the person responsible for a hydrovac facility must not use, offer, give away, trade, or sell any hydrovac solids produced by or brought to the hydrovac facility unless those hydrovac solids:

(a) meet all of the criteria set out in Schedule E to this Code of Practice, and

(b) do not contain any additives that do not pass the toxicity test as set out in Schedule D to this Code of Practice.

(2) The person responsible for a hydrovac facility must dispose of any hydrovac solids that do not meet the criteria in subsection (1) at a waste management facility authorized under the Act to accept the hydrovac solids or in accordance with section 176 of the Act.

(3) When hydrovac solids are offered, given away, traded, or sold for use off site in accordance with subsection (1), the person responsible for a hydrovac facility must:

(a) record the analytical results of testing of the hydrovac solids of the analytical results that demonstrate the hydrovac solids meet the criteria outlined in subsection (1),

(b) provide a copy of the applicable analytical results of testing to the recipient, and

(c) provide the following instructions to the recipients:

(i) solids shall only be placed below the topsoil layer,

(ii) solids shall only be placed below the subsoil B (or upper subsoil) layer,

(iii) solids cannot be placed within 10 meters of a water body, and

(iv) solids cannot be placed within 10 meters of a water well or in groundwater.

(4) Unless the hydrovac solids are disposed of in accordance with subsection (2), the person responsible for a hydrovac facility must collect and test one composite sample from, at a minimum, each 250 cubic meters of hydrovac solids produced.

REPORTING AND RECORD KEEPING

16(1) The person responsible for a hydrovac facility must establish and maintain an operating record:

(a) during the operation of the hydrovac facility, and

(b) during the final closure period of the hydrovac facility.

(2) The operating record referred to in subsection (1) must be in writing and must contain, at a minimum, the following information:

(a) a copy of the registration related to the hydrovac facility,

(b) a current organizational chart of the personnel operating the hydrovac facility,

(c) an operation or procedures logbook,

(d) a current scaled drawing of the site plan for the hydrovac facility,

(e) a record of all public reports, in accordance with section 10(10) for the last 5 years,

(f) all results of groundwater monitoring, in accordance with section 12 for the last 5 years,

(g) all inspection reports for the last 5 years,

(h) all maintenance records for the last 5 years,

(i) all records of contraventions, in accordance with subsection (4) for the last 5 years,

(j) all results of hydrovac wastewater quality testing, in accordance with section 13 for the last 5 years,

(k) all records of volumes of hydrovac wastewater used, detailed by method and locations of use for the last 5 years,

(l) all records of volumes of hydrovac wastewater disposed of, including identification of the waste management facility or wastewater treatment facility at which hydrovac wastewater was disposed for the last 5 years,

(m) all results of run-off quality testing, in accordance with section 14 for the last 5 years,

(n) all records of volumes of run-off disposed of, including identification of the waste management facility or wastewater treatment facility at which run-off was disposed for the last 5 years,

(o) all results of hydrovac solids quality testing, in accordance with section 15 for the last 5 years,

(p) all records of volumes or weight of hydrovac solids used, detailed by method and locations of use for the last 5 years,

(q) all records of volumes or weight of hydrovac solids disposed of, including identification of the waste management facility at which hydrovac solids were disposed for the last 5 years,

(r) all records of total volumes or weight of hydrovac waste, hydrovac solids and hydrovac wastewater that have been:

(i) accepted at the hydrovac facility, and

(ii) removed from the hydrovac facility,

(s) the cumulative volume of hydrovac waste, hydrovac wastewater and hydrovac solids stored monthly for the last 5 years,

(t) all annual reports for the hydrovac facility for the last 5 years, and

(u) a copy of any authorizations received from a Director for disposal of a waste under section 176 of the Act as referenced under Section 13(2), Section 14(2) and Section 15(2).

(3) The person responsible for a hydrovac facility must record and, for not less than 5 years, retain all of the following information in respect of any sampling conducted or analyses performed in accordance with this Code of Practice:

(a) the place where the sample was taken,

(b) the sample type,

(c) the date and time on which the sample was taken,

(d) the dates on which the analysis on the sample was performed,

(e) the techniques, methods, or procedures used in analyzing the sample,

(f) the name of the person who collected the sample,

(g) the name of the person and laboratory who analyzed the sample, and

(h) the results of the analysis.

(4) In addition to any other reporting requirements under the Act, or regulations under the Act, the person responsible for a hydrovac facility must, upon learning of any contravention of this Code of Practice:

(a) immediately notify the Director by telephone at 1-800-222-6514,

(b) within seven days of learning of the contravention, submit a report in writing to the Director that contains, at a minimum, the following information:

(i) a description of the contravention,

(ii) the date of the contravention,

(iii) an explanation as to why the contravention occurred,

(iv) a legal land description of the location of the contravention,

(v) the name of the registered owner or owners of the land on which the contravention occurred,

(vi) a summary of all measures and actions taken to mitigate any effects of the contravention,

(vii) the registration number of the hydrovac facility,

(viii) the name of the person who held the registration or notification number at the time when the contravention occurred,

(ix) the names, job titles, addresses, and contact information of all persons who were operating, managing or in control of the site at the time of the contravention,

(x) a summary of proposed measures to prevent similar contraventions from occurring in the future, and a schedule for implementation of those measures, and

(xi) any information recorded in accordance with this Code of Practice in relation to or as a result of the contravention.

(c) record and, for a period of not less than five years, retain, the information in subsection (4)(b).

(5) The person responsible for a hydrovac facility must, each year:

(a) prepare, in writing, an annual report that contains, at a minimum, the following information pertaining to the calendar year covered by the annual report:

(i) a summary of personnel training logs,

(ii) the types and quantities of hydrovac waste received at the hydrovac facility during the year,

(iii) records and interpretations of those records in respect of:

(A) the qualities and quantities of run-off released, used, or disposed from the hydrovac facility during the year,

(B) the qualities and quantities of hydrovac wastewater used or disposed from the hydrovac facility during the year,

(C) the qualities and quantities of hydrovac solids used or disposed from the hydrovac facility during the year,

(D) a groundwater monitoring report prepared in accordance with section 12(5), if applicable, and

(E) the volume of accumulated waste soils present on or off-site in temporary storage.

(iv) copies of analytical reports from testing of hydrovac wastewater, run-off, and hydrovac solids, pursuant to sections 13, 14, and 15, respectively,

(v) a summary of any remedial actions taken at the hydrovac facility for any purpose during the year,

(vi) a summary of all incidents of non-compliance at the hydrovac facility during the year, including information on actions taken to return to compliance,

(vii) a summary of reports received by the hydrovac facility during the year, including information on actions taken in response to those reports, and

(viii) a summary of any adjustments made during the year to financial security, if applicable, and

(b) place the annual report in the operating record no later than March 31 following the calendar year on which the annual report is based.

(6) Upon receiving a request in writing from the Director or investigator, the person responsible for a hydrovac facility must provide to the Director or investigator any records, reports, documents, data, or other information required to be created under this Code of Practice:

(a) in the form and manner specified in writing by the Director, and

(b) within the time limits prescribed in writing by the Director.

(7) The person responsible for a hydrovac facility must immediately notify the Director in writing if any of the following events occurs:

(a) the registration holder is served with a petition into bankruptcy,

(b) the registration holder files an assignment in bankruptcy or notice of intent to make such a proposal,

(c) a receiver or receiver-manager is appointed,

(d) an application for protection from creditors is filed for the benefit of the registration holder under any creditor protection legislation, or

(e) any of the assets which are the subject matter of this Code of Practice are seized for any reason.

FINAL CLOSURE

17(1) Within six months of the last day on which a hydrovac facility accepts waste, the person responsible for a hydrovac facility must prepare and submit to the Director a final closure plan that includes, at a minimum, the following information:

(a) a schedule for completion of all activities at the hydrovac facility,

(b) a description of the final use of the site of the hydrovac facility,

(c) a description of the hydrovac facility remediation objectives, in accordance with the following:

(i) for soil or groundwater, *Alberta Tier 1 Soil and Groundwater Remediation Guidelines*, published by Alberta Environment and Parks, January 2019, as amended or replaced from time to time,

(ii) for soil or groundwater, *Alberta Tier 2 Soil and Groundwater Remediation Guidelines*, published by Alberta Environment and Parks, January 2019, as amended or replaced from time to time,

(iii) for drinking water, *Canadian Environmental Quality Guidelines*, Canadian Council of Ministers of the Environment, PN 1299, 1999, as amended, and

(iv) for surface water, *Surface Water Quality Guidelines for Use in Alberta*, Alberta Environment, November 1999, as amended,

(d) a description of proposed site restoration procedures, including those in relation to:

(i) dismantling of the hydrovac facility,

(ii) removal of infrastructure,

(iii) removal of any structures or ponds,

(iv) restoration of drainage,

(v) soil replacement,

(vi) erosion control, and

(vii) revegetation, where applicable,

(e) plans for the removal of any hydrovac waste, hydrovac wastewater, run-off, hydrovac solids, and any other wastes from the site,

(f) a comprehensive plan to assess the nature, degree and extent of contamination at the site and any affected lands,

(g) plans to remediate any identified soil and/or groundwater contamination exceeding applicable Tier 1 soil and groundwater criteria,

(h) plans for confirmatory testing to indicate compliance with the remediation objectives, and

(i) plans for the decommissioning of the groundwater monitoring system.

(2) The final closure plan referred to in subsection (1) must be prepared and signed by a qualified professional.

(3) Once final closure is complete, the person responsible for a hydrovac facility must prepare in writing a final closure report that includes, at a minimum, the following information:

(a) the date of completion of the final closure of the hydrovac facility,

(b) a statement that the final closure has been completed in accordance with the final closure plan, and

(c) a report demonstrating that groundwater parameters do not exceed groundwater quality control limits at the hydrovac facility, along with supporting evidence.

(4) The final closure report referred to in subsection (3) must be prepared and signed by a qualified professional.

(5) The person responsible for a hydrovac facility must submit the final closure report to the Director within six months of the facility completing the final closure as referred to in subsection (3)(a).

SCHEDULE A

LIST OF GROUNDWATER PARAMETERS

Parameters	Parameters	Parameters
Arsenic, total	Vanadium, total	Calcium
Barium, total	Ammonia	Magnesium
Boron, total	Nitrate-Nitrogen	Sodium
Cadmium, total	Total Kjeldahl Nitrogen	Potassium
Chromium, total	pH	Chloride
Copper, total	Total dissolved solids	Sulphate
Iron, total	Electrical conductivity	Benzene
Lead, total	Chemical oxygen demand	Ethylbenzene
Manganese, total	Total organic carbon	Toluene
Mercury, total	Total phosphorus	Xylene

SCHEDULE B

REGISTRATION APPLICATION FORM FOR HYDROVAC FACILITY

1. General Information

Applicant Name (Person Responsible): ______________________________

Company Name (if applicable): ______________________________

Mailing Address: ______________________________

Legal Land Description for hydrovac facility: ______________________________

Municipal or rural address of hydrovac facility: ______________________________

Contact Person: ____________________

Phone Number: ________________ E-mail address: ________________

2. Facility Type

What is the type of hydrovac waste accepted at this facility (i.e. sources)? Is there any car wash sump waste or drilling waste accepted at this facility?

What is the treatment process and what chemicals or amendments are used to treat the waste?

Is the hydrovac wastewater and/or hydrovac solids going to be used or disposed?

3. Technical Information

Please provide the following information as specified in this Code of Practice:

(a) the facility design plan and specifications required in Section 4;

(b) the soil conservation plan required in Section 5;

(c) the operations plan required in Section 6 ;

(d) a groundwater monitoring program required in Section 7; and

(e) a financial security calculation, as required in the Waste Control Regulation.

I acknowledge that I have reviewed the Code of Practice for Hydrovac Facilities, and that I am bound by the provisions and requirements of this Code of Practice and any subsequent amendments to it.

Applicant Signature: ____________________________ Date: __________________

SCHEDULE C

HYDROVAC WASTEWATER AND RUN-OFF QUALITY CRITERIA

<table>
<tr><th>Parameter</th><th>Limit</th></tr>
<tr><td>Chlorides</td><td>120 mg/L</td></tr>
<tr><td>pH</td><td rowspan="10">The Environmental Quality Guidelines for Alberta Surface Waters, Alberta Government, 2018, as amended,</td></tr>
<tr><td>Hardness</td></tr>
<tr><td>Electrical Conductivity</td></tr>
<tr><td>Metals (listed in Table 2 of the Alberta Tier 1 Guidelines)</td></tr>
<tr><td>Hydrocarbon Fraction F1 & F2</td></tr>
<tr><td>Benzene</td></tr>
<tr><td>Toluene</td></tr>
<tr><td>Ethylbenzene</td></tr>
<tr><td>Xylene</td></tr>
<tr><td>Polycyclic aromatic hydrocarbon</td></tr>
</table>

SCHEDULE D

TOXICITY TEST

Microtox® is a test which uses bioluminescent bacteria to detect toxic substances in a substrate (water, air, soil and sediment). The Alberta Energy Regulator Directive 050 Appendix 5 provides procedures for the Microtox® toxicity test.

SCHEDULE E

HYDROVAC SOLIDS QUALITY CRITERIA

Parameter	Limit
pH	Between 6.0 and 8.5
Metals (listed in Table 2 of the Alberta Tier 1 Guidelines)	As per Table 1 of Alberta Tier 1 Guidelines for both agricultural and residential use, (using the most stringent between fine grained and coarse grained soil)
Benzene	
Toluene	
Ethylbenzene	
Xylene	
Hydrocarbon Fractions (F1, F2, F3 and F4)	
Polycyclic Aromatic Hydrocarbons (PAHs)	
Electrical Conductivity (ds/m)	3
Sodium Adsorption Ratio	4

Justice and Solicitor General

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

Edmonton Police Service
Babin, Scott Michael
Berube, Justin Denis
Bowdige, Dustin Roy
Carter, Yannick
Chaudhary, Mukul
Davies, Katherine Emma
Dickinson, Corey John
Dreiling, Jared Andrew
Friesen, Brandon Luke
Goetz, Aaron Leslie
Karolak, Brian Johnathan
Kitz, Brett Nicholas
Malhotra, Manpreet Singh
Melton, Daniel Louis
Pecush, Joanna Lillian
Pickard, Sasha Milee
Rondeau, Justin Tyler
Rudelic, Nevenka Dijana
Shaigec, Jamie Alexa
Vors, Liv Solveig
Walker, Stephen Alfred Thomas

(Date of Designation December 6, 2021)

Safety Codes Council

Corporate Accreditation

(Safety Codes Act)

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

Ovintiv Canada ULC, Accreditation No. C000103, Order No. 0314

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 the discipline of **Electrical**

Consisting of all parts of the CSA C22.1-18 Canadian Electrical Code (24th Edition) as amended from time to time.

Accredited Date: October 25, 1995 Issued Date: December 10, 2021.

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

Ovintiv Canada ULC, Accreditation No. C000103, Order No. 2910

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 the discipline of **Gas**

Consisting of all parts of the CAN/CSA-B149.1-15 Natural Gas and Propane Installation Code, CAN/CSA-B149.2-15 Propane Storage and Handling Code, and CAN/CSA-B108-18 Natural Gas Fuelling Stations Installation Code as amended form time to time.

Excluding the CAN/CSA149.5-15 Installation Code for Propane Fuel Systems and Tanks on Highway Vehicles, CSA-B109-17 Natural Gas for Vehicles Installation Code, and CAN/CSA-B149.3-15 Code for the Field Approval of Fuel Related Components on Appliances and Equipment as amended form time to time.

Accredited Date: May 27, 2014 Issued Date: December 10, 2021.

Corporate Accreditation – Cancellation

(Safety Codes Act)

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

Seven Generations Ltd, Accreditation No. C000881, Order No. 2944

Is to cease services under the *Safety Codes Act* as of the Issued Date for the discipline of **Electrical**

Consisting of all parts of the CSA C22.1-18 Canadian Electrical Code (24th Edition).

Accredited Date: May 26, 2015 Issued Date: December 10, 2021.

Municipal Accreditation

(Safety Codes Act)

Pursuant to Section 26 of the *Safety Codes Act* it is hereby ordered that

County of Vermilion River No. 24, Accreditation No. M000310, Order No. 0886

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 the discipline of **Building**

Consisting of all parts of the National Building Code – 2019 Alberta Edition, and the National Energy Code of Canada for Buildings 2017 as amended from time to time.

Accredited Date: September 6, 1996 Issued Date: December 2, 2021.

Pursuant to Section 26 of the *Safety Codes Act* it is hereby ordered that

County of Vermilion River No. 24, Accreditation No. M000310, Order No. 0887

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 the discipline of **Electrical**

Consisting of all parts of the CSA C22.1-18 Canadian Electrical Code (24th Edition) as amended from time to time.

Accredited Date: September 6, 1996 Issued Date: December 2, 2021.

Pursuant to Section 26 of the *Safety Codes Act* it is hereby ordered that

County of Vermilion River No. 24, Accreditation No. M000310, Order No. 0889

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 the discipline of **Gas**

Consisting of all parts of the CAN/CSA-B149.1-15 Natural Gas and Propane Installation Code, CAN/CSA-B149.2-15 Propane Storage and Handling Code, and CAN/CSA-B108-18 Natural Gas Fuelling Stations Installation Code as amended from time to time.

Excluding the CAN/CSA149.5-15 Installation Code for Propane Fuel Systems and Tanks on Highway Vehicles, CSA-B109-17 Natural Gas for Vehicles Installation Code, and CAN/CSA-B149.3-15 Code for the Field Approval of Fuel Related Components on Appliances and Equipment as amended from time to time.

Accredited Date: September 6, 1996 Issued Date: December 2, 2021.

Pursuant to Section 26 of the *Safety Codes Act* it is hereby ordered that

County of Vermilion River No. 24, Accreditation No. M000310, Order No. 0890

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 the discipline of **Plumbing**

Consisting of all parts of the National Plumbing Code of Canada 2015, and Alberta Private Sewage Systems Standard of Practice 2015 as amended from time to time.

Accredited Date: September 6, 1996 Issued Date: December 2, 2021.

Alberta Securities Commission

AMENDMENTS TO
NATIONAL INSTRUMENT 31-103 *REGISTRATION REQUIREMENTS, EXEMPTIONS AND ONGOING REGISTRANT OBLIGATIONS*

(Securities Act)

Made as a rule by the Alberta Securities Commission on June 9, 2021 pursuant to sections 223 and 224 of the Securities Act.

AMENDMENTS TO
NATIONAL INSTRUMENT 31-103 *REGISTRATION REQUIREMENTS, EXEMPTIONS AND ONGOING REGISTRANT OBLIGATIONS*

1. National Instrument 31-103 Registration Requirements, Exemptions and Ongoing Registrant Obligations is amended by this Instrument.

2. Section 1.1 is amended by adding the following definitions:

"financial exploitation" means the use or control of, or deprivation of the use or control of, a financial asset of an individual by a person or company through undue influence, unlawful conduct or another wrongful act;

"temporary hold" means a hold that is placed on the purchase or sale of a security on behalf of a client or on the withdrawal or transfer of cash or securities from a client's account;

"trusted contact person" means an individual identified by a client to a registrant whom the registrant may contact in accordance with the client's written consent;

"vulnerable client" means a client who might have an illness, impairment, disability or aging-process limitation that places the client at risk of financial exploitation;**.**

3. Subsection 11.5(2) is amended:

(a) by replacing paragraph (l) with the following:

(l) demonstrate compliance with sections 13.2, 13.2.01, 13.2.1 and 13.3;**,**

(b) in paragraph (r) by replacing "." with ";", and

(c) by adding the following paragraph:

(s) demonstrate compliance with section 13.19.**.**

4. The Instrument is amended by adding the following section:

13.2.01 Know your client - trusted contact person

(1) Concurrently with taking the reasonable steps required under subsection 13.2(2), a registrant must take reasonable steps to obtain from the client the name and contact information of a trusted contact person, and the written consent of the client for the registrant to contact the trusted contact person to confirm or make inquiries about any of the following:

(a) the registrant's concerns about possible financial exploitation of the client;

(b) the registrant's concerns about the client's mental capacity as it relates to the ability of the client to make decisions involving financial matters;

(c) the name and contact information of a legal representative of the client, if any;

(d) the client's contact information.

(2) A registrant must take reasonable steps to keep current the information required under this section, including updating that information within a reasonable time after the registrant becomes aware of a significant change in the client's information required under subparagraph 13.2(2)(c)(i).

(3) This section does not apply to a registrant in respect of a client that is not an individual..

5. Part 13 is amended by adding the following Division:

Division 8 Temporary holds

13.19 Conditions for temporary hold

(1) A registered firm, or a registered individual whose registration is sponsored by the registered firm, must not place a temporary hold on the basis of financial exploitation of a vulnerable client unless the firm reasonably believes all of the following:

(a) the client is a vulnerable client;

(b) financial exploitation of the client has occurred, is occurring, has been attempted or will be attempted.

(2) A registered firm, or a registered individual whose registration is sponsored by the registered firm, must not place a temporary hold on the basis of a client's lack of mental capacity unless the firm reasonably believes that the client does not have the mental capacity to make decisions involving financial matters.

(3) If a registered firm or a registered individual places a temporary hold referred to in subsection (1) or (2), the firm must do all of the following:

(a) document the facts and reasons that caused the firm or individual to place and, if applicable, to continue the temporary hold;

(b) provide notice of the temporary hold and the reasons for the temporary hold to the client as soon as possible after placing the temporary hold;

(c) review the relevant facts as soon as possible after placing the temporary hold, and on a reasonably frequent basis, to determine if continuing the hold is appropriate;

(d) within 30 days of placing the temporary hold and, until the hold is revoked, within every subsequent 30-day period, do either of the following:

(i) revoke the temporary hold;

(ii) provide the client with notice of the firm's decision to continue the hold and the reasons for that decision.**.**

6. Subsection 14.2(2) is amended:

(a) by adding the following paragraph:

(l.1) a description of the circumstances under which a registrant might disclose information about the client or the client's account to a trusted contact person referred to in subsection 13.2.01(1);***,***

(b) in paragraph (o) by replacing "." with ";", and

(c) by adding the following paragraph:

(p) a general explanation of the circumstances under which a registered firm or registered individual may place a temporary hold under section 13.19 and a description of the notice that will be given to the client if a temporary hold is placed or continued under that section.**.**

7. (1) Provision 3(a) of this Instrument comes into force ***immediately following the coming into force of the provisions of a separate amending instrument titled Amendments to National Instrument 31-103 Registration Requirements, Exemptions and Ongoing Registrant Obligations (in respect of Reforms to Enhance the Client-Registrant Relationship) (2019), that come into force on the same date.***

(2) All of the remaining provisions of this Instrument come into force on December 31, 2021.

(3) In Saskatchewan, despite subsections (1) and (2), if this Instrument is filed with the Registrar of Regulations after December 31, 2021, this Instrument comes into force on the day on which it is filed with the Registrar of Regulations.

AMENDMENTS TO NATIONAL INSTRUMENT 41-101 *GENERAL PROSPECTUS REQUIREMENTS*

(Securities Act)

Made as a rule by the Alberta Securities Commission on July 14, 2021 pursuant to sections 223 and 224 of the Securities Act.

AMENDMENTS TO NATIONAL INSTRUMENT 41-101 *GENERAL PROSPECTUS REQUIREMENTS*

1. National Instrument 41-101 General Prospectus Requirements is amended by this Instrument.

2. Section 1.1 is amended by adding the following definition:

> "designated website" has the same meaning as in National Instrument 81-106 *Investment Fund Continuous Disclosure*;**.**

3. Subsection 3B.4(1) is amended by replacing "If an ETF or the ETF's family has a website, the ETF must post to at least one of those websites***" with "***The ETF must post on its designated website***".***

4. Subsection 3B.4(2) is amended by replacing "posted to***" with "***posted on***".***

5. Subsection 3B.4(3) is repealed.

6. Form 41-101F2 Information Required in an Investment Fund Prospectus is amended

- ***(a) by replacing in Item 19.4(c) "***available on the [investment fund's/investment fund family's] Internet site at [insert investment fund's Internet site address]***" with "***available on the investment fund's website at [insert the investment fund's designated website address]***",***

- ***(b) by adding the following after Item 19.12:***

  19.13 Designated Website

  State, in substantially the following words:

  "An investment fund is required to post certain regulatory disclosure documents on a designated website. The designated website(s) of the investment fund(s) this document pertains to can be found at the following location(s): [insert the investment fund's designated website address or addresses, as applicable].",

- ***(c) by replacing in Item 20.3(a) "***website***" with "***designated website***", and***

- ***(d) by replacing in Item 37.1 "***[If applicable] These documents are available on the [investment fund's/investment fund family's] Internet site at [insert investment fund's Internet site address]***" with "***These documents are available on the investment fund's website at [insert the investment fund's designated website address]***" .***

*7. **Form 41-101F3 Information Required in a Scholarship Plan Prospectus is amended***

*(a) **by replacing Item 12(2) of Part A with the following:***

(2) State the name, address, toll-free telephone number and email address of the investment fund manager of the plan and the scholarship plan's designated website address. If applicable, also state the website address of the investment fund manager of the plan.***,***

(b) by replacing in Item 4.1(1) of Part B "*[Insert if applicable* – You'll also find these documents on our website at [*insert the scholarship plan's website address*]]***" with "***You'll also find these documents on our website at [*insert the scholarship plan's designated website address*]***",***

(c) by replacing in Item 15.1(2) of Part B "[*Insert if applicable* – You'll also find these documents on our website at [*insert the scholarship plan's website address*]]***" with "***You'll also find these documents on our website at [*insert the scholarship plan's designated website address*]***",***

(d) by replacing in Item 6.1 of Part C "website***" with "***designated website***",***

(e) by replacing in subsection (1) of the Instructions under Item 6.3 of Part C "website***" with "***designated website***",***

(f) by replacing in Item 2.5(2) of Part D "Internet Site***" wherever it occurs with "****designated* website***",***

(g) by adding the following after Item 2.17 of Part D:

2.18 — Designated Website

State, in substantially the following words:

"A scholarship plan is required to post certain regulatory disclosure documents on a designated website. The designated website(s) of the scholarship plan(s) this document pertains to can be found at the following location(s): [insert the scholarship plan's designated website address or addresses, as applicable]."***, and***

(h) by replacing in Item 5.4(3) of Part D "scholarship plan's website address**"** ***with*** **"**scholarship plan's designated website address**".**

8. Form 41-101F4 Information Required in an ETF Facts Document is amended

(a) by replacing in paragraph (h) of Item 1 of Part I "[insert the website of the ETF, the ETF's family or the manager of the ETF] [as applicable]***" with "***[insert the ETF's designated website]***", and***

(b) by replacing Item 2(4) of Part I with the following:

(4) Where updated Quick Facts, Trading Information and Pricing Information are posted on the designated website of the ETF, state the following:

"For more updated Quick Facts, Trading Information and Pricing Information, visit [insert the ETF'S designated website].".

Transition

9. Before September 6, 2022, an investment fund is not required to comply with National Instrument 41-101 *General Prospectus Requirements*, as amended by this Instrument, if the investment fund complies with *National Instrument 41-101 General Prospectus Requirements* as it was in force on January 5, 2022.

Effective Date

10. (1) This Instrument comes into force on January 6, 2022.

(2) In Saskatchewan, despite subsection (1), if this Instrument is filed with the Registrar of Regulations after January 6, 2022, this Instrument comes into force on the day on which it is filed with the Registrar of Regulations.

AMENDMENTS TO NATIONAL INSTRUMENT 41-101
GENERAL PROSPECTUS REQUIREMENTS

1. National Instrument 41-101 General Prospectus Requirements is amended by this Instrument.

2. Subparagraph 9.1(1)(b)(ii) is replaced with the following:

(ii) **Personal Information Form and Authorization to Collect, Use and Disclose Personal Information** – a completed personal information form for,

(A) each director and executive officer of the issuer,

(B) each promoter of the issuer, and

(C) if the promoter is not an individual,

(I) in the case of an issuer that is not an investment fund, each director and executive officer of the promoter, and

(II) in the case of an issuer that is an investment fund, and the promoter is not the manager of the investment fund, each director and executive officer of the promoter;.

3. Section 9.1 is amended by adding the following subsection after 9.1(1):

(1.1) Despite subparagraph 9.1(1)(b)(ii), an investment fund is not required to deliver a personal information form for an individual referred to in subparagraph (1)(b)(ii) if the individual has submitted a Form 33-109F4 *Registration of Individuals and Review of Permitted Individuals* under National Instrument 33-109 *Registration Information*.**.**

Effective Date

4. (1) This Instrument comes into force on January 5, 2022.

(2) In Saskatchewan, despite subsection (1), if this Instrument is filed with the Registrar of Regulations after January 5, 2022, this Instrument comes into force on the day on which it is filed with the Registrar of Regulations.

AMENDMENTS TO NATIONAL INSTRUMENT 41-101 *GENERAL PROSPECTUS REQUIREMENTS*

1. National Instrument 41-101 General Prospectus Requirements is amended by this Instrument.

2. Part 3C is amended by adding the following sections:

Delivery of ETF facts documents for subsequent purchases under a pre-authorized purchase plan or a portfolio rebalancing plan

3C.2.2 (1) In this section:

"portfolio rebalancing plan" has the same meaning as in section 1.1 of National Instrument 81-101 *Mutual Fund Prospectus Disclosure*;

"pre-authorized purchase plan" has the same meaning as in section 1.1 of National Instrument 81-101 *Mutual Fund Prospectus Disclosure*.

(2) Despite subsection 3C.2(2), a dealer is not required to deliver or send to the purchaser the most recently filed ETF facts document for the applicable class or series of securities of the ETF in connection with a purchase of a security of an ETF made pursuant to a pre-authorized purchase plan or a portfolio rebalancing plan if all of the following apply:

(a) the purchase is not the first purchase under the plan;

(b) the dealer has provided a notice to the purchaser that states

(i) that the purchaser will not receive an ETF facts document after the date of the notice, unless the purchaser specifically requests the document,

(ii) that the purchaser is entitled to receive upon request, at no cost to the purchaser, the most recently filed ETF facts document by calling a specified toll-free number, or by sending a request by mail or e-mail to a specified address or e-mail address,

(iii) how to access the ETF facts document electronically,

(iv) that the purchaser will not have a right of withdrawal under securities legislation for subsequent purchases of a security of an ETF under the plan, but will continue to have a right of action if there is a misrepresentation in the prospectus or any document incorporated by reference into the prospectus, and

(v) that the purchaser may terminate the plan at any time;

(c) at least annually during the term of the plan, the dealer notifies the purchaser in writing of how the purchaser can request the most recently filed ETF facts document;

(d) the dealer delivers or sends the most recently filed ETF facts document to the purchaser if the purchaser requests the document.

Delivery of ETF facts documents for managed accounts and permitted clients

3C2.3 (1) In this section:

"managed account" has the same meaning as in section 1.1 of National Instrument 31-103 *Registration Requirements, Exemptions and Ongoing Registrant Obligations*;

"permitted client" has the same meaning as in section 1.1 of National Instrument 31-103 *Registration Requirements, Exemptions and Ongoing Registrant Obligations*.

(2) Despite subsection 3C.2(2), a dealer is not required to deliver or send to the purchaser the most recently filed ETF facts document for the applicable class or series of securities of the ETF in connection with the purchase of a security of the ETF if either of the following apply:

(a) the purchase is made in a managed account;

(b) the purchaser is a permitted client that is not an individual.

Delivery of ETF facts documents for automatic switch programs

3C2.4 (1) In this section:

"automatic switch" has the same meaning as in section 1.1 of National Instrument 81-101 *Mutual Fund Prospectus Disclosure*;

"automatic switch program" has the same meaning as in section 1.1 of National Instrument 81-101 *Mutual Fund Prospectus Disclosure*.

(2) Despite subsection 3C.2(2), a dealer is not required to deliver or send to the purchaser the most recently filed ETF facts document for the applicable class or series of securities of the ETF in connection with the purchase of a security of the ETF made as an automatic switch pursuant to an automatic switch program if all of the following apply:

(a) the purchase is not the first purchase under the automatic switch program;

(b) the dealer has provided a notice to the purchaser that states

(i) that the purchaser will not receive an ETF facts document after the date of the notice, unless the purchaser specifically requests the document,

(ii) that the purchaser is entitled to receive upon request, at no cost to the purchaser, the most recently filed ETF facts document by calling a specified toll-free number, or by sending a request by mail or e-mail to a specified address or e-mail address,

(iii) how to access the ETF facts document electronically, and

(iv) that the purchaser will not have a right of withdrawal under securities legislation for subsequent purchases of a security of an ETF under the automatic purchase program, but will continue to have a right of action if there is a misrepresentation in the prospectus or any document incorporated by reference into the prospectus;

(c) at least annually, the dealer notifies the purchaser in writing of how the purchaser can request the most recently filed ETF facts document;

(d) the dealer delivers or sends the most recently filed ETF facts document to the purchaser if the purchaser requests the document;

(e) with respect to the first purchase under the automatic switch program, the ETF facts document delivered or sent to the purchaser included the ETF facts automatic switch program information as defined in Appendix F.**.**

3. Subsection 3C.3(1) is amended by replacing **“**3C.2**”** ***with*** **“**3C.2, 3C.2.2 or 3C.2.4**”.**

4. The following appendix is added:

APPENDIX F TO NATIONAL INSTRUMENT 41-101
GENERAL PROSPECTUS REQUIREMENTS

ETF FACTS AUTOMATIC SWITCH PROGRAM INFORMATION FOR SECTION 3C.2.4

For the purposes of paragraph 3C.2.4(2)(e),“ETF facts automatic switch program information” means a completed Form 41-101F4 *Information Required in an ETF Facts Document* modified as follows:

(a) the heading under item 1(d) of Part I includes the name of each class or series of securities of the ETF in the automatic switch program;

(b) the brief introduction to the ETF facts document under item 1(h) of Part I includes the name of each class or series of securities of the ETF in the automatic switch program;

(c) item 2(1) of Part I includes, for each class or series of securities of the ETF in the automatic switch program, the date the securities of the class or series first became available to the public;

(d) item 2(1) of Part I includes the management expense ratio of only the class or series of securities of the ETF in the automatic switch program with the highest management fee;

(e) the "Quick Facts" table referred to in item 2(1) of Part 1 includes a footnote that states all of the following:

(i) that the ETF facts document pertains to all of the classes or series of securities of the ETF in the automatic switch program;

(ii) that further details about the automatic switch program are disclosed in the "How much does it cost?" section of the ETF facts document;

(iii) that further details, about the minimum investment amount applicable to each of the classes or series of securities of the ETF in the automatic switch program, are disclosed in the fee decrease table under the sub-heading "ETF expenses" of the ETF facts document;

(iv) that the management expense ratio of each of the classes or series of securities of the ETF in the automatic switch program is disclosed in the "ETF expenses" section of the ETF facts document;

(f) item 2(2) of Part I includes the ticker symbols of each of class or series of securities of the ETF in the automatic switch program;

(g) item 2(2) of Part I includes the average daily volume of only the class or series of securities of the ETF in the automatic switch program with the highest management fee;

(h) item 2(2) of Part I includes the number of days traded of only the class or series of securities of the ETF in the automatic switch program with the highest management fee;

(i) item 2(3) of Part I includes the market price of only the class or series of securities of the ETF in the automatic switch program with the highest management fee;

(j) item 2(3) of Part I includes the net asset value of only the class or series of securities of the ETF in the automatic switch program with the highest management fee;

(k) item 2(3) of Part I includes the average bid-ask spread of only the class or series of securities of the ETF in the automatic switch program with the highest management fee;

(l) item 5(1) of Part I includes all of the following as part of the introduction:

(i) under the heading “How has the ETF performed?”, the name of only the class or series of securities of the ETF with the highest management fees;

(ii) a statement explaining that the performance for each of the classes or series of securities of the ETF in the automatic switch program will be similar to the performance of the class or series of securities of the ETF with the highest management fee, but will vary as a result of the difference in fees, as set out in the fee decrease table under the sub-heading “ETF expenses”;

(m) item 5(3), (4) and (5) of Part I, under the sub-headings “Year-by-year returns,” “Best and worst 3-month returns,” and “Average return”, includes the required performance data relating only to the class or series of securities of the ETF with the highest management fee;

(n) item 1(1.1) of Part II includes all of the following:

(i) under the heading “How much does it cost?”, in the introductory statement, the name of each class or series of securities of the ETF in the automatic switch program;

(ii) as a part of the introductory statement, a summary of the automatic switch program that includes all of the following:

(A) an explanation that the automatic switch program offers separate classes or series of securities of the ETF that charge progressively lower management fees;

(B) an explanation of the scenarios in which the automatic switches will be made, including, for greater certainty, the scenario in which automatic switches will be made due to the purchaser no longer meeting the minimum investment amount for a particular class or series of securities of the ETF;

(C) a statement that a purchaser will not pay higher management fees as a result of the automatic switches than those charged to the class or series of securities of the ETF with the highest management fee;

(D) a statement that information about the progressively lower management fees for the classes or series of securities of the ETF in the automatic switch program is available in the fee decrease table under the sub-heading “ETF expenses” of the ETF facts document;

(E) a statement that further details about the automatic switch program are disclosed in specific sections of the prospectus of the ETF;

(F) a statement that purchasers should speak to their representative for more information about the automatic switch program;

(o) if the ETF is not newly established, item 1(1.3)(2) of Part II includes all of the following:

(i) the management expense ratio and ETF expenses of each of the classes or series of securities of the ETF in the automatic switch program or, if certain expense information is not available for a particular class or series of securities, the words “not available” in the corresponding part of the table;

(ii) a row in the “Annual rate” table

(A) in which the first column states “For every $1,000 invested, this equals:”, and

(B) that discloses the respective equivalent dollar amounts of the ETF expenses of each class or series of securities of the ETF in the automatic switch program included in the table for every $1,000 invested;

(p) item 1(1.3)(2) of Part II includes, at the end of the disclosure under the sub-heading “ETF expenses”, all of the following:

(i) a table that includes

(A) the name of, and minimum investment amounts associated with, each class or series of securities of the ETF in the automatic switch program, and

(B) the combined management and administration fee decrease of each class or series of securities of the ETF in the automatic switch program from the management fee of the class or series of securities of the ETF with the highest management fee, disclosed as a percentage;

(ii) an introduction to the table referred to in subparagraph (i) stating that the table sets out the combined management and administration fee decrease of each class or series of securities the ETF in the automatic switch program from the management fee of the class or series of securities of the ETF with the highest management fee;

(q) if all the classes or series of securities of the ETF in the automatic switch program are not newly established, item 1(1.3)(3) of Part II includes all of the following:

(i) a statement that the class or series of securities of the ETF with the highest management fee has the highest management fee among all of the classes or series of securities of the ETF in the automatic switch program;

(ii) a statement above the "Annual rate" table required under item 1(1.3)(2) of Part II stating "As of [the date of the most recently filed management report of fund performance], the ETF expenses were as follows:";

(r) if some of the classes or series of securities of the ETF in the automatic switch program are newly established, item 1(1.3)(3) of Part II includes all of the following:

(i) a statement that the class or series of securities of the ETF with the highest management fee has the highest management fee among all of the classes or series of securities of the ETF in the automatic switch program;

(ii) a statement disclosing that the ETF expenses information is not available for certain classes or series of securities of the ETF in the automatic switch program because they are new;

(iii) a statement above the "Annual rate" table required under item 1(1.3)(2) of Part II stating "As of [the date of the most recently filed management report of fund performance], the ETF expenses were as follows:";

(s) if the ETF is newly established, item 1(1.3)(4) of Part II includes all of the following:

(i) a statement that the class or series of securities of the ETF with the highest management fee has the highest management fee among all of the classes or series of securities of the ETF in the automatic switch program;

(ii) the rate of the management fee of only the class or series of securities of the ETF with the highest management fee;

(iii) a statement that the operating expenses and trading costs are not yet available because the ETF is new..

5. Subsection (11) of the General Instructions of Form 41-101F4 Information Required in an ETF Facts Document is replaced with the following:

(11) Unless the exception in section 3C.2.4 of National Instrument 41-101 General Prospectus Requirements applies, an ETF facts document must disclose information about only one class or series of securities of an ETF. ETFs that have more than one class or series that are referable to the same portfolio of assets must prepare a separate ETF facts document for each class or series..

Expiration of exemptions and waivers

6. (1) Any exemption from or waiver of a provision of National Instrument 41-101 *General Prospectus Requirements* in relation to ETF facts document delivery requirements in section 3C.2(2) for ETFs in a pre-authorized purchase plan, portfolio rebalancing plan or an automatic switch program expires on January 5, 2022.

(2) In British Columbia, subsection (1) does not apply.

Transition for pre-authorized purchase plans, portfolio rebalancing plans and automatic switch programs

7. (1) In this section,

"automatic switch" has the same meaning as in section 1.1 of National Instrument 81-101 *Mutual Fund Prospectus Disclosure*;

"automatic switch program" has the same meaning as in section 1.1 of National Instrument 81-101 *Mutual Fund Prospectus Disclosure*;

"portfolio rebalancing plan" has the same meaning as in section 1.1 of National Instrument 81-101 *Mutual Fund Prospectus Disclosure*;

"pre-authorized purchase plan" has the same meaning as in section 1.1 of National Instrument 81-101 *Mutual Fund Prospectus Disclosure*.

(2) For the purposes of section 3C.2.2 and 3C.2.4 of National Instrument 41-101 *General Prospectus Requirements*, as enacted by section 2 of this Instrument, the first purchase of a security of an ETF made pursuant to a pre-authorized purchase plan, portfolio rebalancing plan or an automatic switch program on or after January 5, 2022 is considered to be the first purchase under the plan or program, as applicable.

(3) Subsection (1) does not apply to a pre-authorized purchase plan, portfolio rebalancing plan or an automatic switch program established before January 5, 2022 if a notice providing information substantially similar to the notice referred to in paragraph 3C.2.2(2)(c) or 3C.2.4(2)(c) of National Instrument 41-101 *General Prospectus Requirements*, as enacted by section 2 of this Instrument, was delivered or sent to the purchaser between January 5, 2021 and January 5, 2022.

Effective Date

8. (1) This Instrument comes into force on January 5, 2022.

(2) In Saskatchewan, despite subsection (1), if this Instrument is filed with the Registrar of Regulations after January 5, 2022, this Instrument comes into force on the day on which it is filed with the Registrar of Regulations.

AMENDMENTS TO NATIONAL INSTRUMENT 41-101 *GENERAL PROSPECTUS REQUIREMENTS*

1. National Instrument 41-101 General Prospectus Requirements is amended by this Instrument.

2. Section 3C.6 is replaced with the following:

Dealer as agent

3C.6 (1) For the purpose of this Part, a dealer acts as agent of the purchaser if the dealer is acting solely as agent of the purchaser with respect to the purchase and sale in question and has not received and has no agreement to receive compensation from or on behalf of the vendor with respect to the purchase and sale.

(2) Subsection (1) does not apply in Ontario.

(3) Subsection (1) does not apply in Québec.

(4) Subsection (1) does not apply in British Columbia..

3. Section 3C.7 is replaced with the following:

Purchaser's right of action for failure to deliver or send

3C.7 (1) A purchaser has a right of action if an ETF facts document is not delivered or sent as required by subsection 3C.2(2), as the purchaser would otherwise have when a prospectus is not delivered or sent as required under securities legislation and, for that purpose, an ETF facts document is a prescribed document under the statutory right of action.

(2) In Alberta, instead of subsection (1), section 206 of the *Securities Act* (Alberta) applies.

(3) In Manitoba, instead of subsection (1), section 141.2 of the *Securities Act* (Manitoba) applies and the ETF facts document is a prescribed document for the purposes of section 141.2.

(4) In Nova Scotia, instead of subsection (1), section 141 of the *Securities Act* (Nova Scotia) applies.

(5) In Ontario, instead of subsection (1), section 133 of the *Securities Act* (Ontario) applies.

(6) In Québec, instead of subsection (1), section 214.1 of the *Securities Act* (Québec) applies.

(7) In British Columbia, for the purpose of subsection (1), "statutory right of action" means section 135 of the *Securities Act* (British Columbia).

(8) In Saskatchewan, instead of subsection (1), section 141 of *The Securities Act, 1988* applies..

Effective Date

4. (1) This Instrument comes into force on January 5, 2022.

(2) In Saskatchewan, despite subsection (1), if this Instrument is filed with the Registrar of Regulations after January 5, 2022, this

Instrument comes into force on the day on which it is filed with the Registrar of Regulations.

AMENDMENTS TO NATIONAL INSTRUMENT 81-101
MUTUAL FUND PROSPECTUS DISCLOSURE

(Securities Act)

Made as a rule by the Alberta Securities Commission on July 14, 2021 pursuant to sections 223 and 224 of the Securities Act.

AMENDMENTS TO NATIONAL INSTRUMENT 81-101
MUTUAL FUND PROSPECTUS DISCLOSURE

1. National Instrument 81-101 Mutual Fund Prospectus Disclosure is amended by this Instrument.

2. Section 1.1 is amended

(a) in the definition of "material contract" ***by replacing***

(i) *"*annual information form*" **with** "*simplified prospectus***", and***

(ii) *"*Item 16 of Form 81-101F2 *Contents of Annual Information Form"* ***with*** *"*Item 4.17 of Part A of Form 81-101F1 *Contents of Simplified Prospectus",*

(b) by repealing the definition of "multiple AIF***", and***

(c) by repealing the definition of "single AIF***".***

3. Section 2.1 is amended

(a) by replacing paragraphs (1)(a), (b) and (c) with the following:

(a) that files a preliminary prospectus must file the preliminary prospectus in the form of a preliminary simplified prospectus prepared and certified in accordance with Form 81-101F1 and concurrently file a preliminary fund facts document, for each class or series of securities of the mutual fund, prepared in accordance with Form 81-101F3;

(b) that files a *pro forma* prospectus must file the *pro forma* prospectus in the form of a *pro forma* simplified prospectus prepared and certified in accordance with Form 81-101F1 and concurrently file a *pro forma* fund facts document, for each class or series of securities of the mutual fund, prepared in accordance with Form 81-101F3;

(c) that files a prospectus must file the prospectus in the form of a simplified prospectus prepared and certified in accordance with Form 81-101F1 and concurrently file a fund facts document, for each class or series of securities of the mutual fund, prepared in accordance with Form 81-101F3;***, and***

(b) by repealing subparagraph (1)(d)(i).

4. Section 2.2 is amended

(a) by deleting "or to an annual information form***" in subsection (1),***

(b) by deleting "or annual information form***" in paragraph (1)(a),***

(c) by deleting "or annual information form***" in paragraph (1)(b),***

(d) by deleting "or to an annual information form" ***in subsection (3),***

(e) by deleting "or annual information form" ***in item 1 of subsection (3), and***

(f) by deleting ", or annual information form***" in item 2 of subsection (3).***

5. Section 2.3 is amended

(a) by deleting ", a preliminary annual information form***", wherever it occurs,***

(b) by replacing "preliminary annual information form***" with "***preliminary simplified prospectus***" in subparagraph (1)(a)(i),***

(c) by deleting ", preliminary annual information form***", wherever it occurs,***

(d) by deleting ", a *pro forma* annual information form***", wherever it occurs,***

(e) by repealing subparagraph (2)(b)(ii),

(f) by deleting ", *pro forma* annual information form***" wherever it occurs,***

(g) by deleting ", an annual information form***" wherever it occurs,***

(h) by replacing "annual information form***" with "***simplified prospectus***" in subparagraph (3)(a)(iii),***

(i) by repealing subparagraph (3)(b)(ii),

(j) by deleting "and an amendment to the annual information form***" in paragraph (4)(a),***

(k) by replacing "annual information form***" with "***simplified prospectus***" in subparagraph (4)(a)(i),***

(l) by repealing subparagraph (4)(b)(ii),

(m) by repealing subsection (5),

(n) by deleting "or (5)***" in paragraph (5.1)(a), and***

(o) ***by replacing “***annual information form***” with “***simplified prospectus***” in subparagraph (5.1)(a)(i).***

6. Item 1 of section 3.1 is repealed.

7. Subsection 3.3(2) is repealed.

8. Section 3.5 is replaced with the following:

3.5 Soliciting expressions of interest - A multiple SP that includes a *pro forma* simplified prospectus and a preliminary simplified prospectus must not be used to solicit expressions of interest.**.**

9. Section 4.1 is amended

(a) by deleting “, annual information form***” in subsection (1), and***

(b) by repealing paragraph (2)(c).

10. Section 4.2 is amended by deleting, “, an annual information form***”.***

11. Section 5.4 is repealed.

12. Section 5.1.1 is replaced by the following:

5.1.1 Interpretation - For the purposes of this Part,

“manager certificate form” means a certificate in the form set out in Item 16 of Part A of Form 81-101F1 and attached to the simplified prospectus,

“mutual fund certificate form” means a certificate in the form set out in Item 15 of Part A of Form 81-101F1 and attached to the simplified prospectus,

“principal distributor certificate form” means a certificate in the form set out in Item 18 of Part A of Form 81-101F1 and attached to the simplified prospectus, and

“promoter certificate form” means a certificate in the form set out in Item 17 of Part A of Form 81-101F1 and attached to the simplified prospectus.**.**

13. Section 5.1.2 is amended by deleting “, the amendment to the annual information form***”.***

14. Section 6.2 is amended

(a) by replacing subsection (1) with the following:

(1) Subject to subsection (2) and without limiting the manner in which an exemption may be evidenced, the granting under this Part of an exemption from any form or content requirements relating to a simplified prospectus or fund facts document may be evidenced by the issuance of a receipt for a simplified prospectus or an amendment to a simplified prospectus.**,**

(b) ***in subsection (2) by replacing "***The issuance of a receipt for a simplified prospectus and annual information form or an amendment to a simplified prospectus or annual information form is not evidence that the exemption has been granted unless***" with "***The issuance of a receipt for a simplified prospectus or an amendment to a simplified prospectus is not evidence that the exemption has been granted unless***",***

(c) ***by deleting "***and annual information form***" in subparagraph (2)(a)(i),***

(d) ***by deleting "***or annual information form***" in subparagraph (2)(a)(ii), and***

(e) ***by deleting "***and annual information form***" in subparagraph (2)(a)(iii).***

15. Form 81-101F1 Contents of Simplified Prospectus is replaced with the following:

Form 81-101F1

Contents of Simplified Prospectus

General Instructions

General

(1) This Form describes the disclosure required in a simplified prospectus of a mutual fund. Each Item of this Form outlines disclosure requirements. Instructions as to how you are to provide this disclosure are printed in italic type.

(2) Terms defined in National Instrument 81-101 Mutual Fund Prospectus Disclosure, National Instrument 81-102 Investment Funds or National Instrument 81-105 Mutual Fund Sales Practices and used in this Form have the meanings that they have in those national instruments.

(3) A simplified prospectus must state the required information concisely and in plain language.

(4) Respond as simply and directly as is reasonably possible. Include only as much information as is necessary for an understanding of the fundamental and particular characteristics of the mutual fund. Brevity is especially important in describing practices or aspects of a mutual fund's operations that are materially the same as those of other mutual funds.

(5) National Instrument 81-101 Mutual Fund Prospectus Disclosure requires the simplified prospectus to be presented in a format that assists in readability and comprehension. This Form does not mandate the use of a specific format to achieve these goals. However, mutual funds are encouraged to use, as appropriate, tables, captions, bullet points or other organizational techniques that assist in presenting the required disclosure clearly and concisely.

(6) Each Item must be presented under the heading or sub-heading stipulated in this Form; references to the relevant Item number are optional. If no sub-

heading for an Item is stipulated in this Form, a mutual fund may include sub-headings, under the required headings, at its option.

(7) A simplified prospectus may contain photographs and artwork only if they are relevant to the business of the mutual fund, mutual fund family or members of the organization of the mutual fund and are not misleading.

(8) Any footnotes to tables provided for under any Item in this Form may be deleted if the substance of the footnotes is otherwise provided.

Contents of a Simplified Prospectus

(9) A simplified prospectus consists of two sections, a Part A section and a Part B section.

(10) The Part A section of a simplified prospectus contains the response to the Items in Part A of this Form and contains introductory information about the mutual fund, general information about mutual funds and information applicable to the mutual funds managed by the mutual fund organization.

(11) The Part B section of a simplified prospectus contains the response to the Items in Part B of this Form and contains specific information about the mutual fund to which the simplified prospectus pertains.

(12) Despite securities legislation, a simplified prospectus must present each Item in the Part A section and each Item in the Part B section in the respective order provided for in this Form.

Consolidation of Simplified Prospectuses into a Multiple SP

(13) Subsection 5.1(1) of National Instrument 81-101 Mutual Fund Prospectus Disclosure states that simplified prospectuses must not be consolidated to form a multiple SP unless the Part A sections of each simplified prospectus are substantially similar. The Part A sections in a consolidated document need not be repeated. These provisions permit a mutual fund organization to create a document that contains the disclosure for a number of mutual funds in the same family.

(14) Subsection 5.1(4) of National Instrument 81-101 Mutual Fund Prospectus Disclosure states that a simplified prospectus of an alternative mutual fund must not be consolidated with a simplified prospectus of another mutual fund that is not an alternative mutual fund.

(15) As with a single SP, a multiple SP consists of two Parts:

1. A Part A section that contains general information about the mutual funds, or the mutual fund family, described in the document.

2. A number of Part B sections, each of which provide specific information about one mutual fund. The Part B sections must not be consolidated with each other so that, in a multiple SP, information about each mutual fund described in the document must be provided on a fund-by-fund or catalogue basis and set out *for each mutual fund separately the information required under Part B of this Form. Each Part B section must start on a new page.*

(16) Section 5.3 of National Instrument 81-101 Mutual Fund Prospectus Disclosure permits the Part B sections of a multiple SP to be bound separately from the Part A section of the document. If one Part B section is bound separately from the Part A section of the document, all Part B sections must be separate from the Part A section of the document.

(17) Subsection 5.3(2) of National Instrument 81-101 Mutual Fund Prospectus Disclosure permits Part B sections that have been bound separately from the related Part A section to be bound either individually or together, at the option of the mutual fund organization. There is no prohibition against the same Part B section of a multiple SP being bound by itself for distribution to some investors, and also being bound with the Part B section of other mutual funds for distribution to other investors.

(18) Section 3.2 of National Instrument 81-101 Mutual Fund Prospectus Disclosure provides that the requirement under securities legislation to deliver a preliminary prospectus for a mutual fund will be satisfied by the delivery of a preliminary simplified prospectus, either with or without the documents incorporated by reference. Mutual fund organizations that bind separately the Part B sections of a multiple SP from the Part A section are reminded that, since a simplified prospectus consists of a Part A section and a Part B section, delivery of both sections is necessary in order to satisfy the delivery obligations in connection with the sale of securities of a particular mutual fund.

(19) Part A of this Form generally refers to disclosure required for "a mutual fund" in a "simplified prospectus". Modify the disclosure as appropriate to reflect multiple mutual funds covered by a multiple SP.

(20) A mutual fund that has more than one class or series of securities that are referable to the same portfolio may treat each class or series as a separate mutual fund for the purposes of this Form, or may combine disclosure of one or more of the classes or series in one simplified prospectus. If disclosure pertaining to more than one class or series is combined in one simplified prospectus, separate disclosure in response to each Item in this Form must be provided for each class or series unless the responses would be identical for each class or series.

(21) As provided in National Instrument 81-102 Investment Funds, a section, part, class or series of a class of securities of a mutual fund that is referable to a separate portfolio of assets is considered to be a separate mutual fund. Those principles are applicable to National Instrument 81-101 Mutual Fund Prospectus Disclosure and this Form.

Part A – General Disclosure

Item 1 – Front Cover Disclosure

1.1 – For a single SP, or multiple SP, in which the Part A section and the Part B sections are bound together

(1) Indicate on the front cover whether the document is a preliminary simplified prospectus, a *pro forma* simplified prospectus or a simplified prospectus for each of the mutual funds to which the document pertains.

(2) Indicate on the front cover the names of the mutual funds and, at the option of the mutual funds, the name of the mutual fund family to which the document pertains. If the mutual fund has more than one class or series of securities, indicate the name of each of those classes or series covered in the simplified prospectus.

(3) If the mutual fund to which the simplified prospectus pertains is an alternative mutual fund, indicate that fact on the front cover.

(4) State on the front cover of a document that contains a preliminary simplified prospectus the following:

> "A copy of this document has been filed with [the securities regulatory authority(ies) in each of/certain of the provinces/provinces and territories of Canada] but has not yet become final for the purpose of a distribution. Information contained in this document may not be complete and may have to be amended. The [units/shares] described in this document may not be sold to you until receipts for this document are obtained by the mutual fund from the [securities regulatory authority(ies)]."

(5) If a commercial copy of the document that contains a preliminary simplified prospectus is prepared, print the legend referred to in subsection (4) in red ink.

(6) If the document contains a preliminary simplified prospectus or a simplified prospectus, indicate the date of the document, which is the date of the certificates. This date must be within three business days of the date the document is filed with the securities regulatory authority. Write the date in full, using the name of the month. A document that is a *pro forma* simplified prospectus need not be dated, but may reflect the anticipated date of the simplified prospectus.

(7) State, in substantially the following words:

> "No securities regulatory authority has expressed an opinion about these [units/shares] and it is an offence to claim otherwise."

INSTRUCTION:

Complete the bracketed information in subsection (4)

(a) by inserting the name of each jurisdiction of Canada in which the mutual fund intends to offer securities under the prospectus,

(b) by stating that the filing has been made in each of the provinces of Canada or each of the provinces and territories of Canada, or

(c) by identifying the filing jurisdictions of Canada by exception (i.e. every province of Canada or every province and territory of Canada, except [excluded jurisdictions]).

1.2 – For a multiple SP in which the Part A section is bound separately from the Part B sections

(1) Comply with Item 1.1.

(2) State prominently, in substantially the following words:

> "A complete simplified prospectus for the mutual funds listed on this page consists of this document and an additional disclosure document that provides specific information about the mutual funds in which you are investing. This document provides general information applicable to all of the [name of mutual fund family] funds. You must be provided with the additional disclosure document."

Item 2 – Table of Contents

2.1 – For a single SP, or multiple SP, in which the Part A section and the Part B sections are bound together

(1) Include a table of contents.

(2) Include in the table of contents, under the heading "Fund Specific Information", a list of all of the mutual funds to which the document pertains, with the numbers of the pages where information about each mutual fund can be found.

(3) Begin the table of contents on a new page, which may be the inside front cover of the document.

2.2 – For a multiple SP in which the Part A section is bound separately from the Part B sections

(1) Include a table of contents for the Part A section of the simplified prospectus.

(2) Begin the table of contents on a new page, which may be the inside front cover of the document.

(3) Include, immediately following the table of contents and on the same page, a list of the mutual funds to which the simplified prospectus pertains and details on how the Part B disclosure for each mutual fund will be provided.

Item 3 – Introductory Disclosure

Provide, either on a new page or immediately after the table of contents, the following statements in substantially the following words:

> "This document contains selected important information to help you make an informed investment decision and to help you understand your rights as an investor.

This document is divided into two parts. The first part, [from pages .... through ....], contains general information applicable to all of the [name of fund family] Funds. The second part, [from pages .... through ....] [which is separately bound], contains specific information about each of the Funds described in this document.

Additional information about each Fund is available in the following documents:

• the most recently filed Fund Facts document;

• the most recently filed annual financial statements;

• any interim financial report filed after those annual financial statements;

• the most recently filed annual management report of fund performance;

• any interim management report of fund performance filed after that annual management report of fund performance.

These documents are incorporated by reference into this document, which means that they legally form part of this document just as if they were printed as a part of this document. You can get a copy of these documents, at your request, and at no cost, by calling [toll-free/collect] [insert the toll-free telephone number or telephone number where collect calls are accepted, as required by section 3.4 of the Instrument], or from your dealer.

These documents are available on the mutual fund's designated website at [insert mutual funds' designated website address], or by contacting the [mutual funds/mutual fund family] at [insert e-mail address].

These documents and other information about the Funds are available at www.sedar.com."

Item 4 – Responsibility for Mutual Fund Administration

4.1 – Manager

(1) State the name, address, telephone number, e-mail address and, if applicable, the internet address of the mutual fund's manager.

(2) Briefly describe the services provided by the manager.

(3) List the names, municipality of residence, and the respective current positions and offices held with the manager, of all partners, directors and executive officers of the manager of the mutual fund as at the date of the simplified prospectus.

(4) Identify the name and municipality of residence of the ultimate designated person and chief compliance officer of the manager of the mutual fund.

(5) Describe the circumstances under which each agreement with the manager of the mutual fund may be terminated and include a brief description of the material terms of the agreement.

(6) At the option of the mutual fund, provide, under a separate sub-heading, details of the manager of the mutual fund, including the history and background of the manager and any overall investment strategy or approach used by the manager in connection with the mutual funds for which it acts as manager.

(7) If a mutual fund holds, in accordance with section 2.5 of National Instrument 81-102 *Investment Funds*, securities of another mutual fund that is managed by the same manager or an affiliate or associate of the manager, disclose

(a) that the securities of the other mutual fund held by the mutual fund will not be voted, and

(b) if applicable, that the manager may arrange for the securities of the other mutual fund to be voted by the beneficial holders of the securities of the mutual fund.

4.2 - Portfolio Adviser

(1) If the manager of the mutual fund provides portfolio management services in connection with the mutual fund, state that fact.

(2) If the manager does not provide portfolio management services, state the name and the municipality of the principal or head office for each portfolio adviser of the mutual fund.

(3) Briefly describe the services provided by each portfolio adviser.

(4) Briefly describe the relationship of each portfolio adviser to the manager, unless the manager provides all portfolio management services in connection with the mutual fund.

(5) Identify the individuals employed by the manager or each portfolio adviser who make investment decisions, explain their role in the investment decision-making process, provide their names and titles, and explain whether their decisions are subject to the oversight, approval or ratification of a committee.

(6) Describe the circumstances under which any agreement with a portfolio adviser of the mutual fund may be terminated and include a brief description of the material terms of this agreement.

4.3 - Brokerage Arrangements

(1) If any brokerage transactions involving client brokerage commissions of the mutual fund have been or might be directed to a dealer in return for the provision of any good or service, by the dealer or a third party, other than order execution, state

(a) the process for, and factors considered in, selecting a dealer to effect securities transactions for the mutual fund, including, for greater certainty, whether receiving goods or services in addition to order execution is a factor, and whether and how the process may differ for a dealer that is an affiliated entity,

(b) the nature of the arrangements under which order execution goods and services or research goods and services might be provided,

(c) each type of good or service, other than order execution, that might be provided, and

(d) the method by which a portfolio adviser makes a good faith determination that the mutual fund, on whose behalf the portfolio adviser directs any brokerage transactions involving client brokerage commissions to a dealer in return for the provision of any order execution goods and services or research goods and services, by the dealer or a third party, receives reasonable benefit considering both the use of the goods or services and the amount of client brokerage commissions paid.

(2) Since the date of the last simplified prospectus, if any brokerage transactions involving the client brokerage commissions of the mutual fund have been or might be directed to a dealer in return for the provision of any good or service, by the dealer or a third party, other than order execution, state

(a) each type of good or service, other than order execution, that has been provided to the manager or a portfolio adviser of the mutual fund, and

(b) the name of any affiliated entity that provided any good or service referred to in paragraph (a), separately identifying each affiliated entity and each type of good or service provided by each affiliated entity.

(3) If any brokerage transactions involving the client brokerage commissions of the mutual fund have been or might be directed to a dealer in return for the provision of any good or service, by the dealer or a third party, other than order execution, state that the name of any other dealer or third party that provided a good or service referred to in paragraph (2)(a), that was not disclosed under paragraph (2)(b), will be provided upon request by contacting the mutual fund or mutual fund family at [insert telephone number] or at [insert mutual fund or mutual fund family e-mail address].

INSTRUCTION:

Terms defined in National Instrument 23-102 — Use of Client Brokerage Commissions have the same meaning in this Item.

4.4 - Principal Distributor

(1) If applicable, state the name and address of the principal distributor of the mutual fund.

(2) Briefly describe the services provided by the principal distributor of the mutual fund.

(3) Briefly describe the relationship of the principal distributor to the manager.

(4) Describe the circumstances under which any agreement with the principal distributor of the mutual fund may be terminated and include a brief description of the material terms of this agreement.

4.5 - Directors, Executive Officers and Trustees

(1) For a mutual fund that is a corporation,

(a) list the names and municipality of residence of all directors and executive officers,

(b) state all positions and offices with the mutual fund currently held by each person required to be listed under paragraph (a),

(c) briefly describe the services provided by each person required to be listed under paragraph (a), and

(d) briefly describe the relationship of each person required to be listed under paragraph (a) to the manager.

(2) For a mutual fund that is a trust,

(a) state the name and municipality of residence of each person or company that is a trustee of the mutual fund,

(b) state all positions and offices with the mutual fund currently held by each person required to be listed under paragraph (a),

(c) briefly describe the services provided by each person required to be listed under paragraph (a), and

(d) briefly describe the relationship of each person required to be listed under paragraph (a) to the manager.

(3) For a mutual fund that is a limited partnership, provide the information required by this Item for the general partner of the mutual fund, modified as appropriate.

4.6 - Custodian

(1) State the name, municipality of the principal or head office, and nature of business of the custodian and any principal sub-custodian of the mutual fund.

(2) Briefly describe the services provided by the custodian and any principal sub-custodian of the mutual fund.

(3) Briefly describe the relationship of the custodian and any principal sub-custodian to the manager.

(4) Describe generally the sub-custodian arrangements of the mutual fund.

INSTRUCTION:

A "principal sub-custodian" is a sub-custodian to whom custodial authority has been delegated in respect of a material portion or segment of the portfolio assets of the mutual fund.

4.7 - Auditor

State the name and municipality of the auditor of the mutual fund.

4.8 - Registrar

(1) If there is a registrar of securities of the mutual fund, state the name of the registrar and each municipality in which the register of securities of the mutual fund is kept.

(2) Briefly describe the services provided by the registrar.

(3) Briefly describe the relationship of the registrar to the manager.

4.9 - Securities Lending Agent

(1) State the name of each securities lending agent of the mutual fund and the municipality of each securities lending agent's principal or head office.

(2) State whether any securities lending agent of the mutual fund is an affiliate or associate of the manager of the mutual fund.

(3) Briefly describe the material terms of each agreement with each securities lending agent. Include the amount of collateral required to be delivered in connection with a securities lending transaction as a percentage of the market value of the loaned securities, and briefly describe any indemnities provided in, and the termination provisions of, each agreement.

4.10 - Cash Lender

(1) In the case of an alternative mutual fund, state the name of each person or company that has entered into an agreement to lend money to the alternative mutual fund or provides a line of credit or similar lending arrangement to the alternative mutual fund.

(2) State whether any person or company required to be named under subsection (1) is an affiliate or associate of the manager of the alternative mutual fund.

4.11 – Other Service Providers

(1) State the name, municipality of the principal or head office, and the nature of the business of each person or company not previously named under Items 4.1 to 4.10 that provides a service that is material to the mutual fund, including, for greater certainty, services relating to portfolio valuation, fund accounting, and the purchase and sale of portfolio assets by the mutual fund.

(2) For each person or company identified under subsection (1), briefly describe the following:

(a) the services provided by that person or company;

(b) the relationship of that person or company to the manager;

(c) the material terms and conditions of the contractual arrangements by which the person or company has been retained.

4.12 - Independent Review Committee and Fund Governance

(1) Provide detailed information concerning the governance of the mutual fund, including, for greater certainty,

(a) all of the following:

(i) a description of the mandate and responsibilities of the independent review committee;

(ii) the composition of the independent review committee and the reasons for any change in the composition of the independent review committee since the date of the most recently filed simplified prospectus;

(iii) the following statement:

"The independent review committee prepares, at least annually, a report of its activities for securityholders and makes such reports available on the mutual fund's designated website at [insert mutual fund's designated website address], or at the securityholder's request and at no cost, by contacting the [mutual fund/mutual fund family] at [insert mutual fund's/mutual fund family's e-mail address].",

(b) a description of any other body or group that has responsibility for fund governance and the extent to which its members are independent of the manager of the mutual fund, and

(c) a description of the policies, practices or guidelines of the mutual fund, or of the manager, relating to the business practices, sales practices, risk management controls and internal conflicts of interest, and if the mutual fund or the manager has no such policies, practices or guidelines, a statement to that effect.

(2) Despite subsection (1), if the information required by subsection (1) is not the same for substantially all of the mutual funds described in the document, provide only that information that is the same for substantially all of the mutual funds and provide the remaining disclosure required by that subsection under Item 3 of Part B of this Form.

INSTRUCTION:

If the mutual fund has an independent review committee, state in the disclosure provided under paragraph (1)(c) that National Instrument 81-107 Independent Review Committee for Investment Funds requires the manager to have policies and procedures relating to conflicts of interest.

4.13 - Affiliated Entities

(1) State whether any person or company that provides services to the mutual fund or the manager in relation to the mutual fund is an affiliated entity of the manager, and include a diagram, with a descriptive title, showing the relationships of those affiliated entities with each other.

(2) State that the amount of fees received from the mutual fund by each person or company described under subsection (1) is disclosed in the audited financial statements of the mutual fund.

INSTRUCTIONS:

(1) A person or company is an affiliated entity of another person or company if one is a subsidiary entity of the other, 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) A person or company is a controlled entity of another person or company if any of the following apply:

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

(i) voting securities of the first-mentioned person or company carrying more than 50% 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 50% of the interests in the partnership;

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

(3) A person or company is a subsidiary entity of another person or company if any of the following apply:

(a) the person or company is a controlled entity of any of the following:

(i) the other person or company;

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

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

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

(4) For the purposes of subsection (1) "provides services" includes, for greater certainty, the provision of brokerage services in connection with execution of portfolio transactions for the mutual fund.

4.14 – Dealer Manager Disclosure

If the mutual fund is dealer managed, disclose that fact and that the mutual fund is subject to the restrictions set out in section 4.1 of National Instrument 81-102 *Investment Funds*, and summarize section 4.1 of National Instrument 81-102 *Investment Funds*.

4.15 – Policies and Practices

(1) If the mutual fund intends to use derivatives or sell securities short, describe the policies and practices of the mutual fund to manage the risks associated with engaging in those types of transactions.

(2) In the disclosure provided under subsection (1), include disclosure pertaining to all of the following:

(a) whether there are written policies and procedures in place that set out the objectives and goals for derivatives trading and short selling and any risk management procedures applicable to those transactions;

(b) who is responsible for setting and reviewing the policies and procedures referred to in paragraph (a), how often the policies and procedures are reviewed, and the extent and nature of the involvement of the board of directors or trustee in the risk management process;

(c) whether there are trading limits or other controls on derivative trading or short selling in place and who is responsible for authorizing the trading and placing limits or other controls on the trading;

(d) whether there are individuals or groups that monitor the risks independent of those who trade;

(e) whether any risk measurement procedures or simulations are used to test the portfolio under stress conditions.

(3) If the mutual fund intends to enter into securities lending, repurchase or reverse repurchase transactions, describe the policies and practices of the mutual fund to manage the risks associated with those transactions.

(4) In the disclosure provided under subsection (3), include disclosure of all of the following:

(a) the involvement of any agent in administering the transactions on behalf of the mutual fund pursuant to any agreement between the parties;

(b) whether there are written policies and procedures in place that set out the objectives and goals for securities lending, repurchase transactions or reverse repurchase transactions, and any risk management procedures applicable to the mutual fund's entering into of those transactions;

(c) who is responsible for setting and reviewing the agreement referred to in paragraph (a) and the policies and procedures referred to in paragraph (b), how often the policies and procedures are reviewed, and the extent and nature of the involvement of the board of directors or trustee in the risk management process;

(d) whether there are limits or other controls in place on the entering into of those transactions by the mutual fund and who is responsible for placing those limits or other controls on those transactions;

(e) whether there are individuals or groups that monitor the risks independent of those who enter into those transactions on behalf of the mutual fund;

(f) whether any risk measurement procedures or simulations are used to test the portfolio under stress conditions.

(5) Unless the mutual fund invests only in non-voting securities, describe the policies and procedures that the mutual fund follows when voting proxies relating to portfolio securities, including, for greater certainty,

(a) the procedures that are followed when a vote presents a conflict between the interests of securityholders and those of the manager of the mutual fund, a portfolio adviser of the mutual fund, an affiliate or associate of the mutual fund, an affiliate or associate of the manager of the mutual fund, or an affiliate or associate of a portfolio adviser of the mutual fund, and

(b) the policies and procedures of a portfolio adviser of the mutual fund, or any other third party, that the mutual fund follows, or that are followed on the mutual fund's behalf, to determine how to vote proxies relating to portfolio securities.

(6) State that a copy of the policies and procedures that the mutual fund follows when voting proxies relating to portfolio securities is available on request, at no cost, by calling [toll-free/collect call telephone number] or by writing to [address].

(7) State that the mutual fund's proxy voting record, for the most recent period ended June 30 of each year, is available free of charge to any securityholder of the mutual fund upon request at any time after August 31 of that year. If the proxy voting record is available on the mutual fund's designated website, provide the website address.

INSTRUCTIONS:

(1) The disclosure provided under this Item must make appropriate distinctions between the risks associated with the intended use by the mutual fund of derivatives for hedging purposes and the mutual fund's intended use of derivatives for non-hedging purposes.

(2) The mutual fund's proxy voting policies and procedures must satisfy the requirements of section 10.2 of National Instrument 81-106 Investment Fund Continuous Disclosure.

4.16 - Remuneration of Directors, Officers and Trustees

(1) If the management functions of the mutual fund are carried out by employees of the mutual fund, disclose, in respect of those employees, the information concerning executive compensation that is required to be disclosed for executive officers of an issuer under securities legislation. The disclosure in this Form must be made in accordance with the disclosure requirements of Form 51-102F6 *Statement of Executive Compensation*.

(2) Describe any arrangements under which compensation was paid or payable by the mutual fund during the most recently completed financial year of the mutual fund, for the services of directors of the mutual fund, members of an independent board of governors or advisory board of the mutual fund and members of the independent review committee of the mutual fund, including the amounts paid, the name of the individual and any expenses reimbursed by the mutual fund to the individual

(a) in that capacity, including any additional amounts payable for committee participation or special assignments, and

(b) as a consultant or expert.

(3) For a mutual fund that is a trust, describe the arrangements, including the amounts paid and expenses reimbursed, under which compensation was paid or payable by the mutual fund during the most recently completed financial year of the mutual fund for the services of the trustee or trustees of the mutual fund.

4.17 – Material Contracts

(1) List and provide particulars pertaining to all of the following:

(a) the articles of incorporation, continuation or amalgamation, the declaration of trust or trust agreement of the mutual fund, the limited partnership agreement or any other constating or establishing documents of the mutual fund;

(b) any agreement of the mutual fund or trustee with the manager of the mutual fund;

(c) any agreement of the mutual fund, the manager or trustee with each portfolio adviser of the mutual fund;

(d) any agreement of the mutual fund, the manager or trustee with the custodian of the mutual fund;

(e) any agreement of the mutual fund, the manager or trustee with the principal distributor of the mutual fund;

(f) any other material agreement.

(2) State a reasonable time at which and place where the agreements listed under subsection (1) may be inspected by prospective or existing securityholders.

(3) Include, in describing particulars of the agreements, the date of, parties to, consideration paid by the mutual fund under, termination provisions of, and general nature of, the agreements.

INSTRUCTION:

This Item does not require disclosure of agreements entered into in the ordinary course of business of the mutual fund.

4.18 - Legal Proceedings

(1) Briefly describe any ongoing material legal proceedings, which for greater certainty includes administrative proceedings, to which the mutual fund, its manager or its principal distributor is a party.

(2) For all matters disclosed under subsection (1), disclose all of the following:

(a) the name of the court, agency or administrative body having jurisdiction;

(b) the date on which the proceeding was commenced;

(c) the principal parties to the proceeding;

(d) the nature of the proceeding and, if applicable, the amount claimed;

(e) whether the proceedings are being contested and the present status of the proceedings.

(3) To the extent known, provide the disclosure referred to in paragraphs (2)(a), (c), (d) and (e) in respect of any material proceedings known to be contemplated.

(4) Describe any penalties or other sanctions imposed and the grounds on which they were imposed, or the terms of any settlement agreement and the circumstances that gave rise to the settlement agreement, if the manager of the mutual fund, a director or officer of the mutual fund or a partner, director or officer of the manager of the mutual fund, in the 10 years before the date of the simplified prospectus has

(a) been subject to any penalties or sanctions imposed by a court or securities regulator relating to trading in securities, promotion or management of a publicly-traded mutual fund, theft or fraud, or has been subject to any other penalties or sanctions imposed by a court or regulatory body that would be likely to be considered important to a reasonable investor in determining whether to purchase securities of the mutual fund;

(b) entered into a settlement agreement with a court, securities regulatory or other regulatory body, in relation to any of the matters referred to in paragraph (a).

(5) If the manager of the mutual fund, or a director or officer of the mutual fund or the partner, director or officer of the manager of the mutual fund has, within the 10 years before the date of the simplified prospectus, been subject to any penalties or sanctions imposed by a court or securities regulator relating to trading in securities, promotion or management of a publicly traded mutual fund, or theft or fraud, or has entered into a settlement agreement with a regulatory authority in relation to any of these matters, describe the penalties or sanctions imposed and the grounds on which they were imposed, or the terms of the settlement agreement and the circumstances that gave rise to the settlement agreement.

4.19 – Designated Website

State, in substantially the following words:

"A mutual fund is required to post certain regulatory disclosure documents on a designated website. The designated website(s) of the mutual fund(s) this document pertains to can be found at the following location(s): [insert the mutual fund's designated website address or addresses, as applicable]."

Item 5 - Valuation of Portfolio Securities

(1) Describe the methods used to value the different types or classes of portfolio assets of the mutual fund and its liabilities for the purpose of calculating net asset value.

(2) If the valuation methods established by the manager differ from Canadian GAAP, describe the differences.

(3) If the manager has discretion to deviate from the mutual fund's valuation methods described under subsection (1), disclose when and to what extent the discretion may be exercised and, if it has been exercised in the past three years, provide an example of how it has been exercised or, if it has not been exercised in the past three years, state that fact.

Item 6 - Calculation of Net Asset Value

(1) Describe the method followed or to be followed by the mutual fund in determining the net asset value.

(2) State the frequency at which the net asset value is determined and the date and time of day at which it is determined.

(3) Describe the manner in which the net asset value and net asset value per security of the mutual fund will be made available to the public and state that the information will be available at no cost to the public.

(4) In the case of a money market mutual fund, if the fund intends to maintain a constant net asset value per security, disclose that intention and disclose how the mutual fund intends to maintain a constant net asset value.

Item 7 - Purchases, Switches and Redemptions

(1) Briefly describe how an investor can purchase and redeem the securities of the mutual fund or switch them for securities of other mutual funds, state how often the mutual fund is valued, and state that the issue and redemption price of those securities is based on the mutual fund’s net asset value of a security of that class, or series of a class, next determined after the receipt by the mutual fund of the purchase order or redemption order.

(2) State that, under extraordinary circumstances, the rights of investors to redeem securities may be suspended by the mutual fund and describe the circumstances under which the suspension of redemption rights could occur.

(3) For a new mutual fund that is being sold on a best-efforts basis, state whether the issue price will be fixed during the initial distribution period, and state when the mutual fund will begin issuing and redeeming securities based on the net asset value per security of the mutual fund.

(4) Describe all available purchase options and state, if applicable, that the choice of different purchase options requires the investor to pay different fees and expenses and, if applicable, that the choice of different purchase options affects the amount of compensation paid by a member of the organization of the mutual fund to a dealer. Include cross-references to the disclosure provided under Items 9 and 10 of Part A of this Form.

(5) Describe the adverse effects, if any, that short-term trades in securities of the mutual fund by an investor may have on other investors in the mutual fund.

(6) Describe the restrictions, if any, that may be imposed by the mutual fund to deter short-term trades, including the circumstances, if any, under which such restrictions may not apply.

(7) If the mutual fund does not impose restrictions on short-term trades, state the specific basis for the view of the manager that it is appropriate for the mutual fund not to do so.

(8) Describe the policies and procedures of the mutual fund relating to the monitoring, detection and deterrence of short-term trades of mutual fund securities. If the mutual fund has no such policies and procedures, state that fact.

(9) Describe any arrangements, whether formal or informal, with any person or company, that permit short-term trades in securities of the mutual fund, including, for greater certainty,

(a) the name of the person or company, and

(b) the terms of such arrangements, including, for greater certainty,

(i) any restrictions imposed on the short-term trades, and

(ii) any compensation or other consideration received by the manager, the mutual fund or any other party pursuant to the arrangements.

(10) Describe how the securities of the mutual fund are distributed. If sales are effected through a principal distributor, provide a brief description of any arrangements with the principal distributor.

(11) Disclose that a dealer may make provision in arrangements that it has with an investor that will require the investor to compensate the dealer for any losses suffered by the dealer in connection with a failed settlement of a purchase of securities of the mutual fund caused by the investor.

(12) Disclose that a dealer may make provision in arrangements that it has with an investor that will require the investor to compensate the dealer for any losses suffered by the dealer in connection with any failure of the investor to satisfy the requirements of the mutual fund or securities legislation for a redemption of securities of the mutual fund.

INSTRUCTIONS:

(1) The disclosure required under subsection (4) must describe currency purchase plans, if applicable.

(2) In the disclosure required by subsections (5) to (7), include a brief description of the short-term trading activities in the mutual fund that are considered by the manager to be inappropriate or excessive. If the manager imposes a short-term trading fee, include a cross-reference to the disclosure provided under Item 9 of Part A of this Form.

Item 8 - Optional Services Provided by the Mutual Fund Organization

If applicable, under the heading "Optional Services", describe the optional services that may be obtained by typical investors from the mutual fund organization.

INSTRUCTION:

Disclosure made under this Item must include, for example, any asset allocation services, registered tax plans, regular investment and withdrawal plans, periodic purchase plans, contractual plans, periodic withdrawal plans or switch privileges.

Item 9 - Fees and Expenses

9.1 - General Disclosure

(1) Set out information about the fees and expenses payable by the mutual fund and by investors in the mutual fund under the heading "Fees and Expenses".

(2) If the mutual fund holds securities of other mutual funds, disclose all of the following:

(a) any fees and expenses payable by the other mutual fund in addition to the fees and expenses payable by the mutual fund;

(b) that no management fees or incentive fees are payable by the mutual fund that, to a reasonable person, would duplicate a fee payable by the other mutual fund for the same service;

(c) that no sales fees or redemption fees are payable by the mutual fund in relation to its purchases or redemptions of the securities of the other mutual fund if the other mutual fund is managed by the manager or an affiliate or associate of the manager of the mutual fund;

(d) that no sales fees or redemption fees are payable by the mutual fund in relation to its purchases or redemptions of securities of the other mutual fund that, to a reasonable person, would duplicate a fee payable by an investor in the mutual fund.

(3) The information required by this Item is a summary of the fees, charges and expenses of the mutual fund and investors presented in the form of the following table, appropriately completed, and introduced using substantially the following words:

> "This table lists the fees and expenses that you may have to pay if you invest in the [insert the name of the mutual fund]. You may have to pay some of these fees and expenses directly. The Fund may have to pay some of these fees and expenses, which will reduce the value of your investment in the Fund."

(4) Include the fees for any optional services provided by the mutual fund organization, as described under Item 8 of Part A of this Form, in the table.

(5) Under "Operating Expenses" in the table, include a description of the fees and expenses payable in connection with the independent review committee. If the information is not the same for each mutual fund described in the document, provide the disclosure in the description of fees and expenses required for each fund under Item 3 of Part B of this Form and include a cross-reference to that information in the table required under this Item.

(6) If management fees are payable directly by investors, add a line item in the table to disclose the maximum percentage that could be paid by investors.

(7) If the manager permits negotiation of a management fee rebate, provide disclosure of these arrangements. If these arrangements are not available for each mutual fund described in the document, make this disclosure in the description of fees and expenses required for each fund by Item 3 of Part B of this Form and include a cross-reference to that information in the table required by this Item.

Fees and Expenses Payable by the Fund	
Management Fees	*[See Instruction (1)] [disclosure re management fee rebate program]*
Operating Expenses	*[See Instructions (2) and (3)] Fund[s] pay[s] all operating expenses, including ....*
Fees and Expenses Payable Directly by You	
Sales Charges	*[specify percentage, as a percentage of ....]*
Switch Fees	*[specify percentage, as a percentage of ...., or specify amount]*
Redemption Fees	*[specify percentage, as a percentage of ...., or specify amount]*
Short-term Trading Fees	*[specify percentage, as a percentage of ....]*
Registered Tax Plan Fees *[include this disclosure and specify the type of fees if the registered tax plan is sponsored by the mutual fund and is described in the simplified prospectus]*	*[specify amount]*
Other Fees and Expenses *[specify type]*	*[specify amount]*

INSTRUCTIONS:

(1) If the table pertains to more than one mutual fund and not all of the mutual funds pay the same management fees, under "Management Fees" in the table, do either of the following:

(a) state that the management fees are unique to each mutual fund, include management fee disclosure for each mutual fund as a separate line item in the table required by Item 3 of Part B of this Form for that mutual fund, and include a cross-reference to that table;

(b) list the amount of the management fee, including any performance or incentive fee, for each mutual fund separately.

(2) If the table pertains to more than one mutual fund and not all of the mutual funds have the same obligations to pay operating expenses, under "Operating Expenses" in the table, do either of the following:

(a) state that the operating expenses payable by the mutual funds are unique to each mutual fund, include a description of the operating expenses payable by each mutual fund as a separate line item in the table required by Item 3 of Part B of this Form for that mutual fund, and include a cross-reference to that table;

(b) provide the disclosure concerning the operating expenses for each mutual fund contemplated by this Item separately.

(3) Under "Operating Expenses", state whether the mutual fund pays all of its operating expenses and list the main components of those expenses. If the mutual fund pays only certain operating expenses and is not responsible for payment of all such expenses, adjust the statement in the table to reflect the proper contractual responsibility of the mutual fund.

(4) Show all fees and expenses payable by the mutual fund, even if it is expected that the manager of the mutual fund or other member of the organization of the mutual fund will waive or absorb some or all of those fees and expenses.

(5) If the management fees of a mutual fund are payable directly by a securityholder and vary so that specific disclosure of the amount of the management fees cannot be disclosed in the simplified prospectus of the mutual fund, or cannot be derived from disclosure in the simplified prospectus, provide as much disclosure as possible about the management fees to be paid by securityholders, including the highest possible rate or range of those management fees.

9.2 Management Fee Rebate or Distribution Programs

(1) Disclose details of any arrangements that are in effect or will be in effect during the currency of the simplified prospectus if those arrangements will result, directly or indirectly, in a securityholder in the mutual fund paying, as a percentage of the securityholder's investment in the mutual fund, a management fee that differs from that payable by another securityholder.

(2) In the disclosure required by subsection (1), describe all of the following:

(a) who pays the management fee;

(b) when the management fee is to be paid, whether a reduced fee is paid or whether the full fee is paid with a repayment of a portion of the management fee to be paid at a later date;

(c) the person or company that funds the reduction or repayment of management fees, when the reduction or repayment is made and whether it is made in cash or in securities of the mutual fund;

(d) whether the differing management fees are negotiable or calculated in accordance with a fixed schedule;

(e) if the management fees are negotiable, the factors or criteria relevant to the negotiations and state who negotiates the fees with the investor;

(f) whether the differing management fees payable are based on the number or value of the securities of the mutual fund purchased during a specified period or the number or value of the securities of the mutual fund held at a particular time;

(g) any other factors or criteria that could affect the amount of the management fees payable.

(3) Disclose the income tax consequences to the mutual fund and its securityholders of a management fee structure that results in a securityholder paying a management fee that differs from that payable by another securityholder.

Item 10 - Dealer Compensation

Provide the disclosure of sales practices and equity interests required under sections 8.1 and 8.2 of National Instrument 81-105 *Mutual Fund Sales Practices*.

INSTRUCTIONS:

(1) Briefly state the compensation paid and the sales practices followed by the members of the organization of the mutual fund in a concise and explicit manner, without explaining the requirements and parameters for permitted compensation contained in National Instrument 81-105 Mutual Fund Sales Practices.

(2) If the manager or another member of the mutual fund's organization pays trailing commissions, so state and provide an explanation of the basis of calculation of these commissions and the range of the rates of such commissions. If the mutual fund organization from time to time pays the permitted marketing expenses of participating dealers on a co-operative basis, so state. If the mutual fund organization from time to time holds educational conferences that sales representatives of participating dealers may attend or from time to time pays certain of the expenses incurred by participating dealers in holding educational conferences for sales representatives, so state.

(3) If the members of the organization of the mutual fund follow any other sales practices permitted by National Instrument 81-105 Mutual Fund Sales Practices, briefly describe these sales practices.

(4) Include a brief summary of the equity interests between the members of the organization of the mutual fund and participating dealers and representatives as required by section 8.2 of National Instrument 81-105 Mutual Fund Sales Practices. This disclosure may be provided by means of a diagram or table.

Item 11 - Income Tax Considerations

11.1 - Income Tax Considerations for the Mutual Fund

Describe, in general terms, the basis upon which the income and capital receipts of the mutual fund are taxed.

11.2 - Income Tax Considerations for Investors

(1) Describe, in general terms, the income tax consequences, to the securityholders of the securities offered, of all of the following:

(a) any distribution to the securityholders in the form of dividends or otherwise, including amounts reinvested in securities of the mutual fund;

(b) the redemption of securities;

(c) the issuance of securities;

(d) any transfers between mutual funds;

(e) gains or losses that occur on the disposition of securities of the mutual fund by the investor.

(2) The description provided in response to subsection (1) must explain the different tax treatment applicable to mutual fund securities held in a registered tax plan as compared to mutual fund securities held in non-registered accounts.

(3) Describe the impact of the mutual fund's distribution policy on a taxable investor who acquires securities of the mutual fund late in a calendar year.

(4) If material, describe the potential impact of the mutual fund's anticipated portfolio turnover rate on a taxable investor.

(5) Describe how the adjusted cost base of a security of a mutual fund can be calculated by those investors holding securities outside a registered tax plan.

INSTRUCTIONS:

(1) If management fees are paid directly by investors, describe generally the income tax consequences to taxable investors of this arrangement.

(2) Subsection (2) is particularly relevant for investors who hold their mutual fund investments through RRSPs, if they have invested in a mutual fund that requires management fees to be paid directly by the investors. Detailed disclosure of the tax consequences of this arrangement on those investors must be made by those mutual funds.

Item 12 - Statement of Rights

Under the heading "What Are Your Legal Rights?", state in substantially the following words:

"Under securities law in some provinces and territories, you have the right to

• withdraw from an agreement to buy mutual funds within two business days after you receive a simplified prospectus or Fund Facts document, or

• cancel your purchase within 48 hours after you receive confirmation of the purchase.

In some provinces and territories, you also have the right to cancel a purchase, or in some jurisdictions, claim damages, if the simplified prospectus, Fund Facts document or financial statements contain a misrepresentation. You must act within the time limits set by law in the applicable province or territory."

For more information, see the securities law of your province or territory or ask a lawyer."

Item 13 - Additional Information

(1) Disclose any other material facts relating to the securities proposed to be offered that are not disclosed elsewhere in this Form.

(2) Provide any disclosure required or permitted to be disclosed in a prospectus under securities legislation or by a decision of the regulator or securities regulatory authority pertaining to the mutual fund that is not otherwise required to be disclosed under this Form.

INSTRUCTIONS:

(1) An example of a provision of securities legislation relevant to this Item is the requirement contained in the conflict of interest provisions of the securities legislation of a number of jurisdictions to the effect that a mutual fund must not make an investment in respect of which a related person will receive any fee or compensation except for fees paid pursuant to a contract disclosed in, among other things, a prospectus. Another example is the requirement of some jurisdictions that certain statements be included in a simplified prospectus of a mutual fund with a non-Canadian manager.

(2) For a single SP, provide the disclosure under this Item or under Item 11 of Part B of this Form, whichever is more appropriate.

(3) For a multiple SP, the disclosure must be provided under this Item if the disclosure pertains to all of the mutual funds described in the document. If the disclosure does not pertain to all of those funds, provide the disclosure in the fund-specific disclosure required or permitted under Item 11 of Part B of this Form.

Item 14 - Exemptions and Approvals

Describe all exemptions from, or approvals in relation to, this Instrument, National Instrument 81-102 *Investment Funds*, National Instrument 81-105 *Mutual Fund Sales Practices* or National Policy Statement No. 39 obtained by the mutual fund or the manager that continue to be relied upon by the mutual fund or the manager.

Item 15 - Certificate of the Mutual Fund

(1) Include a certificate of the mutual fund that states,

(a) for a simplified prospectus,

"This simplified prospectus and the documents incorporated by reference into the simplified prospectus, constitute full, true and plain disclosure of all material facts relating to the securities offered by the simplified prospectus, as required by the securities legislation of [insert the jurisdictions in which qualified] and do not contain any misrepresentations.",

(b) for an amendment to a simplified prospectus that does not restate the simplified prospectus, "This amendment no. [specify amendment number and date], together with the [amended and restated] simplified prospectus dated [specify], [amending and restating the simplified prospectus dated [specify],] [as amended by [specify prior amendments and dates]] and the documents incorporated by reference into the [amended and restated] simplified prospectus, [as amended,] constitute full, true and plain disclosure of all material facts relating to the securities offered by the [amended and restated] simplified prospectus, [as amended,] as required by the securities legislation of [insert the jurisdictions in which qualified] and do not contain any misrepresentations.", and

(c) for an amendment that amends and restates a simplified prospectus,

"This amended and restated simplified prospectus dated [specify] [, amending and restating the simplified prospectus dated [specify]] [, as amended by [specify prior amendments and dates]] and the documents incorporated by reference into the [amended and restated] simplified prospectus, [as amended,] constitute full, true and plain disclosure of all material facts relating to the securities offered by the [amended and restated] simplified prospectus, [as amended,] as required by the securities legislation of [insert the jurisdictions in which qualified] and do not contain any misrepresentations.".

(2) The certificate required to be signed by the mutual fund must, if the mutual fund is a trust, be signed by either of the following:

(a) if any trustee of the mutual fund is an individual, by each individual who is a trustee or by a duly authorized attorney of the individual;

(b) if any trustee of the mutual fund is a corporation, by the duly authorized signing officer or officers of the corporation.

(3) Despite subsection (2), if the declaration of trust or trust agreement establishing the mutual fund delegates the authority to do so, or otherwise authorizes a person to do so, the certificate form required to be signed by the trustee or trustees of the mutual fund may be signed by the person to whom the authority is delegated or who is authorized.

(4) Despite subsections (2) and (3), if the trustee of the mutual fund is also its manager, the certificate must indicate that it is being signed by the person or company both in its capacity of trustee and in its capacity as manager of the mutual fund and must be signed in the manner prescribed by Item 16.

Item 16 - Certificate of the Manager of the Mutual Fund

(1) Include a certificate of the manager of the mutual fund in the same form as the certificate signed by the mutual fund.

(2) The certificate must, if the manager is a company, be signed by the chief executive officer and the chief financial officer of the manager, and on behalf of the board of directors of the manager by any two directors of the manager, other

than the chief executive officer or chief financial officer, duly authorized to sign.

(3) Despite subsection (2), if the manager has only three directors, two of whom are the chief executive officer and chief financial officer, the certificate required by subsection (2) to be signed on behalf of the board of directors of the manager must be signed by the remaining director of the manager.

Item 17 - Certificate of Each Promoter of the Mutual Fund

(1) Include a certificate of each promoter of the mutual fund in the same form as the certificate signed by the mutual fund.

(2) The certificate to be signed by the promoter must be signed by any officer or director of the promoter duly authorized to sign.

Item 18 - Certificate of the Principal Distributor of the Mutual Fund

(1) Include a certificate of the principal distributor of the mutual fund that states:

"To the best of our knowledge, information and belief, this simplified prospectus and the documents incorporated by reference into the simplified prospectus, constitute full, true and plain disclosure of all material facts relating to the securities offered by the simplified prospectus, as required by the securities legislation of [insert the jurisdictions in which qualified] and do not contain any misrepresentations."

(2) The certificate to be signed by the principal distributor must be signed by any officer or director of the principal distributor duly authorized to sign.

INSTRUCTION:

For a mutual fund that has a principal distributor, the certificate required by this Item is necessary to satisfy the requirements of securities legislation that an underwriter sign a certificate to a prospectus.

Part B – Fund-Specific Information

Item 1 - General

(1) For a multiple SP in which the Part B sections are bound separately from the Part A section, include at the bottom of each page of a Part B section a footer in substantially the following words and in a type size consistent with the rest of the document:

> "This document provides specific information about [name of Fund]. It should be read in conjunction with the rest of the simplified prospectus of the [name of mutual fund family] dated [insert date]. This document and the document that provides general information about [name of mutual fund family] together constitute the simplified prospectus."

(2) If a Part B section is an amended and restated document, add to the footer required by subsection (1) a statement that the document has been amended and restated on [insert date].

(3) For a single SP, or a multiple SP, in which the Part A section and the Part B sections are bound together, include all of the following:

(a) at the top of the first page of the first Part B section in the document, the heading "Specific Information about Each of the Mutual Funds Described in this Document" for a multiple SP, or "Specific Information about the [name of Fund]" for a single SP;

(b) at the top of each page of a Part B section of the document, a heading consisting of the name of the mutual fund described on that page.

(4) For a multiple SP in which the Part A section is bound separately from the Part B sections, include at the top of each page of a Part B section of the document a heading consisting of the name of the mutual fund described on that page.

Item 2 - Part B Introduction

(1) Disclose under the heading "What Is a Mutual Fund and What Are the Risks of Investing in a Mutual Fund?" all of the following:

(a) a brief general description of the nature of a mutual fund;

(b) the risk factors and other investment considerations that an investor should take into account that are associated with investing in mutual funds generally.

(2) At a minimum, in response to the requirements of subsection (1), include disclosure in substantially the following words:

> "Mutual funds own different types of investments, depending upon the fund's investment objectives. The value of these investments will change from day to day, reflecting changes in interest rates, economic conditions and market and company news. As a result, the value of a mutual fund's [units/shares] may go up and down, and the value of your investment in a mutual fund may be more or less when you redeem it than when you purchased it.
>
> [If applicable], The full amount of your investment in any [name of mutual fund family] mutual fund is not guaranteed.
>
> Unlike bank accounts or GICs, mutual fund [units/shares] are not covered by the Canada Deposit Insurance Corporation or any other government deposit insurer."

(3) For a multiple SP, at the option of the mutual fund, include any information that is applicable to more than one of the mutual funds, including for greater certainty, all of the following:

(a) explanatory information;

(b) risk factors;

(c) investment considerations;

(d) investment restrictions;

(e) descriptions of the securities offered under the simplified prospectus;

(f) details regarding the name, formation and history of the mutual fund.

(4) Any information included in an introductory section under subsection (3) may be omitted elsewhere in the Part B section of the document.

INSTRUCTIONS:

(1) In providing disclosure under subsection (1), follow the instructions under Item 9 of Part B of this Form, as appropriate.

(2) Subsection (3) may be used to avoid the need for repetition of standard information in each Part B section of a multiple SP.

(3) Examples of explanatory information that may be disclosed under subsection (3) at the option of the mutual fund are

(a) definitions or explanations of terms used in each Part B section, such as "portfolio turnover rate" and "management expense ratio", and

(b) a discussion or explanation of the tables or charts that are required in each Part B section of the document.

(4) Examples of the risks that may be disclosed under subsection (3) at the option of the mutual fund are stock market risk, interest rate risk, foreign security risk, foreign currency risk, specialization risk and risk associated with the use of derivatives. If risk disclosure is provided under that subsection, the fund-specific disclosure about each mutual fund described in the document must contain a reference to the appropriate parts of this risk disclosure.

Item 3 - Fund Details

Disclose, in a table, all of the following:

(a) the type of mutual fund that the mutual fund is best characterized as;

(b) whether the mutual fund is eligible as an investment for registered retirement savings plans, registered retirement income funds or deferred profit-sharing plans;

(c) if this information is not contained in the table required by Item 9.1 of Part A of this Form, all of the following:

(i) the amount of the management fee, including any performance or incentive fee, charged to the mutual fund;

(ii) details concerning the operating expenses paid by the mutual fund contemplated by Instruction (3) of Item 9.1 of Part A of this Form;

(iii) the amount of the fees and expenses payable in connection with the independent review committee, charged to the mutual fund;

(d) any information required by Item 4 of Part A of this Form to be contained in Part B.

INSTRUCTIONS:

(1) If the mutual fund pays a fee that is determined by the performance of the mutual fund, the disclosure required by paragraph 7.1(1)(c) of National Instrument 81-102 Investment Funds to be described in a simplified prospectus of the mutual fund must be included in a footnote to the description of the incentive fee in the table.

(2) Examples of types of mutual funds that could be listed in response to paragraph (a) are money market, equity, bond or balanced funds related, if appropriate, to a geographical region, or any other description that accurately identifies the type of mutual fund.

(3) In providing the disclosure contemplated by paragraph (c), provide any disclosure required by, and follow, the Instructions to Item 9.1 of Part A of this Form.

Item 4 - Fundamental Investment Objectives

(1) Set out under the heading "What Does the Fund Invest in?" and under the sub-heading "Investment Objectives" the fundamental investment objectives of the mutual fund, including information that describes the fundamental nature of the mutual fund, or the fundamental features of the mutual fund, that distinguish it from other mutual funds.

(2) Describe the nature of any securityholder or other approval that may be required in order to change the fundamental investment objectives of the mutual fund and any of the material investment strategies to be used to achieve those investment objectives.

(3) Describe any restrictions on investments adopted by the mutual fund, beyond what is required under securities legislation, that pertain to the fundamental nature of the mutual fund.

(4) If the mutual fund purports to arrange a guarantee or insurance in order to protect all or some of the principal amount of an investment in the mutual fund, include this fact as a fundamental investment objective of the mutual fund and do all of the following:

(a) identify the person or company providing the guarantee or insurance;

(b) provide the material terms of the guarantee or insurance, including the maturity date of the guarantee or insurance;

(c) if applicable, state that the guarantee or insurance does not apply to the amount of any redemptions before the maturity date of the guarantee or before the death of the securityholder and that redemptions before that date would be based on the net asset value of the mutual fund at the time;

(d) modify any other disclosure required by this section appropriately.

(5) For an index mutual fund,

(a) disclose the name or names of the permitted index or permitted indices on which the investments of the index mutual fund are based, and

(b) briefly describe the nature of that permitted index or those permitted indices.

INSTRUCTIONS:

(1) State the type or types of securities, such as money market instruments, bonds, equity securities or securities of another mutual fund, in which the mutual fund will primarily invest under normal market conditions.

(2) A mutual fund's fundamental investment objectives must indicate if the mutual fund primarily invests, or intends to primarily invest, or if its name implies that it will primarily invest, in any of the following:

(a) a particular type of issuer, such as foreign issuers, small capitalization issuers or issuers located in emerging market countries;

(b) a particular geographic location or industry segment;

(c) portfolio assets other than securities.

(3) If a particular investment strategy is a material aspect of the mutual fund, as evidenced by the name of the mutual fund or the manner in which the mutual fund is marketed, disclose this strategy as an investment objective. This instruction would be applicable, for example, to a mutual fund that described itself as an "asset allocation fund" or a "mutual fund that invests primarily through the use of derivatives".

(4) If the mutual fund is an alternative mutual fund, describe the features of the mutual fund that cause it to fall within the definition of "alternative mutual fund" in National Instrument 81-102 Investment Funds. If those features include the use of leverage, disclose the sources of leverage (e.g., cash borrowing, short selling, use of derivatives) that the fund is permitted to use as well as the maximum aggregate exposure to those sources of leverage the alternative mutual fund is permitted to have, as a percentage calculated in accordance with section 2.9.1 of National Instrument 81-102 Investment Funds.

Item 5 - Investment Strategies

(1) Describe under the heading "What Does the Fund Invest in?" and under the sub-heading "Investment Strategies" all of the following:

(a) the principal investment strategies that the mutual fund intends to use in achieving its investment objectives;

(b) the process by which each portfolio adviser of the mutual fund selects securities for the fund's portfolio, including any investment approach, philosophy, practice or technique used by the portfolio adviser or any particular style of portfolio management that the portfolio adviser intends to follow;

(c) if the mutual fund may hold securities of other mutual funds,

(i) whether the mutual fund intends to purchase securities of, or enter into specified derivative transactions for which the underlying interest is based on the securities of, other mutual funds,

(ii) whether or not the other mutual funds may be managed by the manager or an affiliate or associate of the manager of the mutual fund,

(iii) what percentage of the net asset value of the mutual fund is dedicated to the investment in the securities of, or the entering into of specified derivative transactions for which the underlying interest is based on the securities of, other mutual funds, and

(iv) the process or criteria used to select the other mutual funds.

(2) Indicate what types of securities, other than those held by the mutual fund in accordance with its fundamental investment objectives, may form part of the mutual fund's portfolio assets under normal market conditions.

(3) If the mutual fund intends to use derivatives

(a) for hedging purposes only, state that the mutual fund may use derivatives for hedging purposes only, and

(b) for non-hedging purposes, or for hedging and non-hedging purposes, briefly describe

(i) how derivatives are or will be used in conjunction with other securities to achieve the mutual fund's investment objectives,

(ii) the types of derivatives expected to be used and give a brief description of the nature of each type, and

(iii) the limits of the mutual fund's use of derivatives.

(4) State whether any, and if so what proportion, of the assets of the mutual fund may or will be invested in foreign securities.

(5) If the mutual fund may depart temporarily from its fundamental investment objectives as a result of adverse market, economic, political or other conditions, disclose any temporary defensive tactics that may be used in response to such conditions.

(6) If the mutual fund intends to enter into securities lending, repurchase or reverse repurchase transactions under section 2.12, 2.13 or 2.14 of National Instrument 81-102 *Investment Funds*, include all of the following:

(a) a statement that the mutual fund may enter into securities lending, repurchase or reverse repurchase transactions;

(b) a brief description of

(i) how those transactions are or will be entered into in conjunction with other strategies and investments of the mutual fund to achieve the mutual fund's investment objectives,

(ii) the types of those transactions to be entered into and a brief description of the nature of each type, and

(iii) the limits of the mutual fund's entering into of those transactions.

(7) For an index mutual fund,

(a) for the 12-month period immediately preceding the date of the simplified prospectus,

(i) indicate whether one or more securities represented more than 10% of the permitted index or permitted indices,

(ii) identify that security or those securities, and

(iii) disclose the maximum percentage of the permitted index or permitted indices that the security or securities represented in the 12-month period, and

(b) disclose the maximum percentage of the permitted index or permitted indices that the security or securities referred to in paragraph (a) represented at the most recent date for which that information is available.

(8) If the mutual fund intends to sell securities short under section 2.6.1 of National Instrument 81-102 *Investment Funds*,

(a) state that the mutual fund may sell securities short, and

(b) briefly describe

(i) the short selling process, and

(ii) how short sales of securities are or will be entered into in conjunction with other strategies and investments of the mutual fund to achieve the mutual fund's investment objectives.

(9) In the case of an alternative mutual fund that borrows cash in accordance with subsection 2.6(2) of National Instrument 81-102 *Investment Funds*,

(a) state that the alternative mutual fund is permitted to borrow cash and the maximum amount the fund is permitted to borrow, and

(b) briefly describe how borrowing will be used in conjunction with other strategies of the alternative mutual fund to achieve its investment objectives.

INSTRUCTION:

A mutual fund may, in responding to this Item, provide a discussion of the general investment approach or philosophy followed by the portfolio advisers of the mutual fund.

Item 6 - Investment Restrictions

(1) Include a statement to the effect that the mutual fund is subject to certain restrictions and requirements contained in securities legislation, including National Instrument 81-102 *Investment Funds*, that are designed in part to ensure that the investments of the mutual fund are diversified and relatively liquid and to ensure the proper administration of the mutual fund, and state that the mutual fund is managed in accordance with these restrictions and requirements.

(2) If the mutual fund has received the approval of a securities regulatory authority to vary any of the investment restrictions and requirements contained in securities legislation, including National Instrument 81-102 *Investment Funds*, provide details of the permitted variations.

(3) Describe any restrictions on investments adopted by the mutual fund, beyond what is required under securities legislation, that do not pertain to the fundamental nature of the mutual fund.

(4) If the mutual fund has relied on the approval of the independent review committee and the relevant requirements of National Instrument 81-107 *Independent Review Committee for Investment Funds* to vary any of the investment restrictions and requirements contained in securities legislation, including National Instrument 81-102 *Investment Funds*, provide details of the permitted variations.

(5) If the mutual fund has relied on the approval of the independent review committee to implement a reorganization with, or transfer of assets to, another mutual fund or to proceed with a change of auditor of the mutual fund as permitted by National Instrument 81-102 *Investment Funds*, provide details.

(6) State any restrictions on the investment objectives and investment strategies that arise out of any of the following:

(a) whether the securities of the mutual fund are or will be a qualified investment within the meaning of the ITA for plans registered under the ITA;

(b) whether the securities of the mutual fund are or will be recognized as a registered investment within the meaning of the ITA.

(7) State whether the mutual fund has deviated, in the last year, from the provisions of the ITA that are applicable to the fund in order for the fund's securities to be either of the following:

(a) qualified investments within the meaning of the ITA for plans registered under the ITA;

(b) registered investments within the meaning of the ITA.

(8) State the consequences of any deviation referred to in subsection (7).

Item 7 - Description of Securities Offered by the Mutual Fund

(1) Describe the designation of securities, or the classes or series of securities, offered by the mutual fund under the related simplified prospectus and describe all material attributes and characteristics of the securities, including, for greater certainty, all of the following:

(a) dividend or distribution rights;

(b) voting rights;

(c) liquidation or other rights upon the termination of the mutual fund;

(d) conversion rights;

(e) redemption rights;

(f) any procedures necessary to amend any of the rights referred to in paragraphs (a) to (e).

(2) Describe the rights of securityholders to approve any of the following:

(a) the matters set out in section 5.1 of National Instrument 81-102 *Investment Funds*;

(b) any matters provided for in the constating documents of the mutual fund.

INSTRUCTIONS:

(1) If the rights attached to the securities being offered are materially limited or qualified by those attached to any other class or series of securities of the mutual fund or if another class or series of securities of the mutual fund ranks

ahead of or equally with the securities being offered, include, as part of the disclosure provided, information regarding those other securities that will enable investors to understand the rights attaching to the securities being offered.

(2) In responding to the disclosure required by paragraph (1)(a), state whether distributions are made by the mutual fund in cash or reinvested in securities of the mutual fund and indicate when distributions are made.

Item 8 - Name, Formation and History of the Mutual Fund

(1) State the full name of the mutual fund and the address of its head or registered office.

(2) State the laws under which the mutual fund was formed and the date and manner of its formation.

(3) Identify the constating documents of the mutual fund and, if material, state whether the constating documents have been amended in the last 10 years and describe the amendments.

(4) If the mutual fund's name has been changed in the last 10 years, state the mutual fund's former name or names and the date or dates of the name change or changes.

(5) Disclose, and provide details about, any major events affecting the mutual fund in the last 10 years. Include information, if applicable, about the following:

(a) the mutual fund having participated in, or been formed from, an amalgamation or merger with one or more other mutual funds;

(b) the mutual fund having participated in any reorganization or transfer of assets in which the securityholders of another issuer became securityholders of the mutual fund;

(c) any changes in fundamental investment objectives or material investment strategies;

(d) any portfolio adviser changes;

(e) any changes in, or of control of, the manager;

(f) the mutual fund, before it filed a prospectus as a mutual fund, having existed as a closed-end investment fund, non-public mutual fund or other entity.

INSTRUCTION:

In disclosing the date on which the mutual fund started, use the date on which the securities of the mutual fund first became available to the public, which will be on, or about, the date of the issuance of the first receipt for a prospectus of the mutual fund. For a mutual fund that formerly offered its securities privately, disclose this fact.

Item 9 - Risks

(1) Set out specific information concerning any material risks associated with an investment in the mutual fund, under the heading "What Are the Risks of Investing in the Fund?".

(2) If securities of a mutual fund representing more than 10% of the net asset value of the mutual fund are held by a single securityholder, including another mutual fund, the mutual fund must disclose all of the following:

(a) the percentage of the net asset value of the mutual fund that those securities represent as at a date within 30 days of the date of the simplified prospectus of the mutual fund;

(b) the risks associated with a possible redemption requested by the securityholder.

(3) If the mutual fund may hold securities of a foreign mutual fund in accordance with paragraph 2.5(3)(b) of National Instrument 81-102 *Investment Funds*, disclose the risks associated with that investment.

(4) For a money market fund, include disclosure to the effect that although the mutual fund intends to maintain a constant price for its securities, there is no guarantee that the price will not go up and down.

(5) Include specific cross-references to the risks described under Item 2 of Part B of this Form that are applicable to the mutual fund.

(6) If the mutual fund offers more than one class or series of securities, disclose the risk that the investment performance, expenses or liabilities of one class or series may affect the value of the securities of another class or series, if applicable.

(7) For an index mutual fund, disclose that the mutual fund may, in basing its investment decisions on one or more permitted indices, have more of its net asset value invested in one or more issuers than is usually permitted for mutual funds, and disclose the risks associated with that fact, including the possible effect of that fact on the liquidity and diversification of the mutual fund, its ability to satisfy redemption requests and on the volatility of the mutual fund.

(8) If, at any time during the 12-month period immediately preceding the date that is 30 days before the date of the simplified prospectus, more than 10% of the net asset value of a mutual fund was invested in the securities of an issuer, other than a government security or a security issued by a clearing corporation, disclose all of the following:

(a) the name of the issuer and the securities;

(b) the maximum percentage of the net asset value of the mutual fund that securities of that issuer represented during the 12-month period;

(c) the risks associated with these matters, including the possible or actual effect of that fact on the liquidity and diversification of the mutual fund, its ability to satisfy redemption requests and on the volatility of the mutual fund.

(9) As applicable, describe the risks associated with the mutual fund entering into

(a) derivative transactions for non-hedging purposes,

(b) securities lending, repurchase or reverse repurchase transactions,

(c) short sales of securities, and

(d) borrowing arrangements.

(10) In the case of an alternative mutual fund, include disclosure explaining that the alternative mutual fund is permitted to invest in asset classes and use investment strategies that are not permitted for other types of mutual funds and explain how these investment strategies could affect investors' risk of losing money on their investment in the fund.

INSTRUCTIONS:

(1) Consider the mutual fund's portfolio investments as a whole.

(2) Provide the disclosure in the context of the mutual fund's fundamental investment objectives and investment strategies, outlining the risks associated with any particular aspect of those fundamental investment objectives and investment strategies.

(3) Include a discussion of general market, political, market sector, liquidity, interest rate, foreign currency, diversification, credit, legal and operational risks, as appropriate.

(4) Include a brief discussion of general investment risks, such as specific company developments, stock market conditions and general economic and financial conditions in those countries where the investments of the mutual fund are listed for trading, applicable to the particular mutual fund.

(5) In responding to subsection (8), it is necessary to disclose only that, at a time during the 12-month period referred to, more than 10% of the net assets of the mutual fund were invested in the securities of an issuer. Other than the maximum percentage required to be disclosed under paragraph (8)(b), the mutual fund is not required to provide particulars or a summary of any such occurrences.

Item 10 - Investment Risk Classification Methodology

For a mutual fund,

(a) state in substantially the following words:

"The investment risk level of this mutual fund is required to be determined in accordance with a standardized risk classification methodology that is based on the mutual fund's historical volatility as measured by the 10-year standard deviation of the returns of the mutual fund."

(b) if the mutual fund has less than 10 years of performance history and complies with Item 4 of Appendix F to National Instrument 81-102 *Investment Funds*, provide a brief description of the other mutual fund or reference index, as applicable,

(c) if the other mutual fund or reference index referred to in paragraph (b) has been changed since the most recently filed prospectus, provide details of when and why the change was made, and

(d) disclose that the standardized risk classification methodology used to identify the investment risk level of the mutual fund is available on request, at no cost, by calling [toll free/collect call telephone number] or by writing to [address].

INSTRUCTION:

Include a brief description of the formulas, methods or criteria used by the manager of the mutual fund in identifying the investment risk level of the mutual fund.

Item 11 - Additional Information

Any disclosure under Item 13 of Part A that does not pertain to all the mutual funds described in the document must be included here.

Item 12 - Back Cover

(1) State the name of the mutual fund or funds included in the document or the mutual fund family, as well as the name, address and telephone number of the manager of the mutual fund or funds.

(2) State, in substantially the following words:

"Additional information about the fund[s] is available in the fund['s/s'] Fund Facts document, management reports of fund performance and financial statements. These documents are incorporated by reference into this simplified prospectus, which means that they legally form part of this document just as if they were printed as a part of this document.

You can get a copy of these documents, at your request, and at no cost, by calling [toll-free/collect] [insert the toll-free telephone number or telephone number where collect calls are accepted, as required under section 3.4 of the Instrument], or from your dealer or by e-mail at [insert e-mail address].

These documents and other information about the fund[s], such as information circulars and material contracts, are also available [on the [insert name of mutual fund] designated website at [insert mutual fund's designated website address] or] at www.sedar.com."

.

16. The Instruction at the end of Item 1 of Part I of Form 81-101F3* Contents of Fund Facts Document *is replaced with the following:

*The date for a fund facts document that is filed with a preliminary simplified prospectus or simplified prospectus must be the date of the certificate in the simplified prospectus. The date for a fund facts document that is filed with a pro forma simplified prospectus must be the date of the anticipated simplified prospectus. The date for an amended fund facts document must be the date of the certificate contained in the related amended simplified prospectus.***.***

17. Item 2 of Part II of Form 81-101F3* Contents of Fund Facts Document *is amended by deleting "*annual information form,*".

Transition

18. Before September 6, 2022, an investment fund is not required to comply with National Instrument 81-101 *Mutual Fund Prospectus Disclosure*, as amended by this Instrument, if the investment fund complies with National Instrument 81-101 *Mutual Fund Prospectus Disclosure* as it was in force on January 5, 2022.

Effective Date

19. (1) This Instrument comes into force on January 6, 2022.

(2) In Saskatchewan, despite subsection (1), if this Instrument is filed with the Registrar of Regulations after January 6, 2022, this Instrument comes into force on the day on which it is filed with the Registrar of Regulations.

AMENDMENTS TO NATIONAL INSTRUMENT 81-101
MUTUAL FUND PROSPECTUS DISCLOSURE

1. National Instrument 81-101 Mutual Fund Prospectus Disclosure is amended by this Instrument.

2. Section 1.1 is amended by adding the following definition:

"designated website" has the meaning ascribed to that term in National Instrument 81-106 *Investment Fund Continuous Disclosure*;**.**

3. Section 2.3.1 is amended

(a) by replacing in subsection (1) "If a mutual fund or the mutual fund's family has a website, the mutual fund must post to at least one of those websites***" with* "**A mutual fund must post on its designated website**",**

(b) ***by replacing in subsection (2) "***posted to the website***" with "***posted on the designated website***", and***

(c) ***by repealing subsection (3).***

4. ***Form 81-101F2 Contents of Annual Information Form is amended by adding the following after Item 10.10:***

10.11 Designated Website

State, in substantially the following words:

"A mutual fund is required to post certain regulatory disclosure documents on a designated website. The designated website(s) of the mutual fund(s) this document pertains to, can be found at the following location(s): [insert the mutual fund's designated website address or addresses as applicable].".

5. ***Form 81-101F3 Contents of Fund Facts Document is amended by replacing in paragraph (e) of Item 1 of Part I "***[insert the website of the mutual fund, the mutual fund's family or the manager of the mutual fund] [as applicable]***" with "***[insert the mutual fund's designated website]***".***

Transition

6. Before September 6, 2022, a mutual fund is not required to comply with National Instrument 81-101 *Mutual Fund Prospectus Disclosure*, as amended by this Instrument, if the mutual fund complies with National Instrument 81-101 *Mutual Fund Prospectus Disclosure* as it was in force on January 5, 2022.

Effective Date

7. (1) This Instrument comes into force on January 6, 2022.

(2) In Saskatchewan, despite subsection (1), if this Instrument is filed with the Registrar of Regulations after January 6, 2022, this Instrument comes into force on the day on which it is filed with the Registrar of Regulations.

AMENDMENTS TO NATIONAL INSTRUMENT 81-101
MUTUAL FUND PROSPECTUS DISCLOSURE

1. ***National Instrument 81-101 Mutual Fund Prospectus Disclosure is amended by this Instrument.***

2. ***Subparagraph 2.3(1)(b)(ii) is replaced with the following:***

(ii) a personal information form for all of the following:

(A) each director and executive officer of the mutual fund;

(B) each promoter of the mutual fund;

(C) if the promoter is not an individual and is not the manager of the mutual fund, each director and executive officer of the promoter,.

3. The following is added after subsection 2.3(1):

(1.0.1) Despite subparagraph 2.3(1)(b)(ii), a mutual fund is not required to deliver a personal information form for an individual referred to in subparagraph (1)(b)(ii) if the individual has submitted a Form 33-109F4 *Registration of Individuals and Review of Permitted Individuals* under National Instrument 33-109 *Registration Information*..

4. Subparagraph 2.3(2)(b)(iv) is replaced with the following:

(iv) a personal information form for all of the following:

(A) each director and executive officer of the mutual fund;

(B) each promoter of the mutual fund;

(C) if the promoter is not an individual and is not the manager of the mutual fund, each director and executive officer of the promoter, and.

5. The following is added after subsection 2.3(2):

(2.0.1) Despite subparagraph 2.3(2)(b)(iv), a mutual fund is not required to deliver a personal information form for an individual referred to in subparagraph (2)(b)(iv) if the individual has submitted a Form 33-109F4 *Registration of Individuals and Review of Permitted Individuals* under National Instrument 33-109 *Registration Information*..

Effective Date

6. (1) This Instrument comes into force on January 5, 2022.

(2) In Saskatchewan, despite subsection (1), if this Instrument is filed with the Registrar of Regulations after January 5, 2022, this Instrument comes into force on the day on which it is filed with the Registrar of Regulations.

AMENDMENTS TO NATIONAL INSTRUMENT 81-101
MUTUAL FUND PROSPECTUS DISCLOSURE

1. National Instrument 81-101 Mutual Fund Prospectus Disclosure is amended by this Instrument.

2. Section 1.1 is amended by adding the following definitions:

"automatic switch" means a purchase of securities of a class or series of securities of a mutual fund, immediately following a redemption of the same value of securities of another class or series of securities of that mutual fund, if the only material differences between the two classes or series are both of the following:

(a) a difference in the management fees;

(b) a difference in the purchaser's minimum investment amounts;

"automatic switch program" means an agreement under which automatic switches are to be made on predetermined dates for a purchaser of securities of a class or series of a mutual fund as a result of the purchaser

(a) satisfying the minimum investment amount for the class or series, and

(b) failing to satisfy, in whole or in part, the minimum investment amount for the class or series of securities of the mutual fund that were subject to the automatic switch because those securities were redeemed;

"portfolio rebalancing plan" means an agreement, that can be terminated at any time, under which a purchaser

(a) selects

(i) a portfolio of securities of two or more mutual funds, and

(ii) target weightings for securities of each of those mutual funds held by the purchaser, and

(b) on predetermined dates, purchases or redeems securities referred to in paragraph (a) in order to bring the holdings of each of those securities within the applicable target weighting;**.**

3. Section 3.2.01 is amended

(a) by replacing subparagraph (4)(a)(ii) with the following:

(ii) delivered or sent to the purchaser in accordance with section 3.2.02 and the conditions set out in that section are satisfied,**,**

(b) by replacing paragraph (4)(b) with the following:

(b) section 3.2.03 or 3.2.05 applies and the conditions set out in the applicable section are satisfied, or**, *and***

(c) by replacing paragraph (4)(c) with the following:

(c) section 3.2.04 or 3.2.04.1 applies.**.**

4. Section 3.2.03 is replaced with the following:

3.2.03 Delivery of Fund Facts Document for Subsequent Purchases Under a Pre-authorized Purchase Plan or a Portfolio Rebalancing Plan

Despite subsection 3.2.01(1), a dealer is not required to deliver or send to the purchaser the most recently filed fund facts document for the applicable class or series of securities of the mutual fund in connection with a purchase of a security of the mutual fund made pursuant to a pre-authorized purchase plan or a portfolio rebalancing plan if all of the following apply:

(a) the purchase is not the first purchase under the plan;

(b) the dealer has provided a notice to the purchaser that states

(i) that the purchaser will not receive a fund facts document after the date of the notice unless the purchaser specifically requests the document,

(ii) that the purchaser is entitled to receive upon request, at no cost to the purchaser, the most recently filed fund facts document by calling a specified toll-free number, or by sending a request by mail or e-mail to a specified address or e-mail address,

(iii) how to access the fund facts document electronically,

(iv) that the purchaser will not have a right of withdrawal under securities legislation for subsequent purchases of a security of a mutual fund under the plan, but will continue to have a right of action if there is a misrepresentation in the prospectus or any document incorporated by reference into the prospectus, and

(v) that the purchaser may terminate the plan at any time;

(c) at least annually during the term of the plan, the dealer notifies the purchaser in writing of how the purchaser can request the most recently filed fund facts document;

(d) the dealer delivers or sends the most recently filed fund facts document to the purchaser if the purchaser requests the document..

5. Section 3.2.04 is replaced with the following:

3.2.04 Delivery of Fund Facts Document for Managed Accounts and Permitted Clients

Despite subsection 3.2.01(1), a dealer is not required to deliver or send to the purchaser the most recently filed fund facts document for the applicable class or series of securities of the mutual fund in connection with the purchase of a security of the mutual fund if either of the following apply:

(a) the purchase is made in a managed account;

(b) the purchaser is a permitted client that is not an individual..

6. Section 3.2.05 is replaced with the following:

3.2.05 Delivery of Fund Facts Document for Automatic Switch Programs

Despite subsection 3.2.01(1), a dealer is not required to deliver or send to the purchaser the most recently filed fund facts document for the applicable class or series of securities of the mutual fund in connection with the purchase of a security of the mutual fund made as an automatic switch pursuant to an automatic switch program if all of the following apply:

(a) the purchase is not the first purchase under the automatic switch program;

(b) the dealer has provided a notice to the purchaser that states

(i) that the purchaser will not receive a fund facts document after the date of the notice unless the purchaser specifically requests the document,

(ii) that the purchaser is entitled to receive upon request, at no cost to the purchaser, the most recently filed fund facts document by calling a specified toll-free number, or by sending a request by mail or e-mail to a specified address or e-mail address,

(iii) how to access the fund facts document electronically, and

(iv) that the purchaser will not have a right of withdrawal under securities legislation for subsequent purchases of a security of a mutual fund under the automatic purchase program, but will continue to have a right of action if there is a misrepresentation in the prospectus or any document incorporated by reference into the prospectus;

(c) at least annually, the dealer notifies the purchaser in writing of how the purchaser can request the most recently filed fund facts document;

(d) the dealer delivers or sends the most recently filed fund facts document to the purchaser if the purchaser requests the document;

(e) with respect to the first purchase under the automatic switch program, the fund facts document delivered or sent to the purchaser included the fund facts automatic switch program information as defined in Appendix A..

7. ***The following is added after section 3.2.05:***

3.2.06 Electronic Delivery of the Fund Facts Document

(1) If the purchaser of a security of a mutual fund consents, a fund facts document that may be or is required to be delivered or sent under this Part may be delivered or sent electronically.

(2) For the purposes of subsection (1), a fund facts document may be delivered or sent to the purchaser by means of an e-mail that contains either of the following:

(a) the fund facts document as an attachment;

(b) a hyperlink that leads directly to the fund facts document..

8. Section 5.2 is amended

(a) by replacing "3.2.03, or 3.2.04***" with "***3.2.03, or 3.2.05***" in subsection (4), and***

(b) by replacing "3.2.03, or 3.2.04;***" with "***3.2.03, or 3.2.05;***" in paragraph (4)(c).***

9. The following Appendix A is added following NI 81-101:

APPENDIX A

Fund Facts Automatic Switch Program Information for Section 3.2.05

For the purposes of paragraph 3.2.05(e), "fund facts automatic switch program information" means a completed Form 81-101F3 *Contents of Fund Facts Document* modified as follows:

(a) the heading under item 1(c.1) of Part I includes the name of each class or series of securities of the mutual fund in the automatic switch program;

(b) the brief introduction to the fund facts document under item 1(e) of Part I includes the name of each class or series of securities of the mutual fund in the automatic switch program;

(c) item 2 of Part I includes the fund codes of each of the classes or series of securities of the mutual fund in the automatic switch program;

(d) item 2 of Part I includes, for each class or series of securities of the mutual fund in the automatic switch program, the date the securities of the class or series first became available to the public;

(e) item 2 of Part I includes the management expense ratio of only the class or series of securities of the mutual fund in the automatic switch program with the highest management fee;

(f) item 2 of Part I includes the minimum investment amount and each additional investment amount of only the class or series of securities of the mutual fund in the automatic switch program with the highest management fee;

(g) the "Quick Facts" table referred to in item 2 of Part I includes a footnote that states all of the following:

(i) that the fund facts document pertains to all of the classes or series of securities of the mutual fund in the automatic switch program;

(ii) that further details about the automatic switch program are disclosed in the "How much does it cost?" section of the fund facts document;

(iii) that further details about the minimum investment amount applicable to each of the classes or series of securities of the mutual fund in the automatic switch program are disclosed in the fee decrease table under the sub-heading "Fund expenses" of the fund facts document;

(iv) that the management expense ratio of each of the classes or series of securities of the mutual fund in the automatic switch program is disclosed in the "Fund expenses" section of the fund facts document;

(h) item 5(1) of Part I includes all of the following as part of the introduction:

(i) under the heading "How has the fund performed?", the name of only the class or series of securities of the mutual fund with the highest management fees;

(ii) a statement explaining that the performance for each of the classes or series of securities of the mutual fund in the automatic switch program will be similar to the performance of the class or series of securities of the mutual fund with the highest management fee, but will vary as a result of the difference in fees, as set out in the fee decrease table under the sub-heading "Fund expenses";

(i) item 5(2), (3) and (4) of Part I, under the sub-headings "Year-by-year returns," "Best and worst 3-month returns," and "Average return", includes the required performance data relating only to the class or series of securities of the mutual fund with the highest management fee;

(j) item 1(1.1) of Part II includes all of the following:

(i) under the heading "How much does it cost?", in the introductory statement, the name of each class or series of securities of the mutual fund in the automatic switch program;

(ii) as a part of the introductory statement, a summary of the automatic switch program that includes all of the following:

(A) an explanation that the automatic switch program offers separate classes or series of securities of the mutual fund that charge progressively lower management fees;

(B) an explanation of the scenarios in which the automatic switches will be made, including, for greater certainty, the scenario in which automatic switches will be made due to the purchaser no longer meeting the minimum investment amount for a particular class or series of securities of the mutual fund;

(C) a statement that a purchaser will not pay higher management fees as a result of the automatic switches than those charged to the class or series of securities of the mutual fund with the highest management fee;

(D) a statement that information about the progressively lower management fees for the classes or series of securities of the mutual fund in the automatic switch program is available in the fee decrease table under the sub-heading "Fund expenses" of the fund facts document;

(E) a statement that further details about the automatic switch program are disclosed in specific sections of the simplified prospectus of the mutual fund;

(F) a statement that purchasers should speak to their representative for more information about the automatic switch program;

(k) item 1(1.2) of Part II, under the sub-heading "Sales charges", includes the names of each class or series of securities of the mutual fund in the automatic switch program in the introduction, if applicable;

(l) if the mutual fund is not newly established, item 1(1.3)(2) of Part II includes all of the following:

(i) the management expense ratio and fund expenses of each of the classes or series of securities of the mutual fund in the automatic switch program or, if certain expense information is not available for a particular class or series of securities, the words "not available" in the corresponding part of the table;

(ii) a row in the "Annual rate" table

(A) in which the first column states "For every $1,000 invested, this equals:", and

(B) that discloses the respective equivalent dollar amounts of the fund expenses of each class or series of securities of the mutual fund in the automatic switch program included in the table for every $1,000 invested;

(m) item 1(1.3)(2) of Part II includes, at the end of the disclosure under the sub-heading "Fund expenses", all of the following:

(i) a table that includes

(A) the name of, and minimum investment amounts associated with, each class or series of securities of the mutual fund in the automatic switch program, and

(B) the combined management and administration fee decrease of each class or series of securities of the mutual fund in the automatic switch program from the management fee of the class or series of securities of the mutual fund with the highest management fee, disclosed as a percentage;

(ii) an introduction to the table referred to in subparagraph (i) stating that the table sets out the combined management and administration fee decrease of each class or series of securities of the mutual fund in the automatic switch program from the management fee of the class or series of securities of the mutual fund with the highest management fee;

(n) if all the classes or series of securities of the mutual fund in the automatic switch program are not newly established, item 1(1.3)(3) of Part II includes all of the following:

(i) a statement that the class or series of securities of the mutual fund with the highest management fee has the highest management fee among all of the classes or series of securities of the mutual fund in the automatic switch program;

(ii) a statement above the "Annual rate" table required under item 1(1.3)(2) of Part II stating "As of [the date of the most recently-filed management report of fund performance], the fund expenses were as follows:";

(o) if some of the classes or series of securities of the mutual fund in the automatic switch program are newly established, item 1(1.3)(3) of Part II includes all of the following:

(i) a statement that the class or series of securities of the mutual fund with the highest management fee has the highest management fee among all of the classes or series of securities of the mutual fund in the automatic switch program;

(ii) a statement disclosing that the fund expenses information is not available for certain classes or series of securities of the mutual fund in the automatic switch program because they are new;

(iii) a statement above the "Annual rate" table required under item 1(1.3)(2) of Part II stating "As of [the date of the most recently filed management report of fund performance], the fund expenses were as follows:";

(p) if the mutual fund is newly established, item 1(1.3)(4) of Part II includes all of the following:

(i) a statement that the class or series of securities of the mutual fund with the highest management fee has the highest management fee among all of the classes or series of securities of the mutual fund in the automatic switch program;

(ii) the rate of the management fee of only the class or series of securities of the mutual fund with the highest management fee;

(iii) a statement that the operating expenses and trading costs are not yet available because the mutual fund is new..

10. Subsection (10) of the General Instructions of Form 81-101F3 Contents of Fund Facts Document is replaced with the following:

*(10) Unless the exception in section 3.2.05 of National Instrument 81-101 Mutual Fund Prospectus Disclosure applies, a fund facts document must disclose information about only one class or series of securities of a mutual fund. Mutual funds that have more than one class or series that are referable to the same portfolio of assets must prepare a separate fund facts document for each class or series.***.**

11. Subsection (4) of Item 3 of Part I of Form 81-101F3 Contents of Fund Facts Document is replaced with the following:

(4) Unless the mutual fund is a newly established mutual fund, under the sub-heading "Top 10 investments [date]", include a table disclosing all of the following:

(a) the top 10 positions held by the mutual fund, each expressed as a percentage of the net asset value of the mutual fund;

(b) the percentage of net asset value of the mutual fund represented by the top 10 positions;

(c) the total number of positions held by the mutual fund.**.**

12. Subsection (5) of Item 3 of Part I of Form 81-101F3 Contents of Fund Facts Document is replaced with the following:

(5) Unless the mutual fund is a newly established mutual fund, under the sub-heading "Investment mix [date]" include at least one, and up to two, charts or tables that illustrate the investment mix of the mutual fund's investment portfolio.**.**

13. Item 3 of Part I of Form 81-101F3 Contents of Fund Facts Document is amended by adding the following subsection:

(6) For a newly established mutual fund, state the following under the sub-headings "Top 10 investments [date]" and "Investment mix [date]":

This information is not available because this fund is new.**.**

14. Subsection (3) of Item 4 of Part I of Form 81-101F3 Contents of Fund Facts Document is replaced with the following:

(3) If the mutual fund does not have any guarantee or insurance, under the sub-heading "No guarantees", include a statement using wording substantially similar to the following:

Like most mutual funds, this fund doesn't have any guarantees. You may not get back the amount of money you invest.**.**

15. Item 4 of Part I of Form 81-101F3 Contents of Fund Facts Document is amended by adding the following subsection:

(4) If the mutual fund does have a guarantee or insurance feature protecting all or some of the principal amount of an investment in the mutual fund, under the sub-heading “Guarantees”, disclose all of the following:

(a) the identity of the person or company providing the guarantee or insurance;

(b) a brief description of the material terms of the guarantee or insurance, including the maturity date of the guarantee or insurance..

16. Subsection (1) of Item 5 of Part I of Form 81-101F3 Contents of Fund Facts Document is replaced with the following:

(1) Unless the mutual fund is a newly established mutual fund, under the heading “How has the fund performed?”, include an introduction using wording substantially similar to the following:

> This section tells you how [name of class/series of securities described in the fund facts document] [units/shares] of the fund have performed over the past [insert number of calendar years shown in the bar chart required under paragraph (2)(a)] years. Returns are after expenses have been deducted. These expenses reduce the fund’s returns..

17. Item 5 of Part I of Form 81-101F3 Contents of Fund Facts Document is amended by adding the following subsection:

(1.1) For a newly established mutual fund, under the heading “How has the fund performed?”, include an introduction using the following wording:

> This section tells you how [name of class/series of securities described in the fund facts document] [units/shares] of the fund have performed. However, this information is not available because the fund is new..

18. Subsection (2) of Item 5 of Part I of Form 81-101F3 Contents of Fund Facts Document is replaced with the following:

(2) Under the sub-heading “Year-by-year returns”,

(a) for a mutual fund that has completed at least one calendar year, include all of the following:

(i) a bar chart that shows the annual total return of the mutual fund, in chronological order with the most recent year on the right of the bar chart, for the lesser of

(A) each of the 10 most recently completed calendar years, and

(B) each of the completed calendar years in which the mutual fund has been in existence and which the mutual fund was a reporting issuer;

(ii) an introduction to the bar chart using wording substantially similar to the following:

This chart shows how [name of class/series of securities described in the fund facts document] [units/shares] of the fund performed in each of the past [insert number of calendar years shown in the bar chart required under paragraph (a)]. The fund dropped in value in [for the particular years shown in the bar chart required under paragraph (a), insert the number of years in which the value of the mutual fund dropped] of the [insert number of calendar years shown in the bar chart required in paragraph (a)] years. The range of returns and change from year to year can help you assess how risky the fund has been in the past. It does not tell you how the fund will perform in the future.

(b) for a mutual fund that has not yet completed a calendar year, state the following:

This section tells you how [name of class/series of securities described in the fund facts document] [units/shares] of the fund have performed in past calendar years. However, this information is not available because the fund has not yet completed a calendar year.

(c) for a newly established mutual fund, state the following:

This section tells you how [name of class/series of securities described in the fund facts document] [units/shares] of the fund have performed in past calendar years. However, this information is not available because the fund is new..

19. Subsection (3) of Item 5 of Part I of Form 81-101F3 Contents of Fund Facts Document is replaced with the following:

(3) Under the sub-heading "Best and worst 3-month returns",

(a) for a mutual fund that has completed at least one calendar year, include all of the following:

(i) information for the period covered in the bar chart required under paragraph (2)(a) in the form of the following table:

	Return	**3 months ending**	**If you invested $1,000 at the beginning of the period**
Best return	(see instruction 8)	(see instruction 10)	Your investment would [rise/ drop] to (see instruction 12).
Worst return	(see instruction 9)	(see instruction 11)	Your investment would [rise/ drop] to (see instruction 13).

(ii) an introduction to the table using wording substantially similar to the following:

> This table shows the best and worst returns for the [name of class/series of securities described in the fund facts document] [units/shares] of the fund in a 3-month period over the past [insert number of calendar years shown in the bar chart required under paragraph (2)(a)]. The best and worst 3-month returns could be higher or lower in the future. Consider how much of a loss you could afford to take in a short period of time.

(b) for a mutual fund that has not yet completed a calendar year, state the following:

> This section shows the best and worst returns for the [name of class/series of securities described in the fund facts document] [units/shares] of the fund in a 3-month period. However, this information is not available because the fund has not yet completed a calendar year.

(c) for a newly established mutual fund, state the following:

> This section shows the best and worst returns for the [name of class/series of securities described in the fund facts document] [units/shares] of the fund in a 3-month period. However, this information is not available because the fund is new..

20. Subsection (4) of Item 5 of Part I of Form 81-101F3 Contents of Fund Facts Document is replaced the following subsection:

(4) Under the sub-heading “Average return”,

(a) for a mutual fund that has completed at least 12 consecutive months, include all of the following:

(i) the final value of a hypothetical $1000 investment in the mutual fund as at the end of the period that ends within 60 days before the date of the fund facts document and consists of the lesser of

(A) 10 years, and

(B) the time since inception of the mutual fund;

(ii) the annual compounded rate of return that equates the hypothetical $1000 investment to the final value.

(b) for a mutual fund that has not yet completed 12 consecutive months, state the following:

> This section shows the value and annual compounded rate of return of a hypothetical $1,000 investment in [name of class/series of securities described in the fund facts document] [units/shares] of the fund. However, this information is not available because the fund has not yet completed 12 consecutive months.

(c) for a newly established mutual fund, state the following:

> This section shows the value and annual compounded rate of return of a hypothetical $1,000 investment in [name of class/series of securities described in the fund facts document] [units/shares] of the fund. However, this information is not available because the fund is new..

21. Instruction (5) of Item 5 of Part I of Form 81-101F3 Contents of Fund Facts Document is repealed.

Expiration of exemptions and waivers

22. (1) Any exemption from or waiver of a provision of National Instrument 81-101 *Mutual Fund Prospectus Disclosure* in relation to fund facts document delivery requirements in section 3.2.01(1) for mutual funds in a portfolio rebalancing plan or an automatic switch program expires on January 5, 2022.

(2) In British Columbia, subsection (1) does not apply.

Transition for portfolio rebalancing plans and automatic switch programs

23. (1) For the purposes of sections 3.2.03 and 3.2.05 of National Instrument 81-101 *Mutual Fund Prospectus Disclosure*, as enacted by sections 4 and 6 of this Instrument, the first purchase of a security of a mutual fund made pursuant to a portfolio rebalancing plan or an automatic switch program on or after January 5, 2022 is considered to be the first purchase under the plan or program, as applicable.

(2) Subsection (1) does not apply to a portfolio rebalancing plan or an automatic switch program established before January 5, 2022, if a notice providing information substantially similar to the notice referred to in paragraph 3.2.03(c) or 3.2.05(c) of National Instrument 81-101 *Mutual Fund Prospectus Disclosure*, as enacted by section 4 and 6 of this Instrument, was delivered or sent to the purchaser between January 5, 2021 and January 5, 2022.

Effective Date

24. (1) This Instrument comes into force on January 5, 2022.

(2) In Saskatchewan, despite subsection (1), if this Instrument is filed with the Registrar of Regulations after January 5, 2022, this Instrument comes into force on the day on which it is filed with the Registrar of Regulations.

AMENDMENTS TO NATIONAL INSTRUMENT 81-102 *INVESTMENT FUNDS*

(Securities Act)

Made as a rule by the Alberta Securities Commission on July 14, 2021 pursuant to sections 223 and 224 of the Securities Act.

AMENDMENTS TO
NATIONAL INSTRUMENT 81-102 *INVESTMENT FUNDS*

1. National Instrument 81-102 Investment Funds is amended by this Instrument.

2. Section 1.1 is amended in paragraph (b) of the definition of “sales communication***” by repealing item 2.***

3. Section 1.1 is amended in paragraph (b) of the definition of “sales communication***” by adding the following item:***

3.1 An ETF facts document or preliminary or *pro forma* ETF facts document**.**.

4. Subsection 3.3(1) is amended by deleting “preliminary annual information form,***” and “***, annual information form***”.***

5. Subparagraph 5.6(1)(f)(ii) is amended by adding “or ETF facts document***” after “***fund facts document***”.***

6. Subclause 5.6(1)(f)(iii)(A)(II) is repealed.

7. Section 10.3 is amended by deleting “or annual information form***” in subsections (2) and (4).***

8. Paragraph 15.2(1)(b) is amended by deleting “, the preliminary annual information form***” and “***, the annual information form***”.***

Transition

9. Before September 6, 2022, an investment fund is not required to comply with National Instrument 81-102 *Investment Funds*, as amended by this Instrument, if the investment fund complies with

(a) National Instrument 81-101 *Mutual Fund Prospectus Disclosure* as it was in force on January 5, 2022, and

(b) National Instrument 81-102 *Investment Funds* as it was in force on January 5, 2022.

Effective Date

10. (1) This Instrument comes into force on January 6, 2022.

(2) In Saskatchewan, despite subsection (1), if this Instrument is filed with the Registrar of Regulations after January 6, 2022, this Instrument comes into force on the day on which it is filed with the Registrar of Regulations.

AMENDMENTS TO
NATIONAL INSTRUMENT 81-102 *INVESTMENT FUNDS*

1. National Instrument 81-102 Investment Funds is amended by this Instrument.

2. Section 1.1. is amended by adding the following definition:

"designated website" has the meaning ascribed to that term in National Instrument 81-106 *Investment Fund Continuous Disclosure*;**.**

3. Clause 5.6(1)(f)(iii)(B) is replaced with the following:

(B) access those documents at the designated website address;**.**

Transition

4. Before September 6, 2022, an investment fund is not required to comply with National Instrument 81-102 *Investment Funds*, as amended by this Instrument, if the investment fund complies with

(a) in the case of a mutual fund to which National Instrument 81-101 *Mutual Fund Prospectus Disclosure* applies, National Instrument 81-101 *Mutual Fund Prospectus Disclosure* as it was in force on January 5, 2022,

(b) in the case of an investment fund not referred to in paragraph (a), National Instrument *41-101 General Prospectus Requirements* as it was in force on January 5, 2022, and

(c) National Instrument 81-102 *Investment Funds* as it was in force on January 5, 2022.

Effective Date

5. (1) This Instrument comes into force on January 6, 2022.

(2) In Saskatchewan, despite subsection (1), if this Instrument is filed with the Registrar of Regulations after January 6, 2022, this Instrument come into force on the day on which it is filed with the Registrar of Regulations.

AMENDMENTS TO
NATIONAL INSTRUMENT 81-102 *INVESTMENT FUNDS*

1. National Instrument 81-102 Investment Funds is amended by this Instrument.

2. Section 1.1 is amended by replacing the definition of "*designated rating*" with the following:

"designated rating" means a credit rating from a designated rating organization listed below, from a DRO affiliate of an organization listed below, from a designated rating organization that is a successor credit rating organization of an organization listed below or from a DRO affiliate of the successor credit rating organization, that is at or above one of the following corresponding rating categories, or that is at or above a category that replaces one of the following corresponding rating categories, if

(a) there has been no announcement from the designated rating organization, from a DRO affiliate of the organization, from a designated rating organization that is a successor credit rating organization or from a DRO affiliate of the successor credit rating organization, of which the investment fund or its manager is or reasonably should be aware that the credit rating of the security or instrument to which the designated rating was given may be downgraded to a rating category that is not referred to in this definition, and

(b) no designated rating organization listed below, no DRO affiliate of an organization listed below, no designated rating organization that is a successor credit rating organization of an organization listed below and no DRO affiliate of such successor credit rating organization, has rated the security or instrument in a rating category that is not referred to in this definition:

Designated Rating Organization	**Commercial Paper/Short Term Debt**	**Long Term Debt**
DBRS Limited	R-1 (low)	A
Fitch Ratings, Inc.	F1	A
Moody's Canada Inc.	P-1	A2
S&P Global Ratings Canada	A-1 (Low)	A

.

3. Section 1.1. is amended

(a) by deleting "*and*" after the definition of "*underlying interest*",

(b) by replacing "*.*" with "*;*" after the definition of "*underlying market exposure*", and

(c) by adding the following definitions:

"U.S. GAAP" has the same meaning as in section 1.1. of National Instrument 52-107 *Acceptable Accounting Principles and Auditing Standards*;

"U.S. AICPA GAAS" has the same meaning as in section 1.1 of National Instrument 52-107 *Acceptable Accounting Principles and Auditing Standards*;

"U.S. PCAOB GAAS" has the same meaning as in section 1.1. of National Instrument 52-107 *Acceptable Accounting Principles and Auditing Standards*..

4. Section 1.2 is amended by adding the following subsection:

(2.1) Despite subsection (1), section 2.5.1 also applies to an investment fund that is not a reporting issuer..

5. **The Instrument is amended by adding the following section:**

2.5.1 Investments in Other Investment Funds by Funds Not Reporting Issuers

(1) In this section, "significant interest" and "substantial security holder" have the meaning,

(a) except in British Columbia, ascribed to those terms in the investment fund conflict of interest investment restrictions, and

(b) in British Columbia, ascribed to those terms in section 2 of BC Instrument 81-513 *Self-Dealing*.

(2) The investment fund conflict of interest investment restrictions and the investment fund conflict of interest reporting requirements do not apply to an investment fund that is not a reporting issuer and that purchases or holds securities of another investment fund that is not a reporting issuer if

(a) the investment fund's securities are distributed solely under an exemption from the prospectus requirement,

(b) the purchase or holding is in accordance with paragraphs 2.5(2)(b), (d), (e) and (f),

(c) the other investment fund prepares annual financial statements for its most recently completed financial year, and obtains an auditor's report with respect to those statements, within 90 days after the end of that financial year,

(d) the other investment fund prepares interim financial statements for its most recently completed interim period within 60 days after the end of that interim period,

(e) the audited annual financial statements referred to in paragraph (c) and the interim financial statements referred to in paragraph (d) are prepared in accordance with Canadian GAAP applicable to publicly accountable enterprises, IFRS or U.S. GAAP,

(f) the audited annual financial statements referred to in paragraph (c) are audited in accordance with Canadian GAAS, International Standards on Auditing, U.S. AICPA GAAS or U.S. PCAOB GAAS and the auditor's report referred to in paragraph (c) expresses an unmodified or unqualified opinion, as applicable,

(g) the other investment fund complies with section 2.4,

(h) the other investment fund has the same redemption and valuation dates as the investment fund,

(i) any purchase of the other fund's securities is made at a price that equals the net asset value per security of the other fund calculated in accordance with section 14.2 of National Instrument 81-106 *Investment Fund Continuous Disclosure*,

(j) before an investor purchases securities of the investment fund, the investor is provided a document that discloses

(i) that the fund may purchase securities of other related funds from time to time,

(ii) that the manager of the fund is any of the following, as applicable:

(A) the manager of each of the other funds;

(B) the portfolio adviser of each of the other funds;

(C) an affiliate of the manager of each of the other funds;

(D) an affiliate of the portfolio adviser of each of the other funds,

(iii) the approximate or maximum percentage of net assets of the fund that is intended to be invested in securities of the other fund,

(iv) the fees, expenses and any performance or special incentive distributions payable by the other fund,

(v) the process or criteria used to select the other fund,

(vi) for each officer, director or substantial security holder of the fund's manager, or of the fund, that has a significant interest in the other fund, the approximate amount of the significant interest that each officer, director or substantial securityholder holds in the other fund expressed as a percentage of the other fund's net asset value, and any conflicts of interest or potential conflicts of interest,

(vii) if the officers, directors and substantial securityholders of the fund's manager or of the fund, in aggregate, hold a significant interest in the other fund,

(A) the actual or approximate amount of the significant interest they hold, on an aggregate basis, expressed as a percentage of the other fund's net asset value, and

(B) any conflicts of interest or potential conflicts of interest, and

(viii) that investors are entitled to receive, on request and free of charge,

(A) a copy of the offering memorandum or other similar disclosure document of each other fund, if available, and

(B) the audited annual financial statements, accompanied by an auditor's report, and interim financial statements, if any, relating to each other fund, and

(k) investors are informed annually of their right to receive, on request and free of charge, a copy of the documents referred to in subparagraph (j)(viii)**.**

(3) The investment fund conflict of interest investment restrictions and the investment fund conflict of interest reporting requirements do not apply to an investment fund that is not a reporting issuer and that purchases or holds securities of another investment fund if the other investment fund is a reporting issuer and the purchase or holding is in accordance with section 2.5.**.**

6. Subsection 4.1(4) is replaced with the following:

(4) Subsection (1) does not apply to an investment in a class of securities of a reporting issuer if,

(a) at the time of the investment,

(i) the independent review committee of the dealer managed investment fund has approved the transaction in accordance with subsection 5.2(2) of NI 81-107, and

(ii) the distribution of securities of the reporting issuer is made by prospectus or under an exemption from the prospectus requirement;

(b) during the 60 days after the period referred to in subsection (1), any of the following apply:

(i) the investment is made on an exchange on which the securities of the reporting issuer are listed and traded;

(ii) if the security is a debt security that does not trade on an exchange, the ask price is readily available and the price paid is not higher than the available ask price of the debt security at the time of the investment, and

(c) no later than the time the dealer managed investment fund files its annual financial statements, the manager of the dealer managed investment fund files the particulars of each investment made by the dealer managed investment fund during its most recently completed financial year..

7. The second row of Appendix D is replaced by the following row:

All Jurisdictions	Paragraphs 13.5(2)(a) and (b) of National Instrument 31-103 *Registration Requirements, Exemptions and Ongoing Registrant Obligations* and subsection 4.1(2) of this Instrument

.

8. The table in Appendix E is deleted and replaced by the following:

Jurisdiction	Securities Legislation Reference
Alberta	Paragraph 191(1)(a) of the *Securities Act* (Alberta)
British Columbia	Paragraph 9(a) of BC Instrument 81-513 *Self-Dealing*
New Brunswick	Paragraph 143(1)(a) of the *Securities Act* (New Brunswick)
Newfoundland and Labrador	Paragraph 118(1)(a) of the *Securities Act* (Newfoundland and Labrador)
Nova Scotia	Paragraph 125(1)(a) of the *Securities Act* (Nova Scotia)
Ontario	Item 117(1)1 of the *Securities Act* (Ontario)
Saskatchewan	Paragraph 126(1)(a) of the *Securities Act, 1988* (Saskatchewan)

.

Effective Date

9. (1) This Instrument comes into force on January 5, 2022.

(2) In Saskatchewan, despite subsection (1), if this Instrument is filed with the Registrar of Regulations after January 5, 2022, this Instrument comes into force on the day on which it is filed with the Registrar of Regulations.

AMENDMENTS TO
NATIONAL INSTRUMENT 81-102 *INVESTMENT FUNDS*

1. National Instrument 81-102 Investment Funds is amended by this Instrument.

2. Subparagraph 5.3(2)(a)(iii) is replaced with the following:

(iii) all of the following apply to the reorganization or transfer of assets of the investment fund:

(A) subparagraph 5.6(1)(a)(i), clause 5.6(1)(a)(ii)(A), subparagraph 5.6(1)(a)(iii) and subparagraph 5.6(1)(a)(iv);

(B) subparagraph 5.6(1)(b)(i);

(C) paragraph 5.6(1)(c);

(D) paragraph 5.6(1)(d);

(E) paragraph 5.6(1)(g);

(F) paragraph 5.6(1)(h);

(G) paragraph 5.6(1)(i);

(H) paragraph 5.6(1)(j);

(I) paragraph 5.6(1)(k);**.**

3. Subparagraph 5.6(1)(a) is replaced with the following:

(a) the investment fund is being reorganized with, or its assets are being transferred to, another investment fund to which this Instrument applies, and all of the following apply:

(i) the other investment fund is managed by the manager, or an affiliate of the manager, of the investment fund;

(ii) either of the following apply:

(A) a reasonable person would consider the other investment fund to have substantially similar fundamental investment objectives and valuation procedures, and a substantially similar fee structure, to those of the investment fund;

(B) if the other investment fund has different fundamental investment objectives or valuation procedures or a different fee structure, the following apply:

(I) the manager reasonably believes that the transaction is in the best interests of the investment fund despite the differences;

(II) the circular referred to in subparagraph (f)(i) includes disclosure of the differences and explains why the manager is of the belief that the transaction is in the best interests of the investment fund despite the differences;

(iii) the other investment fund is not in default of any requirement of securities legislation;

(iv) the other investment fund is a reporting issuer in the local jurisdiction and, if it is a mutual fund, has a current prospectus in the local jurisdiction;**.**

4. Paragraph 5.6(1)(b) is replaced with the following:

(b) either of the following apply:

(i) the transaction is a "qualifying exchange" within the meaning of section 132.2 of the ITA or is a tax-deferred transaction under subsection 85(1), 85.1(1), 86(1) or 87(1) of the ITA;

(ii) if the transaction is not a "qualifying exchange" within the meaning of section 132.2 of the ITA or a tax-deferred transaction under subsection 85(1), 85.1(1), 86(1) or 87(1) of the ITA, the following apply:

(A) the manager reasonably believes that the transaction is in the best interests of the investment fund despite the tax treatment of the transaction;

(B) the circular referred to in subparagraph (f)(i)

(I) discloses that the transaction is not a "qualifying exchange" within the meaning of section 132.2 of the ITA or a tax-deferred transaction under subsection 85(1), 85.1(1), 86(1) or 87(1) of the ITA,

(II) discloses the reason why the transaction is not structured so that subparagraph (i) applies, and

(III) explains why the manager is of the belief that the transaction is in the best interests of the investment fund despite the tax treatment of the transaction;**.**

Effective Date

5. (1) This Instrument comes into force on January 5, 2022.

(2) In Saskatchewan, despite subsection (1), if this Instrument is filed with the Registrar of Regulations after January 5, 2022, this Instrument comes into force on the day on which it is filed with the Registrar of Regulations.

AMENDMENTS TO
NATIONAL INSTRUMENT 81-102 *INVESTMENT FUNDS*

1. National Instrument 81-102 Investment Funds is amended by this Instrument.

2. Subsection 5.4(2) is replaced by the following:

(2) The notice referred to in subsection (1) must contain or be accompanied by the following:

(a) a statement in an information circular that includes all of the following:

(i) a description of the change or transaction proposed to be made or entered into;

(ii) in the case of a matter referred to in paragraph 5.1(1)(a) or (a.1), the effect that the change would have had on the management expense ratio of the investment fund if the change were in effect throughout the investment fund's last completed financial year;

(iii) in the case of a matter referred to in paragraph 5.1(1)(b),

(A) all material information regarding the business, management and operations of the new manager, including, for greater certainty, details of the history and background of its executive officers and directors within the 5 years preceding the date of the notice or statement,

(B) a description of all material effects the change will have on the business, operations or affairs of the investment fund,

(C) a description of all material effects the change will have on the investment fund's securityholders, and

(D) a description of any material changes made to any material contract regarding the administration of the investment fund;

(iv) the date of the proposed implementation of the change or transaction;

(b) all information and documents required to be sent in order to comply with the applicable proxy solicitation provisions of securities legislation for the meeting.**.**

3. Subsection 5.5(1) is amended

(a) by repealing paragraphs (a) and (a.1),

(b) ***by adding "***or***" at the end of paragraph (b), and***

(c) by repealing paragraph (c).

4. Paragraphs 5.7(1)(a) and (c) are repealed.

Effective Date

5. (1) This Instrument comes into force on January 5, 2022.

(2) In Saskatchewan, despite subsection (1), if this Instrument is filed with the Registrar of Regulations after January 5, 2022, this Instrument comes into force on the day on which it is filed with the Registrar of Regulations.

AMENDMENTS TO NATIONAL INSTRUMENT 81-106
INVESTMENT FUND CONTINUOUS DISCLOSURE

(Securities Act)

Made as a rule by the Alberta Securities Commission on July 14, 2021 pursuant to sections 223 and 224 of the Securities Act.

AMENDMENTS TO NATIONAL INSTRUMENT 81-106
INVESTMENT FUND CONTINUOUS DISCLOSURE

1. National Instrument 81-106 Investment Fund Continuous Disclosure is amended by this Instrument.

2. The definition of "material contract***" in section 1.1 is amended by replacing***

(a) "an annual information form***" with "***a simplified prospectus***", and***

(b) "Item 16 of Form 81-101F2***" with "***item 4.17 of Part A of Form 81-101F1***".***

3. Subsection 9.4(2) is replaced with the following:

(2) Subject to subsections (2.1), (2.2) and (2.3), an annual information form that is required to be filed must be completed

(a) in accordance with Form 41-101F2 if the investment fund last distributed securities under a prospectus prepared in accordance with that Form,

(b) in accordance with Form 81-101F1 if the mutual fund last distributed securities under a prospectus prepared in accordance with that Form, or

(c) in accordance with Form 81-101F2.

(2.1) For the purposes of completing Form 41-101F2 under paragraph (2)(a),

(a) a reference in Form 41-101F2 to "prospectus" must be read as a reference to "annual information form",

(b) the items of Form 41-101F2 that are applicable to distributions of securities only and are inapplicable to any other case, do not apply,

(c) item 1.1, items 1.4 to 1.15, paragraph 3.3(1)(b), paragraph 3.3(1)(f), item 3.5, paragraph 3.6(3)(a) and items 7.1, 9.1, 11, 14.1, 15.2, 16, 17.1, 17.2, 24, 25, 26, 28, 29.2, 36, 38 and 39 of Form 41-101F2 do not apply,

(d) item 1.3 of Form 41-101F2 must be read as follows:

(1) State on the front cover that the document is an annual information form for each of the mutual funds to which the document pertains.

(2) State on the front cover the names of the mutual funds and, at the option of the mutual funds, the name of the mutual fund family to which the document pertains. If the mutual fund has more than one class or series of securities, state the name of each of those classes or series covered in the document.

(3) State the date of the document, which is the date of the certificates for the document. This date must be within three business days of the date it is filed with the securities regulatory authority. Write the date of the document in full, writing the name of the month.

(4) State, in substantially the following words:

"No securities regulatory authority has expressed an opinion about these [units/shares] and it is an offence to claim otherwise.",

(e) a reference to the term "distribution" in item 3.2 of Form 41-101F2 must be read as a reference to "investment fund",

(f) subsections 19.1(11) to (13) of Form 41-101F2 do not apply to an investment fund that is a corporation, except for the requirement to include disclosure in respect of the independent review committee,

(g) item 21 of Form 41-101F2 must be completed in respect of all of the securities of the investment fund, and

(h) item 35.1 of Form 41-101F2 must be completed despite no distribution taking place.

(2.2) For the purposes of completing Form 81-101F1 under paragraph (2)(b),

(a) a reference in Form 81-101F1 to “simplified prospectus” must be read as a reference to “annual information form”,

(b) the items of Form 81-101F1 that are applicable to distributions of securities only and are inapplicable to any other case, do not apply,

(c) general instruction (18), subsection 1.1(4), subsection 1.1(5), subsection 1.1(7), item 3, item 4.4, paragraph 4.17(1)(e), subsections 7(3) to (11) and items 12, 15, 16, 17, 18 of Part A of Form 81-101F1 do not apply,

(d) item 4.16 of Part A of Form 81-101F1 does not apply to an investment fund that is a corporation, except for the requirement to include disclosure in respect of the independent review committee,

(e) item 7 of Part B of Form 81-101F1 must be completed in respect of all of the securities of the investment fund, and

(f) subsection 12(2) of Part B of Form 81-101F1 must be read as follows:

(2) State, in substantially the following words:

• “Additional information about the Fund[s] is available in the Fund[’s/s’] Fund Facts document, management reports of fund performance and financial statements.

• You can get a copy of these documents, at your request, and at no cost, by calling [toll-free/collect] [insert the toll-free telephone number or telephone number where collect calls are accepted, as required by section 3.4 of the Instrument], or from your dealer or by e-mail at [insert e-mail address].

• These documents and other information about the Fund[s], such as information circulars and material contracts, are also available [on the [insert name of mutual fund] designated website at [insert investment fund designated website address] or] at www.sedar.com.”

(2.3) For the purposes of completing Form 81-101F2 under paragraph (2)(c),

(a) a reference to "mutual fund" in Form 81-101F2 must be read as a reference to "investment fund",

(b) general instructions (3), (10) and (14) of Form 81-101F2 do not apply,

(c) subsections (3), (4) and (6) of item 1.1 of Form 81-101F2 do not apply,

(d) subsections (3), (4) and (6) of item 1.2 of Form 81-101F2 do not apply,

(e) item 5 of Form 81-101F2 must be completed in respect of each [class/series] of securities of the investment fund,

(f) item 15 of Form 81-101F2 does not apply to an investment fund that is a corporation, except for the disclosure required to be made in respect of the independent review committee, and

(g) items 19, 20, 21 and 22 of Form 81-101F2 do not apply.**.**

4. Subsection 10.2(3) is replaced with the following:

(3) An investment fund must include a summary of the policies and procedures required under this section in its prospectus.**.**

Transition

5. Before September 6, 2022, an investment fund is not required to comply with National Instrument 81-106 *Investment Fund Continuous Disclosure*, as amended by this Instrument, if the investment fund complies with

(a) National Instrument 81-101 *Mutual Fund Prospectus Disclosure* as it was in force on January 5, 2022, and

(b) National Instrument 81-106 *Investment Fund Continuous Disclosure* as it was in force on January 5, 2022.

Effective Date

6. (1) This Instrument comes into force on January 6, 2022.

(2) In Saskatchewan, despite subsection (1), if this Instrument is filed with the Registrar of Regulations after January 6, 2022, this Instrument comes into force on the day on which it is filed with the Registrar of Regulations.

AMENDMENTS TO NATIONAL INSTRUMENT 81-106
INVESTMENT FUND CONTINUOUS DISCLOSURE

1. National Instrument 81-106 Investment Fund Continuous Disclosure is amended by this Instrument.

2. Section 1.1 is amended by adding the following definition:

"designated website" means, in relation to an investment fund, a website designated by the fund under section 16.1.2;**.**

3. Paragraph 5.2(5)(d) is amended by replacing **"**investment fund's website, if applicable,***" with "***investment fund's designated website***".***

4. Paragraph 5.3(4)(b) is amended by replacing **"**investment fund's website, if applicable,***" with "***investment fund's designated website***".***

5. ***Section 5.5 is amended by replacing "***An investment fund that is a reporting issuer and that has a website must post to the website**"** ***with*** **"**An investment fund that is a reporting issuer must post on its designated website***".***

6. ***Subsection 6.2(2) is amended by replacing "***An investment fund that has a website must post to the website**"** ***with*** **"**An investment fund must post on its designated website***".***

7. ***Subsection 10.4(2) is amended by replacing "***An investment fund that has a website must post the proxy voting record to the website***" with "***An investment fund must post the proxy voting record on its designated website***".***

8. ***Paragraph 11.2(1)(b) is amended by replacing "***on the website of the investment fund or the investment fund manager***" with "***on the investment fund's designated website***".***

9. ***Subsection 14.2(7) is replaced with the following:***

(7) An investment fund that publishes its net asset value or net asset value per security in the financial press, or posts its net asset value or net asset value per security on its designated website, must provide its current net asset value or net asset value per security on a timely basis to the financial press or post it to its designated website on a timely basis, as applicable.**.**

10. ***The following Part is added*:**

PART 16.1 INVESTMENT FUND WEBSITE

16.1.1 Application - This Part applies to an investment fund that is a reporting issuer.

16.1.2 Requirement to Have a Designated Website

(1) An investment fund must designate one qualifying website on which the fund intends to post disclosure as required by securities legislation.

(2) In this section, a "qualifying website" of an investment fund is a website that is

(a) publicly accessible, and

(b) established and maintained by the fund or on its behalf by one or more of the following persons:

(i) its investment fund manager;

(ii) a person or company designated by its investment fund manager.

(3) The designated website referred to in (1) must be identified as the designated website in the following, as applicable:

(a) item 19.13 of Form 41-101F2, if the investment fund last distributed securities under a prospectus prepared in accordance with that form;

(b) item 2.18 of Part D of Form 41-101F3, if the scholarship plan last distributed securities under a prospectus prepared in accordance with that form;

(c) item 4.19 of Form 81-101F1, if the mutual fund last distributed securities under a prospectus prepared in accordance with that form;

(d) item 10.11 of Form 81-101F2, if the investment fund is required to file an annual information form under section 9.2 of this Instrument..

11. Form 81-106F1 Contents of Annual and Interim Management Report of Fund Performance is amended

(a) in Item 1 of Part B by replacing** "website at [insert address]**" with "**website at [insert the address of the designated website]**",

(b) in subsection (9) of the Instructions under Item 5 of Part B by replacing "**are available on the internet at www.sedar.com.**" with "**are available on the investment fund's designated website and at www.sedar.com.**", and

(c) in Item 1 of Part C by replacing "**website at [insert address]**" with "**website at [insert the address of the designated website]**".

Transition

12. Before September 6, 2022, an investment fund is not required to comply with National Instrument 81-106 *Investment Fund Continuous Disclosure*, as amended by this Instrument, if the investment fund complies with

(a) in the case of a mutual fund to which National Instrument 81-101 *Mutual Fund Prospectus Disclosure* applies, National Instrument 81-101 *Mutual Fund Prospectus Disclosure* as it was in force on January 5, 2022,

(b) in the case of an investment fund not referred to in paragraph (a), *National Instrument 41-101 General Prospectus Requirements* as it was in force on January 5, 2022, and

(c) National Instrument 81-106 *Investment Fund Continuous Disclosure* as it was in force on January 5, 2022.

Effective Date

13. (1) This Instrument comes into force on January 6, 2022.

(2) In Saskatchewan, despite subsection (1), if this Instrument is filed with the Registrar of Regulations after January 6, 2022, this Instrument comes into force on the day on which it is filed with the Registrar of Regulations.

AMENDMENTS TO NATIONAL INSTRUMENT 81-106
INVESTMENT FUND CONTINUOUS DISCLOSURE

1. National Instrument 81-106 Investment Fund Continuous Disclosure is amended by this Instrument.

2. Section 1.1 is amended by adding the following definitions:

"information circular" means a document prepared in accordance with Form 51-102F5 *Information Circular*;

"intermediary" has the same meaning as in section 1.1 of National Instrument 54-101 *Communication with Beneficial Owners of Securities of a Reporting Issuer*;

"meeting" means, except in sections 10.2, 10.3 and 16.3, a meeting of securityholders of an investment fund;

"NOBO" has the same meaning as in section 1.1 of National Instrument 54-101 *Communication with Beneficial Owners of Securities of a Reporting Issuer*;

"notice-and-access" means the delivery procedures referred to in section 12.2.1;

"notification of meeting and record dates" has the same meaning as in section 1.1 of National Instrument 54-101 *Communication with Beneficial Owners of Securities of a Reporting Issuer*;

"proximate intermediary" has the same meaning as in section 1.1 of National Instrument 54-101 *Communication with Beneficial Owners of Securities of a Reporting Issuer*;

"proxy-related materials" means securityholder materials relating to a meeting that a person or company that solicits proxies is required under corporate law or securities legislation to send to a registered holder or beneficial owner of the securities of an investment fund;

"send" includes to deliver or forward, or arrange to deliver or forward, by any means;

"stratification" means procedures whereby a paper copy of the information circular and, if applicable, the financial statements of the investment fund are included with the documents required to be sent in order to use notice-and-access under section 12.2.1;**.**

3. The Instrument is amended by adding the following sections:

12.2.1 Notice-and-access – A person or company that solicits proxies from a registered holder of securities of an investment fund under subsection 12.2(2) of this Instrument, or sends proxy-related materials to beneficial owners of an investment fund under section 2.7 of National Instrument 54-101 *Communication with Beneficial Owners of Securities of a Reporting*

Issuer, must not use notice-and-access to send proxy-related materials to the registered holder or beneficial owner unless all of the following apply:

(a) the registered holder or beneficial owner is sent a notice that contains only the following information:

(i) the date, time and location of the meeting;

(ii) a description of each matter or group of related matters identified in the form of proxy to be voted on, unless that information is already included in the form of proxy, in Form 54-101F6 *Request for Voting Instructions Made by Reporting Issuer* or in Form 54-101F7 *Request for Voting Instructions Made by Intermediary*, that is sent to the registered holder or beneficial owner under paragraph (b);

(iii) the website addresses for SEDAR and the non-SEDAR website where the proxy-related materials are posted;

(iv) a reminder to review the information circular before voting;

(v) an explanation of how to obtain a paper copy of the information circular and, if applicable, the financial statements of the investment fund, from the person or company soliciting proxies;

(vi) a plain-language explanation of notice-and-access that includes the following information:

(A) if stratification is used, a list of the types of registered holders or beneficial owners who will receive paper copies of the information circular and, if applicable, the financial statements of the investment fund;

(B) the estimated date and time by which a request for a paper copy of the information circular and, if applicable, the financial statements of the investment fund, is to be received in order for the registered holder or beneficial owner to receive the paper copy in advance of any deadline for the submission of the proxy or the voting instructions for the meeting, and the date of the meeting;

(C) an explanation of how the registered holder or beneficial owner is to return the proxy or the voting instructions, including any deadline for return of the proxy or the voting instructions;

(D) the sections of the information circular where disclosure regarding each matter or group of related matters identified in the notice can be found;

(E) a toll-free telephone number the registered holder or beneficial owner can call to get information about notice-and-access;

(b) by prepaid mail, courier or the equivalent,

(i) the registered holder is sent the notice, and a form of proxy for use at the meeting, at least 30 days before the date of the meeting, and

(ii) the beneficial owner is sent the notice and a Form 54-101F6 or Form 54-101F7, using the procedures referred to in section 2.9 or 2.12 of National Instrument 54-101 *Communication with Beneficial Owners of Securities of a Reporting Issuer*, as applicable;

(c) the proxy-related materials are sent at least 30 days, and no more than 50 days, before the date of the meeting;

(d) if proxy-related materials are sent directly to a NOBO using notice-and-access, the notice and, if applicable, any paper copies of information circulars and financial statements, are sent at least 30 days before the date of the meeting;

(e) if proxy-related materials are sent indirectly to a beneficial owner using notice-and-access, the notice and, if applicable, any paper copies of information circulars or financial statements are sent to any proximate intermediary,

(i) at least 3 business days before the 30th day before the date of the meeting, in the case of proxy-related materials that are to be sent on by the proximate intermediary by first class mail, courier or the equivalent, and

(ii) at least 4 business days before the 30th day before the date of the meeting, in the case of proxy-related materials that are to be sent on by the proximate intermediary using any other type of prepaid mail;

(f) in the case of a solicitation by or on behalf of management of the investment fund, or if another person or company soliciting proxies has requested a meeting, the notification of meeting and record dates is filed on SEDAR and that filing occurs on the same date that the notification of meeting and record dates is sent under subsection 2.2(1) of National Instrument 54-101 *Communication with Beneficial Owners of Securities of a Reporting Issuer*;

(g) public electronic access to the information circular, the notice and the form of proxy is provided on or before the date that the notice is sent to the registered holder or beneficial owner, as follows:

(i) the documents are filed on SEDAR;

(ii) the documents are posted for no less than one year on

(A) the investment fund's designated website, in the case of a solicitation by or on behalf of management of the investment fund, and

(B) a website other than SEDAR, in the case of a solicitation by or on behalf of any other person or company;

(h) a toll-free telephone number is provided for use by the registered holder or beneficial owner to request a paper copy of the information circular and, if applicable, the financial statements of the investment fund at any time

(i) following the date that the notice is sent to the registered holder or beneficial owner, and

(ii) on or before the date of the meeting, including any adjournment;

(i) if a request for a paper copy of the information circular and, if applicable, the financial statements of the investment fund is received by telephone using the toll-free telephone number provided in the notice or by any other means, a paper copy of the document requested is sent free of charge by the person or company to the registered holder or beneficial owner at the address specified in the request,

(i) in the case of a request received before the date of the meeting, within 3 business days after receiving the request, by first class mail, courier or the equivalent, and

(ii) in the case of a request received on or after the date of the meeting, and within one year of the date the information circular is filed on SEDAR, within 10 calendar days after receiving the request, by prepaid mail, courier or the equivalent;

(j) the notice is not sent with any other document other than the following:

(i) a form of proxy, Form 54-101F6 or Form 54-101F7;

(ii) if financial statements of the investment fund are to be presented at the meeting, the financial statements;

(iii) if the meeting is to approve a reorganization of the investment fund with another investment fund as contemplated by paragraph 5.1(1)(f) of National Instrument 81-102 *Investment Funds*, Form 81-101F3 *Contents of Fund Facts Document* or Form 41-101F4 *Information Required in an ETF Facts Document* for the continuing investment fund;

(k) the notice is not combined with any document other than a form of proxy, Form 54-101F6 or Form 54-101F7;

(l) the information circular discloses that proxy-related materials are being sent to registered holders or beneficial owners of the investment fund using notice-and-access, and if stratification is used, the types of registered holders or beneficial owners who will receive paper copies of the information circular and, if applicable, the financial statements of the investment fund;

(m) the cost of sending the information circular and, if applicable, the financial statements of the investment fund, to a registered holder or beneficial owner, if a paper copy is requested by the registered holder or beneficial owner, is paid by the manager of the investment fund or other person or company soliciting proxies that is not the investment fund.

12.2.2 Restrictions on Information Gathering

(1) A person or company using notice-and-access that receives a request for a paper copy of the information circular or the financial statements of the investment fund, through the toll-free telephone number provided in the notice referred to in paragraph 12.2.1(a) or by any other means, must not

(a) ask for any information about the person or company making the request, other than the name and address to which the information circular and, if applicable, the financial statements are to be sent, or

(b) disclose or use the name or address of the person or company making the request for any purpose other than sending the information circular or the financial statements of the investment fund.

(2) A person or company that posts proxy-related materials to a website under subparagraph 12.2.1(g)(ii) must not collect information that can be used to identify a person or company that has accessed the website.

12.2.3 Posting Materials on Non-SEDAR Website

(1) A person or company that posts proxy-related materials to a website under subparagraph 12.2.1(g)(ii) must also post on the website all of the following:

(a) any disclosure regarding the meeting that the person or company has sent to registered holders or beneficial owners;

(b) any written communications the person or company has made available to the public regarding each matter or group of matters to be voted on at the meeting, whether or not the communications were sent to registered holders or beneficial owners.

(2) For greater certainty, a person or company that posts proxy-related materials on a website under subparagraph 12.2.1(g)(ii) must do so in a

manner and format that permits an individual with a reasonable level of computer skill and knowledge to easily do all of the following:

(a) access, read and search the materials;

(b) download and print the materials.

12.2.4 Record Date for Notice of Meeting, Abridgement of Time and Notification of Meeting Date and Record Date

(1) A person or company that solicits proxies from a registered holder or beneficial owner using notice-and-access, in the case of solicitation by or on behalf of management of an investment fund, must

(a) despite paragraph 2.1(b) of National Instrument 54-101 *Communication with Beneficial Owners of Securities of a Reporting Issuer*, set or request a record date for notice of the meeting that is no fewer than 40 days before the date of the meeting,

(b) specify in the notification of meeting and record dates sent under section 2.2 of National Instrument 54-101 *Communication with Beneficial Owners of Securities of a Reporting Issuer* that proxy-related materials are being sent to registered holders or beneficial owners using notice-and-access, and

(c) not abridge the time prescribed under paragraph 2.1(b), subsection 2.2(1) or subsection 2.5(1) of National Instrument 54-101 *Communication with Beneficial Owners of Securities of a Reporting Issuer* unless the person or company

(i) complies with paragraphs 2.20 (a) to (c) of that Instrument, and

(ii) sends the notification of meeting and record dates sent under section 2.2 of that Instrument at least 3 business days before the record date for notice of the meeting.

(2) In the case of a person or company not referred to in subsection (1) that requests a meeting, the person or company must request the following:

(a) a record date for notice of the meeting that is no fewer than 40 days before the date of the meeting;

(b) that the notification of meeting and record dates sent under section 2.2 of National Instrument 54-101 *Communication with Beneficial Owners of Securities of a Reporting Issuer* state that proxy-related materials are being sent to registered holders or beneficial owners using notice-and-access.

12.2.5 Consent to Other Delivery Methods – For greater certainty, section 12.2.1 does not

(a) prevent a registered holder or beneficial owner from consenting to the use of other delivery methods to send proxy-related materials,

(b) terminate or modify a consent that a registered holder or beneficial owner previously gave to a person or company regarding the use of other delivery methods to send proxy-related materials to the registered holder or beneficial owner, or

(c) prevent a person or company that solicits proxies, an intermediary or any other person or company from sending proxy-related materials to a registered holder or beneficial owner using a method to which the registered holder or beneficial owner has consented prior to January 5, 2022.

12.2.6 Instructions to Receive Paper Copies

(1) Despite section 12.2.1, an investment fund or its manager or management may obtain standing instructions from a registered holder of securities of the investment fund, and an intermediary may obtain standing instructions from a client that is a beneficial owner of securities of the investment fund, that a paper copy of the information circular or the financial statements of the investment fund be sent to the registered holder or beneficial owner in all cases when using notice-and-access in respect of a meeting of the investment fund.

(2) If an investment fund or its manager or management has obtained standing instructions from a registered holder under subsection (1), the investment fund, its manager or management must do all of the following:

(a) include with the notice referred to in paragraph 12.2.1(a) any paper copies of information circulars or financial statements of the investment fund referred to in the registered holder's standing instructions;

(b) notify the registered holder, by including a statement in the notice referred to in paragraph 12.2.1(a) or by another method, of the means by which the registered holder may revoke the registered holder's standing instructions.

(3) If an intermediary has obtained standing instructions from a beneficial owner under subsection (1), the intermediary must do all of the following:

(a) if the investment fund or its manager or management is sending proxy-related materials directly under section 2.9 of National Instrument 54-101 *Communication with Beneficial Owners of Securities of a Reporting Issuer*, indicate in the NOBO list provided to the investment fund or its manager or management, those NOBOs who have provided standing instructions under subsection (1) as at the date the NOBO list is generated;

(b) if the intermediary is sending proxy-related materials to a beneficial owner on behalf of an investment fund or its manager or management using notice-and-access, request appropriate quantities of paper copies of the information circular and, if applicable, the financial statements of the investment fund, from the investment fund or its manager or management, for forwarding to beneficial owners who have provided standing instructions to be sent paper copies;

(c) include with the notice a description, or otherwise inform the beneficial owner of, the means by which the beneficial owner may revoke the beneficial owner's standing instructions.

12.2.7 Compliance with National Instrument 51-102 and National Instrument 54-101

(1) A person or company that solicits proxies must comply with the following:

(a) Items 7.12 and 9.9 of Form 54-101F2 *Request for Beneficial Ownership Information*;

(b) Form 54-101F5 *Electronic Format for NOBO List*.

(2) For the purposes of subsection (1), "notice-and-access" and "stratification", as used in Items 7.12 and 9.9 of Form 54-101F2 and in Form 54-101F5, have the same meaning as in this Instrument.**.**

Transition

4. Before September 6, 2022, if an investment fund has not designated a website as its designated website, the reference to "designated website" in paragraph 12.2.1(g) of National Instrument 81-106 *Investment Fund Continuous Disclosure* must be read as a reference to the investment fund's or its manager's website.

Effective Date

5. (1) This Instrument comes into force on January 5, 2022.

(2) In Saskatchewan, despite subsection (1), if this Instrument is filed with the Registrar of Regulations after January 5, 2022, this Instrument comes into force on the day on which it is filed with the Registrar of Regulations.

AMENDMENT TO NATIONAL INSTRUMENT 81-106
INVESTMENT FUND CONTINUOUS DISCLOSURE

1. National Instrument 81-106 Investment Fund Continuous Disclosure is amended by this Instrument.

2. In Section 1.1, the definition of "designated rating***" is replaced with the following***:

"designated rating" has the same meaning as in National Instrument 81-102 *Investment Funds*;**.**

Effective Date

3. (1) This Instrument comes into force on January 5, 2022.

(2) In Saskatchewan, despite subsection (1), if this Instrument is filed with the Registrar of Regulations after January 5, 2022, this Instrument comes into force on the day on which it is filed with the Registrar of Regulations.

AMENDMENTS TO NATIONAL INSTRUMENT 81-107
INDEPENDENT REVIEW COMMITTEE FOR INVESTMENT FUNDS

(Securities Act)

Made as a rule by the Alberta Securities Commission on July 14, 2021 pursuant to sections 223 and 224 of the Securities Act.

AMENDMENTS TO NATIONAL INSTRUMENT 81-107
INDEPENDENT REVIEW COMMITTEE FOR INVESTMENT FUNDS

1. National Instrument 81-107 Independent Review Committee for Investment Funds is amended by this Instrument.

2. The Instrument is amended by adding the following section:

1.8 Definition of "designated website"

In this Instrument, "designated website" has the meaning ascribed to that term in National Instrument 81-106 *Investment Fund Continuous Disclosure*.**.**

3. Paragraph 4.4(2)(b) is replaced with the following:

(b) be made available and prominently displayed by the manager on the investment fund's designated website;**.**

Transition

4. Before September 6, 2022, an investment fund is not required to comply with National Instrument 81-107 *Independent Review Committee for Investment Funds*, as amended by this Instrument, if the investment fund complies with

(a) in the case of a mutual fund to which National Instrument 81-101 *Mutual Fund Prospectus Disclosure* applies, National Instrument 81-101 *Mutual Fund Prospectus Disclosure* as it was in force on January 5, 2022,

(b) in the case of an investment fund not referred to in paragraph (a), *National Instrument 41-101 General Prospectus Requirements* as it was in force on January 5, 2022, and

(c) National Instrument 81-107 *Independent Review Committee for Investment Funds* as it was in force on January 5, 2022.

Effective Date

5. (1) This Instrument comes into force on January 6, 2022.

(2) In Saskatchewan, despite subsection (1), if this Instrument is filed with the Registrar of Regulations after January 6, 2022, this Instrument come into force on the day on which it is filed with the Registrar of Regulations.

CHANGES TO COMMENTARY IN NATIONAL INSTRUMENT 81-107
INDEPENDENT REVIEW COMMITTEE FOR INVESTMENT FUNDS

1. The Commentary to National Instrument 81-107 Independent Review Committee for Investment Funds is changed by this Document.

2. Paragraph 2 of the Commentary to section 4.4 is changed

(a) by replacing "the website of the investment fund, the investment fund family or the manager, as applicable***" with "***the investment fund's designated website***", and***

(b) by replacing "on the website***" with "***on the designated website***".***

3. These changes become effective on January 6, 2022.

AMENDMENTS TO NATIONAL INSTRUMENT 81-107
INDEPENDENT REVIEW COMMITTEE FOR INVESTMENT FUNDS

1. National Instrument 81-107 Independent Review Committee for Investment Funds is amended by this Instrument.

2. Subsection 1.1 is amended by adding the following after subsection (2):

(3) Despite subsection (1), sections 6.1 to 6.5 also apply to an investment fund that is not a reporting issuer.

(4) Despite subsection (1), sections 6.1 and 6.5 also apply in respect of a managed account.**.**

3. Paragraph 5.2(1)(b) is replaced with the following:

(b) a transaction in securities of an issuer described in any of the following:

(i) subsection 6.2(1);

(ii) subsection 6.3(1);

(iii) subsection 6.4(1);

(iv) subsection 6.5(1);**.**

4. Section 6.1 is amended

(a) by replacing "is quoted; or***" at the end of clause (1)(a)(i)(C) with "***is quoted, or***",***

(b) by adding the following after clause (1)(a)(i)(C):

(D) the last sale price as defined under the Universal Market Integrity Rules of the Investment Industry Regulatory Organization of Canada, as amended from time to time; or***,***

(c) by deleting "and***" after paragraph (1)(a),***

(d) by adding the following after paragraph (1)(a):

(a.1) "managed account" means an account, or an investment portfolio, that is managed by a portfolio manager or portfolio adviser on behalf of a client under an investment management agreement but does not include

(i) an account of a "responsible person" as defined in National Instrument 31-103 *Registration Requirements, Exemptions and Ongoing Registrant Obligations,* or

(ii) an account of an investment fund; and***,***

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

(2) A portfolio manager of a managed account or a portfolio manager of an investment fund, including, for greater certainty, an investment fund that is not a reporting issuer, may purchase a security of an issuer from, or sell a security of an issuer to, another investment fund, including, for greater certainty, an investment fund that is not a reporting issuer, managed by the same manager or an affiliate of the manager, if, at the time of the transaction,

(a) the portfolio manager, on behalf of the investment fund or managed account, is purchasing from or selling to another investment fund that is a reporting issuer or, if the investment fund is not a reporting issuer, the manager has appointed an independent review committee that complies with sections 3.7 and 3.9 for the purpose of approving the transaction,

(b) the independent review committee has approved the transaction under subsection 5.2(2),

(c) the investment management agreement for the managed account authorizes the purchase or sale of the security,

(d) the bid and ask price of the security is readily available,

(e) the investment fund receives no consideration and the only cost for the transaction is the nominal cost incurred by the investment fund to print or otherwise display the trade,

(f) the transaction is executed at the current market price of the security, and

(g) the transaction is subject to market integrity requirements.***,***

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

(2.1) An investment fund, or a portfolio manager on behalf of a managed account, referred to in subsection (2), must keep records in accordance with the record-keeping requirements applicable to registered firms set out in sections 11.5 and 11.6 of National Instrument 31-103 *Registration Requirements, Exemptions and Ongoing Registrant Obligations*.***,***

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

(3) With respect to a purchase or sale of a security referred to in subsection (2), National Instrument 21-101 *Marketplace Operation*, and Parts 6 and 8 of National Instrument 23-101 *Trading Rules*, do not apply to any of the following:

(a) a portfolio manager or portfolio adviser of an investment fund, including for greater certainty, an investment fund that is not a reporting issuer;

(b) a portfolio manager or portfolio adviser of a managed account;

(c) an investment fund, including for greater certainty, an investment fund that is not a reporting issuer;

(d) a managed account.***,***

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

(4) With respect to a purchase or sale of a security referred to in subsection (2), the inter-fund self-dealing investment prohibitions do not apply to any of the following:

(a) a portfolio manager or portfolio adviser of an investment fund, including for greater certainty, an investment fund that is not a reporting issuer;

(b) a portfolio manager or portfolio adviser of a managed account;

(c) an investment fund, including for greater certainty, an investment fund that is not a reporting issuer;

(d) a managed account.***, and***

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

(5) With respect to a purchase or sale of a security referred to in subsection (2), the dealer registration requirement does not apply to a portfolio manager or portfolio adviser of an investment fund, including, for greater certainty, an investment fund that is not a reporting issuer.**.**

5. Section 6.2 is replaced with the following:

6.2 Transactions in securities of related issuers

(1) An investment fund, including for greater certainty, an investment fund that is not a reporting issuer, may make or hold an investment in the security of an issuer related to it, to its manager or to an entity related to its manager, if,

(a) at the time the investment is made,

(i) in the case of an investment made by an investment fund that is not a reporting issuer,

(A) the manager of the investment fund has appointed an independent review committee that complies with sections 3.7 and 3.9 for the purpose of approving the investment, and

(B) the independent review committee has approved the investment in compliance with subsection 5.2(2), and

(ii) in the case of an investment made by an investment fund that is a reporting issuer, the investment fund's independent review committee has approved the investment in compliance with subsection 5.2(2), and

(b) the purchase is made on an exchange on which the securities of the issuer are listed and traded.

(2) After an investment referred to in subsection (1) is made, and no later than the time the investment fund files its annual financial statements, the

manager of the investment fund must file the particulars of the investment with the securities regulatory authority or regulator.

(3) The investment fund conflict of interest investment restrictions do not apply to an investment fund, including, for greater certainty, an investment fund that is not a reporting issuer, with respect to an investment fund referred to in subsection (1) if the investment is made in accordance with that subsection.

(4) For the purpose of subsection (3), "investment fund conflict of interest investment restrictions" has the meaning ascribed to that term in National Instrument 81-102 *Investment Funds*.**.**

6. The Instrument is amended by adding the following sections:

6.3 Transactions in securities of related issuers – Secondary market non-exchange traded debt securities

(1) An investment fund, including, for greater certainty, an investment fund that is not a reporting issuer, may make an investment in the secondary market in a non-exchange traded debt security of an issuer related to it, to its manager or to an entity related to the manager, and continue to hold the debt security, if the conditions set out in subsection (2) are satisfied.

(2) For the purposes of subsection (1), an investment fund may make an investment in a debt security referred to in subsection (1) if,

(a) at the time the investment is made,

(i) in the case of an investment made by an investment fund that is not a reporting issuer,

(A) the manager of the investment fund has appointed an independent review committee that complies with sections 3.7 and 3.9 for the purpose of approving the investment, and

(B) the independent review committee has approved the investment in compliance with subsection 5.2(2), and

(ii) in the case of an investment made by an investment fund that is a reporting issuer, the investment fund's independent review committee has approved the investment in compliance with subsection 5.2(2),

(b) at the time the investment is made, the debt security has a designated rating as defined in paragraph (b) of the definition of "designated rating" in National Instrument 44-101 *Short Form Prospectus Distributions,*

(c) in the case of an investment made on a marketplace, the price paid for the debt security is not more than the price for the debt security determined in accordance with the requirements of that marketplace,

(d) in the case of an investment that is not made on a marketplace, the price paid for the debt security is not more than

(i) the price at which an arm's length seller is willing to sell the debt security,

(ii) the price quoted publicly, immediately before the investment is made, by an independent marketplace, or

(iii) the price quoted, immediately before the investment is made, by an arm's length purchaser or seller of the debt security, and

(e) the investment is subject to the applicable "market integrity requirements" as defined in section 6.1, if any.

(3) After an investment referred to in subsection (2) is made, and no later than the time the investment fund files its annual financial statements, the manager of the investment fund must file the particulars of the investment with the securities regulatory authority or regulator.

(4) The investment fund conflict of interest investment restrictions do not apply to an investment fund, including, for greater certainty, an investment fund that is not a reporting issuer, with respect to an investment referred to in subsection (2) if the investment is made in accordance with that subsection.

(5) For the purpose of subsection (4), "investment fund conflict of interest investment restrictions" has the meaning ascribed to that term in National Instrument 81-102 *Investment Funds*.

6.4 Transactions in securities of related issuers – Primary market distributions of long-term debt securities

(1) An investment fund, including, for greater certainty, an investment fund that is not a reporting issuer, may make an investment in a long-term debt security of an issuer related to it, to its manager or to an entity related to the manager, if the investment is made under a distribution of the long-term debt security of that issuer, and continue to hold the debt security, if,

(a) at the time the investment is made,

(i) in the case of an investment made by an investment fund that is not a reporting issuer,

(A) the manager of the investment fund has appointed an independent review committee that complies with sections 3.7 and 3.9 for the purpose of approving the investment, and

(B) the independent review committee has approved the investment in compliance with subsection 5.2(2), and

(ii) in the case of an investment made by an investment fund that is a reporting issuer, the investment fund's independent review committee has approved the investment in compliance with subsection 5.2(2),

(iii) the debt security has a term to maturity greater than 365 days,

(iv) the debt security is not asset-backed commercial paper,

(v) the debt security has a designated rating as defined in paragraph (b) of the definition of "designated rating" in National Instrument 44-101 *Short Form Prospectus Distributions*,

(vi) the distribution is for at least $100 million, and

(vii) at least two purchasers that are arm's length purchasers, including, for greater certainty, "independent underwriters" within the meaning of National Instrument 33-105 *Underwriting Conflicts*, have collectively purchased at least 20% of the distribution,

(b) the price paid for the long-term debt security is not higher than the lowest price paid by any arm's length purchaser that participates in the distribution, and

(c) immediately after the investment is made,

(i) the investment fund holds no more than 5% of its net assets in long-term debt securities of the issuer, and

(ii) the investment fund, together with other investment funds managed by the manager, hold no more than 20% of the long-term debt securities issued in the distribution.

(2) After an investment referred to in subsection (1) is made, and no later than the time the investment fund files its annual financial statements, the manager of the investment fund must file the particulars of the investment with the securities regulatory authority or regulator.

(3) The investment fund conflict of interest investment restrictions do not apply to an investment fund, including, for greater certainty, an investment fund that is not a reporting issuer, with respect to an investment referred to in subsection (2) if the investment is made in accordance with that subsection.

(4) For the purpose of subsection (3), "investment fund conflict of interest investment restrictions" has the meaning ascribed to that term in National Instrument 81-102 *Investment Funds*.

6.5 Transactions in debt securities with a related dealer – principal trades in debt securities

(1) A portfolio manager or portfolio adviser, acting on behalf of an investment fund, including, for greater certainty, an investment fund that is not a reporting issuer, or acting on behalf of a managed account as defined in section 6.1, may cause the investment fund or managed account to purchase a debt security of any issuer from, or sell a debt security of any issuer to, a dealer related to the portfolio manager, acting for its own account, if, at the time of the transaction,

(a) in the case of an investment fund that is not a reporting issuer,

(i) the manager of the investment fund has appointed an independent review committee that complies with sections 3.7 and 3.9 for the purpose of approving the transaction, and

(ii) the independent review committee has approved the transaction in compliance with subsection 5.2(2),

(b) in the case of an investment fund that is a reporting issuer, the investment fund's independent review committee has approved the transaction in compliance with subsection 5.2(2),

(c) the investment management agreement for the managed account authorizes the purchase or sale of the debt security,

(d) the bid and ask price of the security transacted is readily available,

(e) the purchase is not executed at a price that is higher than the available ask price or the sale is not executed at a price that is lower than the available bid price, and

(f) the purchase or sale is subject to the applicable market integrity requirements as defined in section 6.1.

(2) An investment fund, or a portfolio manager on behalf of a managed account referred to in subsection (1), must keep records in accordance with the record-keeping requirements applicable to registered firms set out in sections 11.5 and 11.6 of National Instrument 31-103 *Registration Requirements, Exemptions and Ongoing Registrant Obligations.*

(3) With respect to a purchase or sale of a security referred to in subsection (1), the inter-fund self-dealing investment prohibitions do not apply to any of the following:

(a) a portfolio manager or portfolio adviser of an investment fund, including for greater certainty, an investment fund that is not a reporting issuer;

(b) a portfolio manager or portfolio adviser of a managed account;

(c) an investment fund, including for greater certainty, an investment fund that is not a reporting issuer;

(d) a managed account..

7. Appendix B Inter-Fund Self-Dealing Conflict of Interest Provisions is replaced with the following:

APPENDIX B

INTER-FUND SELF-DEALING CONFLICT OF INTEREST PROVISIONS

JURISDICTION	LEGISLATION REFERENCE
Alberta	Paragraph 13.5(2)(b) of National Instrument 31-103 *Registration Requirements, Exemptions and Ongoing Registrant Obligations* and section 4.2 of National Instrument 81-102 *Investment Funds*
British Columbia	Paragraph 13.5(2)(b) of National Instrument 31-103 *Registration Requirements, Exemptions and Ongoing Registrant Obligations* and section 4.2 of National Instrument 81-102 *Investment Funds*
Manitoba	Paragraph 13.5(2)(b) of National Instrument 31-103 *Registration Requirements, Exemptions and Ongoing Registrant Obligations* and section 4.2 of National Instrument 81-102 *Investment Funds*
New Brunswick	Paragraph 144(1)(b) of the *Securities Act* (New Brunswick) Subsection 11.7(6) of Local Rule 31-501 *Registration Requirements* Paragraph 13.5(2)(b) of National Instrument 31-103 *Registration Requirements, Exemptions and Ongoing Registrant Obligations* and section 4.2 of National Instrument 81-102 *Investment Funds*
Newfoundland and Labrador	Paragraph 119(2)(b) of the *Securities Act* (Newfoundland and Labrador) Subsection 103(6) of Reg. 805/96 Paragraph 13.5(2)(b) of National Instrument 31-103 *Registration Requirements, Exemptions and Ongoing Registrant Obligations* and section 4.2 of National Instrument 81-102 *Investment Funds*
Northwest Territories	Paragraph 13.5(2)(b) of National Instrument 31-103 *Registration Requirements, Exemptions and Ongoing Registrant Obligations* and section 4.2 of National Instrument 81-102 *Investment Funds*

Nova Scotia	Paragraph 126(2)(b) of the *Securities Act* (Nova Scotia) Subsection 32(6) of the General Securities Rules Paragraph 13.5(2)(b) of National Instrument 31-103 *Registration Requirements, Exemptions and Ongoing Registrant Obligations* and section 4.2 of National Instrument 81-102 *Investment Funds*
Nunavut	Paragraph 13.5(2)(b) of National Instrument 31-103 *Registration Requirements, Exemptions and Ongoing Registrant Obligations* and section 4.2 of National Instrument 81-102 *Investment Funds*
Ontario	Paragraph 13.5(2)(b) of National Instrument 31-103 *Registration Requirements, Exemptions and Ongoing Registrant Obligations* and section 4.2 of National Instrument 81-102 *Investment Funds*
Prince Edward Island	Paragraph 13.5(2)(b) of National Instrument 31-103 *Registration Requirements, Exemptions and Ongoing Registrant Obligations* and section 4.2 of National Instrument 81-102 *Investment Funds*
Quebec	Paragraph 13.5(2)(b) of National Instrument 31-103 *Registration Requirements, Exemptions and Ongoing Registrant Obligations* and section 4.2 of National Instrument 81-102 *Investment Funds*
Saskatchewan	Paragraph 13.5(2)(b) of National Instrument 31-103 *Registration Requirements, Exemptions and Ongoing Registrant Obligations* and section 4.2 of National Instrument 81-102 *Investment Funds*
Yukon	Paragraph 13.5(2)(b) of National Instrument 31-103 *Registration Requirements, Exemptions and Ongoing Registrant Obligations* and section 4.2 of National Instrument 81-102 *Investment Funds*

.

Effective Date

8. (1) This Instrument comes into force on January 5, 2022.

(2) In Saskatchewan, despite subsection (1), if this Instrument is filed with the Registrar of Regulations after January 5, 2022, this Instrument comes into force on the day on which it is filed with the Registrar of Regulations.

CHANGES TO COMMENTARY IN NATIONAL INSTRUMENT 81-107 *INDEPENDENT REVIEW COMMITTEE FOR INVESTMENT FUNDS*

1. The Commentary to National Instrument 81-107 Independent Review Committee for Investment Funds is changed by this Document.

2. Commentary 2 to section 1.1 is changed by adding the following:

*Part 6, however, provides exemptions that may be relied on in connection with certain trades involving managed accounts and investment funds that are not reporting issuers.***.***

3. Commentary to section 2.2 is changed by adding the following paragraph:

5. The CSA do not consider a manager's organization of an investment fund (such as the initial setting of fees or the initial choice of service providers) to be subject to IRC review, unless the manager's decisions give rise to a conflict of interest concerning the manager's obligations to existing investment funds within the manager's fund family. However, the CSA expect the manager will establish policies and procedures for any conflict of interest matters arising from the investment fund's organization or otherwise and refer to the IRC these policies and procedures and any decisions related to such matters.

*It is anticipated that the manager will wish to engage the IRC early in the establishment of any new investment fund to ensure the IRC is adequately informed of potential new conflicts of interest.***.***

4. Commentary to section 5.1 is changed by adding the following paragraph:

*5. The CSA do not consider the expenses incurred by existing investment funds in establishing an IRC under this Instrument to be caught in section 5.1 of NI 81-107. We do not view section 5.1 as intending to capture the costs associated with compliance by an investment fund with new regulatory requirements.***.***

5. Commentary 2 to section 6.1 is changed

(a) by adding the following after "*investment funds****":***

*, including investment funds that are not reporting issuers and managed accounts,***,***

(b) by adding the following at the end of the first paragraph:

*The CSA are of the view that this section applies to inter-fund trades between fund families of the same manager provided the purchase or sale is made in accordance with subsection (2).***, and***

(c) by replacing the second paragraph with the following:

Funds that are not reporting issuers must appoint an IRC for the purpose of approving inter-fund trades in order to be eligible to rely upon the exemption. At a minimum, the IRC for the funds that are not reporting issuers must comply with sections 3.7 and 3.9 of the Instrument. It is up to the IRC and the manager to tailor the IRC's responsibilities for investment funds that are not reporting issuers beyond that.

*The portfolio manager or portfolio adviser of a managed account must obtain the authorization of its client to conduct inter-fund trades in the investment management agreement in order to be eligible to rely upon the exemption.***.**

6. Commentary 7 to section 6.1 is changed by replacing the reference to "Paragraph 2(c)***" with "***Paragraph 2(d)***".***

7. Commentary 8 to section 6.1 is changed by replacing the reference to "paragraph 2(f)***" with "***paragraph 2(g)***".***

8. Commentary 9 to section 6.1 is changed by replacing the paragraph with the following:

*Subsection 2.1 sets expectations regarding the records of the investment fund must keep of its inter-fund trades made in reliance on this section. These records should comply with the recordkeeping requirements applicable to registered firms as set out in sections 11.5 and 11.6 of National Instrument 31-103 Registration Requirements, Exemptions and Ongoing Registrant Obligations.***.**

9. Commentary 1 to section 6.2 is changed

(a) by replacing "*mutual funds****" with "****investment funds****", and***

(b) by adding "*including investment funds that are not reporting issuers,****" after "****elsewhere in Canada,****".***

10. Commentary 2 to section 6.2 is changed by adding the following after the second paragraph:

*Funds that are not reporting issuers must appoint an IRC for the purpose of approving inter-fund trades in order to be eligible to rely upon the exemption. At a minimum, the IRC for the funds that are not reporting issuers must comply with sections 3.7 and 3.9 of the Instrument. It is up to the IRC and the manager to tailor the IRC's responsibilities for investment funds that are not reporting issuers beyond that.***.**

11. The following is added after section 6.3:

Commentary

1. This section is intended to relieve investment funds, including investment funds that are not reporting issuers, from the prohibitions in the securities legislation of each securities regulatory authority that preclude *investments in debt securities of related issuers that do not trade on an exchange. Because these securities do not trade on an exchange, paragraphs (2)(c) and (2)(d) impose alternative criteria to help ensure the investments occur at a fair and objective price.*

2. *This section sets out the minimum conditions for purchases to proceed without regulatory exemptive relief. An IRC may consider including in any approval any terms or conditions in prior exemptive relief orders, waivers or approvals obtained from the securities regulatory authorities. The CSA expect that the IRC may give its approval in the form of a standing instruction as described in section 5.4 to allow the manager greater flexibility in its decisions.*

   Funds that are not reporting issuers must appoint an IRC for the purpose of approving inter-fund trades in order to be eligible to rely upon the exemption. At a minimum, for the funds that are not reporting issuers, the IRC must comply with sections 3.7 and 3.9 of the Instrument. It is up to the IRC and the manager to tailor the IRC's responsibilities for investment funds that are not reporting issuers beyond that.

3. *The designated rating referred to in this section is the "designated rating" as defined in paragraph (b) of its definition in National Instrument 44-101 Short Form Prospectus Distributions. Fund managers should note that the definition of designated rating in paragraph (b) of National Instrument 44-101 Short Form Prospectus Distributions also identifies the specific Designated Rating Organizations that are contemplated for the purpose of determining the designated rating.*

4. *This section contemplates that the manager will comply with the applicable reporting requirements under securities legislation for each purchase. The filing referred to in subsection (3) should be filed on the SEDAR group profile number of the investment fund, as a continuous disclosure document.*

5. *If an IRC gives its approval for the investment fund to purchase securities of an issuer described in this section, and then subsequently withdraws its approval for additional purchases, the CSA will not consider the continued holding of the securities to be subject to paragraph 1.2(b) of the Instrument. However, we will expect the manager to consider whether continuing to hold those securities is a conflict of interest matter that paragraph 1.2(a) of the Instrument would require the manager to refer to the IRC.***.***

12. *The following is added after section 6.4:*

Commentary

1. *This section is intended to relieve investment funds, including investment funds that are not reporting issuers, from the prohibitions in the securities legislation of each securities regulatory authority that preclude investments in debt securities of related issuers under primary treasury*

offerings or distributions by those issuers. The additional conditions in this section to IRC approval are designed to mitigate the risk of the related issuer using the investment funds as captive financing vehicles and impose alternative criteria to help ensure the investments occur at a fair and objective price.

2. *This section sets out the minimum conditions for purchases to proceed without regulatory exemptive relief. An IRC may consider including in any approval any terms or conditions in prior exemptive relief orders, waivers or approvals obtained from the securities regulatory authorities. The CSA expect that the IRC may give its approval in the form of a standing instruction as described in section 5.4 to allow the manager greater flexibility in its decisions.*

   Funds that are not reporting issuers must appoint an IRC for the purpose of approving inter-fund trades in order to be eligible to rely upon the exemption. At a minimum, for the funds that are not reporting issuers, the IRC must comply with sections 3.7 and 3.9 of the Instrument. It is up to the IRC and the manager to tailor the IRC's responsibilities for investment funds that are not reporting issuers beyond that.

3. *The designated rating referred to in this section is the "designated rating" as defined in paragraph (b) of its definition in National Instrument 44-101 Short Form Prospectus Distributions. Fund managers should note that the definition of designated rating in paragraph (b) of National Instrument 44-101 Short Form Prospectus Distributions also identifies the specific Designated Rating Organizations that are contemplated for the purpose of determining the designated rating.*

4. *This section contemplates that the manager will comply with the applicable reporting requirements under securities legislation for each purchase. The filing referred to in subsection 6.4(2) should be filed on the SEDAR group profile number of the investment fund, as a continuous disclosure document.*

5. *If an IRC gives its approval for the investment fund to purchase securities of an issuer described in this section, and then subsequently withdraws its approval for additional purchases, the CSA will not consider the continued holding of the securities to be subject to paragraph 1.2(b) of the Instrument. However, we will expect the manager to consider whether continuing to hold those securities is a conflict of interest matter that paragraph 1.2(a) of the Instrument would require the manager to refer to the IRC.***.***

13. The following is added after the newly added section 6.5:

Commentary

1. *The term "inter-fund self-dealing investment prohibitions" is defined in section 1.5 of this Instrument. For the purposes of this section, it is intended to capture the prohibitions in the securities legislation and*

certain regulations of each securities regulatory authority regarding trades in securities between an investment fund or a managed account and a related dealer acting as principal for its own account.

This section is intended to relieve investment funds, including managed accounts and investment funds that are not reporting issuers, from the inter-fund self-dealing prohibitions in connection with principal trades in debt securities. Because debt securities do not generally trade on an exchange, the additional conditions in this section to IRC approval impose alternative criteria to help ensure the investments occur at a fair and objective price.

Paragraph 1(d) requires that the market quotations for the transactions be transparent. The CSA expect that if the price information is publicly available from a marketplace, newspaper or through a data vendor, for example, this will be the price. If the price is not publicly available, the CSA expect the investment fund to obtain at least one quote from an independent, arm's-length purchaser or seller, immediately before the purchase or sale.

2. This section sets out the minimum conditions for purchases to proceed without regulatory exemptive relief. An IRC may consider including in any approval any terms or conditions in prior exemptive relief orders, waivers or approvals obtained from the securities regulatory authorities. The CSA expect that the IRC may give its approval in the form of a standing instruction as described in section 5.4 to allow the manager greater flexibility in its decisions.

Funds that are not reporting issuers must appoint an IRC for the purpose of approving principal trades in debt securities in order to be eligible to rely upon the exemption. At a minimum, the IRC for the funds that are not reporting issuers must comply with sections 3.7 and 3.9 of the Instrument. It is up to the IRC and the manager to tailor the IRC's responsibilities for investment funds that are not reporting issuers beyond that. The portfolio manager or portfolio adviser of a managed account must obtain the authorization of its client to conduct principal trades with a related dealer in the investment management agreement in order to be eligible to rely upon the exemption.

3. Subsection (2) sets out the minimum expectations regarding the records an investment fund must keep of its trades made in reliance on this section. The records should be detailed and sufficient to establish a proper audit trail of the transactions..

14. Commentary 1 to section 7.2 is deleted.

15. The Commentary to section 8.2 is deleted.

16. These changes become effective on January 5, 2022.

AMENDMENTS TO NATIONAL INSTRUMENT 13-101 *SYSTEM FOR ELECTRONIC DOCUMENT ANALYSIS AND RETRIEVAL (SEDAR)*

(Securities Act)

Made as a rule by the Alberta Securities Commission on July 14, 2021 pursuant to sections 223 and 224 of the Securities Act.

AMENDMENTS TO NATIONAL INSTRUMENT 13-101 *SYSTEM FOR ELECTRONIC DOCUMENT ANALYSIS AND RETRIEVAL (SEDAR)*

1. National Instrument 13-101 System for Electronic Document Analysis and Retrieval (SEDAR) is amended by this Instrument.

2. Under the heading "Securities Offerings", Appendix A is amended by deleting "**, Annual Information Form**" wherever it occurs.

Transition

3. Before September 6, 2022, an investment fund is not required to comply with National Instrument 13-101 *System for Electronic Document Analysis and Retrieval (SEDAR)*, as amended by this Instrument, if the investment fund complies with

    (a) National Instrument 81-101 *Mutual Fund Prospectus Disclosure* as it was in force on January 5, 2022, and

    (b) National Instrument 13-101 *System for Electronic Document Analysis and Retrieval (SEDAR)* as it was in force on January 5, 2022.

Effective Date

4. (1) This Instrument comes into force on January 6, 2022.

    (2) In Saskatchewan, despite subsection (1), if this Instrument is filed with the Registrar of Regulations after January 6, 2022, this Instrument comes into force on the day on which it is filed with the Registrar of Regulations.

AMENDMENTS TO MULTILATERAL INSTRUMENT 13-102 *SYSTEM FEES FOR SEDAR AND NRD*

(Securities Act)

Made as a rule by the Alberta Securities Commission on July 14, 2021 pursuant to sections 223 and 224 of the Securities Act.

AMENDMENTS TO MULTILATERAL INSTRUMENT 13-102
SYSTEM FEES FOR SEDAR AND NRD

1. Multilateral Instrument 13-102 System Fees for SEDAR and NRD is amended by this Instrument.

2. The row in Appendix B corresponding to Item 3 is replaced with the following:

3	Investment fund issuers / securities offerings	Simplified prospectus and fund facts document (National Instrument 81-101 *Mutual Fund Prospectus Disclosure*)	$585.00, which applies in total to a combined filing, if one simplified prospectus is 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 simplified prospectus is used to qualify the investment fund securities of more than one investment fund for distribution

.

Transition

3. Before September 6, 2022, an investment fund is not required to comply with Multilateral Instrument 13-102 *System Fees for SEDAR and NRD*, as amended by this Instrument, if the investment fund complies with

(a) National Instrument 81-101 *Mutual Fund Prospectus Disclosure* as it was in force on January 5, 2022, and

(b) Multilateral Instrument 13-102 *System Fees for SEDAR and NRD* as it was in force on January 5, 2022.

Effective Date

4. (1) This Instrument comes into force on January 6, 2022.

(2) In Saskatchewan, despite subsection (1), if this Instrument is filed with the Registrar of Regulations after January 6, 2022, this Instrument comes into force on the day on which it is filed with the Registrar of Regulations.

AMENDMENTS TO
NATIONAL INSTRUMENT 31-103 *REGISTRATION REQUIREMENTS, EXEMPTIONS AND ONGOING REGISTRANT OBLIGATIONS*

(Securities Act)

Made as a rule by the Alberta Securities Commission on July 14, 2021 pursuant to sections 223 and 224 of the Securities Act.

AMENDMENT TO
NATIONAL INSTRUMENT 31-103 *REGISTRATION REQUIREMENTS, EXEMPTIONS AND ONGOING REGISTRANT OBLIGATIONS*

1. National Instrument 31-103 Registration Requirements, Exemptions and Ongoing Registrant Obligations is amended by this Instrument.

***2. In Section 1.1, the definition of* "designated rating" *is replaced with the following*:**

"designated rating" has the same meaning as in National Instrument 81-102 *Investment Funds*;**.**

Effective Date

3. (1) This Instrument comes into force on January 5, 2022.

(2) In Saskatchewan, despite subsection (1), if this Instrument is filed with the Registrar of Regulations after January 5, 2022, this Instrument comes into force on the day on which it is filed with the Registrar of Regulations.

AMENDMENTS TO
NATIONAL INSTRUMENT 45-106 *PROSPECTUS EXEMPTIONS*

(Securities Act)

Made as a rule by the Alberta Securities Commission on July 14, 2021 pursuant to sections 223 and 224 of the Securities Act.

AMENDMENT TO
NATIONAL INSTRUMENT 45-106 *PROSPECTUS EXEMPTIONS*

1. National Instrument 45-106 Prospectus Exemptions is amended by this Instrument.

2. In Section 1.1, the definition of* "designated rating*" is replaced with the following:

"**designated rating**" has the same meaning as in National Instrument 81-102 *Investment Funds*;**.**

Effective Date

3. (1) This Instrument comes into force on January 5, 2022.

(2) In Saskatchewan, despite subsection (1), if this Instrument is filed with the Registrar of Regulations after January 5, 2022, this Instrument comes into force on the day on which it is filed with the Registrar of Regulations.

Workers' Compensation Board

2022 Premium Rates
Sector Index

(Workers' Compensation Act)

Rate Group	Industry	Industry Title	2022 Premium Rate	Notes
		Agriculture and Forestry		
012100		***Large Animal Producers/Handlers***	***$3.13***	
	01200	Beef Producers	$3.13	Standard Pricing
	01201	Feed Lots	$3.13	ICP-Cost Relief Waived
	01202	Livestock Auctions/Stockyards	$3.13	ICP-Cost Relief Waived
	01203	Dairy Farms	$3.13	Standard Pricing
	01204	Elk/Bison Producers	$3.13	Standard Pricing
	01205	Llama/Alpaca Producers	$3.13	Standard Pricing
	01206	Riding Academies/Horse Stables	$3.13	Standard Pricing
014100		***Small Animal Producers/Handlers***	***$1.84***	
	01400	Hog Producers	$1.84	Standard Pricing
	01401	Poultry/Egg Producers	$1.84	Standard Pricing
	01402	Goat/Sheep Producers	$1.84	Standard Pricing
	01403	Fishing/Fish or Fur Farms	$1.84	ICP-Cost Relief Waived
	01404	Apiaries	$1.84	ICP-Cost Relief Waived
016100		***Crop Production***	***$2.37***	
	01600	Hay/Grain/Crop Farming	$2.37	Standard Pricing
	01601	Harvesting/Baling - Custom	$2.37	Standard Pricing
	01602	Forage/Peat Moss Processing	$2.37	Standard Pricing
018100		***Greenhouses and Other Related Farming***	***$1.79***	
	01800	Greenhouses/Market Gardens	$1.79	ICP-Cost Relief Waived
	01801	Mushroom Producers/Bait Farms	$1.79	ICP-Cost Relief Waived
	01802	Agri-Tourism Farms	$1.79	Standard Pricing
041100		***Logging Operations/Timber Management***	***$3.14***	
	03100	Logging/Woodland Operations	$3.14	Standard Pricing
	03902	Timber Management	$3.14	Standard Pricing

Mining and Petroleum Development				
063201		***Mining/Cement and Lime - Mfg***	***$2.24***	
	06110	Mining/Overburden Removal	$2.24	Standard Pricing
	34101	Cement/Lime including Quarrying - Mfg	$2.24	Standard Pricing
071100		***Oil and Gas Producers***	***$0.63***	
	06300	Upstream Oil/Gas	$0.70	ICP-Experience Rating; Energy Safety Canada Member
	06305	Field Production Operators	$0.70	Standard Pricing; Energy Safety Canada Member
	06601	Heavy Oil/Oil Sands - Research/Development	$0.59	ICP-Cost Relief Waived
	51500	Pipeline Cleaning	$0.59	ICP-Cost Relief Waived
	51501	Oil/Gas Pipeline Transmission	$0.67	ICP-Experience Rating; Energy Safety Canada Member; Occupational Health and Safety Not Applicable
	73702	Land/Permit Man Services	$0.59	ICP-Cost Relief Waived
071200		***Oil Sands/Salt Mining Operations***	***$0.48***	
	06600	Oil Sands Operations	$0.55	Standard Pricing; Energy Safety Canada Member
	07700	Salt - Mine/Refine	$0.47	ICP-Cost Relief Waived
091100		***Drilling/Well Casing Operations***	***$3.29***	
	09600	Oil/Gas Well Drilling	$3.36	Standard Pricing; Energy Safety Canada Member
	09915	Well Casing Services	$3.38	Standard Pricing; Energy Safety Canada Member; Petroleum Services Association of Canada Member

091101		***Well Servicing with Rigs***	***$2.64***	
	09903	Well Servicing with Service Rigs	$2.71	Standard Pricing; Energy Safety Canada Member
091200		***Seismic Exploration Services***	***$0.68***	
	09200	Seismic Survey	$1.04	ICP-Cost Relief Waived; Energy Safety Canada Member; Canadian Association of Geophysical Contractors Member
091908		***Oilfield Services***	***$1.39***	
	09911	Oilfield Downhole Services	$1.48	Standard Pricing; Energy Safety Canada Member; Petroleum Services Association of Canada Member
	09921	Oilfield Christmas Tree Services	$1.48	Standard Pricing; Energy Safety Canada Member; Petroleum Services Association of Canada Member
092101		***Specialty Drilling Services***	***$2.48***	
	09201	Shot Hole Drilling	$2.97	ICP-Cost Relief Waived; Energy Safety Canada Member; Canadian Association of Geophysical Contractors Member
	09904	Rathole/Rig Anchor Drilling	$2.60	Standard Pricing; Energy Safety Canada Member; Petroleum Services Association of Canada Member
	42103	Horizontal/Angular Boring	$2.53	ICP-Cost Relief Waived; Alberta Construction Safety Association Member
	42130	Water Well/Deep Core Drilling	$2.48	Standard Pricing

	42150	Soil Samples - Procurement	$2.47	ICP-Cost Relief Waived
429915		***Industrial Cleaning Services***	***$2.24***	
	06306	Wet/Dry Vacuum Removal	$2.30	ICP-Cost Relief Waived; Energy Safety Canada Member
	09902	Mobile Pressure Cleaning Services	$2.22	ICP-Cost Relief and Experience Rating
	09927	Mobile Oilfield Waste Treatment Services	$2.30	ICP-Cost Relief Waived; Energy Safety Canada Member

Manufacturing, Processing and Packaging

101100		***Meat/Poultry Operations***	***$2.86***	
	01103	Poultry Loading Services	$2.85	ICP-Cost Relief Waived
	10100	Meat Processing	$2.85	ICP-Cost Relief and Experience Rating
	10104	Rendering Plants	$2.85	ICP-Cost Relief and Experience Rating
107200		***Food/Beverage Processing***	***$1.45***	
	02101	Seed Cleaning Plants	$1.35	ICP-Cost Relief Waived; Occupational Health and Safety Not Applicable
	10500	Dairy/Fruit Juice Processing	$1.45	Standard Pricing
	12301	Feed Mills	$1.35	ICP-Cost Relief Waived; Occupational Health and Safety Not Applicable
	12400	Flour Mills	$1.39	Standard Pricing; Occupational Health and Safety Not Applicable
	12900	Bakeries/Pasta - Mfg	$1.45	Standard Pricing
	13100	Food Processing - Miscellaneous	$1.41	ICP-Cost Relief Waived
	13500	Vegetable Oils/Beet Sugar Processing	$1.45	Standard Pricing
	13900	Malt - Mfg	$1.41	ICP-Cost Relief Waived

	13905	Vegetables - Process/Grade	$1.45	Standard Pricing
	14100	Soft Drinks/Water/Ice - Mfg	$1.45	Standard Pricing
	14300	Liquor/Wine - Mfg	$1.45	Standard Pricing
	14500	Breweries	$1.45	Standard Pricing
	37402	Medicine/Vitamins - Mfg	$1.45	Standard Pricing
169903		***Metal/Plastic Products***	***$2.02***	
	37301	Plastic Products/Metal Extrusion - Mfg	$2.01	ICP-Cost Relief Waived
251200		***Sawmills/Timber Services***	***$1.65***	
	25100	Sawmills/Planing Mills	$1.65	Standard Pricing
	25900	Posts - Peel/Point	$1.63	ICP-Cost Relief Waived
	25901	Timber Treating	$1.65	Standard Pricing
254902		***Carpentry/Wood Products***	***$2.68***	
	25401	Wood Products - Mfg	$2.68	Standard Pricing
	26101	Furniture - Mfg/Repair	$2.64	ICP-Cost Relief Waived
	42133	Cabinets/Counters - Assemble/Install	$2.74	Standard Pricing; Alberta Construction Safety Association Member
	42147	Finishing Carpentry	$2.74	Standard Pricing; Alberta Construction Safety Association Member
271100		***Pulp Mills***	***$0.66***	
	27102	Pulp Mills	$0.66	Standard Pricing
271401		***Panelboard***	***$0.98***	
	27103	Panelboard - Mfg	$0.98	Standard Pricing
273100		***Packaging Products (Cardboard, etc.)***	***$0.59***	
	27300	Cardboard Box/Tubing/Bag - Mfg	$0.59	Standard Pricing
279200		***Small Product Assembly/Fabric Goods Mfg***	***$0.50***	
	16900	Rubber Stamps/Stencils/Vinyl Goods - Mfg	$0.48	ICP-Cost Relief Waived
	21300	Rope/Carpet - Mfg/Repair	$0.61	ICP-Cost Relief Waived
	22901	Drapes/Linens - Mfg/Repair/Install	$0.64	Standard Pricing
	24900	Clothing/Leather Good - Mfg/Repair	$0.61	ICP-Cost Relief Waived
	33902	Electrical Components - Mfg	$0.48	ICP-Cost Relief Waived

	38100	Instrumentation - Mfg	$0.48	ICP-Cost Relief Waived
	38200	Jewelry - Mfg	$0.48	ICP-Cost Relief Waived
	38201	Lapidary Services	$0.48	ICP-Cost Relief Waived
	39300	Sporting Equipment/Brooms - Mfg	$0.48	ICP-Cost Relief Waived
	39901	Picture Frame/Case/Casket - Mfg	$0.64	Standard Pricing
	69903	Pottery - Mfg	$0.50	Standard Pricing
	86201	Window/Store Display Ad Services	$0.61	ICP-Cost Relief Waived
	89916	Taxidermists	$0.48	ICP-Cost Relief Waived
281901		***Advertising/Printing***	***$0.83***	
	27402	Electronic/Photographic Printing	$0.82	ICP-Cost Relief Waived
	28600	Printing/Book Binding	$0.83	Standard Pricing
	28603	Signs/Advertising Displays - Mfg	$0.82	ICP-Cost Relief Waived
	28900	Publishing	$0.82	ICP-Cost Relief Waived
	86202	Newspaper/Flyer Distribution	$0.82	ICP-Cost Relief Waived
292100		***Steel Pipe/Products***	***$1.63***	
	29200	Steel Pipe - Mfg	$1.63	Standard Pricing
	62500	Steel Service Centre - No Salvage	$1.60	ICP-Cost Relief Waived; Manufacturers Health and Safety Association Member
303900		***Steel/Metal Products***	***$1.99***	
	26401	Metal Furniture - Mfg	$1.96	ICP-Cost Relief Waived
	29100	Steel excluding Foundries - Mfg	$1.99	Standard Pricing
	30100	Steel/Metal Fabrication	$2.08	ICP-Experience Rating; Manufacturers Health and Safety Association Member
	30407	Manufactured Products - Coating/Heat Treating	$1.96	ICP-Cost Relief Waived
	33606	Industrial Electric Equipment - Mfg	$1.96	ICP-Cost Relief Waived

	89401	Welding	$2.04	Standard Pricing; Alberta Construction Safety Association Member
304900		***Sheet Metal Shops and Equipment***	***$1.55***	
	30412	Sheet Metal Shops	$1.55	Standard Pricing
	30700	Heat/Cooling Equipment - Mfg	$1.53	ICP-Cost Relief and Experience Rating
	33602	Switchboard/Electrical Panel - Mfg	$1.55	ICP-Experience Rating
308101		***Machining/Coating Services***	***$0.89***	
	30403	Metal/Porcelain Products - Coating	$0.86	ICP-Cost Relief Waived
	30801	Machining	$0.89	Standard Pricing
354900		***Foundries/Building Products***	***$2.00***	
	16901	Tires/Rubber Products - Mfg	$2.00	Standard Pricing
	27200	Asphalt Roofing Products - Mfg	$2.00	Standard Pricing
	29102	Iron/Steel Foundries	$1.94	ICP-Cost Relief Waived
	29700	Ferrous Free Metal Foundries	$2.00	Standard Pricing
	34500	Gypsum/Clay Products - Mfg	$1.94	ICP-Cost Relief Waived
	34700	Concrete Products - Mfg	$2.00	Standard Pricing
	35401	Fibreglass Insulation - Mfg	$1.94	ICP-Cost Relief Waived
	38500	Fibreglass/Artificial Stone Products - Mfg	$2.00	Standard Pricing
355100		***Transit Mix Operations***	***$2.28***	
	34800	Transit Mix Operations	$2.33	Standard Pricing; Alberta Construction Safety Association Member
371100		***Petrochemicals/Refineries***	***$0.83***	
	06501	Sulphur Process	$0.92	Standard Pricing; Energy Safety Canada Member; Petroleum Services Association of Canada Member
	36500	Refining Crude Oil	$0.90	ICP-Experience Rating; Energy Safety Canada Member

	36502	Oilfield/Industrial Hazardous Waste Management	$0.90	Standard Pricing; Energy Safety Canada Member
	37801	Petrochemicals - Mfg	$0.79	ICP-Cost Relief and Experience Rating
397101		***Fabric Goods/Outdoor Advertising***	***$1.23***	
	22101	Awnings/Tents/Tarps - Mfg/Repair	$1.22	ICP-Cost Relief Waived
	39701	Outdoor Advertising	$1.22	ICP-Cost Relief Waived
579900		***Compressors/Power Units***	***$0.62***	
	16902	Industrial Belting - Install/Service	$0.62	Standard Pricing
	62304	Compressors/Power Unit - Mfg	$0.62	Standard Pricing
		Construction and Construction Trade Services		
411901		***Industrial/Commercial Construction***	***$1.69***	
	06304	Oilfield Maintenance/Construction	$1.76	Standard Pricing; Energy Safety Canada Member
	40400	Industrial/Commercial Construction	$1.72	Standard Pricing; Alberta Construction Safety Association Member
	42105	Sheet/Metal Structures - Erect	$1.72	Standard Pricing; Alberta Construction Safety Association Member
	42106	Structural Steel - Erect	$1.72	Standard Pricing; Alberta Construction Safety Association Member
	42109	Heavy Machine/Equipment - Install/Service	$1.72	Standard Pricing; Alberta Construction Safety Association Member
	42129	Industrial Plant Maintenance	$1.72	ICP-Experience Rating; Alberta Construction Safety Association Member

	42156	Storage Tanks - Erect/Dismantle	$1.72	ICP-Experience Rating; Alberta Construction Safety Association Member
	42161	Precast Concrete - Erect	$1.72	Standard Pricing; Alberta Construction Safety Association Member
	42184	Mechanical Insulation - Install/Service	$1.72	Standard Pricing; Alberta Construction Safety Association Member
	89928	Scaffold/Cranes - Rental/Erect	$1.72	ICP-Experience Rating; Alberta Construction Safety Association Member
411905		***Residential General Contractor***	***$1.32***	
	40405	Residential General Contractor	$1.35	Standard Pricing; Alberta Construction Safety Association Member
421501		***Mobile Equipment Operations***	***$1.91***	
	01904	Tree/Shrub Nurseries	$1.87	ICP-Cost Relief Waived
	01905	Sod Growers	$1.91	Standard Pricing
	02100	Landscaping	$1.95	Standard Pricing; Alberta Construction Safety Association Member
	02103	Lawn Maintenance	$1.87	ICP-Cost Relief Waived
	02105	Feed Lot/Corral Cleaning	$1.87	ICP-Cost Relief Waived
	02200	Right-of-Way Maintenance	$1.95	Standard Pricing; Alberta Construction Safety Association Member

	40602	Paving/Surfacing	$1.95	Standard Pricing; Alberta Construction Safety Association Member
	40604	Mobile Equipment Operation	$1.95	Standard Pricing; Alberta Construction Safety Association Member
	40901	Power Line - Construct/Remove	$1.91	ICP-Cost Relief Waived; Alberta Construction Safety Association Member
	40905	Pipeline Construction	$1.91	ICP-Cost Relief Waived; Alberta Construction Safety Association Member
422902		***Construction Trade/Wood Framing Services***	***$5.20***	
	40401	Construction Trade Services	$5.31	Standard Pricing; Alberta Construction Safety Association Member
	42143	Construction Framing Contractor	$5.31	Standard Pricing; Alberta Construction Safety Association Member
423100		***Concrete Construction***	***$3.85***	
	42102	Brick/Masonry Contracting	$3.94	Standard Pricing; Alberta Construction Safety Association Member
	42104	Concrete Construction	$3.94	Standard Pricing; Alberta Construction Safety Association Member
	42158	Refractory Linings - Sell/Install	$3.85	Standard Pricing

	42159	Caisson Operations	$3.94	ICP-Experience Rating; Alberta Construction Safety Association Member
423300		***Doors/Windows - Mfg/Install***	***$2.95***	
	30302	Overhead Doors - Install/Repair	$3.00	Standard Pricing; Alberta Construction Safety Association Member
	42121	Doors/Windows - Mfg/Install	$3.00	ICP-Experience Rating; Alberta Construction Safety Association Member
423500		***Exterior Construction Services - Fabrication/Install***	***$4.98***	
	42118	Roofing	$5.07	Standard Pricing; Alberta Construction Safety Association Member
	42151	Siding/Eavestrough - Fabricate/Install	$5.07	Standard Pricing; Alberta Construction Safety Association Member
426100		***Mechanical Contracting Services***	***$1.65***	
	31507	Dust Suppression Systems	$1.62	ICP-Cost Relief Waived
	31508	Overhead Cranes - Service	$1.69	Standard Pricing; Alberta Construction Safety Association Member
	42110	Elevators/Escalators - Install/Service	$1.69	Standard Pricing; Alberta Construction Safety Association Member
	42117	Heating Systems - Fabricate/Install	$1.69	Standard Pricing; Alberta Construction Safety Association Member

	42122	Mechanical Contracting	$1.69	ICP-Experience Rating; Alberta Construction Safety Association Member
	42124	Electric Wiring	$1.69	Standard Pricing; Alberta Construction Safety Association Member
	42128	TV/Radio Antennae - Install	$1.65	Standard Pricing
	42144	Fire Sprinklers - Install/Service	$1.66	ICP-Cost Relief Waived; Alberta Construction Safety Association Member
	89600	Refrigeration Equipment - Sales/Service	$1.69	Standard Pricing; Alberta Construction Safety Association Member
	89605	Service Station Equipment - Sales/Service	$1.66	ICP-Cost Relief Waived; Alberta Construction Safety Association Member
427200		***Drywall/Stucco - Sales/Service***	***$4.28***	
	42135	Drywall/Plaster/Stucco/etc.	$4.36	Standard Pricing; Alberta Construction Safety Association Member
	42141	Acoustic Materials - Sales/Install	$4.36	Standard Pricing; Alberta Construction Safety Association Member
427501		***Painting/Coatings - Residential/Industrial***	***$3.87***	
	42111	Painting/Decorating	$3.95	Standard Pricing; Alberta Construction Safety Association Member

	42120	Sand Blasting	$3.95	Standard Pricing; Alberta Construction Safety Association Member
	42139	Industrial Coating Services	$3.95	Standard Pricing; Alberta Construction Safety Association Member
427800		***Flooring/Tile - Sales/Install***	***$3.13***	
	42113	Tile/Terrazzo - Sales/Install	$3.20	Standard Pricing; Alberta Construction Safety Association Member
	42125	Floor Coverings - Sales/Install	$3.20	Standard Pricing; Alberta Construction Safety Association Member
429201		***Electronic Equipment/Metal Products***	***$0.82***	
	31501	Light Metal Products - Assemble/Install	$0.82	Standard Pricing
	35301	Monument/Tombstone Dealers	$0.79	ICP-Cost Relief Waived
	42131	Vacuum Systems - Assemble/Install	$0.79	ICP-Cost Relief Waived
	42160	Electronic Equipment - Sales/Service	$0.79	ICP-Cost Relief Waived
429800		***Staffing Services - Labour***	***$2.75***	
	86911	Staffing Services - Labour	$2.81	Standard Pricing; Alberta Construction Safety Association Member
429930		***Testing/Inspection Services***	***$0.58***	
	40907	Power Poles - Test/Preserve	$0.57	ICP-Cost Relief Waived
	51502	NDT Testing including Visual Inspection	$0.65	ICP-Experience Rating; Energy Safety Canada Member; Petroleum Services Association of Canada Member

	51503	Oil/Gas Meters - Inspect/Test	$0.55	ICP-Cost Relief Waived; Occupational Health and Safety Not Applicable
	51504	Cathodic Protection Service	$0.57	Standard Pricing; Alberta Construction Safety Association Member; Occupational Health and Safety Not Applicable
	51506	Quality Control Services - Construction	$0.58	Standard Pricing
	86403	Research/Material Testing Labs	$0.57	ICP-Cost Relief Waived
	86413	Heat/Air Systems - Test	$0.57	ICP-Cost Relief Waived
	86922	Visual Inspection Services	$0.58	Standard Pricing
775909		***Land Surveying***	***$0.58***	
	86401	Land/General Survey	$0.57	ICP-Cost Relief Waived
		Transportation, Communication and Utilities		
451100		***Flight/Air Service Operations***	***$1.23***	
	50100	Air Service - Scheduled Commercial	$1.18	Standard Pricing; Occupational Health and Safety Not Applicable
	50104	Air Service - Regular/Charter	$1.14	ICP-Cost Relief Waived; Occupational Health and Safety Not Applicable
	50107	Helicopter Service	$1.14	ICP-Cost Relief Waived; Occupational Health and Safety Not Applicable
	50200	Aircraft - Ground Support Services	$1.18	Standard Pricing; Occupational Health and Safety Not Applicable

	50203	Flight Operations - Miscellaneous	$1.14	ICP-Cost Relief Waived; Occupational Health and Safety Not Applicable
453100		***Railway Transportation Services***	***$1.01***	
	50607	Railway Transportation Service	$0.96	ICP-Cost Relief Waived; Occupational Health and Safety Not Applicable
456100		***Specialized Trucking***	***$2.79***	
	42155	Move Buildings	$2.85	Standard Pricing; Alberta Construction Safety Association Member
	50701	Specialized Trucking	$2.71	ICP-Cost Relief and Experience Rating; Alberta Motor Transport Association Member; Occupational Health and Safety Not Applicable
	50720	Oilfield Trucking	$2.76	ICP-Experience Rating; Energy Safety Canada Member; Petroleum Services Association of Canada Member; Occupational Health and Safety Not Applicable
456102		***General Trucking***	***$4.35***	
	50714	General Trucking	$4.35	ICP-Experience Rating; Alberta Motor Transport Association Member; Occupational Health and Safety Not Applicable

457200		***Road Transportation Services***	***$2.70***	
	50800	Bus Lines	$2.60	ICP-Experience Rating; Occupational Health and Safety Not Applicable
	50802	Bus Depots	$2.64	ICP-Cost Relief Waived
	51200	Taxi Cabs/Limousine Service	$2.64	ICP-Cost Relief Waived
457300		***School Bus Operations***	***$2.60***	
	50801	School Bus	$2.59	ICP-Cost Relief Waived
479901		***Public Warehousing***	***$1.64***	
	51705	Packing/Crating - Custom	$1.60	ICP-Cost Relief Waived
	52700	Public Warehousing	$1.64	Standard Pricing
481300		***Media/Arts - Production/Distribution***	***$0.89***	
	54300	Radio/TV Stations	$0.83	ICP-Cost Relief and Experience Rating; Occupational Health and Safety Not Applicable
	85100	Movie Theatres	$0.87	ICP-Cost Relief Waived
	85907	Film Production including Performers	$0.89	Standard Pricing
	85918	Live Theatres/Ballet	$0.87	ICP-Cost Relief Waived
	85934	Alliance Theatre Trust Funds	$0.89	Standard Pricing
482102		***Telecommunication Services***	***$0.45***	
	54301	Closed Circuit TV/Cablevision	$0.43	Standard Pricing; Occupational Health and Safety Not Applicable
	54501	Telecommunication Systems	$0.42	ICP-Cost Relief Waived; Occupational Health and Safety Not Applicable
491100		***Utility Services - Gas/Electric***	***$0.48***	
	57400	Utilities - Electric/Natural Gas	$0.48	ICP-Experience Rating

499900		***Waste Management Services/ Salvage Dealers***	***$2.75***	
	27400	Waste - Recycle/Salvage/Reclaim	$2.70	ICP-Cost Relief Waived
	57901	Garbage Collection/Disposal	$2.86	Standard Pricing; Alberta Motor Transport Association Member
	62700	Scrap/Salvage Dealers	$2.70	ICP-Cost Relief Waived
	65402	Towing Auto Vehicles	$2.70	ICP-Cost Relief Waived
		Wholesale and Retail		
563100		***Home Improvement/Garden Centres***	***$1.67***	
	25403	Home Improvement Centres	$1.67	Standard Pricing
	62908	Garden Supply Centre	$1.64	ICP-Cost Relief Waived
571100		***Farm Equipment Dealers***	***$1.41***	
	62200	Farm Implement Dealers	$1.40	ICP-Cost Relief Waived
571105		***Machinery/Safety Equipment - Sales/Service***	***$0.99***	
	62302	Machinery/Equipment - Sales/Service	$1.00	ICP-Cost Relief Waived; Alberta Construction Safety Association Member
	86905	Safety Equipment - Sales/Rental	$0.98	ICP-Cost Relief Waived
572100		***Mobile Equipment - Sales/Rentals/Service***	***$1.29***	
	62201	Mobile Equipment Dealers	$1.29	ICP-Experience Rating
572102		***Industrial/Oilfield Equipment Rentals***	***$0.66***	
	89910	Industrial/Oilfield Equipment - Rental	$0.66	Standard Pricing
572203		***Industrial Supply Stores/ Chemical Products***	***$0.45***	
	37902	Chemical Products - Package/Distribute	$0.44	ICP-Cost Relief Waived

	62303	Industrial Supply Stores	$0.44	ICP-Cost Relief Waived
601100		***Food/Alcohol - Distribution/Sales***	***$1.46***	
	63100	Food/Convenience Stores	$1.46	Standard Pricing
	63103	Home Provisioner/Butcher Shops	$1.46	Standard Pricing
	63105	Liquor/Wine/Beer Sales Outlets	$1.46	Standard Pricing
	65406	Gas Bars/Car Wash, Retail - No Servicing	$1.46	Standard Pricing
	69916	Wholesale Food Distribution	$1.46	Standard Pricing
614101		***Specialty Retail/Drug Stores***	***$0.48***	
	62903	Sales Operations	$0.47	ICP-Cost Relief Waived
	66900	Clothing/Shoe Stores	$0.48	Standard Pricing
	68100	Drug Stores	$0.48	Standard Pricing
	69904	Retail Specialty Stores	$0.48	Standard Pricing
	89100	Travelling Sales/Mfg Agents	$0.48	Standard Pricing
621102		***Office/Business Equipment - Sales/Service***	***$0.32***	
	33901	Medical Equipment - Sales/Service	$0.29	ICP-Cost Relief Waived
	62300	Office Equipment - Sales/Service	$0.29	ICP-Cost Relief Waived
	67602	Entertainment Equipment - Sales/Service	$0.32	Standard Pricing
631100		***Automotive Dealers***	***$1.05***	
	65600	Auto Dealers	$1.05	ICP-Experience Rating
632901		***Recreational Vehicles - Sales/Rentals/Service***	***$1.55***	
	69912	Trailers - Sales/Rental with Service	$1.52	ICP-Cost Relief Waived
	69915	Sport Vehicles - Sales/Service	$1.55	Standard Pricing
	89922	Industrial Camp Trailers - Rental	$1.55	Standard Pricing
633104		***Petroleum/Propane Dealers***	***$1.24***	
	60800	Bulk Petroleum Dealers	$1.24	Standard Pricing
	69300	Propane Dealers	$1.24	Standard Pricing
635100		***Automotive Repairs/Service Stations***	***$2.21***	
	65400	Service Stations	$2.18	ICP-Cost Relief Waived
	65808	General Automotive Repairs/Auto Wreckers	$2.21	Standard Pricing

635200		***Automobile Body Repairs***	***$1.60***	
	65800	Automobile Body Repairs	$1.59	ICP-Cost Relief Waived
641100		***Department/General Store Operations***	***$1.33***	
	64200	Department/General Stores	$1.33	Standard Pricing
	67300	Hardware/Auto Parts Stores/etc.	$1.30	ICP-Cost Relief Waived
	67601	Furniture Stores	$1.30	ICP-Cost Relief Waived
	67604	Appliances - Sales/Service	$1.30	ICP-Cost Relief Waived
	69200	Florists - Wholesale/Retail	$1.30	ICP-Cost Relief Waived
	69901	Auctions	$1.30	ICP-Cost Relief Waived
	69914	Pet/Seed/Feed Stores	$1.30	ICP-Cost Relief Waived
	86909	Inventory Services	$1.33	Standard Pricing
	89908	Small Equipment/Appliances - Rental/Service	$1.33	Standard Pricing
661100		***Wholesale Distribution***	***$1.02***	
	62900	Wholesaling	$1.02	Standard Pricing
671100		***Grain/Seed Handling Operations***	***$0.89***	
	52400	Grain/Seed Handling Operations	$0.85	Standard Pricing; Occupational Health and Safety Not Applicable

Municipal Government, Education and Health Services

835104		***Municipal Services and Co-Operatives***	***$1.35***	
	57601	Irrigation/Drainage District	$1.35	Standard Pricing
	57602	Water Treatment/Distribution	$1.35	Standard Pricing
	82712	Fire Protection Co-operatives	$1.34	ICP-Cost Relief Waived
	95102	Municipal Districts	$1.37	ICP-Cost Relief Waived; Alberta Municipal Health and Safety Association Member

835105		***First Nations/Metis Settlements***	***$1.19***	
	95105	First Nations	$1.14	Standard Pricing; Occupational Health and Safety Not Applicable
	95108	Metis Settlements	$1.19	Standard Pricing
835106		***Cities/Towns/Villages***	***$1.74***	
	95100	Villages	$1.77	ICP-Cost Relief and Experience Rating; Alberta Municipal Health and Safety Association Member
	95101	Towns	$1.77	ICP-Cost Relief and Experience Rating; Alberta Municipal Health and Safety Association Member
	95104	Cities	$1.77	ICP-Cost Relief Waived; Alberta Municipal Health and Safety Association Member
851109		***School Boards/Schools***	***$0.99***	
	80102	School Boards	$0.99	Standard Pricing
	80105	Private/Independent Schools	$0.96	ICP-Cost Relief Waived
	80106	Kindergartens	$0.99	Standard Pricing
	89923	Driving/Testing Schools	$0.96	ICP-Cost Relief Waived
853100		***Post-Secondary/Safety Education***	***$0.38***	
	80103	Colleges	$0.38	ICP-Experience Rating
	80301	Specialty Schools - Professional/Personal	$0.37	ICP-Cost Relief Waived
	80311	Institutes of Technology	$0.37	ICP-Cost Relief and Experience Rating
	80500	Universities	$0.37	ICP-Cost Relief and Experience Rating

	80700	Library Boards	$0.37	ICP-Cost Relief Waived
	80701	Museums/Art Galleries	$0.37	ICP-Cost Relief Waived
	86927	Safety/First Aid Training	$0.38	Standard Pricing
861100		***Hospitals/Acute Care Centres***	***$1.17***	
	82100	Health Care Services - Alberta Health Services	$1.07	ICP-Cost Relief and Experience Rating
	82705	Health Care Services - Covenant Health	$1.14	ICP-Cost Relief Waived
	82710	Health Care Services - Other Providers	$1.17	Standard Pricing
862100		***Continuing Care and Support Services***	***$1.59***	
	82704	Home Support Services	$1.59	Standard Pricing
	82800	Seniors' Supportive Living/Lodges	$1.66	Standard Pricing; Continuing Care Safety Association Member
	82808	Continuing Care Facilities	$1.66	Standard Pricing; Continuing Care Safety Association Member
864100		***Child Care Services***	***$1.11***	
	82801	Day Homes/Day Care Centres	$1.11	Standard Pricing
	82812	Play Schools	$1.09	ICP-Cost Relief Waived
864700		***Disability Rehabilitation***	***$1.38***	
	82806	Disability Rehabilitation	$1.38	Standard Pricing
864900		***Community/Religious Services***	***$1.27***	
	83100	Churches/Religious Orders	$0.93	ICP-Cost Relief Waived
	85909	Friendship/Cultural Centres	$1.26	ICP-Cost Relief Waived
	87700	Funeral Services/Cemeteries	$0.93	ICP-Cost Relief Waived
	89925	Social/Community Support Services	$1.26	ICP-Cost Relief Waived
		Provincial Government		
820000		***Government of Alberta***	***$0.92***	
	93200	Government of Alberta	$0.92	Standard Pricing

Business, Personal and Professional Services				
759900		***Manufactured Home Parks/ Property Management***	***$0.81***	
	87500	Manufactured Home Parks	$0.80	ICP-Cost Relief Waived
	89702	Property Management/Hostels	$0.81	Standard Pricing
771201		***Financial/Business Services***	***$0.24***	
	52705	Document Storage/Exchange	$0.24	Standard Pricing
	70200	Banks/Financial Services	$0.22	ICP-Cost Relief and Experience Rating; Occupational Health and Safety Not Applicable
	73500	Real Estate Dealers/Land Develop	$0.23	ICP-Cost Relief Waived
	73501	Insurance Companies	$0.23	ICP-Cost Relief Waived
	85925	Travel Agency/Motor Association	$0.23	ICP-Cost Relief and Experience Rating
	86200	Advertising Agencies	$0.23	ICP-Cost Relief Waived
	86600	Legal Services	$0.24	Standard Pricing
	86901	Business Services	$0.24	Standard Pricing
	86902	Management Consultants	$0.24	Standard Pricing
	86906	Staffing Services - Clerical/Professional	$0.24	Standard Pricing
	86920	Personnel Recruitment Agencies	$0.23	ICP-Cost Relief Waived
	86921	Administer Out of Province Ops	$0.24	Standard Pricing
	89101	Professional/Trade/Charitable Associations	$0.23	ICP-Cost Relief Waived
	93109	Boards, Agencies, Commissions	$0.23	ICP-Cost Relief Waived
	93113	Boards, Agencies, Commissions (Voluntary)	$0.24	ICP-Experience Rating
775200		***Engineering/Earth Science Services***	***$0.15***	
	09900	Mud Logging Services	$0.24	Standard Pricing; Energy Safety Canada Member; Petroleum Services Association of Canada Member
	86400	Engineering	$0.15	Standard Pricing

	86405	Geophysical Survey excluding Seismic	$0.14	ICP-Cost Relief Waived
	86408	Waterfowl Preservation	$0.14	ICP-Cost Relief Waived
	86410	Map Making	$0.14	ICP-Cost Relief Waived and Experience Rating
	86414	Geological/Environmental Consulting	$0.14	ICP-Cost Relief Waived
	86913	Software/Architects/Design	$0.14	ICP-Cost Relief Waived
	89927	Archaeological Survey	$0.14	ICP-Cost Relief Waived
779104		***Security/Investigative Services***	***$1.43***	
	89902	Security Services/Industrial Patrols	$1.37	ICP-Experience Rating; Occupational Health and Safety Not Applicable
	89913	Commissionaires/Armoured Car Services	$1.43	ICP-Experience Rating
	89924	Investigative Services	$1.40	ICP-Cost Relief Waived
863500		***Personal Care and Medical Clinics***	***$0.40***	
	02104	Animal Health Services	$0.39	ICP-Cost Relief Waived
	82500	Private Medical/Physiotherapy Centres	$0.40	Standard Pricing
	82700	Health Related Products - Mfg	$0.39	ICP-Cost Relief Waived
	82701	Health/Allied Services - Miscellaneous	$0.39	ICP-Cost Relief Waived
	87200	Beauty/Barber Shops and Schools	$0.49	Standard Pricing
921401		***Industrial Camp Catering***	***$2.40***	
	87505	Industrial Camp Catering	$2.40	ICP-Experience Rating
965301		***Hospitality/Outdoor Recreational Services***	***$0.90***	
	85900	Golf Clubs/Ranges	$0.88	ICP-Cost Relief Waived
	85904	Ski Resorts/Gondolas	$0.90	Standard Pricing
	87501	Restaurants/Catering	$0.90	Standard Pricing
	87503	Hotels/Convention Centres	$0.94	Standard Pricing; Alberta Hospitality Safety Association Member

	87600	Sports and Recreation	$0.90	Standard Pricing
	87603	Youth/Religious Camps	$0.88	ICP-Cost Relief Waived
969905		***Recreation Facilities/Pet Services***	***$1.35***	
	02116	Animal Shelters/Pounds	$1.32	ICP-Cost Relief Waived
	02117	Kennels/Pet Grooming	$1.35	Standard Pricing
	51701	Parking Facilities/Storage Garages	$1.35	Standard Pricing
	80703	Zoos/Game Farms	$1.32	ICP-Cost Relief Waived
	85300	Bowling Alleys/Billiard Parlours	$1.32	ICP-Cost Relief Waived
	85901	Community Associations/Facilities	$1.32	ICP-Cost Relief Waived
	85916	Casinos/Dance Halls	$1.35	Standard Pricing
	85919	Arenas/Stadiums	$1.35	Standard Pricing
	85922	Arcades	$1.32	ICP-Cost Relief Waived
	87508	Private Clubs	$1.32	ICP-Cost Relief Waived
	89901	Exhibition Associations	$1.32	ICP-Cost Relief and Experience Rating
	89907	Tennis/Squash/Rock Climbing Facilities	$1.35	Standard Pricing
995302		***Laundry/Cleaning Services***	***$1.74***	
	87300	Domestic Help - Homeowner Only	$1.74	Standard Pricing
	87400	Commercial Laundries	$1.74	Standard Pricing
	87401	Dry Cleaners	$1.71	ICP-Cost Relief Waived
	87402	Coin Operated Laundromats	$1.71	ICP-Cost Relief Waived
	89701	Janitorial/Cleaning Services	$1.74	Standard Pricing
	89703	Exterior High Rise Window Cleaning	$1.74	Standard Pricing
	89704	Fumigating	$1.74	Standard Pricing
	89705	Furnace Cleaning Services	$1.71	ICP-Cost Relief Waived

ADVERTISEMENTS

Horse Racing Alberta

(Horse Racing Alberta Act)

Directive No. 187 - 2021
All Breeds

The Rules Governing Horse Racing in Alberta are AMENDED as follows:

Chapter 4: Transition, Repeal and Coming into Force

The following rules are AMENDED to read:

Rule 476 g Transitional from racing rules

(1) In this section, "former rules" means the Horse Racing Rules published in the Alberta Gazette dated May 1, 2013 and thereafter from time to time, including any directive so published prior to the date of coming into force as noted in section 479.

(2) Appointments made, approvals given, and authorizations given under the former rules that are in effect when these rules come into effect continue as if the appointments had been made and approvals and authorizations given under these rules.

(3) An action taken or decision made under the former rules having continuing effect continues under these rules as if made under these rules, unless subsection (4) applies.

(4) Any appeal based on a decision made under the former rules that has not been heard or concluded when these rules come into force is to be continued to its conclusion as if the former rules had remained in force and these rules had not come into force.

(5) A decision made or penalty imposed the former rules has the same effect as if it had been made under these rules.

Rule 477 g Transitional from former licensing rules

(1) In this section, "former rules" means *the Horse Racing (Officials and Participants) Licensing Rules* published in the Alberta Gazette dated May 1, 2013 and thereafter from time to time, including any directive so published prior to the date of coming into force as noted in section 479.

(2) Licences held by a person under the former rules when these rules come into force are continued and have the same effect as if issued under these rules.

(3) A person appointed to a position under the former rules and who holds that position when these rules come into force continues to hold that position as if they had been appointed under these rules.

(4) *Judges boards and *stewards boards that exist under the former rules when these rules come into force continue as *judges boards and *stewards boards under these rules as if they had been appointed under these rules.

(5) An action taken or decision made under the former rules that has continuing effect is considered to be an action taken or decision made under these rules, unless subsection (6) applies.

(6) Any appeal based on a decision made under the former rules that has not been heard or concluded when these rules come into force is to be continued to its conclusion as if the former rules had remained in force and these rules had not come into force.

(7) A decision made or sanction imposed the former rules has the same effect as if it had been made under these rules.

Rule 478 g Repeal of former rules

(1) Any Horse Racing Rules or *Horse Racing (Officials and Participants) Licensing Rules* published in the Alberta Gazette prior to the within Rules and/or those coming into force on May 1, 2013.

(2) The repeal described in subsection (1) is subject to the application of section 476(4) and section 477(6), if they apply.

Rule 479 g Coming into force

These rules come into force on January 1, 2022.

Chapter 4: Transition, Repeal and Coming into Force previously stated:

Rule 476 g Transitional from racing rules

(1) In this section, “former rules” means the Horse Racing Rules published in the Alberta Gazette dated March 31, 2004, as amended.

(2) Appointments made, approvals given, and authorizations given under the former rules that are in effect when these rules come into effect continue as if the appointments had been made and approvals and authorizations given under these rules.

(3) An action taken or decision made under the former rules having continuing effect continues under these rules as if made under these rules, unless subsection (4) applies.

(4) Any appeal based on a decision made under the former rules that has not been heard or concluded when these rules come into force is to be continued to its conclusion as if the former rules had remained in force and these rules had not come into force.

(5) A decision made or penalty imposed the former rules has the same effect as if it had been made under these rules.

Rule 477 g Transitional from former licensing rules

(1) In this section, "former rules" means the *Horse Racing (Officials and Participants) Licensing Rules* published in the Alberta Gazette on March 31, 2004, as amended.

(2) Licences held by a person under the former rules when these rules come into force are continued and have the same effect as if issued under these rules.

(3) A person appointed to a position under the former rules and who holds that position when these rules come into force continues to hold that position as if they had been appointed under these rules.

(4) *Judges boards and *stewards boards that exist under the former rules when these rules come into force continue as *judges boards and *stewards boards under these rules as if they had been appointed under these rules.

(5) An action taken or decision made under the former rules that has continuing effect is considered to be an action taken or decision made under these rules, unless subsection (6) applies.

(6) An appeal based on a decision made under the former rules that has not been heard or concluded when these rules come into force is to be continued to its conclusion as if the former rules had remained in force and these rules had not come into force.

(7) A decision made or sanction imposed the former rules has the same effect as if it had been made under these rules.

Rule 478 g Repeal of former rules

(1) The following rules are repealed:

(a) the Horse Racing Rules published in the Alberta Gazette dated March 31, 2004, as amended;

(b) the Horse Racing (Officials and Participants) Licensing Rules published in the Alberta Gazette dated March 31, 2004, as amended;

(c) the consolidated rules published by Horse Racing Alberta dated September 1, 2008.

(2) The repeal described in subsection (1) is subject to the application of section 470(4) and section 477(6), if they apply.

Rule 479 g Coming into force

These rules come into force on May 1, 2013.

Dated at Edmonton, Alberta, December 10, 2021.

Kent Verlik, Chief Executive Officer.

Notice of Certificate of Intent to Dissolve

(Business Corporations Act)

Notice is hereby given that a Certificate of Intent to Dissolve was issued to **Azcan RPG Corp.** on December 1, 2021.

Dated at Calgary, Alberta, December 1, 2021.

Christopher D. Croteau, *Tingle Merrett LLP.*

Notice is hereby given that a Certificate of Intent to Dissolve was issued to **Circle of Steel Film Production Inc.** on December 10, 2021.

Dated at Calgary, Alberta, December 10, 2021.

Gillian McKercher, *President - Circle of Steel Film Production Inc.*

Notice of Certificate of Intent to Dissolve

(Canada Business Corporations Act)

Notice is hereby given that a Certificate of Intent to Dissolve was issued to **Arthur Perry Farms Inc.** on November 19, 2021 pursuant to section 211 of the *Canada Business Corporations Act*.

Dated at Airdrie, Alberta, December 13, 2021.

Roksana Pawlowski, *Barrister & Solicitor.*

Public Sale of Land

(Municipal Government Act)

Brazeau County

Notice is hereby given that, under the provisions of the Municipal Government Act, Brazeau County will offer for sale, by public auction, at the County Office, 7401 Township Road 494, Drayton Valley, Alberta, on Wednesday, February 16, 2022, at 9:00 a.m., the following lands:

Lot	Block	Plan	C. of T.	Location
1	-	9221749	162291398	19.08 acres
17	1	9320495	112072086	Eastview Heights

Pt. of Sec.	Sec.	Twp.	Rge.	M.	C. of T.	Acres
NE	01	50	7	W5	952211353	64.7
SE	30	50	8	W5	952000103	158.0
SW	30	50	8	W5	952000103	157.01

Manufactured Homes only: situated on the following rented lots

Pt. of Sec.	Sec.	Twp.	Rge.	M.	Mobile Home Park	Site
NW	18	49	7	W5	Countrystyle MHP	212
NW	18	49	7	W5	Countrystyle MHP	120
SE	18	49	7	W5	Poplar Ridge T.P.	C-29

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 Brazeau 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 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 Brazeau County. No further information is available at the auction regarding the lands to be sold.

Brazeau County 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. In the event that payment of the arrears of taxes and costs is received by the County prior to the public auction, the property in question will not be offered for sale. There is no right to pay tax arrears after the property is declared sold.

Dated at Drayton Valley, Alberta, December 14, 2021.

Shawn McKerry, *Interim Chief Administrative Officer*.

Starland County

Notice is hereby given that, under the provisions of the Municipal Government Act, Starland County will offer for sale, by public auction, in the Starland County Administration Office, 217 Railway Avenue North, Morrin, Alberta, on Wednesday, February 23, 2022, at 2:00 p.m., the following lands:

Lot	**Block**	**Plan**	**Acres**	**C. of T.**
1	1	0914659	1.98 more or less	151247826
15 and 16	3	2232BA	-	961112995
7 to 9 inclusive	2	2975AH	-	911130198
12	4	5120AM	-	881146202
That portion of Lot 22 lying south of the north half of said Lot and all of Lot 23	1	2975AH	-	111071603
5	4	7055BG	-	071000889+1
7	8	1009DC	-	101198610+2
13	8	1009DC	-	101198610
14	8	1009DC	-	101198610+1
10	7	1528BW	-	111095643
14	7	1528BW	-	101198611

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 Starland 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 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 Starland County. No further information is available at the auction regarding the lands to be sold.

Starland County may, after the public auction, become the owner of any parcel of land not sold at the public auction.

Terms: Cash. The above properties 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 Morrin, Alberta, December 13, 2021.

Shirley J. Bremer, *Chief Administrative Officer*.

Town of Hinton

Notice is hereby given that, under the provisions of the Municipal Government Act, the Town of Hinton will offer for sale, by public auction, in the Council Chambers at the Town Office at 2nd Floor, 131 Civic Centre Road, Hinton, Alberta, on Friday, February 25, 2022, at 1:00 p.m., the following parcel:

Lot	Block	Plan	C. of T.	Address
6	1	9020385	082399572	828 Carmichael Lane

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.

No terms and conditions of sale will be considered other than those specified by the Town of Hinton. 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.

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

Terms: The successful bidder must, at the time of the sale, make a non-refundable ten percent (10%) deposit in cash, certified cheque or bank draft payable to the municipality, with the remaining balance of the purchasing price due by March 4, 2022. GST will apply to all properties subject to GST sold at auction.

Redemption may be effected by certified payment of all arrears of taxes, penalties and costs at any time prior to the auction. Once the property is declared sold to another individual at public auction, the previous owner has no further right to pay the tax arrears.

Dated at Hinton, Alberta, December 14, 2021.

Town of Provost

Notice is hereby given that, under the provisions of the Municipal Government Act, the Town of Provost will offer for sale, by public auction, in the Town of Provost Administration Office, 4904 51 Avenue, Provost, Alberta, on Tuesday, February 15, 2022, at 12:00 p.m., the following lands:

Lot	**Block**	**Plan**	**LINC**	**Address**	**Reserve Bid**
11 & 12	1	9823040	0027523556	3804 56 Avenue	$369,980.00

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 Provost 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.

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

Terms: Cash, bank draft or certified cheque. Minimum 10% down payment, non refundable, payable the day of the sale. Balance due within 30 days from the date of auction.

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

Dated at Provost, Alberta, December 7, 2021.

David Connauton, *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 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*
January 15	February 25
January 31	March 13
February 15	March 28
February 28	April 10
March 15	April 25
March 31	May 11
April 14	May 25
April 30	June 10
May 14	June 24
May 31	July 11
June 15	July 26
June 30	August 10

The charges to be paid for the publication of notices, advertisements and documents in The Alberta Gazette are:

Notices, advertisements and documents that are **5 or fewer pages**............................$20.00
Notices, advertisements and documents that are **more than 5 pages** $30.00

Please add 5% GST to the above prices (registration number R124072513).

PUBLICATIONS

Annual Subscription (24 issues) consisting of:

Part I/Part II, and annual index – **Print version**.. $150.00

Part I/Part II, and annual index – **Electronic version** $150.00

Alternatives:

Single issue (Part I and Part II) $10.00
Annual Index to Part I or Part II.. $5.00
Alberta Gazette Bound Part I $140.00
Alberta Gazette Bound Regulations $92.00

The following shipping and handling charges apply for orders delivered outside of Alberta, but within Canada:

Annual Subscription – Print version... $50.00
Individual Gazette publications...................................... $10.00 on orders of $49.99 or less
Individual Gazette publications............................. $15.00 on orders from $50.00 to $99.99
Individual Gazette publications .... $25.00 on order of $100.00 or more

Please add 5% GST to the above prices (registration number R124072513).

Copies of Alberta legislation and select government publications are available from:

Alberta Queen's Printer
Suite 700, Park Plaza
10611 – 98 Avenue
Edmonton, Alberta T5K 2P7

Phone: 780-427-4952
Fax: 780-452-0668
(Toll free in Alberta by first dialing 310-0000)

qp@gov.ab.ca
www.qp.alberta.ca

Cheques or money orders (*Canadian funds only*) should be made payable to the Government of Alberta. Payment is also accepted by Visa, MasterCard or American Express. No orders will be processed without payment.