The Alberta Gazette

Part I

Vol. 118 | Edmonton, Tuesday, May 31, 2022 | No. 10

APPOINTMENTS

Appointment of Provincial Court Judge

(Provincial Court Act)

May 9, 2022
Barry Lorne Nordin

Reappointment of Full-time Provincial Court Judge

(Provincial Court Act)

May 19, 2022
Honourable Judge Jerry Neil LeGrandeur

For a term to expire May 18, 2023.

Reappointment of Part-time Provincial Court Judge

(Provincial Court Act)

May 11, 2022
Honourable Judge Gordon William James Paul

For a term to expire May 10, 2023.

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 **St. Mary River 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
0023 473 069	4;18;8;27;SE	921 219 660 +1

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

Rebecca Fast, *Office Administrator,*
Irrigation Secretariat.

Education

Ministerial Order No. 002/2022

(Education Act)

I, Adriana LaGrange, Minister of Education, pursuant to Section 114 of the **Education Act**, make the Order in the attached Appendix, being The Mayvrille School District No. 1717 (The Clearview School Division) Correction Order.

Dated at Edmonton, Alberta, May 3, 2022.

Adriana LaGrange, *Minister.*

APPENDIX

The Mayvrille School District No. 1717 (The Clearview School Division) Correction Order

WHEREAS, such lands specifically Township 38, Range 17, West of the 4th Meridian, Sections 18 and 19 and North half of Section 7, and specifically Township 38, Range 18, West of the 4th Meridian, East half of Section 13 and Northeast quarter of Section 12, have been identified as previously being transferred to The Mayvrille School District No. 1717 on December 15, 1953;

AND WHEREAS Section 114 of the **Education Act** permits the adding or taking of lands from a public school district, separate school district or school division;

AND WHEREAS such lands specifically Township 38, Range 17, West of the 4th Meridian, Sections 18 and 19 and North half of Section 7, and specifically Township 38, Range 18, West of the 4th Meridian, East half of Section 13 and Northeast quarter of Section 12, were incorrectly transferred to The Mayvrille School District No. 1717;

AND WHEREAS the boundaries of The Mayvrille School District No. 1717 require to be accurately described.

THEREFORE, I do hereby order that

1 Ministerial Order dated December 10, 1953 is repealed.

2 The Mayvrille School District No. 1717 shall be comprised of the following lands:

Township 38, Range 18, West of the 4th Meridian
Sections 14 to 17 inclusive; Sections 20 to 24 inclusive; North halves of Sections 9 to 11 inclusive; West half of Section 13; South halves of Sections 26 to 29 inclusive; Northwest quarter of Section 12.

3 This order shall be effective upon signing.

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 “Red Earth Slave Point Agreement No. 2” effective February 28, 2022.

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 – Cygnet Duvernay Agreement No. 40" and that the Unit became effective on July 1, 2021.

EXHIBIT "A" - PART I

ATTACHED TO AND MADE PART OF AN AGREEMENT ENTITLED
Cygnet Duvernay Agreement No. 40

Tract No.	Land Description (M R T: Sec)	Lease Number	Royalty Owner	Share of Royalty Interest Owner (%)	Tract Participation (%)	Working Interest Owner	Share of Working Interest (%)	Share of Tract Participation (%)
1	4-28-039: 01 NW	M3754	Freehold Royalties Partnership	100	23.39047	VESTA	100	23.39047
2	4-28-039: 01 NE	M5306	Lorraine Rauhala	3.76	26.90031	VESTA	100	26.90031
		M5443	Computershare Trust Company of Canada	96.24				
3	4-27-039: 06 NW	0416110026	Crown	100	26.51278	VESTA	100	26.51278
4	4-27-039: 06 NE	0416110026	Crown	100	6.81036	VESTA	100	6.81036
5	4-27-039: 06 SE	0416110026	Crown	100	16.38608	VESTA	100	16.38608

Working Interest Owners:
VESTA ENERGY LTD. ("VESTA") - 100%

Correction
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 "A" - PART I

ATTACHED TO AND MADE PART OF AN AGREEMENT ENTITLED
Cygnet Duvernay Agreement No. 40

Tract No.	Land Description (M R T: Sec)	Lease Number	Royalty Owner	Share of Royalty Interest Owner (%)	Tract Participation (%)	Working Interest Owner	Share of Working Interest (%)	Share of Tract Participation (%)
1	4-28-039: 01 NW	M3754	Freehold Royalties Partnership	100	23.39047	VESTA	100	23.39047
2	4-28-039: 01 NE	M5306	Lorraine Rauhala	50	26.90031	VESTA	100	26.90031
		M5443	Computershare Trust Company of Canada	50				
3	4-27-039: 06 NW	0416110026	Crown	100	26.51278	VESTA	100	26.51278
4	4-27-039: 06 NE	0416110026	Crown	100	6.81036	VESTA	100	6.81036
5	4-27-039: 06 SE	0416110026	Crown	100	16.38608	VESTA	100	16.38608

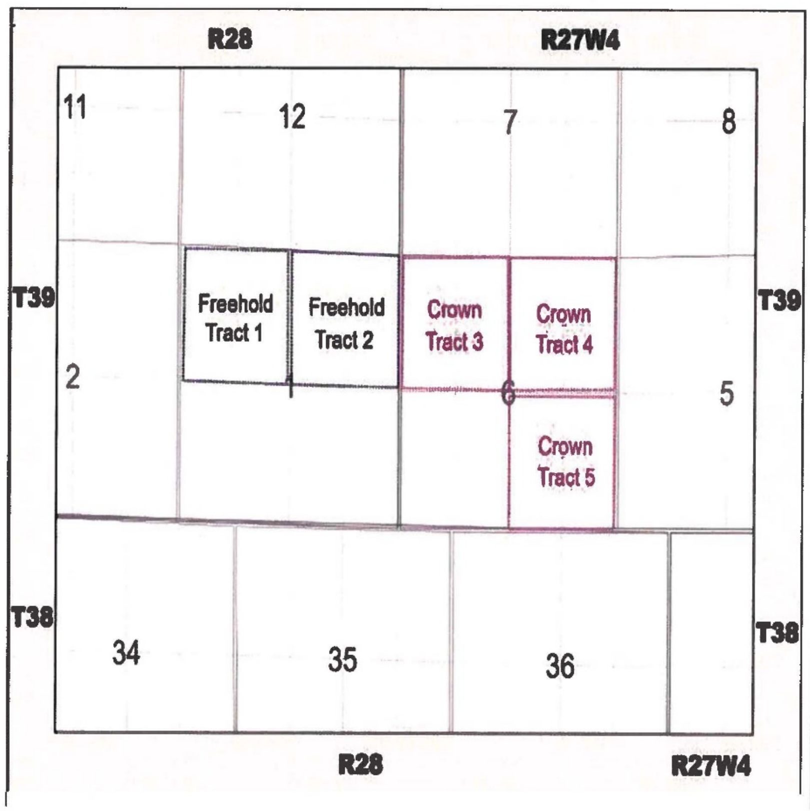
Working Interest Owners:
VESTA ENERGY LTD. ("VESTA") - 100%

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
Cygnet Duvernay Agreement No. 40

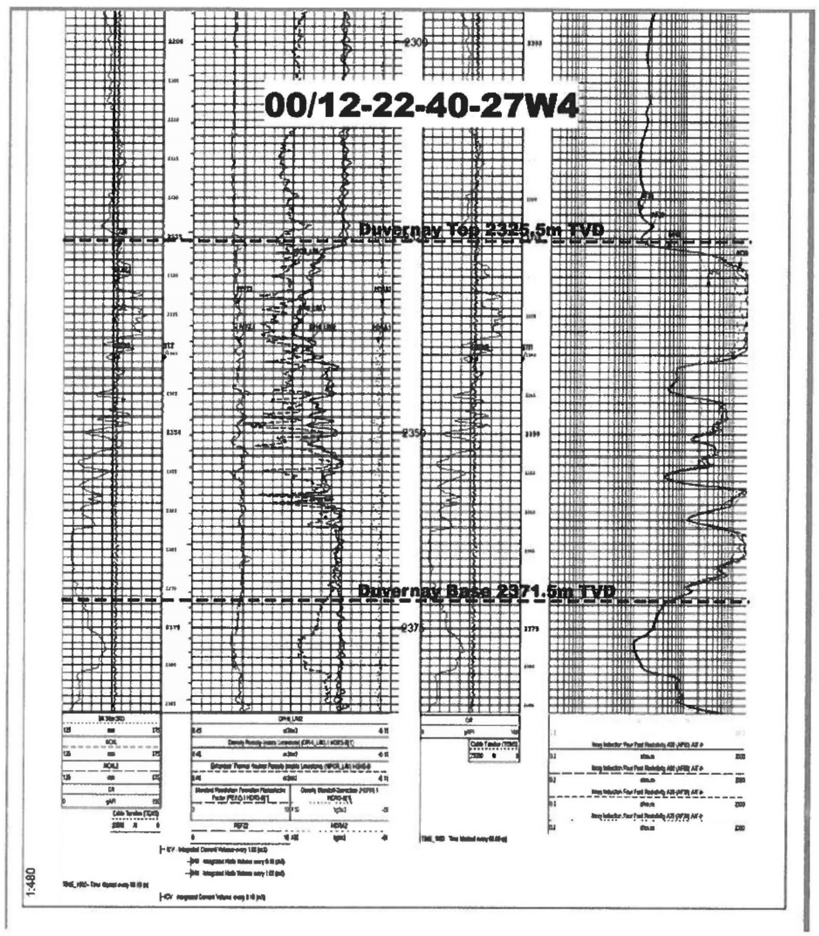


Effective as of the Effective Date

EXHIBIT "C"

ATTACHED TO AND MADE PART OF AN AGREEMENT ENTITLED
Cygnet Duvernay Agreement No. 40

A portion of the Density-Neutron Log recorded at the well 100/12-22-040-27W4/00 located in LSD 12.



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 – Cygnet Duvernay Agreement No. 42” and that the Unit became effective on July 1, 2021.

EXHIBIT "A" - PART I

ATTACHED TO AND MADE PART OF AN AGREEMENT ENTITLED
Cygnet Duvernay Agreement No. 42

Tract No.	Land Description (M R T: Sec)	Lease Number	Royalty Owner	Share of Royalty Interest Owner (%)	Tract Participation (%)	Working Interest Owner	Share of Working Interest (%)	Share of Tract Participation (%)
1	4-28-039: 01 NW	M3754	Freehold Royalties Partnership	100	25.04862	VESTA	100	25.04862
2	4-28-039: 01 NE	M5306	Lorraine Rauhala	3.76	26.35091	VESTA	100	26.35091
		M5443	Computershare Trust Company of Canada	96.24				
3	4-27-039: 06 NW	0416110026	Crown	100	25.98768	VESTA	100	25.98768
4	4-27-039: 06 NE	0416110026	Crown	100	22.61279	VESTA	100	22.61279

Working Interest Owners:
VESTA ENERGY LTD. (“VESTA”) - 100%

Correction
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 "A" - PART I

ATTACHED TO AND MADE PART OF AN AGREEMENT ENTITLED
Cygnet Duvernay Agreement No. 42

Tract No.	Land Description (M R T: Sec)	Lease Number	Royalty Owner	Share of Royalty Interest Owner (%)	Tract Participation (%)	Working Interest Owner	Share of Working Interest (%)	Share of Tract Participation (%)
1	4-28-039: 01 NW	M3754	Freehold Royalties Partnership	100	25.04862	VESTA	100	25.04862
2	4-28-039: 01 NE	M5306	Lorraine Rauhala	50	26.35091	VESTA	100	26.35091
		M5443	Computershare Trust Company of Canada	50				
3	4-27-039: 06 NW	0416110026	Crown	100	25.98768	VESTA	100	25.98768
4	4-27-039: 06 NE	0416110026	Crown	100	22.61279	VESTA	100	22.61279

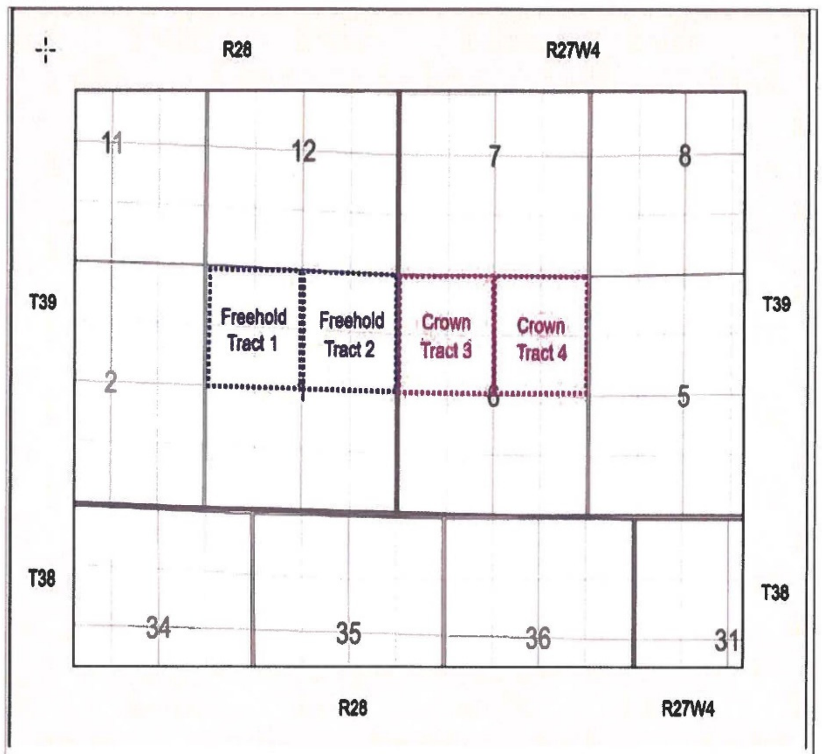
Working Interest Owners:
VESTA ENERGY LTD. ("VESTA") - 100%

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
Cygnet Duvernay Agreement No. 42

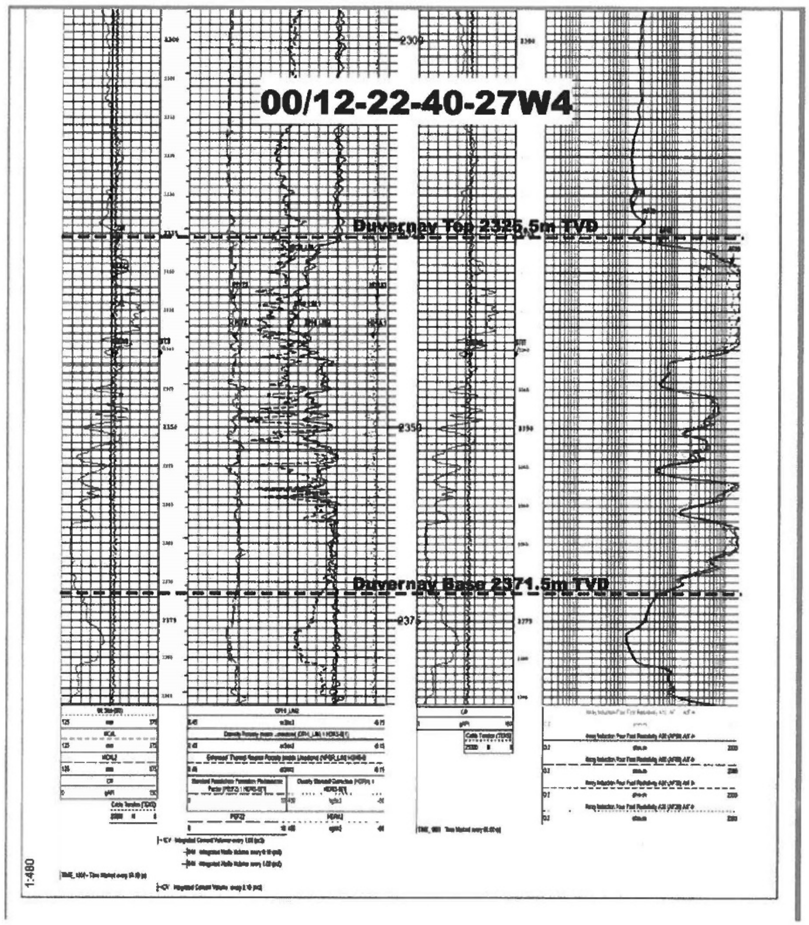


Effective as of the Effective Date

EXHIBIT "C"

ATTACHED TO AND MADE PART OF AN AGREEMENT ENTITLED
Cygnet Duvernay Agreement No. 42

A portion of the Density-Neutron Log recorded at the well 100/12-22-040-27W4/00 located in LSD 12.



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 – Ferrybank Falher Agreement" and that the Unit became effective on March 1, 2021.

EXHIBIT "A" - PART I

ATTACHED TO AND MADE PART OF AN AGREEMENT ENTITLED
"Ferrybank Falher Agreement"

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	4-28-043: NE 26	PNG Lease No. 22899	Crown	100	10.8921	Bonavista Energy Corporation Tamarack Valley Energy Ltd.	36.84 63.16	4.0126 6.8795
2	4-28-043: W&SE 26	FH PNG Lease dated January 21, 2021	Freehold Royalties Ltd.	100	32.6763	Bonavista Energy Corporation Tamarack Valley Energy Ltd.	0 100	0 32.6763
3	4-28-043: Sec 23	M178059	PrairieSky Royalty Ltd.	100	6.182	Bonavista Energy Corporation Tamarack Valley Energy Ltd.	100 0	6.182 0
4	4-28-043: Sec 24	PNG Lease No. 30696	Crown	100	50.2496	Bonavista Energy Corporation Tamarack Valley Energy Ltd.	100 0	50.2496 0

Working Interest Owners:

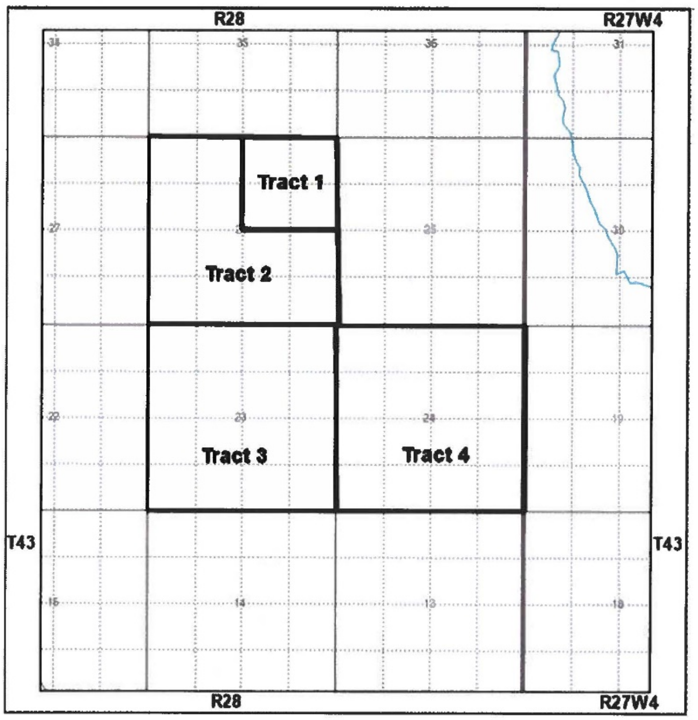
BONAVISTA ENERGY CORPORATION 60.4442%
TAMARACK VALLEY ENERGY LTD. 39.5558%

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
"Ferrybank Falher Agreement"

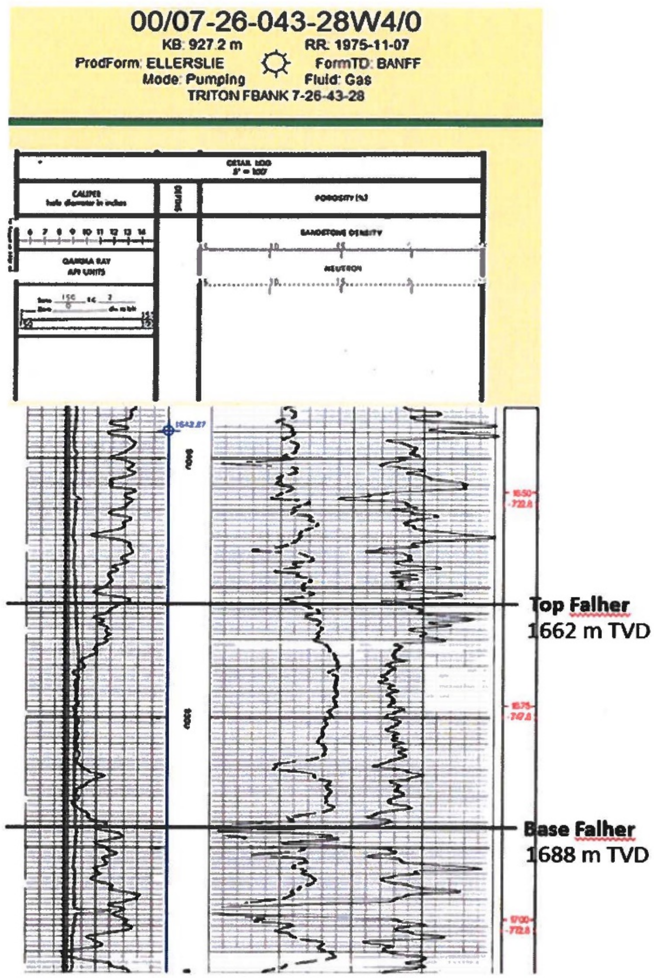


Effective as of the Effective Date

EXHIBIT "C"

ATTACHED TO AND MADE PART OF AN AGREEMENT ENTITLED
"Ferrybank Falher Agreement"

A portion of the Density-Neutron-Gamma Ray Log recorded at the well 100/07-26-043-28W4/00 located in LSD 7



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 – Ferrybank Falher Agreement No. 2" and that the Unit became effective on March 1, 2021.

EXHIBIT "A" - PART I

ATTACHED TO AND MADE PART OF AN AGREEMENT ENTITLED
"Ferrybank Falher Agreement No. 2"

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	4-28-043: NE 26	PNG Lease No. 22899	Crown	100	11.2347	Bonavista Energy Corporation Tamarack Valley Energy Ltd.	36.84 63.16	4.1389 7.0958
2	4-28-043: W&SE 26	FH PNG Lease dated January 21, 2021	Freehold Royalties Ltd.	100	33.7041	Bonavista Energy Corporation Tamarack Valley Energy Ltd.	0 100	0 33.7041
3	4-28-043: Sec 23	M178059	PrairieSky Royalty Ltd.	100	31.702	Bonavista Energy Corporation Tamarack Valley Energy Ltd.	100 0	31.702 0
4	4-28-043: Sec 24	PNG Lease No. 30696	Crown	100	23.3592	Bonavista Energy Corporation Tamarack Valley Energy Ltd.	100 0	23.3592 0

Working Interest Owners:

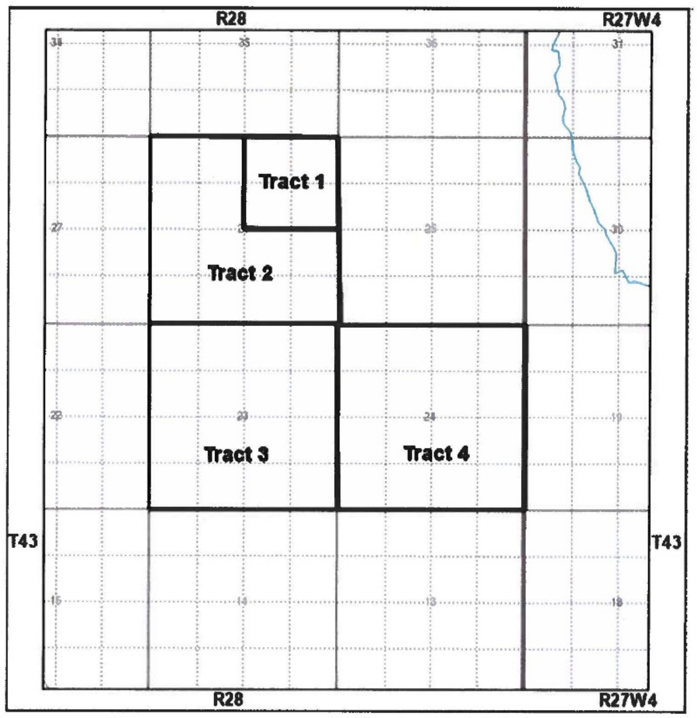
BONAVISTA ENERGY CORPORATION	59.2001%
TAMARACK VALLEY ENERGY LTD.	40.7999%

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
"Ferrybank Falher Agreement No. 2"

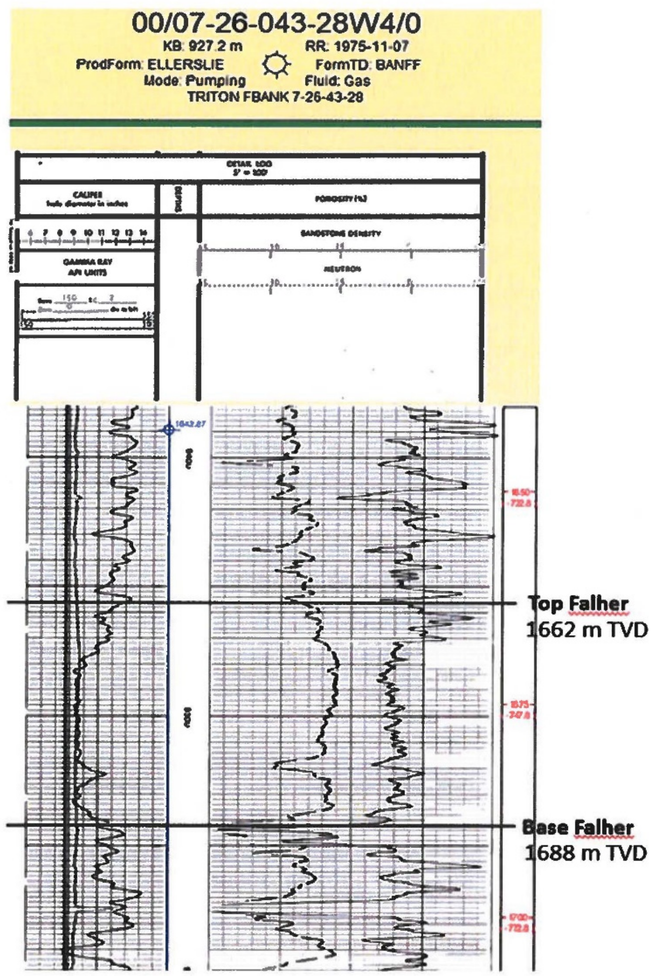


Effective as of the Effective Date

EXHIBIT "C"

ATTACHED TO AND MADE PART OF AN AGREEMENT ENTITLED
"Ferrybank Falher Agreement No. 2"

A portion of the Density-Neutron-Gamma Ray Log recorded at the well 100/07-26-043-28W4/00 located in LSD 7



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 – Leduc-Woodbend Sparky Agreement No. 2" and that the Unit became effective on November 1, 2021.

EXHIBIT "A" - PART I

ATTACHED TO AND MADE PART OF AN AGREEMENT ENTITLED
"Leduc-Woodbend Sparky Agreement No. 2"

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	5-1-50 NE 5	PSK M201168	PrairieSky Royalty Ltd.	100%	21.01%	Blackspur Oil Corp.	100%	21.01%
	5-1-50 NW 5	PSK M201170	PrairieSky Royalty Ltd.	100%	38.33%	Blackspur Oil Corp.	100%	38.33%
	5-1-30 N 6	0493120104	Crown	100%	40.66%	Blackspur Oil Corp.	100%	40.66%

Working Interest Owners:

Blackspur Oil 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
"Leduc-Woodbend Sparky Agreement No. 2"

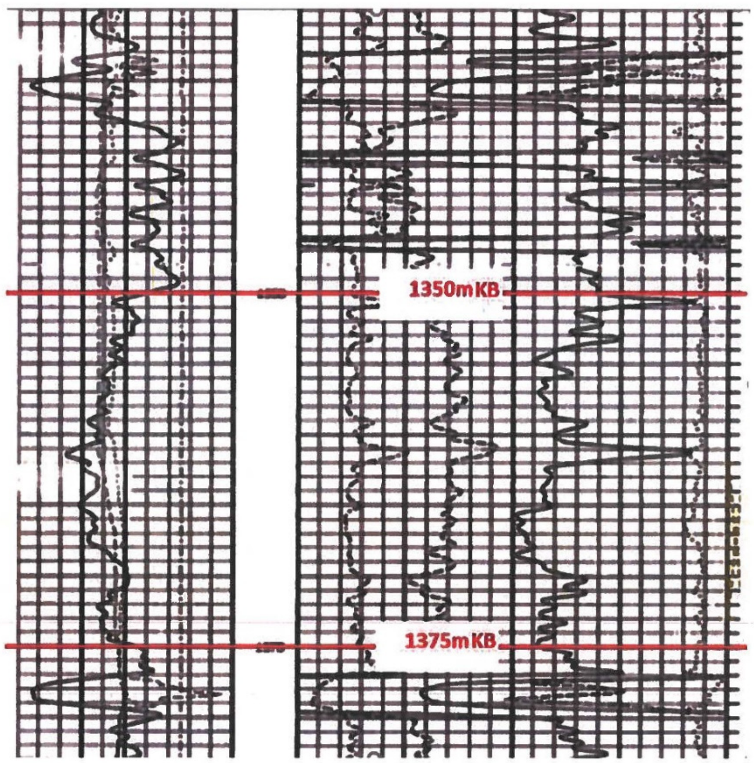
Effective as of the Effective Date

EXHIBIT "C"

ATTACHED TO AND MADE PART OF AN AGREEMENT ENTITLED
"Leduc-Woodbend Sparky Agreement No. 2"

A portion of the Gamma Ray Neturon-Density Log recorded at the well 100/15-05-050-01W5/00 located in LSD 15.

100/15-05-050-01W5 TVD Well Log



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 – Lloydminster Sparky Agreement No. 6" and that the Unit became effective on August 1, 2021.

EXHIBIT "A" - PART I

ATTACHED TO AND MADE PART OF AN AGREEMENT ENTITLED
"Lloydminster Sparky Agreement No. 6"

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	4-01-049: Lsd 7 Sec 5	Arrowwood Oil & Gas Ltd.	Arrowwood Oil & Gas Ltd.	50	0.0771	Baytex Energy Ltd.	100.00	0.0771
		2012434 Alberta Ltd.	2012434 Alberta Ltd.	50				
2	4-01-049: Lsd 8 Sec 5	Arrowwood Oil & Gas Ltd.	Arrowwood Oil & Gas Ltd.	50	21.4491	Baytex Energy Ltd.	100.00	21.4491
		2012434 Alberta Ltd.	2012434 Alberta Ltd.	50				
3	4-01-049: Lsd 2 Sec 5	Arrowwood Oil & Gas Ltd.	Arrowwood Oil & Gas Ltd.	50	28.5405	Baytex Energy Ltd.	100.00	28.5405
		2012434 Alberta Ltd.	2012434 Alberta Ltd.	50				
4	4-01-049: Lsd 1 Sec 5	Arrowwood Oil & Gas Ltd.	Arrowwood Oil & Gas Ltd.	50	46.5977	Baytex Energy Ltd.	100.00	46.5977
		2012434 Alberta Ltd.	2012434 Alberta Ltd.	50				
5	4-01-049: SW Sec 4	0414080033	Crown	100	3.3356	Baytex Energy Ltd.	100.00	3.3356

Working Interest Owners:

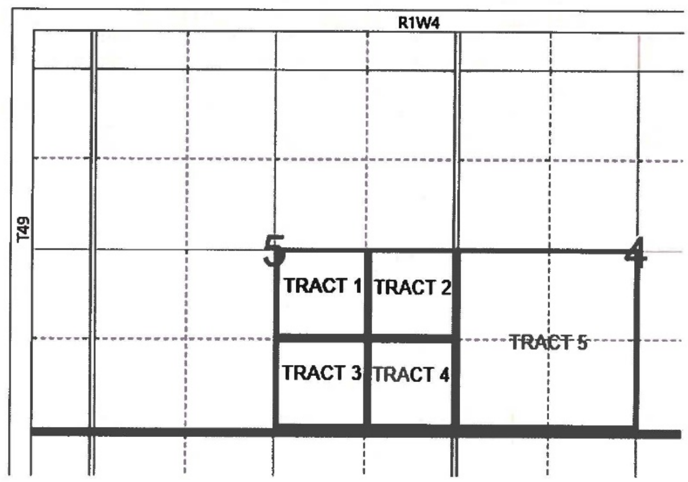
Baytex Energy Ltd. 100%

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
"Lloydminster Sparky Agreement No. 6"

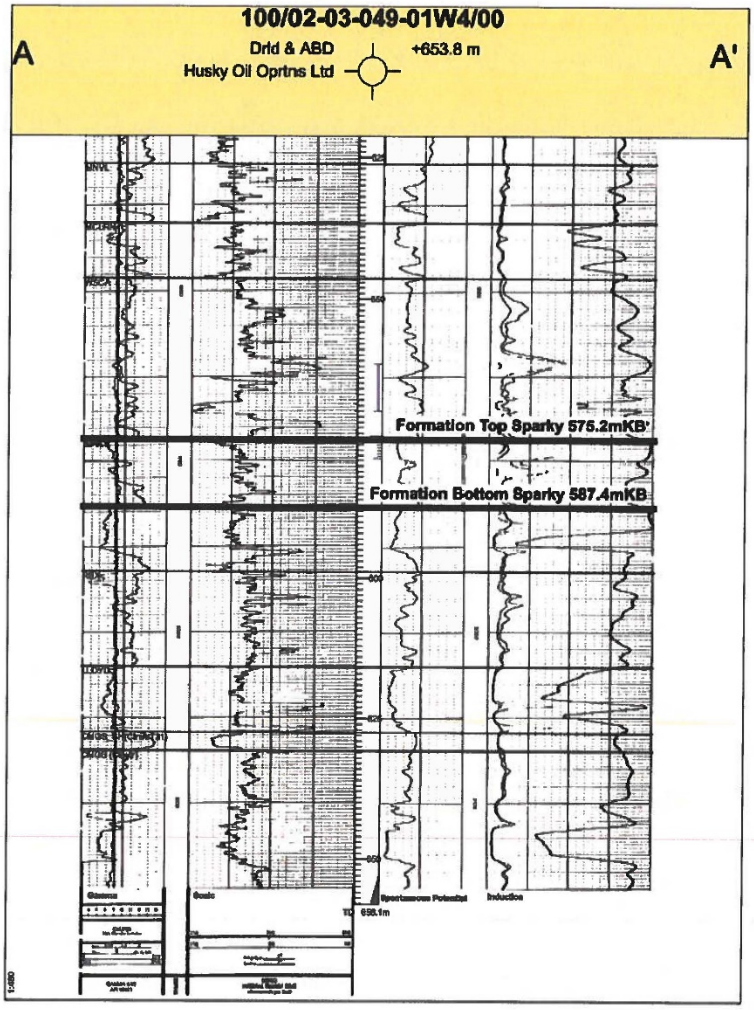


Effective as of the Effective Date

EXHIBIT "C"

ATTACHED TO AND MADE PART OF AN AGREEMENT ENTITLED
"Lloydminster Sparky Agreement No. 6"

A portion of the Gamma-Sonic-SP and Induction Log recorded at the well 100/02-03-049-01W4/00 located in LSD 2.



Environment and Parks

Notice of Revised Specified Gas Reporting Standard

The revised Specified Gas Reporting Standard has been released for the 2021 emissions reporting period.

This letter is to inform you of the release of the revised Specified Gas Reporting Standard to be used for 2021 reporting under the Specified Gas Reporting Regulation (SGRR).

The amended standard (May 2022, Version 14.0) is available on the department's web site at: https://www.alberta.ca/specified-gas-reporting-regulation.aspx.

A facility that meets or exceeds 10,000 tonnes of CO_2 equivalent emissions must submit a Specified Gas Report to Alberta Environment and Parks through ECCC's Single Window Information Management (SWIM) system. The link to the system is provided at: https://ec.ss.ec.gc.ca/.

The Specified Gas Report must be submitted in accordance with the requirements set out in the Specified Gas Reporting Regulation and Specified Gas Reporting Standard as stated in sections 3(1)(a), and 3(2). The report for the 2021 period must be submitted by no later than June 1, 2022.

Please send an email to our general inbox if you have any questions: AEP.GHG@gov.ab.ca.

Infrastructure

Sale or Disposition of Land

(Government Organization Act)

Name of Purchaser: Melliott Holdings Ltd. & 1675070 Alberta Inc.
Consideration: $700,000.00
Land Description: Plan 1921034; Block 1; Lot 1
Excepting thereout all mines and minerals
Area: 3.79 hectares (9.37 acres) more or less

Name of Purchaser: Town of Rocky Mountain House
Consideration: $1.00
Land Description: Plan 8022518; Block 1; Lot 2MR (Municipal Reserve)
Excepting thereout all mines and minerals
Area: 0.314 hectares (0.78 acres) more or less

Justice and Solicitor General

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

Royal Canadian Mounted Police, Traffic Services "K" Division

Amponsah, George Ayim
Bergeron, Lara
Clayton, Sabrina Nadine
Dewan, Sidharth
Dhinsay, Paul Singh
Frampton, Luke Sean Randall
Kok, Jordan Andrew
Kornicki, Cory Michael
Mason, Tyler James
McDougall, Connor John
Pepin, Amy Lynne
Sask, Lisa Elaine
Thorne, Damen Malcolm Robert

(Date of Designation May 13, 2022)

Municipal Affairs

Hosting Expenses Exceeding $600.00
For the period January 1, 2022 to March 31, 2022

Function: Minister's Open House and Meeting Rooms, 2021 Alberta Urban Municipalities (AUMA) Fall Convention
Purpose: The Minister hosted an Open House and conducted 30+ meetings during the 2021 AUMA Fall Convention.
Amount: $11,622.62
Date: November 16–19, 2021
Location: Edmonton

Function: Minister's Open House and Meeting Room, 2021 Rural Municipalities of Alberta (RMA) Fall Convention
Purpose: The Minister hosted an Open House and conducted 30+ meetings during the 2021 RMA Fall Convention.
Amount: $22,561.80
Date: November 23–26, 2021
Location: Edmonton

Safety Codes Council

Corporate Accreditation – Cancellation

(Safety Codes Act)

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

Aurora Cannabis, Accreditation No. C000910, Order No. 3074

Is to cease services under the *Safety Codes Act* within its jurisdiction for **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: February 12, 2019 Issued Date: May 13, 2022.

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

Aurora Cannabis, Accreditation No. C000910, Order No. 3075

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

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

Accredited Date: February 12, 2019 Issued Date: May 13, 2022.

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

Aurora Cannabis, Accreditation No. C000910, Order No. 3076

Is to cease services under the *Safety Codes Act* within its jurisdiction for **Fire**

Consisting of all parts of the National Fire Code – 2019 Alberta Edition as amended from time to time, except for those requirements pertaining to the installation, alteration, and removal of the storage tank systems for flammable and combustible liquids, and Fire Investigation (cause and circumstance).

Accredited Date: February 12, 2019 Issued Date: May 13, 2022.

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

Aurora Cannabis, Accreditation No. C000910, Order No. 3077

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

Consisting of all parts of the CSA-B149.1:20 Natural gas and propane installation code; CSA-B149.2:20 Propane storage and handling code; CSA-B108.1:21 Compressed natural gas refuelling stations installation code; and CSA-B108.2:21 Liquefied natural gas refuelling stations installation code.

Excluding the CSA-B109:17 Natural gas for vehicles installation code; CSA-B149.3:20 Code for the field approval of fuel related components on appliances and equipment; and CSA B149.5:20 Installation code for propane fuel systems and containers on motor vehicles.

Accredited Date: February 12, 2019 Issued Date: May 13, 2022.

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

Aurora Cannabis, Accreditation No. C000910, Order No. 3078

Is to cease services under the *Safety Codes Act* within its jurisdiction for **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: February 12, 2019 Issued Date: May 13, 2022.

Joint Municipal Accreditation

(Safety Codes Act)

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

County of Minburn, Village of Innisfree, Village of Mannville
Accreditation No. J124851, Order No. 79842047

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 **Fire**

Consisting of all parts of the National Fire Code – 2019 Alberta Edition as amended from time to time, except for those requirements pertaining to the installation, alteration, and removal of the storage tank systems for flammable and combustible liquids; and Fire Investigation (cause and circumstance).

Accredited Date: May 9, 2022 Issued Date: May 9, 2022.

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 November 17, 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. ***Paragraph 8.7(4)(a) is amended by deleting "***deferred or contingent sales charge or***".***

3. ***Paragraph 14.2.1(1)(b) is repealed.***

4. This Instrument comes into force in Alberta on June 1, 2022.

AMENDMENTS TO NATIONAL INSTRUMENT 81-101
MUTUAL FUND PROSPECTUS DISCLOSURE

(Securities Act)

Made as a rule by the Alberta Securities Commission on November 17, 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. ***Form 81-101F3 Contents of Fund Facts Document is amended***

   (a) ***in subsection (1) of the Instructions under Item 1.2 of Part II by deleting "***, deferred sales charge***",***

   (b) ***in subsection (2) of the Instructions under Item 1.2 of Part II by deleting "***For a deferred sales charge, provide the full sales charge schedule."***,***

   (c) ***in subsection (3) of the Instructions under Item 1.2 of Part II by deleting "***For a deferred sales charge, include a range for the amount that can be charged on every $1,000 redemption.***", and***

(d) in subsection (4) of the Instructions under Item 1.2 of Part II by deleting the following:

In the case of a deferred sales charge, the disclosure must also briefly state:

- any amount payable as an upfront sales commission;
- who pays and who receives the amount payable as the upfront sales commission;
- any free redemption amount and key details about how it works;
- whether switches can be made without incurring a sales charge; and
- how the amount paid by an investor at the time of a redemption of securities is calculated, for example, whether it is based on the net asset value of those securities at the time of redemption or another time.**.**

3. This Instrument comes into force in Alberta on June 1, 2022.

AMENDMENTS TO NATIONAL INSTRUMENT 81-105
MUTUAL FUND SALES PRACTICES

(Securities Act)

Made as a rule by the Alberta Securities Commission on November 17, 2021 pursuant to sections 223 and 224 of the Securities Act.

AMENDMENTS TO NATIONAL INSTRUMENT 81-105
MUTUAL FUND SALES PRACTICES

1. National Instrument 81-105 Mutual Fund Sales Practices is amended by this Instrument.

2. Section 1.1 is amended in paragraph (d) of the definition of "member of the organization***" by adding "***associate or***" before "***affiliate***".***

3. Section 3.1 is repealed.

4. This Instrument comes into force in Alberta on June 1, 2022.

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 November 17, 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 12.7 is repealed and replaced with the following:***

Notifying the regulator or the securities regulatory authority of a change, claim or cancellation

12.7 (1) A registered firm must, as soon as possible, notify the regulator or, in Québec, the securities regulatory authority in writing of any change in, claim made under, or cancellation of any bonding or insurance required under this Division.

(2) Subsection (1) does not apply with respect to a renewal of bonding or insurance if the term of the renewal is for a period of at least one year and the insurance policy had not lapsed at the time of renewal.**.**

3. ***The Instrument is amended by adding the following section:***

13.4.3 Restrictions on a registered individual who is in a position of influence

(1) In this section, "position of influence" means a position, other than a position with a sponsoring firm, if, due to the nature of the position or the training or specialized knowledge required for the position, an individual in that position would be considered by a reasonable person to have influence over another individual.

(2) For greater certainty, a position of influence under subsection (1) includes the following:

(a) a leader in a religious or similar organization;

(b) a medical doctor;

(c) a nurse;

(d) a professor, instructor or teacher at a degree or diploma granting institution;

(e) a lawyer;

(f) a notary.

(3) A registered firm must not knowingly permit a registered individual of the firm who is in a position of influence to purchase or sell securities or derivatives for, or recommend the purchase, sale or holding of securities or derivatives to*,*

(a) an individual who

(i) has a relationship with the registered individual arising from the position of influence, and

(ii) to a reasonable person, would be considered to be susceptible to the registered individual's influence, or

(b) a spouse, parent, sibling, grandparent or child of an individual referred to in paragraph (a).

(4) A registered individual who is in a position of influence must not purchase or sell securities or derivatives for, or recommend the purchase, sale or holding of securities or derivatives to

(a) an individual who

(i) has a relationship with the registered individual arising from the position of influence, and

(ii) to a reasonable person, would be considered to be susceptible to the registered individual's influence, or

(b) an individual that the registered individual knows is a spouse, parent, sibling, grandparent or child of an individual referred to in paragraph (a)..

4. (1) This Instrument comes into force on June 6, 2022.

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

AMENDMENTS TO NATIONAL INSTRUMENT 33-109 *REGISTRATION INFORMATION*

(Securities Act)

Made as a rule by the Alberta Securities Commission on November 17, 2021 pursuant to sections 223 and 224 of the Securities Act.

AMENDMENTS TO NATIONAL INSTRUMENT 33-109 *REGISTRATION INFORMATION*

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

2. Section 1.1 is amended

(a) in the definition of "*cessation date****" by deleting "****, because of the end of, or a change in, the individual's employment, partnership, or agency relationship with the firm****", and***

(b) by replacing the definition of "**Form 33-109F1**" with the following:

"Form 33-109F1" means Form 33-109F1 *Notice of End of Individual Registration or Permitted Individual Status*;**.**

3. Subsection 2.3(2) is amended

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

(b) in the case of the individual ceasing to be a registered individual or a permitted individual of a sponsoring firm, at the time of cessation there was no allegation against the individual, in Canada or in any foreign jurisdiction, relevant to an assessment of whether the individual is not suitable for registration or the registration is objectionable, including, for greater certainty, an allegation of any of the following:

(i) a crime;

(ii) a contravention of any statute, regulation or order of a court or regulatory body;

(iii) a contravention of any rule or bylaw of an SRO, of a professional body or of a similar organization;

(iv) a failure to meet any standard of conduct of the sponsoring firm or of any professional body;***, and***

(b) by adding the following paragraphs:

(b.1) on or before the cessation date, the individual notified, in accordance with section 4.1, the regulator or, in Québec, the securities regulatory authority of any change to the information previously submitted in the individual's Form 33-109F4;

(b.2) if the Form 33-109F7 is submitted on or after June 6, 2023, on the date Form 33-109F7 is submitted, the individual's information in the National Registration Database does not state "there is no response to this question" for any item of the individual's Form 33-109F4;**.**

4. Section 2.5 is amended

(a) by replacing "**10 days**" with "**15 days**" wherever it appears, and

(b) in subsection (2), by replacing paragraph (c) with the following:

(c) the conditions in paragraphs 2.3(2)(b), (b.1), (b.2) and (c) are met.**.**

5. Section 3.1 is amended

(a) by replacing subsection (1) with the following:

(1) In this section, "authorized affiliate" means, in respect of a registered firm, another registered firm that

(a) is an affiliate of the registered firm, and

(b) has the same principal regulator as the registered firm.

(1.1) Subject to subsection (3) or (4), a registered firm must notify the regulator or, in Québec, the securities regulatory authority of a change to any information previously submitted in Form 33-109F6 or under this subsection as follows:

(a) for a change to information previously submitted in relation to any of the following parts or items of Form 33-109F6, within 30 days of the change:

(i) part 3 [*Business history and structure*];

(ii) item 4.1 [*Securities registration*];

(iii) item 5.12 [*Auditor*];

(iv) item 6.1 [*Client assets*];

(v) item 6.2 [*Conflicts of interest*];

(b) for a change to information previously submitted in relation to any other part of Form 33-109F6, within 15 days of the change.***,***

(b) in subsection (2), by replacing "subsection (1)***" with "***subsection (1.1)***",***

(c) by adding the following subsection:

(2.1) A registered firm may delegate to an authorized affiliate the duty to notify the regulator or, in Québec, the securities regulatory authority under subsection (1.1) of a change to information previously submitted if all of the following apply:

(a) the change in information relates only to one or more of the following items or parts of Form 33-109F6:

(i) item 3.12 [*Ownership chart*];

(ii) item 4.1 [*Securities registration*];

(iii) item 4.3 [*Membership of exchange or SRO*];

(iv) item 4.5 [*Refusal of registration, licensing or membership*];

(v) item 4.6 [*Registration for other financial products*];

(vi) part 7 [*Regulatory action*];

(vii) part 8 [*Legal action*];

(b) the registered firm has filed a certificate, executed by the officer or partner authorized to certify and sign Form 33-109F5, with the registered firm's principal regulator, that confirms all of the following:

(i) the registered firm has delegated to the authorized affiliate the duty to notify the regulator or, in Québec, the securities regulatory authority of a change to any information set out in paragraph (a),

(ii) the full legal name and NRD number of the registered firm and the authorized affiliate, and

(iii) that the following certification of the registered firm applies to each notice of change submitted by the authorized affiliate:

"I have read this form and understand all matters within this form, including the questions, and to the best of my knowledge and after reasonable inquiry, all of the information provided on this form is true and complete.";

(c) the registered firm directs the authorized affiliate to include the full legal name and NRD number of the registered firm and to state the following in each notice of change submitted by the authorized affiliate:

"The registered firm has delegated to the authorized affiliate the duty to notify the regulator or, in Québec, the securities regulatory authority of a change to any of the following items or parts of Form 33-109F6:

(i) item 3.12 [*Ownership chart*];

(ii) item 4.1 [*Securities registration*];

(iii) item 4.3 [*Membership of exchange or SRO*];

(iv) item 4.5 [*Refusal of registration, licensing or membership*];

(v) item 4.6 [*Registration for other financial products*];

(vi) part 7 [*Regulatory action*];

(vii) part 8 [*Legal action*].",

(d) ***in subsection (3), by replacing "***subsection (1)***" with "***subsection (1.1)***", by replacing "***termination***" with "***cessation***" in paragraph (b), and by adding the following paragraphs:***

(e) a change in a person or company's ownership of the firm's voting securities referred to in item 3.12 of Form 33-109F6, if the change did not result in the person or company's percentage of ownership falling below or exceeding 10%, 20% or 50% of the firm's voting securities;

(f) a renewal of the bonding or insurance referred to in item 5.5 or in item 5.6 of Form 33-109F6, if the bonding or insurance has not lapsed and the only change is the expiry date of the bonding or insurance policy to a new date that is at least one year from the previous expiry date.***, and***

(e) ***in subsection (4) by replacing "***a completed Schedule B***" with "***an executed Schedule B***" wherever it appears, adding "***in***" before "***item 4***", and replacing "***10 days***" with "***15 days***".***

6. ***Section 3.2 is amended by replacing "***10 days***" with "***15 days***".***

7. ***Section 4.1 is amended***

(a) ***by replacing subsection (1) with the following:***

(1) Subject to subsection (2), a registered individual or permitted individual must notify the regulator or, in Québec, the securities regulatory authority of a change to any information previously submitted in respect of the individual's Form 33-109F4 as follows:

(a) for a change to information previously submitted in any of the following items, within 30 days of the change:

(i) item 2.1 [*Current and previous residential addresses*];

(ii) item 2.2 [*Mailing address*];

(iii) item 4 [*Citizenship*];

(iv) item 10 [*Reportable activities*];

(v) item 11 [*Previous employment and other activities*];

(b) for a change to information previously submitted in any other items of Form 33-109F4, within 15 days of the change.***,***

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

(2) A notice of change is not required under subsection (1) if the change only relates to any of the following:

(a) information previously submitted in item 3 [*Personal information*] of Form 33-109F4;

(b) the individual ceasing to have authority to act on behalf of the sponsoring firm as a registered individual or be a permitted individual of the sponsoring firm if a Form 33-109F1 is required to be submitted by the sponsoring firm under subsection 4.2(1).***, and***

(c) by replacing paragraph (4)(a) with the following:

(a) a change in a category of permitted activities of a permitted individual,***.***

8. Section 4.2 is amended

(a) by replacing subsection (1) with the following:

(1) A registered firm must notify the regulator or, in Québec, the securities regulatory authority if an individual ceases to have authority to act on behalf of the registered firm as a registered individual or be a permitted individual of the registered firm by submitting Form 33-109F1 to the regulator or, in Québec, the securities regulatory authority in accordance with National Instrument 31-102 *National Registration Database* with

(a) items 1 to 4 of the Form completed, and

(b) item 5 of the Form completed unless the reason for cessation under item 4 was death of the individual.***. and***

(b) by replacing "10 days***" with "***15 days***" wherever it appears.***

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

4.3 Updating NRD

A registered individual or permitted individual must submit in accordance with National Instrument 31-102 *National Registration Database* to the regulator or, in Québec, the securities regulatory authority, a completed Form 33-109F5 for any item of the individual's Form 33-109F4 in the National Registration Database that states "there is no response to this question" by the earlier of

(a) the date the individual is required to notify the regulator or, in Québec, the securities regulatory authority under subsection 4.1(1) of the first change after June 6, 2022 to any information previously submitted in respect of the individual's Form 33-109F4, and

(b) June 6, 2023.***.***

10. Form 33-109F1 **Notice of Termination of Registered Individuals and Permitted Individuals (section 4.2)** ***is amended***

(a) by replacing the title with the following

"FORM 33-109F1 Notice of End of Individual Registration or Permitted Individual Status (Section 4.2)*",*

(b) by adding the following immediately before the heading "*GENERAL INSTRUCTIONS*":

WARNING - It is an offence to knowingly give false or misleading information to the regulator or the securities regulatory authority.

<u>CERTIFICATION</u>

I, on behalf of the firm, certify to the regulator or, in Québec, the securities regulatory authority in each jurisdiction where the firm is submitting this form and to any applicable self-regulatory authority (SRO) that

- I have read this form and understand all matters within this form, including the questions, and
- to the best of my knowledge and after reasonable inquiry, all of the information provided on this form is true and complete.

NRD format:

☐ I, the authorized firm representative, am making this submission under authority delegated by the firm. By checking this box, I certify that the firm

(a) provided me with all of the information on this form, and

(b) makes the certification above.

Non-NRD format:

By signing below, I, on behalf of the firm, make the certification above.

Name of firm ____________________________________

Name of authorized signing officer or partner ________________

Title of authorized signing officer or partner ________________

Signature of authorized signing officer or partner _____________

Date signed ________________
(YYYY/MM/DD)

(c) by deleting the heading "*Terms*" and replacing the text between the heading "*Terms*" and "*How to submit the form*" with the following:

As set out in section 1.1 of National Instrument 33-109 *Registration Information*, "cessation date" means the last day on which an individual had authority to act as a registered individual on behalf of their sponsoring firm or the last day on which an individual was a permitted individual of their sponsoring firm.**,**

(d) ***by replacing the text between the heading "*****When to submit the form*****" and "*****Item 1 Terminating firm*****" with the following:***

As set out in paragraph 4.2(2)(a) of National Instrument 33-109 *Registration Information*, you must submit the responses to Items 1, 2, 3 and 4 within 15 days of the cessation date.

If you are required to complete Item 5, you must submit those responses within 30 days of the cessation date. If you are submitting the responses to Item 5 in NRD format, after Items 1 to 4 have been submitted at NRD, use the NRD submission type called "Update/Correct Cessation Information" to complete Item 5 of this form.**,**

(e) ***in Item 1, by replacing in the heading "***Terminating***" with "***Former sponsoring***",***

(f) ***in Item 2, by replacing in the heading "***Terminated individual***" with "***Individual***",***

(g) ***in Item 3, by deleting in the heading "***terminated***",***

(h) ***by replacing Item 4 with the following:***

Item 4 Date and reason for cessation

1. Cessation date ____________________
(YYYY/MM/DD)

The above date is the last day on which the individual had authority to act as a registered individual on behalf of the sponsoring firm, or the last day on which the individual was a permitted individual of the sponsoring firm.

2. Reason for cessation (check one):

Resigned - voluntary ☐

Resigned - at the firm's request ☐

Terminated in good standing ☐

Terminated for cause ☐

Completed temporary employment contract ☐

Retired ☐

Deceased ☐

Other ☐

If "Other", explain:

____

(i) ***in Item 5, by replacing in the heading "***termination***" with "***cessation***" and by replacing the text between the heading and the sentence "***Answer the following questions to the best of the firm's knowledge.***" with the following:***

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

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

[*For NRD format only:*]

☐ This information will be disclosed within 30 days of the cessation date

☐ Not applicable: individual is deceased

(j) ***in Item 5, by replacing in question 7 "***outside business activity***" with "***outside activity***", and***

(k) ***by repealing Items 7 and 8.***

11. ***Form 33-109F2* Change or Surrender of Individual Categories (sections 2.2(2), 2.4, 2.6(2) or 4.1(4))** ***is amended***

(a) ***by adding the following text between the title* Form 33-109F2 *Change or Surrender of Individual Categories* (sections 2.2(2), 2.4, 2.6(2) or 4.1(4))*" and the heading "*GENERAL INSTRUCTIONS*":***

WARNING - It is an offence to knowingly give false or misleading information to the regulator or the securities regulatory authority.

<u>**CERTIFICATION**</u>

<u>*Individual*</u>

I, the individual, certify to the regulator or, in Québec, the securities regulatory authority in each jurisdiction where I am submitting this form and to any applicable self-regulatory organization (SRO) that

- I have read this form and understand all matters within this form, including the questions,

- I have discussed this form with a branch manager, supervisor, officer or partner of my sponsoring firm and that to the best of my knowledge, the branch manager, supervisor, officer or partner is satisfied that I understand all matters within this form, including the questions,

- to the best of my knowledge and after reasonable inquiry, all of the information provided on this form is true and complete, and

- if applicable, I will limit my activities to those allowed by my category of registration and any SRO approval.

I consent to and authorize the collection, directly and indirectly, of personal information by each regulator, securities regulatory authority and SRO and to the use of my personal information as set out in item 6.

Firm

I, on behalf of the firm, certify to the regulator or, in Québec, the securities regulatory authority in each jurisdiction where the firm is submitting this form and to any applicable SRO that

- the individual identified in this form will be engaged by the sponsoring firm as a registered individual or a permitted individual, and

- I have, or a branch manager, supervisor, officer or partner has, discussed this form with the individual. To the best of my knowledge, the individual understands all matters within this form, including the questions.

NRD format:

☐ I, the authorized firm representative, am making this submission under authority delegated by the firm and the individual identified in this form. By checking this box, I certify that

(a) the firm provided me with all of the information on this form and makes the firm certification above,

(b) the individual provided the firm with all of the information on this form and makes the individual certification above, and

(c) the individual provided the above consent and authorization for the collection and use of the individual's personal information.

Non-NRD format:

Individual

By signing below, I, the individual, make the above individual certification and provide my consent and authorization for the collection, directly and indirectly, and use of my personal information.

Signature of individual ____________________________

Date signed ___________________
(YYYY/MM/DD)

Firm

By signing below, I, on behalf of the firm, make the firm certification above.

Name of firm ____

Name of authorized signing officer or partner ___________________

Title of authorized signing officer or partner ____________________

Signature of authorized signing officer or partner ________________

Date signed ___________________
(YYYY/MM/DD)

(b) ***in Item 4, by deleting "***industry***" in the subheading "*****3. Relevant securities industry experience*****" and by replacing the text between that subheading and "*****Item 5 Reason for surrender*****" with the following:***

Do you have securities experience?

Yes ☐ No ☐ N/A ☐

If you are an individual applying for IIROC approval, select "N/A".

If "Yes", complete Schedule A.

(c) ***by replacing Item 6 with the following:***

Item 6 Notice and consent for collection and use of personal information

1. Notice of collection and use of personal information

Your personal information is collected by, or on behalf of, each securities regulatory authority and SRO set out in Schedule B. Any of the securities regulatory authorities or SROs set out in Schedule B may contact governmental or regulatory authorities, private bodies or agencies, individuals, corporations, employers, and other organizations, in Canada and in other countries, for information about you.

This personal information is being collected under the authority of the applicable securities legislation, derivatives legislation (including commodity futures legislation) or both of the securities regulatory authorities and under the SRO rules of an SRO set out in Schedule B. The collection, use and disclosure are done in accordance with applicable freedom of information and privacy legislation.

The principal purpose of this collection by the securities regulatory authorities is to administer, enforce, carry out their duties or exercise their powers under their respective securities legislation, derivatives legislation (including commodity futures legislation) or both, and by the SROs to administer and enforce the rules of the SROs.

The information submitted by you on this form with your consent, or collected indirectly with your authorization, may be collected

- at any time during your registration or while you are a permitted individual, or

- at the time the regulator or, in Québec, the securities regulatory authority, or the SRO is informed by your sponsoring firm that you no longer have authority to act on behalf of the sponsoring firm or are not a permitted individual of the sponsoring firm.

If you have any questions about the collection, use and disclosure of this information, contact the securities regulatory authority or SRO in any jurisdiction in which the required information is submitted. See Schedule B for details.

Certain information, such as your name(s) (including aliases, trade names or some past names), your sponsoring firm, and other relevant registration information, will be listed in a publicly available registry of registered individuals and, if applicable, on the Disciplined List.

Certain securities regulatory authorities may provide to or receive from certain entities information under separate provisions of their securities legislation or derivatives legislation (including commodity futures legislation) or both, and SROs may provide or receive information under the rules of the SROs. This consent and notice does not limit the authority, powers, obligations, or rights conferred on any of the securities regulatory authorities by legislation or regulations in effect in their jurisdiction.

2. Consent to collect and use personal information

By submitting this form, you consent to and authorize the collection, directly and indirectly, of personal information by each securities regulatory authority and SRO and to the use of your personal information as set out above.

The personal information that each securities regulatory authority or SRO collects includes the following:

- the personal information provided in this form;
- the personal information provided by your sponsoring firm;
- registration or financial services licensing information;
- law enforcement records, including police records;
- credit records;
- bankruptcy or other insolvency records;
- employment records and information received from an employer;
- records and information received from entities you had or have an independent contractor or agency relationship with;
- personal information available online;
- records from governmental or regulatory authorities, SROs or professional bodies;
- records of, and used in, court proceedings, including probation records.***,***

(d) by repealing Item 7,

(e) by repealing Item 8,

(f) by replacing Schedule A with the following:

Schedule A
Relevant securities experience (Item 4)

Instructions:

- *Some registration categories require a specified amount of experience to have been obtained within specified timeframes. Please see National Instrument 31-103 Registration Requirements, Exemptions and Ongoing Registrant Obligations or the relevant SRO rules for more information.*
- *If you are applying to be an advising representative or an associate advising representative, or with IIROC as a portfolio manager, associate portfolio manager, or supervisor designated to be responsible for the supervision of managed*

accounts, provide details of the activities you performed for each position in which you gained relevant investment management experience. Such details may include the level of responsibility; value of accounts under direct supervision; number of years of experience in performing securities research and analysis for the purpose of portfolio securities selection, portfolio construction and analysis; type of experience in performing client relationship management; number of years of experience collecting know-your-client information; or number of years of experience conducting suitability assessments.

- *If you are applying as an advising representative limited to client relationship management, indicate this by including the following statement: "Individual seeking registration as CRM AR".*

- *For all other categories, provide details of activities that you performed for each position in which you gained relevant securities industry experience.*

1. If you are applying

   - to be an advising representative or an associate advising representative of a portfolio manager, describe the relevant investment management experience that you have gained, or

   - for any other category, describe the relevant securities industry experience that you have gained.

   For each position in which you gained relevant experience, provide the following information:

   (a) the name of the firm or entity with which you gained this experience;

   (b) your title;

   (c) the start and end dates of this position;

   (d) the details of the activities you performed that are relevant for the category of registration that you are applying for;

   (e) the percentage of your time in this position that was spent on activities relating to the experience.

   ____

   ____

   ____

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

____

____

____

(g) in Schedule B, by replacing "**Notice of*****" in the title with "*****notice and consent for*****",***

(h) in Schedule B in the portion of the form under the contact information for British Columbia, by replacing "Freedom of Information Officer***" with "***Registration staff***" and adding "***E-mail: Registration@bcsc.bc.ca***" at the end,***

(i) in Schedule B in the portion of the form under the contact information for Saskatchewan, by deleting "Deputy***" after "***Attention:***" and adding at the end "***E-mail: registrationfcaa@gov.sk.ca***",***

(j) in Schedule B in the portion of the form under the contact information for Nova Scotia, by replacing "Deputy Director, Capital Markets***" with "***Registration***",***

(k) in Schedule B in the portion of the form under the contact information for Yukon, by adding "Office of the Yukon***" before "***Superintendent of Securities***" and replacing "***(867) 667-5314***" with "***(867) 667-5466***", and***

(l) in Schedule B in the portion of the form under the contact information for Northwest Territories, by deleting "Deputy***" after "***Attention:***".***

12. Form 33-109F3* Business Locations Other Than Head Office (section 3.2) *is amended

(a) by adding the following text between the title "**FORM 33-109F3** ***Business Locations Other Than Head Office*** **(section 3.2)*****" and "*****GENERAL INSTRUCTIONS*****":***

WARNING - It is an offence to knowingly give false or misleading information to the regulator or the securities regulatory authority.

<u>CERTIFICATION</u>

I, on behalf of the firm, certify to the regulator or, in Québec, the securities regulatory authority in each jurisdiction where the firm is submitting this form and to any applicable self-regulatory organization (SRO) that

- I have read this form and understand all matters within this form, including the questions,

- if the business location specified in this form is a residence, the individual conducting business from that business location has completed a Form 33-109F4 *Registration of Individuals and Review of Permitted Individuals*, and

- to the best of my knowledge and after reasonable inquiry, all of the information provided on this form is true and complete.

NRD format:

☐ I, the authorized firm representative, am making this submission under authority delegated by the firm.

☐ By checking this box, I, the authorized firm representative, certify that

(a) the firm provided me with all of the information on this form, and

(b) the firm makes the certification above.

Non-NRD format:

By signing below, I, on behalf of the firm, make the certification above.

Name of firm ____

Name of authorized signing officer or partner ___________________

Title of authorized signing officer or partner ____________________

Signature of authorized signing officer or partner ________________

Date signed ___________________
(YYYY/MM/DD)

(b) by adding at the end of Item 3 the following:

Notice regarding a business location that is a residence

For the administration of securities legislation or derivatives legislation, including commodity futures legislation, or both, the regulator or, in Québec, the securities regulatory authority may require access to the business location to review the books, records and documents of the registered firm. If applicable, the SRO may also require access to the business location for the administration of the rules of the SRO.

If the business location specified in this form is a residence, the regulator, securities regulatory authority or SRO may request consent to enter the residence.

If consent is not provided, it may affect the ability of the regulator, securities regulatory authority or SRO to access the books, records or documents of a registered firm and to determine whether securities legislation, derivatives legislation (including commodity futures legislation) or the rules of the SRO are being complied with. As a result, the regulator, securities regulatory authority or SRO may take action if it is unable to access and review the books, records or documents of a registered firm held at the business location.

(c) ***by repealing Item 4,***

(d) ***by repealing Item 5,***

(e) ***by repealing Item 6, and***

(f) ***by repealing Schedule A.***

13. ***Form 33-109F4*** **Registration of Individuals and Review of Permitted Individuals (section 2.2)** ***is amended***

(a) ***by adding the following text between the title "*****Form 33-109F4** ***Registration of Individuals and Review of Permitted Individuals*** **(section 2.2)*****" and "*****GENERAL INSTRUCTIONS*****":***

WARNING - It is an offence to knowingly give false or misleading information to the regulator or the securities regulatory authority.

CERTIFICATION

Individual

I, the individual, certify to the regulator or, in Québec, the securities regulatory authority in each jurisdiction where I am submitting this form and to any applicable self-regulatory organization (SRO) that

- I have read this form and understand all matters within this form, including the questions and, for greater certainty, if the business location is a residence, the notice in Item 9,
- I have discussed this form with a branch manager, supervisor, officer or partner of my sponsoring firm and that to the best of my knowledge, the branch manager, supervisor, officer or partner is satisfied that I understand all matters within this form, including the questions,
- to the best of my knowledge and after reasonable inquiry, all of the information provided on this form is true and complete, and
- if applicable, I will limit my activities to those allowed by my category of registration and any SRO approval.

I consent to and authorize the collection, directly and indirectly, of personal information by each regulator, securities regulatory authority and SRO and to the use of my personal information as set out in Item 20.

Firm

I, on behalf of the firm, certify to the regulator or, in Québec, the securities regulatory authority in each jurisdiction where the firm is submitting this form and to any applicable SRO that

- the individual identified in this form will be engaged by the sponsoring firm as a registered individual or a permitted individual, and
- I have, or a branch manager, supervisor, officer or partner has, discussed this form with the individual. To the best of my knowledge, the individual understands all matters within this form, including the questions.

NRD format:

☐ I, the authorized firm representative, am making this submission under authority delegated by the firm and the individual identified in this form. By checking this box, I certify that

(a) the firm provided me with all of the information on this form and makes the firm certification above,

(b) the individual provided the firm with all of the information on this form and makes the individual certification above, and

(c) the individual provided the above consent and authorization for the collection and use of the individual's personal information.

Non-NRD format:

Individual

By signing below, I, the individual, make the above individual certification and provide my consent and authorization for the collection, directly and indirectly, and use of my personal information.

Signature of individual ____________________________

Date signed ___________________
(YYYY/MM/DD)

Firm

By signing below, I, on behalf of the firm, make the firm certification above.

Name of firm ____

Name of authorized signing officer or partner ________________

Title of authorized signing officer or partner _________________

Signature of authorized signing officer or partner _____________

Date signed ___________________
(YYYY/MM/DD)

(b) ***in Item 5, by replacing the portion of the form in section 2 with the following:***

2. Check each jurisdiction where you are seeking registration or, if you are seeking review as a permitted individual, check each jurisdiction where your sponsoring firm is registered:

☐ All jurisdictions

☐ Alberta
☐ British Columbia
☐ Manitoba
☐ New Brunswick
☐ Newfoundland and Labrador
☐ Northwest Territories
☐ Nova Scotia
☐ Nunavut
☐ Ontario
☐ Prince Edward Island
☐ Québec
☐ Saskatchewan
☐ Yukon

(c) ***in Item 8, by replacing the portion of the form after the subheading* “1. Course, Examination or Designation Information and Other Education*” and before the subheading* “2. Student Numbers*” with the following:***

Complete Schedule E to state each course, examination and designation that

- is required for the registration categories or SRO approval categories you are applying for, and

- you have successfully completed or, if you are an IIROC applicant, have been exempted from.

☐ Check here if you are not required under securities legislation or derivatives legislation (including commodity futures legislation), or the rules of an SRO, to satisfy any course, examination or designation requirements.**,** *(d)* ***in Item 8, by deleting "***industry***" in the subheading "*****4. Relevant Securities Industry Experience*****" and replacing the text between that subheading and "*****Item 9 Location of Employment*****" with the following:***

If you are an individual applying for IIROC approval, select "N/A".

Do you have relevant securities experience?

Yes ☐ No ☐ N/A ☐

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

(e) ***by adding at the end of Item 9 the following:***

6. Notice Regarding a Business Location That is a Residence

For the administration of securities legislation or derivatives legislation, including commodity futures legislation, or both, the regulator or, in Québec, the securities regulatory authority may require access to the business location to review the books, records and documents of the registered firm. If applicable, the SRO may also require access to the business location for the administration of the rules of the SRO.

If the business location specified in this form is a residence, the regulator, securities regulatory authority or SRO may request consent to enter the residence.

If consent is not provided, it may affect the ability of the regulator, securities regulatory authority or SRO to access the books, records or documents of a registered firm and to determine whether securities legislation, derivatives legislation (including commodity futures legislation) or the rules of the SRO are being complied with. As a result, the regulator, securities regulatory authority or SRO may take action if it is unable to access and review the books, records or documents of a registered firm held at the business location.

(f) ***by replacing Item 10 with the following:***

Item 10 Reportable Activities

1. Activities with your sponsoring firm

Instructions: Describe all of your roles and responsibilities with your sponsoring firm, whether these roles and responsibilities are securities-related or not (e.g., sale of securities, review of marketing materials, IT help desk, negotiation of employment contracts, sales of banking and insurance products and services). Include any other information about your position with your sponsoring firm that is relevant for the regulator or, in Québec, the securities regulatory authority to know (e.g., if your role is specialized). For example, if you are applying as an advising representative limited to client relationship management, indicate this by *including the following statement in Schedule G: "Individual is seeking registration as CRM AR."*

Complete a Schedule G with respect to your roles and responsibilities with your sponsoring firm.

2. Reportable outside activities

Instructions: Consider all of the activities that you participate in outside of your sponsoring firm, whether or not you receive compensation for such activities and whether or not any such activity is business-related. Activities performed for an affiliated entity are considered activities outside of your sponsoring firm. If any of the categories below describes one or more activities that you participate in, complete a separate Schedule G for each activity or entity. If multiple activities are performed for one entity, complete a single Schedule G identifying all the activities performed.

Uncompensated activities that do not fall within Categories 1 to 5 (i.e., generally activities that do not involve securities or financial services and are not a position of influence, such as being a little league soccer coach) are not reportable.

Category 1 - Activities with another registered firm

Instructions: Report activities with registered firms, other than your sponsoring firm. All activities in this category are reportable, whether or not you receive compensation for such activities. Major shareholder means a shareholder who, in total, directly or indirectly owns voting securities carrying 10 percent or more of the votes carried by all outstanding voting securities.

If you are a director, officer, employee, contractor, consultant, agent, or service provider of a registered firm other than your sponsoring firm, or are in any other equivalent position with or for that registered firm, or are a major shareholder or partner of that registered firm, complete a separate Schedule G for the registered firm.

Category 2 - Activities with an entity that receives compensation from a registered firm

If you are a director, officer, employee, contractor, consultant, or agent of a specified entity, or are in any other equivalent position with or for a specified entity, or are a shareholder or partner of a specified entity, complete a separate Schedule G for the specified entity.

For the purposes of this category, "specified entity" means an entity that receives compensation from a registered firm for activities that you provide for your sponsoring firm or another registered firm.

Category 3 - Other securities-related activities

Instructions: All activities in this category are reportable, whether or not you receive compensation for such activities. Charitable or other fundraising activities that do not involve the issuance of securities or derivatives are not reportable.

If you have been at any time in the last 7 years directly involved in raising money for an entity through the issuance of securities or derivatives or promoting the sale of an entity's securities or derivatives outside of your activities with your sponsoring firm or another registered firm, complete a separate Schedule G for each entity for which you performed these activities.

Directors and officers of reporting issuers and of entities that have been at any time in the last 7 years raising money through the issuance of securities or derivatives are considered to be directly involved in raising money for that entity.

Category 4 - Provision of financial or finance-related services

Instructions: All activities in this category are reportable, whether or not you receive compensation for such activities. For example, volunteer activities pertaining to your securities or financial services knowledge must be reported under this category. Also report if you are the owner or management of an entity that provides these services. Major shareholder means a shareholder who, in total, directly or indirectly owns voting securities carrying 10 percent or more of the votes carried by all outstanding voting securities.

Complete a separate Schedule G for each activity, as applicable, if you

- sell or negotiate insurance, including being an insurance broker or agent,
- provide loan or deposit or other banking products and services,
- carry on a money service business, including exchanging one type of currency for another, transferring money from one person to another, or issuing or redeeming money orders, traveller's cheques or anything similar,
- facilitate or administer mortgages, including acting as a mortgage broker, agent or administrator,
- prepare tax returns or provide tax advice,
- help create programs for persons to meet their long-term financial goals, including providing financial planning (including estate planning) or financial advice,

- provide corporate finance services, including services provided in the capacity of a comptroller, treasurer and chief financial officer,
- advise persons under financial stress on credit/debt restructuring,
- are a pension consultant,
- provide advice on mergers and acquisitions,
- provide accounting or bookkeeping services,
- provide oversight or independent review or expert opinion on the management of an entity's financial assets,
- lend money or accept deposits of money (e.g., alternative financing, non-bank financial institution), or
- provide other financial or finance-related services not identified above.

Also complete a separate Schedule G for each activity, as applicable, if you are a director or officer, or are in any other equivalent position with or for, or are a major shareholder or active partner of, an entity that provides one or more of the services in the above list.

Category 5 - Positions of influence

Instructions: All positions of influence (e.g., medical doctor, leader in a religious organization) are reportable, whether or not you receive compensation for such activities. Guidance: see also section 13.4.3 of National Instrument 31-103 Registration Requirements, Exemptions and Ongoing Registrant Obligations and the Companion Policy to National Instrument 31-103 Registration Requirements, Exemptions and Ongoing Registrant Obligations.

Complete a separate Schedule G for each position of influence that you are in.**,**

(g) by replacing Item 12 with the following:

Item 12 Resignations and Terminations

Instructions: Disclose all allegations against you that existed at the time of your resignation or termination. The allegation does not need to be the reason for or cause of your resignation or termination. Sales targets are not considered a standard of conduct of a sponsoring firm.

Have you ever resigned or been terminated from a position or contract when, at the time of your resignation or termination, there existed an allegation that you:

1. Contravened any statutes, regulations, orders of a court or regulatory body, rules or bylaws or failed to meet any standard of conduct of a sponsoring firm or of any professional body?

Yes ☐ No ☐

If "Yes", complete Schedule I, Item 12.1.

2. Failed to appropriately supervise compliance with any statutes, regulations, orders of a court or regulatory body, rules or bylaws or with any standard of conduct of a sponsoring firm or of any professional body?

Yes ☐ No ☐

If "Yes", complete Schedule I, Item 12.2.

3. Committed fraud or the wrongful taking of property, including theft?

Yes ☐ No ☐

If "Yes", complete Schedule I, Item 12.3.***,***

(h) ***in Item 13, by adding "****Instructions: Only disclose registration or licences to deal with the public in any capacity.****" after the subheading "3. Non-securities regulation" and before question 3(a),***

(i) ***in question 3(a) of Item 13, by adding "***, medical doctor, mortgage broker or agent***" after "***teacher***" and before "***)***",***

(j) ***in question 3(b) of Item 13, by deleting "***professional***",***

(k) ***in question 3(c) of Item 13, by deleting "***professional***",***

(l) ***in Item 14, by replacing the text between the heading "*****Item 14 Criminal Disclosure*****" and the sentence "***You are not required to disclose:***" with the following:***

You must disclose all offences, including:

- a criminal offence under the laws of Canada such as the *Criminal Code* (Canada), the *Income Tax Act* (Canada), the *Competition Act* (Canada), the *Immigration and Refugee Protection Act* (Canada) and the *Controlled Drugs and Substances Act* (Canada), even if
    - o a record suspension has been ordered under the *Criminal Records Act* (Canada), or
    - o you have been granted an absolute or conditional discharge under the *Criminal Code* (Canada),
- a criminal offence under the laws of any foreign jurisdiction such as U.S. federal and state criminal offences, and

- a criminal offence, with respect to questions 14.2 and 14.4,
  - of which you or any entity when you were a partner, director, officer or major shareholder of that entity has been found guilty, or
  - for which you or any entity when you were a partner, director, officer or major shareholder of that entity has participated in the Alternative Measures Program, a diversion program, or any alternative resolution program within the previous 3 years, even if a record suspension has been ordered under the *Criminal Records Act* (Canada).***,***

(m) in question 3 of Item 14, by replacing “firm***” with “***entity***”,***

(n) in question 4 of Item 14, by replacing “firm***” with “***entity***”,***

(o) in Item 15, by replacing “a firm***” with “***an entity***” wherever it appears,***

(p) by replacing Item 16 with the following:

Item 16 Financial disclosure

1. Bankruptcies, insolvencies, consumer proposals and creditor arrangements

Instructions: You must provide the following information ***no matter when the event occurred (even if it was longer than 7 years ago).***

The information is required to be reported even if you or the entity has been discharged or released from bankruptcy.

Under the laws of any jurisdiction of Canada or any foreign jurisdiction, have any of the following events ever occurred to **you** or to any **entity** when you were a partner, director, officer or major shareholder of the entity:

a) had a petition in bankruptcy issued or made a voluntary assignment into bankruptcy or any similar proceeding (no matter when it occurred, even if it was longer than 7 years ago, and even if you or the entity have been discharged or released from bankruptcy)?

Yes ☐ No ☐

If “Yes”, complete Schedule M, Item 16.1(a).

b) a proposal, including a consumer proposal, under any legislation relating to bankruptcy or insolvency or any similar proceeding?

Yes ☐ No ☐

If “Yes”, complete Schedule M, Item 16.1(b).

c) proceedings under any legislation relating to the winding up or dissolution of the entity, or under the *Companies' Creditors Arrangement Act* (Canada)?

Yes ☐ No ☐

If "Yes", complete Schedule M, Item 16.1(c).

d) any proceedings, arrangement or compromise with creditors?

Yes ☐ No ☐

If "Yes", complete Schedule M, Item 16.1(d).

2. Debt obligations

During the past 10 years

- have you failed to meet a financial obligation of $10,000 or more as it came due, or
- to the best of your knowledge, has any entity, while you were a partner, director, officer or major shareholder of that entity, failed to meet any financial obligation of $10,000 or more as it came due?

Yes ☐ No ☐

If "Yes", complete Schedule M, Item 16.2.

3. Surety bond or fidelity bond

Have you ever been refused for a surety or fidelity bond?

Yes ☐ No ☐

If "Yes", complete Schedule M, Item 16.3.

4. Garnishments, seizure in the hands of third persons, unsatisfied judgments or directions to pay

Has any governmental or regulatory authority or court, in any jurisdiction, ever issued any of the following

- against you regarding your indebtedness, or
- to the best of your knowledge, against an entity regarding the entity's indebtedness incurred at the time you were a partner, director, officer or major shareholder of the entity:

	Yes	No
Garnishment or seizure in the hands of third persons	☐	☐

Unsatisfied judgment	☐	☐
Direction to pay	☐	☐

If “Yes”, complete Schedule M, Item 16.4.*,*

(q) ***by replacing Item 20 with the following:***

Item 20 Notice and consent for collection and use of personal information

1. Notice of collection and use of personal information

Your personal information is collected by, or on behalf of, each securities regulatory authority and SRO set out in Schedule O. Any of the securities regulatory authorities or SROs set out in Schedule O may contact governmental or regulatory authorities, private bodies or agencies, individuals, corporations, employers, and other organizations, in Canada and in other countries, for information about you.

This personal information is being collected under the authority of the applicable securities legislation, derivatives legislation (including commodity futures legislation) or both of the securities regulatory authorities and under the SRO rules of an SRO set out in Schedule O. The collection, use and disclosure are done in accordance with applicable freedom of information and privacy legislation.

The principal purpose of this collection by the securities regulatory authorities is to administer, enforce, carry out their duties or exercise their powers under their respective securities legislation, derivatives legislation (including commodity futures legislation) or both, and by the SROs to administer and enforce the rules of the SROs.

The information submitted by you in this form with your consent, or collected indirectly with your authorization, may be collected

- at the time of your application,
- at any time during your registration or while you are a permitted individual, or
- at the time the regulator or, in Québec, the securities regulatory authority, or the SRO is informed by your sponsoring firm that you no longer have authority to act on behalf of the sponsoring firm or are not a permitted individual of the sponsoring firm.

If you have any questions about the collection, use and disclosure of this information, contact the securities regulatory authority or SRO in any jurisdiction in which the required information is submitted. See Schedule O for details.

Certain information, such as your name(s) (including aliases, trade names or some past names), your sponsoring firm, and other relevant registration information, will be listed in a publicly available registry of registered individuals and, if applicable, on the Disciplined List.

Certain securities regulatory authorities may provide to or receive from certain entities information under separate provisions of their securities legislation or derivatives legislation (including commodity futures legislation) or both, and SROs may provide or receive information under the rules of the SROs. This consent and notice does not limit the authority, powers, obligations, or rights conferred on any of the securities regulatory authorities by legislation or regulations in effect in their jurisdiction.

2. Consent to collect and use personal information

By submitting this form, you consent to and authorize the collection, directly and indirectly, of personal information by each securities regulatory authority and SRO and to the use of your personal information as set out above.

The personal information that each securities regulatory authority or SRO collects includes the following:

- the personal information provided in this form;
- the personal information provided by your sponsoring firm;
- registration or financial services licensing information;
- law enforcement records, including police records;
- credit records;
- bankruptcy or other insolvency records;
- employment records and information received from an employer;
- records and information received from entities you had or have an independent contractor or agency relationship with;
- personal information available online;
- records from governmental or regulatory authorities, SROs or professional bodies;
- records of, and used in, court proceedings, including probation records.***,***

(r) by repealing Item 21,

(s) by repealing Item 22,

(t) ***in Schedule C, by replacing the text between the subheading "*****Approval categories*****" and "*****Additional approval categories*****" with the following:***

[ ] Executive

[ ] Director (Industry)

[ ] Director (Non-Industry)

[ ] Supervisor

[ ] Investor

[ ] Registered Representative

[ ] Investment Representative

[ ] Portfolio Manager

[ ] Associate Portfolio Manager

[ ] Trader**,**

(u) ***in Schedule E, by adding the following text between the heading "*****Item 8.1 Course, examination or designation information and other education*****" and the table:***

Instructions: Please see Division 2 [Education and experience requirements] in Part 3 [Registration requirements - individuals] of National Instrument 31-103 Registration Requirements, Exemptions and Ongoing Registrant Obligations for the education and experience requirements for the categories that you are seeking to be registered in or the relevant SRO rules for the SRO approval categories.

Below, state each course, examination and designation that:

- is required for the registration categories or SRO approval categories you are applying for, and
- you have successfully completed.

***For IIROC applicants only** - If applicable, please indicate the date of any exemption granted for any course, examination, designation or other education required for approval.**,**

(v) ***in the table to Schedule E, by adding "*" at the end of "*****Date exempted*****" and by adding "*" at the end of "*****Regulator / securities regulatory authority granting the exemption*****",***

(w) ***by replacing Item 8.4 in Schedule F with the following:***

Item 8.4 Relevant securities experience

Instructions:

- *Some registration categories require a specified amount of experience to have been obtained within specified timeframes. Please see National Instrument 31-103 Registration Requirements,* *Exemptions and Ongoing Registrant Obligations or the relevant SRO rules for more information.*

- *If you are applying to be an advising representative or an associate advising representative, or with IIROC as a portfolio manager, associate portfolio manager, or supervisor designated to be responsible for the supervision of managed accounts, provide details of the activities you performed for each position in which you gained relevant investment management experience. Such details may include the level of responsibility; value of accounts under direct supervision; number of years of experience in performing securities research and analysis for the purpose of portfolio securities selection, portfolio construction and analysis; type of experience in performing client relationship management; number of years of experience collecting know-your-client information; or number of years of experience conducting suitability assessments.*

- *If you are applying as an advising representative limited to client relationship management, indicate this by including the following statement: "Individual seeking registration as CRM AR".*

- *For all other categories, provide details of activities that you performed for each position in which you gained relevant securities industry experience.*

1. If you are applying

   - to be an advising representative or an associate advising representative of a portfolio manager, describe the relevant investment management experience that you have gained, or

   - for any other category, describe the relevant securities industry experience that you have gained.

   For each position in which you gained relevant experience, provide the following information:

   (a) the name of the firm or entity with which you gained this experience;

   (b) your title;

   (c) the start and end dates of this position;

   (d) the details of the activities you performed that are relevant for the category of registration that you are applying for;

   (e) the percentage of your time in this position that was spent on activities relating to the experience.

____

____

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

____

____

____

(x) by replacing Schedule G with the following:

Schedule G
Reportable activities (Item 10)

1. Start date ____________________
(YYYY/MM/DD)

2. Sponsoring firm or other entity information

☐ Check here if the reportable activity is with your sponsoring firm.

If the reportable activity is with your sponsoring firm, you are not required to indicate the firm's name and address but are required to provide the name and title of your immediate supervisor. For all other types of reportable activity, enter all of the information below:

Name of business or employer: ______________________________

Address of business or employer: ____________________________
(number, street, city, province, territory or state, country)

Name and title of your immediate supervisor: ____________________

3. Description of the reportable activity and your roles and responsibilities

Instructions: If you are completing this schedule in relation to your activities with your sponsoring firm, for (e) below, provide the title(s) you will use once registered, and if you are already registered, provide the title(s) you use as of the date of this filing.

(a) Describe the entity that you carry on the activity with or for, including the nature of the entity's business.

(b) Is the entity listed on an exchange?

(c) Describe your relationship with the entity.

(d) Describe all of your roles and responsibilities relating to the activity.

____

(e) Provide all business title(s) and professional designation(s) you use for the activity.

____

4. Number of work hours per week

How many hours per week do you spend on this activity? _____________

5. Conflicts of interest

Instructions: Complete this section if you have a reportable activity outside your sponsoring firm. Do not complete this section if your reportable activity is solely with your sponsoring firm.

Take into consideration existing and reasonably foreseeable material conflicts of interest and existing and potential client confusion.

(a) Does the activity give rise to any material conflicts of interest between the client and the sponsoring firm or you? Does the activity give rise to client confusion? If no material conflicts of interest or client confusion are expected, explain why.

____

____

____

(b) Describe (i) the material conflicts of interest, and (ii) how these conflicts will be addressed in the best interest of the client.

____

(c) Describe (i) the client confusion, and (ii) how the client confusion will be addressed.

____

____

____

(d) Does your sponsoring firm <u>and</u> the entity have procedures for identifying and addressing material conflicts of interest? If so, confirm you are complying with both sets of procedures.

____

(e) State the name and title of the individual at your sponsoring firm who has reviewed and approved the activity.

____

____

____

(y) ***in Schedule H, by deleting "***If you are seeking registration in a category of registration that requires specific experience, include details of that experience. Examples include level of responsibility, value of accounts under direct supervision, number of years of that experience and research experience, and percentage of time spent on each activity.***",***

(z) ***by replacing Schedule I with the following:***

Schedule I
Resignations and terminations (Item 12)

Item 12.1

For each allegation of contravention of any statute, regulation, order of a court or regulatory body, rule or bylaw or failure to meet any standard of conduct of a sponsoring firm or of any professional body, state below (1) the name of the firm from which you resigned or were terminated, (2) whether you resigned or were terminated, (3) the date you ceased to carry on duties, (4) the circumstances relating to your resignation or termination, (5) details of the allegation (regardless of whether the allegation caused or contributed to your resignation or termination), including the statutes, regulations, orders, rules or bylaws allegedly contravened or standards of conduct allegedly not met, (6) details of how the allegation was addressed, and (7) any details of the resignation, termination, or allegation relevant to the determination of your suitability for registration or whether your registration is otherwise objectionable.

____

Item 12.2

For each allegation of failure to supervise compliance with any statute, regulation, order of a court or regulatory body, rule or bylaw or with any standard of conduct of a sponsoring firm or of any professional body, state below, (1) the name of the firm from which you resigned or were terminated, (2) whether you resigned or were terminated, (3) the date you ceased to carry on duties, (4) the circumstances relating to your resignation or termination, (5) details of the allegation of failure to supervise (regardless of whether the allegation caused or contributed to your resignation or termination), (6) details of how the allegation was addressed, and (7) any details of the resignation, termination, or allegation relevant to the determination of your suitability for registration or whether your registration is otherwise objectionable.

Item 12.3

For each allegation that you committed fraud or the wrongful taking of property, including theft, state below (1) the name of the firm from which you resigned or were terminated, (2) whether you resigned or were terminated, (3) the date you ceased to carry on duties, (4) the circumstances relating to your resignation or termination, (5) details of the allegation (regardless of whether the allegation caused or contributed to your resignation or termination), (6) details of how the allegation was addressed, and (7) any details of the resignation, termination, or allegation relevant to the determination of your suitability for registration or whether your registration is otherwise objectionable.

(aa) in Schedule J by replacing part (c) after the heading "*Item 13.2 SRO Regulation*" with the following:

c) For each order or disciplinary proceeding, state below (1) the name of the firm, (2) the SRO that issued the order or that is, or was, conducting the proceeding, (3) the date any notice of proceeding was issued, (4) the date any order or settlement was made, (5) a summary of any notice, order or settlement, including any sanctions imposed, (6) whether you are or were a partner, director, officer or major shareholder of the firm and named individually in the order or disciplinary proceeding, and (7) any details of the order or disciplinary proceeding relevant to the determination of your suitability for registration or whether your registration is otherwise objectionable.

(bb) in Schedule J by replacing the portion of the form after the heading "*Item 13.3 Non-securities regulation*" with the following:

a) For each registration or licence, state below (1) the party who is, or was, registered or licensed, (2) if applicable, the employer or entity for whom you performed the registerable or licensable activity, (3) the period that the party held the registration or licence, (4) the type or category of registration or licence, (5) with which regulatory authority, or under what legislation, the party is, or was, registered or licensed, and (6) the licence number.

---

b) For each registration or licence refused, state below (1) the party that was refused registration or licensing, (2) if applicable, the employer or entity for whom you performed the registerable or licensable activity, (3) with which regulatory authority, or under what legislation, the registration or licence was refused, (4) the type or category of registration or licence refused, (5) the date of the refusal, and (6) the reasons for the refusal.

____

c) For each order or disciplinary proceeding, indicate below (1) the party against whom the order was made or the proceeding taken, (2) the regulatory authority that made the order or that is, or was, conducting the proceeding, or under what legislation the order was made or the proceeding is being, or was conducted, (3) the date any notice of proceeding was issued, (4) the date any order or settlement was made, (5) a summary of any notice, order or settlement, including any sanctions imposed, (6) whether you are or were a partner, director, officer or major shareholder of the entity and named individually in the order or disciplinary proceeding, and (7) any details of the order or disciplinary proceeding relevant to the determination of your suitability for registration or whether your registration is otherwise objectionable.

____

(cc)* *in Schedule K, by replacing “*firm*” with “*entity*” wherever it occurs,

(dd)* *in item 15.1 of Schedule L, by replacing

(i) ***“***the name of the plaintiff(s) in the proceeding***” with “***the name of each plaintiff in the proceeding***”, and***

(ii) ***“***a firm***” with “***an entity***” wherever it occurs,***

(ee)* *in item 15.2 of Schedule L,

(i) ***by replacing “***each plaintiff in the proceeding***” with “***the name of each plaintiff in the proceeding***”***

(ii) ***by replacing “***a firm***” with “***an entity***” wherever it occurs, and***

(iii) ***by inserting a “***,***” after “***the allegations***” and before “***and (5)***”,***

(ff)* *by replacing Schedule M with the following:

Schedule M
Financial disclosure (Item 16)

Item 16.1 Bankruptcies, insolvencies, consumer proposals and creditor arrangements

Instructions: Proposals includes ***consumer proposals****.*

(a) For each event, state below (1) the date of the petition or voluntary assignment into bankruptcy or similar proceeding, (2) the person or entity about whom this disclosure is being made, (3) any amounts currently owing, (4) the creditors, (5) the status of the matter, (6) a summary of any disposition or settlement, (7) the date of discharge or release, if applicable, and (8) any details of the petition or voluntary assignment into bankruptcy or similar proceeding relevant to the determination of your suitability for registration or whether your registration is otherwise objectionable.

____

(b) For each event, state below (1) the date of the proposal, (2) the person or firm about whom this disclosure is being made, (3) any amounts currently owing, (4) the creditors, (5) the status of the matter, (6) a summary of any disposition or settlement, and (7) any details of the proposal relevant to the determination of your suitability for registration or whether your registration is otherwise objectionable.

____

(c) For each event, state below (1) the date of the proceeding, (2) the person or entity about whom this disclosure is being made, (3) any amounts currently owing, (4) the creditors, (5) the status of the matter, (6) a summary of any disposition or settlement, and (7) any details of the proceeding relevant to the determination of your suitability for registration or whether your registration is otherwise objectionable.

____

(d) For each proceeding, arrangement or compromise with creditors, state below (1) the date of the proceeding, arrangement or compromise, (2) the person or entity about whom this disclosure is being made, (3) any amounts currently owing, (4) the creditors, (5) the status of the matter, (6) a summary of any disposition or settlement, and (7) any details of the proceeding, arrangement or compromise relevant to the determination of your suitability for registration or whether your registration is otherwise objectionable.

____

Item 16.2 Debt obligation

For each event, state below (1) the person or entity that failed to meet its financial obligation, (2) the amount that was owing at the time the person or entity failed to meet its financial obligation, (3) the person or entity to whom the amount is, or was, owing, (4) any relevant dates (for example, when payments are due or when final payment was made), (5) any amounts currently owing, and (6) any details of the debt obligation relevant to the determination of your suitability for registration or whether your registration is otherwise objectionable, including why the obligation has not been met or satisfied.

Item 16.3 Surety bond or fidelity bond

For each bond refused, state below (1) the name of the bonding company, (2) the address of the bonding company, (3) the date of the refusal, and (4) the reasons for the refusal.

Item 16.4 Garnishments, seizure in the hands of third persons, unsatisfied judgments or directions to pay

For each garnishment, seizure in the hands of third persons, unsatisfied judgment or direction to pay regarding your indebtedness or the indebtedness of an entity incurred at the time you were a partner, director, officer or major shareholder, indicate below (1) the amount that was owing at the time the garnishment, seizure in the hands of third persons, judgment or direction to pay was rendered, (2) the person or entity to whom the amount is, or was, owing, (3) any relevant dates (for example, when payments are due or when final payment was made), (4) why the indebtedness has not been met or satisfied, (5) the percentage of earnings to be garnished or seized in the hands of third persons or the amount to be paid, (6) any amounts currently owing, and (7) any details of the garnishment, seizure in the hands of third persons, unsatisfied judgment or direction to pay relevant to the determination of your suitability for registration or whether your registration is otherwise objectionable.

(gg) ***in Schedule N, by replacing the text between the sentence "***b) State the market value (approximate, if necessary) of any subordinated debentures or bonds of the firm to be held by you or any other subordinated loan to be made by you to the firm:***" and the sentence "***f) Is a person other than you the beneficial owner of the shares, bonds, debentures, partnership units or notes held by you?***" with the following:***

c) If another person or entity has provided you with funds to invest in the firm, provide the name of the person or entity and state the relationship between you and that person or entity:

____

d) Is the payment of the funds to be invested (or proposed to be invested) guaranteed directly or indirectly by any person or entity?

Yes ☐ No ☐

If "Yes", provide the name of the person or entity and state the relationship between you and that person or entity:

____

e) Have you directly or indirectly given up any rights relating to these securities or this partnership interest, or do you, when you are registered or approved as a result of the review of this form, intend to give up any of these rights (including by hypothecation, pledging or depositing as collateral the securities or partnership interest with any entity or person)?

Yes ☐ No ☐

If "Yes", provide the name of the person or entity, state the relationship between you and that person or entity and describe the rights that have been or will be given up:

____

(hh) ***in Schedule O, by replacing "*****Notice of*****" in the title with "*****Notice and consent for*****",***

(ii) ***in Schedule O in the portion of the form under the contact information for British Columbia, by replacing "***Freedom of Information Officer***" with "***Registration staff***" and adding "***E-mail: Registration@bcsc.bc.ca***" at the end,***

(jj) ***in Schedule O in the portion of the form under the contact information for Saskatchewan, by deleting "***Deputy***" after "***Attention:***" and adding at the end "***E-mail: registrationfcaa@gov.sk.ca***",***

(kk) ***in Schedule O in the portion of the form under the contact information for Nova Scotia, by replacing "***Deputy Director, Capital Markets***" with "***Registration***",***

(ll) ***in Schedule O in the portion of the form under the contact information for Yukon, by adding "***Office of the Yukon***" before "***Superintendent of Securities***" and replacing "***(867) 667-5314***" with "***(867) 667-5466***", and***

(mm) in Schedule O in the portion of the form under the contact information for Northwest Territories, by deleting "*Deputy*" after "*Attention:*".

14. Form 33-109F5* Change of Registration Information (sections 3.1 and 4.1) *is amended

(a) by adding the following text between the title "*Form 33-109F5 *Change of Registration Information* (sections 3.1 and 4.1)*" and "*GENERAL INSTRUCTIONS*":

WARNING - It is an offence to knowingly give false or misleading information to the regulator or the securities regulatory authority.

CERTIFICATION

1. Form 33-109F4: Use the following certification when making changes to Form 33-109F4

Individual

I, the individual, certify to the regulator or, in Québec, the securities regulatory authority in each jurisdiction where I am submitting this form and to any applicable self-regulatory organization (SRO) that

- I have read this form,
- I have read Form 33-109F4 and understand all matters within this form, including its questions and, for greater certainty, if the business location is a residence, the notice in Item 9,
- I have discussed Form 33-109F4 with a branch manager, supervisor, officer or partner of my sponsoring firm and that to the best of my knowledge, the branch manager, supervisor, officer or partner is satisfied that I understand all matters within Form 33-109F4, including the questions,
- to the best of my knowledge and after reasonable inquiry, all of the information provided on this form is true and complete, including information required to be disclosed by Form 33-109F4 that I am not changing with this form, and
- if applicable, I will limit my activities to those allowed by my category of registration and any SRO approval.

I consent to and authorize the collection, directly and indirectly, of personal information by each regulator, securities regulatory authority and SRO and to the use of my personal information as set out in Item 3.

Firm

I, on behalf of the firm, certify to the regulator or, in Québec, the securities regulatory authority in each jurisdiction where the firm is submitting this form and to any applicable SRO that

- the individual identified in this form will be engaged by the sponsoring firm as a registered individual or a permitted individual, and
- I have, or a branch manager, supervisor, officer or partner has, discussed Form 33-109F4 with the individual. To the best of my knowledge, the individual understands all matters within Form 33-109F4, including the questions.

NRD format:

☐ I, the authorized firm representative, am making this submission under authority delegated by the firm and the individual identified in this form. By checking this box, I certify that

(a) the firm provided me with all of the information on this form and makes the firm certification above,

(b) the individual provided the firm with all of the information on this form and makes the individual certification above, and

(c) the individual provided the above consent and authorization for the collection and use of the individual's personal information.

Non-NRD format:

Individual

By signing below, I, the individual, make the above individual certification and provide my consent and authorization for the collection, directly and indirectly, and use of my personal information.

Signature of individual____________________________

Date signed ___________________
(YYYY/MM/DD)

Firm

By signing below, I, on behalf of the firm, make the firm certification above.

Name of firm ____

Name of authorized signing officer or partner ___________________

Title of authorized signing officer or partner ____________________

Signature of authorized signing officer or partner ________________

Date signed ___________________
(YYYY/MM/DD)

2. Form 33-109F6: Use the following certification when making changes to Form 33-109F6

By signing below, I, on behalf of the firm, certify to the regulator or, in Québec, the securities regulatory authority in each jurisdiction where the firm is submitting this form and to any applicable SRO that

- I have read this form and understand all matters within this form, including the questions, and to the best of my knowledge and after reasonable inquiry, all of the information provided on this form is true and complete.

Name of firm ____

Name of authorized signing officer or partner ___________________

Title of authorized signing officer or partner ____________________

Signature of authorized signing officer or partner ________________

Date signed ___________________
(YYYY/MM/DD)

(b) by replacing Item 3 with the following:

Item 3 Notice and consent for collection and use of personal information

1. Notice of collection and use of personal information

Your personal information is collected by, or on behalf of, each securities regulatory authority and SRO set out in Schedule A. Any of the securities regulatory authorities or SROs set out in Schedule A may contact governmental or regulatory authorities, private bodies or agencies, individuals, corporations, employers, and other organizations, in Canada and in other countries, for information about you.

This personal information is being collected under the authority of the applicable securities legislation, derivatives legislation (including commodity futures legislation) or both of the securities regulatory authorities and under the SRO rules of an SRO set out in Schedule A. The collection, use and disclosure are done in accordance with applicable freedom of information and privacy legislation.

The principal purpose of this collection by the securities regulatory authorities is to administer, enforce, carry out their duties or exercise their powers under their respective securities legislation, derivatives legislation (including commodity futures legislation) or both, and by the SROs to administer and enforce the rules of the SROs.

The information submitted by you in this form with your consent, or collected indirectly with your authorization, may be collected

- at any time during your registration or while you are a permitted individual, or
- at the time the regulator or, in Québec, the securities regulatory authority, or the SRO is informed by your sponsoring firm that you no longer have authority to act on behalf of the sponsoring firm or are not a permitted individual of the sponsoring firm.

If you have any questions about the collection, use and disclosure of this information, contact the securities regulatory authority or SRO in any jurisdiction in which the required information is submitted. See Schedule A for details.

Certain information, such as your name(s) (including aliases, trade names or some past names), your sponsoring firm, and other relevant registration information, will be listed in a publicly available registry of registered individuals and, if applicable, on the Disciplined List.

Certain securities regulatory authorities may provide to or receive from certain entities information under separate provisions of their securities legislation or derivatives legislation (including commodity futures legislation) or both, and SROs may provide or receive information under the rules of the SROs. This consent and notice does not limit the authority, powers, obligations or rights conferred on any of the securities regulatory authorities by legislation or regulations in effect in their jurisdiction.

2. Consent to collect and use personal information

By submitting this form, you consent to and authorize the collection, directly and indirectly, of personal information by each securities regulatory authority and SRO and to the use of your personal information as set out above.

The personal information that each securities regulatory authority or SRO collects includes the following:

- the personal information provided in this form;
- the personal information provided by your sponsoring firm;
- registration or financial services licensing information;
- law enforcement records, including police records;
- credit records;

- bankruptcy or other insolvency records;
- employment records and information received from an employer;
- records and information received from entities you had or have an independent contractor or agency relationship with;
- personal information available online;
- records from governmental or regulatory authorities, SROs or professional bodies;
- records of, and used in, court proceedings, including probation records.***,***

(c) ***by repealing Item 4,***

(d) ***by repealing Item 5,***

(e) ***in Schedule A, by replacing "*Notice of*" in the title with "*Notice and Consent for*",***

(f) ***in Schedule A in the portion of the form under the contact information for British Columbia, by replacing "***Freedom of Information Officer***" with "***Registration staff***" and adding "***E-mail: Registration@bcsc.bc.ca***" at the end,***

(g) ***in Schedule A in the portion of the form under the contact information for Saskatchewan, by deleting "***Deputy***" after "***Attention:***" and adding at the end "***E-mail: registrationfcaa@gov.sk.ca***",***

(h) ***in Schedule A in the portion of the form under the contact information for Nova Scotia, by replacing "***Deputy Director, Capital Markets***" with "***Registration***",***

(i) ***in Schedule A in the portion of the form under the contact information for Yukon, by adding "***Office of the Yukon***" before "***Superintendent of Securities***" and replacing "***(867) 667-5314***" with "***(867) 667-5466***", and***

(j) ***in Schedule A in the portion of the form under the contact information for Northwest Territories, by deleting "***Deputy***" after "***Attention:***".***

15. ***Form 33-109F6* Firm Registration *is amended***

(a) ***by replacing the text between the heading "*Contents of the form*" and the sentence "***You are also required to submit the following supporting documents with your completed form:***" with the following:***

This form consists of the following:

Collection and use of personal information
Certification

Part 1 – Registration details

Part 2 – Contact information

Part 3 – Business history and structure

Part 4 – Registration history

Part 5 – Financial condition

Part 6 – Client relationships

Part 7 – Regulatory action

Part 8 – Legal action

Part 9 – [*repealed*]

Schedule A – Contact information for consent and notice of collection and use of personal information

Schedule B – Submission to jurisdiction and appointment of agent for service

Schedule C – Form 31-103F1 Calculation of excess working capital**;**

(b) ***by replacing the text between the sentence "***However, the questions in Part 4 – *Registration History* and Part 7 – *Regulatory Action* are to be answered in respect of any jurisdiction in the world.***" and the heading "*****Updating the information on the form*****" with the following:***

It is an offence to knowingly give false or misleading information to the regulator or securities regulatory authority.

(c) ***by replacing the text between the heading "*****Collection and use of personal information*****" and the heading "*****Part 1 – Registration details*****" with the following:***

In obtaining information about the firm, each securities regulatory authority and SRO set out in Appendix A may receive and collect personal information about individuals, if any, associated with the firm and its directors, officers, partners, employees, contractors and agents.

This may include the collection of

- the personal information provided in this form,
- registration or financial services licensing information,
- personal information available online,
- records from governmental or regulatory authorities, SROs or professional bodies, or
- records of, and used in, court proceedings, including probation records.

Any of the securities regulatory authorities or SROs set out in Schedule A may contact governmental or regulatory authorities, private bodies or agencies, individuals, corporations, employers, and other organizations, in Canada and in other countries, for information about the individual.

This personal information is being collected under the authority of the applicable securities legislation, derivatives legislation (including commodity futures legislation), or both of the securities regulatory authorities and under the SRO rules of an SRO set out in Schedule A. The collection, use and disclosure are done in accordance with applicable freedom of information and privacy legislation.

The principal purpose of this collection by the securities regulatory authorities is to administer, enforce, carry out their duties or exercise their powers under their respective securities legislation, derivatives legislation (including commodity futures legislation) or both, and for the SROs to administer and enforce the rules of the SROs.

The information may be collected

- at the time of the firm's application,
- at any time during the firm's registration, or
- at the time the regulator or, in Québec, the securities regulatory authority, or the SRO is informed by the firm that it is surrendering its registration.

If you or anyone referred to in this form has any questions about the collection, use, and disclosure of this information, you or they can contact the regulator or, in Québec, the securities regulatory authority, or SRO in any jurisdiction in which the required information is submitted. See Schedule A for details.

Certain registration information about the firm and its registered individuals will be listed in a publicly available registry, including names used by the firm, the address of the firm's head office, whether the firm is on the Disciplined List, the jurisdictions and categories in which the firm is registered, and whether any terms and conditions have been imposed on the firm's registration, and the firm's registered individuals.

Certain securities regulatory authorities may provide to or receive from certain entities information under separate provisions of their securities legislation or derivatives legislation (including commodity futures legislation) or both, and SROs may provide or receive information under the rules of the SROs. This consent and notice does not limit the authority, powers, obligations, or rights conferred on any of the securities regulatory authorities by legislation or regulations in effect in their jurisdiction.

WARNING: It is an offence to knowingly give false or misleading information to the regulator or the securities regulatory authority.

CERTIFICATION

By signing this form, I, on behalf of the firm,

1. certify to the regulator or, in Québec, the securities regulatory authority in each jurisdiction where the firm is submitting this form and to any applicable self-regulatory organization (SRO) that

   - I have read this form,
   - the firm has submitted and filed all information required to be submitted and filed under securities legislation and/or derivatives legislation in the principal jurisdiction of Canada where the firm is seeking registration, and
   - to the best of my knowledge and after reasonable inquiry, all of the information provided on this form is true and complete,

2. authorize the principal regulator to give each non-principal regulator and, where applicable, SRO access to any information the firm has submitted or filed with the principal regulator under securities legislation or derivatives legislation or both in relation to the firm's registration in that jurisdiction,

3. acknowledge that the regulator or, in Québec, the securities regulatory authority, and SRO may collect and provide personal information about the individuals referred to in this form under the heading *Collection and Use of Personal Information*, and

4. confirm that the individuals referred to in this form have been notified that the individuals' personal information is disclosed on this form, the legal reason for doing so, how it will be used and who to contact for more information.

Name of firm ____

Name of authorized signing officer or partner ___________________

Title of authorized signing officer or partner ____________________

Signature of authorized signing officer or partner ________________

Date signed __________________ ,
(YYYY/MM/DD)

(d) ***in item 2.4, by replacing "***a completed Schedule B***" with "***an executed Schedule B***",***

(e) ***by replacing item "*****3.10 Permitted individuals*****" with the following:***

3.10 Permitted individuals

List all permitted individuals of the firm.

State why the individual is considered a permitted individual (*e.g.*, director, partner, officer, shareholder, or a permitted individual as described in paragraph (c) of the definition of “permitted individual” in section 1.1 of National Instrument 33-109 *Registration Information*).

Name	Type of Permitted Individual	NRD number, if applicable

(f) ***by replacing item 3.12 with the following:***

3.12 Ownership chart

Attach a chart showing the firm’s structure and ownership. Include all parents, specified affiliates and specified subsidiaries. Indicate which of the parents, specified affiliates and specified subsidiaries are registered under securities legislation in any jurisdiction of Canada and provide their NRD number.

Include the name of the person or company, and class, type, amount and percentage ownership of the firm’s voting securities.**,**

(g) ***in item 4.6 by replacing the table after the sentence “***If yes, provide the following information for each registration or licence:***” with the following:***

Name of entity	
Type of licence or registration	
Licence number	
Regulator/organization	
Date of registration (yyyy/mm/dd)	Expiry date, if applicable (yyyy/mm/dd)
Jurisdiction	

(h) ***in item 5.13(b), by replacing "***an interim financial report***" with "***interim financial information (as set out in section 12.11 of NI 31-103)***",***

(i) ***by repealing Part 9,***

(j) ***in Schedule A in the portion of the form under the contact information for British Columbia, by replacing "***Freedom of Information Officer***" with "***Registration staff***" and adding "***E-mail: Registration@bcsc.bc.ca***" at the end,***

(k) ***in Schedule A in the portion of the form under the contact information for Saskatchewan, by deleting "***Deputy***" after "***Attention:***" and adding at the end "***E-mail: registrationfcaa@gov.sk.ca***",***

(l) ***in Schedule A in the portion of the form under the contact information for Nova Scotia, by replacing "***Deputy Director, Capital Markets***" with "***Registration***",***

(m) ***in Schedule A in the portion of the form under the contact information for Yukon, by adding "***Office of the Yukon***" before "***Superintendent of Securities***" and replacing "***(867) 667-5314***" with "***(867) 667-5466***",***

(n) ***in Schedule A in the portion of the form under the contact information for Northwest Territories, by deleting "***Deputy***" after "***Attention:***",***

(o) ***in Schedule B, by replacing the portion of the form in point 7 with the following:***

7. Until six years after the Firm ceases to be registered, the Firm must file a new executed Submission to jurisdiction and appointment of agent for service in this form

   a. no later than the 15th day after the date this Submission to jurisdiction and appointment of agent for service is terminated, and

   b. no later than the 15th day after any change in the name or address of the Agent for Service.***, and***

(p) ***in Schedule C, by replacing "***CICA Handbook***" with "***CPA Canada Handbook***".***

16. ***Form 33-109F7*** **Reinstatement of Registered Individuals and Permitted Individuals (sections 2.3 and 2.5(2))** ***is amended***

(a) ***by adding the following text between the title "*****Form 33-109F7** ***Reinstatement of Registered Individuals and Permitted Individuals*** **(sections 2.3 and 2.5(2))*****" and "*****GENERAL INSTRUCTIONS*****":***

WARNING - It is an offence to knowingly give false or misleading information to the regulator or the securities regulatory authority.

CERTIFICATION

Individual

I, the individual, certify to the regulator or, in Québec, the securities regulatory authority in each jurisdiction where I am submitting this form and to any applicable self-regulatory organization (SRO) that

- I have read this form and understand all matters within this form, including the questions and, for greater certainty, if the business location is a residence, the notice in Item 5,
- I have discussed this form with a branch manager, supervisor, officer or partner of my sponsoring firm and that to the best of my knowledge, the branch manager, supervisor, officer or partner is satisfied that I understand all matters within this form, including the questions,
- to the best of my knowledge and after reasonable inquiry, all of the information provided on this form is true and complete,
- if applicable, I will limit my activities to those allowed by my category of registration and any SRO approval, and
- the new sponsoring firm understands that if my registration was subject to any terms and conditions that were unsatisfied when I left my former sponsoring firm, those terms and conditions remain in effect and the new sponsoring firm agrees to assume any ongoing obligations that applied to the former sponsoring firm in respect of my registration under those terms and conditions.

I consent to and authorize the collection, directly and indirectly, of personal information by each regulator, securities regulatory authority and SRO and to the use of my personal information as set out in Item 10.

Firm

I, on behalf of the firm, certify to the regulator or, in Québec, the securities regulatory authority in each jurisdiction where the firm is submitting this form and to any applicable SRO that

- the individual identified in this form will be engaged by the new sponsoring firm as a registered individual or a permitted individual,
- I have, or a branch manager, supervisor, officer or partner has, discussed this form with the individual. To the best of my knowledge, the individual understands all matters within this form, including the questions, and
- the new sponsoring firm understands that if the individual's registration was subject to any undischarged terms and conditions

when the individual left the individual's former sponsoring firm, those terms and conditions remain in effect and agrees to assume any ongoing obligations that apply to the former sponsoring firm in respect of the individual under those terms and conditions.

NRD format:

☐ I, the authorized firm representative, am making this submission under authority delegated by the firm and the individual identified in this form. By checking this box, I certify that

(a) the firm provided me with all of the information on this form and makes the firm certification above,

(b) the individual provided the firm with all of the information on this form and makes the individual certification above, and

(c) the individual provided the above consent and authorization for the collection and use of the individual's personal information.

Non-NRD format:

Individual

By signing below, I, the individual, make the above individual certification and provide my consent and authorization for the collection, directly and indirectly, and use of my personal information.

Signature of individual ____________________________

Date signed ___________________
(YYYY/MM/DD)

Firm

By signing below, I, on behalf of the firm, make the firm certification above.

Name of firm ____

Name of authorized signing officer or partner ___________________

Title of authorized signing officer or partner ____________________

Signature of authorized signing officer or partner ________________

Date signed ___________________ ,
(YYYY/MM/DD)

(b) by replacing the text between the heading* "GENERAL INSTRUCTIONS" *and* "Terms" *with the following:

GENERAL INSTRUCTIONS

Complete and submit this form to the relevant regulator(s) or, in Québec, the securities regulatory authority, or self-regulatory organization (SRO) if

- an individual has left a sponsoring firm and is seeking to reinstate the individual's registration in one or more of the same categories or reinstate the same status of permitted individual as before with a new sponsoring firm, and
- the new sponsoring firm is registered in the same category of registration in which the individual's former sponsoring firm was registered.

You only need to complete and submit one form regardless of the number of registration categories or permitted individual statuses you are seeking to be reinstated in.

An individual may reinstate the individual's registration or permitted individual status by submitting this form. This form must not be used unless all of the following apply:

1. this form is submitted on or before the 90th day after the cessation date of the individual's employment, partnership or agency relationship with the individual's former sponsoring firm;
2. the information in the individual's Form 33-109F4 was up-to-date as of the cessation date of the individual's employment, partnership or agency relationship with the individual's former sponsoring firm;
3. if this form is submitted on or after June 6, 2023, on the date this form is submitted, the individual's information in the National Registration Database does not state "there is no response to this question" for any item of the individual's Form 33-109F4;
4. there have been no changes to the information previously submitted in respect of the following items of the individual's Form 33-109F4 since the individual left the individual's former sponsoring firm:
    - Item 13 (Regulatory disclosure), other than changes to Item 13.3(a);
    - Item 14 (Criminal disclosure);
    - Item 15 (Civil disclosure);
    - Item 16 (Financial disclosure);
5. at the time of cessation with the individual's former sponsoring firm, there were no allegations against the individual, in Canada or in any foreign jurisdiction, relevant to an assessment of whether the individual is not suitable for registration or the registration is

objectionable, including, for greater certainty, an allegation against the individual of any of the following:

- a crime;
- a contravention of any statute, regulation, or order of a court or regulatory body;
- a contravention of any rule or bylaw of an SRO, of a professional body, or of a similar organization;
- a failure to meet any standard of conduct of the sponsoring firm or of any professional body.

If you do not meet all of the above conditions, then you must apply for reinstatement by completing on NRD a Form 33-109F4 by making the NRD submission entitled "*Reactivation of Registration*".***,***

(c) in Item 2, by replacing the portion of the Form in section 2 with the following:

2. Check each province or territory in which you are seeking reinstatement of registration or, if you are seeking reinstatement as a permitted individual, check each province or territory where your sponsoring firm is registered:

☐ All jurisdictions

☐ Alberta
☐ British Columbia
☐ Manitoba
☐ New Brunswick
☐ Newfoundland and Labrador
☐ Northwest Territories
☐ Nova Scotia
☐ Nunavut
☐ Ontario
☐ Prince Edward Island
☐ Québec
☐ Saskatchewan
☐ Yukon

(d) by adding at the end of Item 5 the following:

6. Notice regarding a business location that is a residence

For the administration of securities legislation or derivatives legislation, including commodity futures legislation, or both, the regulator or, in

Québec, the securities regulatory authority may require access to the business location to review the books, records and documents of the registered firm. If applicable, the SRO may also require access to the business location for the administration of the rules of the SRO.

If the business location specified in this form is a residence, the regulator, securities regulatory authority or SRO may request consent to enter the residence.

If consent is not provided, it may affect the ability of the regulator, securities regulatory authority or SRO to access the books, records or documents of a registered firm and to determine whether securities legislation, derivatives legislation (including commodity futures legislation) or the rules of the SRO are being complied with. As a result, the regulator, securities regulatory authority or SRO may take action if it is unable to access and review the books, records or documents of a registered firm held at the business location.**.**

(e) by replacing Item 7 with the following:

Item 7 Reportable activities

Name of your new sponsoring firm: ______________________________

1. Activities with your sponsoring firm

Instructions: Describe all of your roles and responsibilities with your sponsoring firm, whether these roles and responsibilities are securities-related or not (e.g., sale of securities, review of marketing materials, IT help desk, negotiation of employment contracts, sales of banking and insurance products and services). Include any other information about your position with your sponsoring firm that is relevant for the regulator or, in Québec, the securities regulatory authority to know (e.g., if your role is specialized). For example, if you are applying as an advising representative limited to client relationship management, indicate this by including the following statement in Schedule D: "Individual is seeking registration as CRM AR."

Complete a Schedule D with respect to your roles and responsibilities with your sponsoring firm.

2. Reportable outside activities

Instructions: Consider all of the activities that you participate in outside of your sponsoring firm, whether or not you receive compensation for such activities and whether or not any such activity is business-related. Activities performed for an affiliated entity are considered activities outside of your sponsoring firm. If any of the categories below describes one or more activities that you participate in, complete a separate Schedule D for each activity or entity. If multiple activities are performed *for one entity, complete a single Schedule D identifying all the activities performed.*

Uncompensated activities that do not fall within Categories 1 to 5 (i.e., generally activities that do not involve securities or financial services and are not a position of influence, such as being a little league soccer coach) are not reportable.

Category 1 - Activities with another registered firm

Instructions: Report activities with registered firms, other than your sponsoring firm. All activities in this category are reportable, whether or not you receive compensation for such activities. Major shareholder means a shareholder who, in total, directly or indirectly owns voting securities carrying 10 percent or more of the votes carried by all outstanding voting securities.

If you are a director, officer, employee, contractor, consultant, agent, or service provider of a registered firm other than your sponsoring firm, or are in any other equivalent position with or for that registered firm, or are a major shareholder or partner of that registered firm, complete a separate Schedule D for the registered firm.

Category 2 - Activities with an entity that receives compensation from a registered firm

If you are a director, officer, employee, contractor, consultant, or agent of a specified entity, or are in any other equivalent position with or for a specified entity, or are a shareholder or partner of a specified entity, complete a separate Schedule D for the specified entity.

For the purposes of this category, "specified entity" means an entity that receives compensation from a registered firm for activities that you provide for your sponsoring firm or another registered firm.

Category 3 - Other securities-related activities

Instructions: All activities in this category are reportable, whether or not you receive compensation for such activities. Charitable or other fundraising activities that do not involve the issuance of securities or derivatives are not reportable.

If you have been at any time in the last 7 years directly involved in raising money for an entity through the issuance of securities or derivatives or promoting the sale of an entity's securities or derivatives outside of your activities with your sponsoring firm or another registered firm, complete a separate Schedule D for each entity for which you performed these activities.

Directors and officers of reporting issuers and of entities that have been at any time in the last 7 years raising money through the issuance of securities or derivatives are considered to be directly involved in raising money for that entity.

Category 4 - Provision of financial or finance-related services

Instructions: All activities in this category are reportable, whether or not you receive compensation for such activities. For example, volunteer activities pertaining to your securities or financial services knowledge must be reported under this category. Also report if you are the owner or management of an entity that provides these services. Major shareholder means a shareholder who, in total, directly or indirectly owns voting securities carrying 10 percent or more of the votes carried by all outstanding voting securities.

Complete a separate Schedule D for each activity, as applicable, if you

- sell or negotiate insurance, including being an insurance broker or agent,
- provide loan or deposit or other banking products and services,
- carry on a money service business, including exchanging one type of currency for another, transferring money from one person to another, or issuing or redeeming money orders, traveller’s cheques or anything similar,
- facilitate or administer mortgages, including acting as a mortgage broker, agent or administrator,
- prepare tax returns or provide tax advice,
- help create programs for persons to meet their long-term financial goals, including providing financial planning (including estate planning) or financial advice,
- provide corporate finance services, including services provided in the capacity of a comptroller, treasurer and chief financial officer,
- advise persons under financial stress on credit/debt restructuring,
- are a pension consultant,
- provide advice on mergers and acquisitions,
- provide accounting or bookkeeping services,
- provide oversight or independent review or expert opinion on the management of an entity’s financial assets,
- lend money or accept deposits of money (e.g., alternative financing, non-bank financial institutions), or

- provide other financial or finance-related services not identified above.

Also complete a separate Schedule D for each activity, as applicable, if you are a director or officer, or are in any other equivalent position with or for, or are a major shareholder or active partner of, an entity that provides one or more of the services in the above list.

Category 5 - Positions of influence

Instructions: All positions of influence (e.g., medical doctor, leader in a religious organization) are reportable, whether or not you receive compensation for such activities. Guidance: see also section 13.4.3 of National Instrument 31-103 Registration Requirements, Exemptions and Ongoing Registrant Obligations and the Companion Policy to National Instrument 31-103 Registration Requirements, Exemptions and Ongoing Registrant Obligations.

Complete a separate Schedule D for each position of influence that you are in.**,**

(f) in Item 9, by replacing section 2 with the following:

2. Check the box below - ***I am eligible to file this Form 33-109F7 -*** only if you satisfy all of the following conditions:

(a) the information in your Form 33-109F4 was up-to-date when you left your sponsoring firm;

(b) there are no changes to any of the disclosure items under Item 9.1 above;

(c) if this form is submitted on or after June 6, 2023, on the date this form is submitted, your information in the National Registration Database does not state "there is no response to this question" for any item of Form 33-109F4;

(d) at the time of cessation with your former sponsoring firm, there was no allegation against you, in Canada or in any foreign jurisdiction, relevant to an assessment of whether you are not suitable for registration or your registration is objectionable, including, for greater certainty, any allegations against you of

- a crime,

- a contravention of any statute, or regulation, or order of a court or regulatory body,

- a contravention of any rule or bylaw of an SRO, or a professional body, or of a similar organization, or

- a failure to meet any standard of conduct of the sponsoring firm or of any professional body.

If you do not meet the above conditions for selecting the box '*I am eligible to file this Form 33-109F7*', then you must apply for reinstatement by completing on NRD a Form 33-109F4 by making the NRD submission entitled "*Reactivation of Registration*". If you are submitting a Form 33-109F4 in a format other than NRD format you must complete the entire form.

☐ I am eligible to file this Form 33-109F7.**,**

(g) by replacing Item 10 with the following:

Item 10 Submission to jurisdiction and notice and consent for collection and use of personal information

1. Submission to jurisdiction

By submitting this form, you agree to be subject to the securities legislation or derivatives legislation (including commodity futures legislation) or both of each jurisdiction of Canada, and to the bylaws, regulations, rules, rulings and policies (collectively referred to as "rules" in this form) of the SROs to which you have submitted this form. This includes the jurisdiction of any tribunals or any proceedings that relate to your activities as a registrant or a partner, director or officer of a registrant under that securities legislation or derivatives legislation or both or as an approved person under SRO rules.

2. Notice of collection and use of personal information

Your personal information is collected by, or on behalf of, each securities regulatory authority and SRO set out in Schedule F. Any of the securities regulatory authorities or SROs set out in Schedule F may contact governmental or regulatory authorities, private bodies or agencies, individuals, corporations, employers, and other organizations, in Canada and in other countries, for information about you.

This personal information is being collected under the authority of the applicable securities legislation, derivatives legislation (including commodity futures legislation) or both of the securities regulatory authorities and under the SRO rules of an SRO set out in Schedule F. The collection, use and disclosure are done in accordance with applicable freedom of information and privacy legislation.

The principal purpose of this collection by the securities regulatory authorities is to administer, enforce, carry out their duties or exercise their powers under their respective securities legislation, derivatives legislation (including commodity futures legislation) or both, and by the SROs to administer and enforce the rules of the SROs.

The information submitted by you in this form with your consent, or collected indirectly with your authorization, may be collected

- at the time of your application,
- at any time during your registration or while you are a permitted individual, or
- at the time the regulator or, in Québec, the securities regulatory authority, or the SRO is informed by your sponsoring firm that you no longer have authority to act on behalf of the sponsoring firm or are not a permitted individual of the sponsoring firm.

If you have any questions about the collection, use and disclosure of this information, contact the securities regulatory authority or SRO in any jurisdiction in which the required information is submitted. See Schedule F for details.

Certain information, such as your name(s) (including aliases, trade names or some past names), your sponsoring firm, and other relevant registration information, will be listed in a publicly available registry of registered individuals and, if applicable, on the Disciplined List.

Certain securities regulatory authorities may provide to or receive from certain entities information under separate provisions of their securities legislation or derivatives legislation (including commodity futures legislation) or both, and SROs may provide or receive information under the rules of the SROs. This consent and notice does not limit the authority, powers, obligations or rights conferred on any of the securities regulatory authorities by legislation or regulations in effect in their jurisdiction.

3. Consent to collect and use personal information

By submitting this form, you consent to and authorize the collection, directly and indirectly, of personal information by each securities regulatory authority and SRO and to the use of your personal information as set out above.

The personal information that each securities regulatory authority or SRO collects includes the following:

- the personal information provided in this form;
- the personal information provided by your sponsoring firm;
- registration or financial services licensing information;
- law enforcement records, including police records;
- credit records;

- bankruptcy or other insolvency records;
- employment records and information received from an employer;
- records and information received from entities you had or have an independent contractor or agency relationship with;
- personal information available online;
- records from governmental or regulatory authorities, SROs or professional bodies;
- records of, and used in, court proceedings, including probation records.**,**

(h) ***by repealing Item 11,***

(i) ***by repealing Item 12,***

(j) ***in Schedule B, by replacing the text between the subheading* "Approval categories*" and "*Additional approval categories*" with the following:***

[ ] Executive
[ ] Director (Industry)
[ ] Director (Non-Industry)
[ ] Supervisor
[ ] Investor
[ ] Registered Representative
[ ] Investment Representative
[ ] Portfolio Manager
[ ] Associate Portfolio Manager
[ ] Trader**,**

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

Schedule D
Reportable activities (Item 7)

1. Start date ____________________
(YYYY/MM/DD)

2. Sponsoring firm or other entity information

☐ Check here if the reportable activity is with your sponsoring firm.

If the reportable activity is with your sponsoring firm, you are not required to indicate the firm's name and address but are required to provide the name and title of your immediate supervisor. For all other types of reportable activity, enter all of the information below:

Name of business or employer: ___________________________________

Address of business or employer: _________________________________
(number, street, city, province, territory or state, country)

Name and title of your immediate supervisor: _______________________

3. Description of the reportable activity and your roles and responsibilities

Instructions: If you are completing this schedule in relation to your activities with your sponsoring firm, for (e) below, provide the title(s) you will use once registered, and if you are already registered, provide the title(s) you use as of the date of this filing.

(a) Describe the entity that you carry on the activity with or for, including the nature of the entity's business.

(b) Is the entity listed on an exchange?

(c) Describe your relationship with the entity.

(d) Describe all of your roles and responsibilities relating to the activity.

____

(e) Provide all business title(s) and professional designation(s) you use for the activity.

____

4. Number of work hours per week

How many hours per week do you spend on this activity? _____________

5. Conflicts of interest

Instructions: Complete this section if you have a reportable activity outside your sponsoring firm. Do not complete this section if your reportable activity is solely with your sponsoring firm.

Take into consideration existing and reasonably foreseeable material conflicts of interest and existing and potential client confusion.

(a) Does the activity give rise to any material conflicts of interest between the client and the sponsoring firm or you? Does the activity give rise to client confusion? If no material conflicts of interest or client confusion are expected, explain why.

____

____

(b) Describe (i) the material conflicts of interest, and (ii) how these conflicts will be addressed in the best interest of the client.

(c) Describe (i) the client, and (ii) how the client confusion will be addressed.

(d) Does your sponsoring firm <u>and</u> the entity have procedures for identifying and addressing material conflicts of interest? If so, confirm you are complying with both sets of procedures.

(e) State the name and title of the individual at your sponsoring firm who has reviewed and approved the activity.

(l) ***in Schedule E, by replacing the text between the sentence "***b) State the market value (approximate, if necessary) of any subordinated debentures or bonds of the firm to be held by you or any other subordinated loan to be made by you to the firm:***" and the sentence "***f) Is a person other than you the beneficial owner of the shares, bonds, debentures, partnership units or notes held by you?***" with the following:***

c) If another person or entity has provided you with funds to invest in the firm, provide the name of the person or entity and state the relationship between you and that person or entity:

d) Is the payment of the funds to be invested (or proposed to be invested) guaranteed directly or indirectly by any person or entity?

Yes ☐ No ☐

If "Yes", provide the name of the person or entity and state the relationship between you and that person or entity:

e) Have you directly or indirectly given up any rights relating to these securities or this partnership interest, or do you, when you are registered or approved as a result of the review of this form, intend to give up any of these rights (including by hypothecation, pledging or depositing as collateral the securities or partnership interest with any entity or person)?

Yes ☐ No ☐

If "Yes", provide the name of the person or entity, state the relationship between you and that person or entity and describe the rights that have been or will be given up:

____

(m) in Schedule F, by replacing "*Notice of*" in the title with "*Notice and Consent for*",

(n) in Schedule F in the portion of the form under the contact information for British Columbia, by replacing "Freedom of Information Officer***" with "***Registration staff***" and adding "***E-mail: Registration@bcsc.bc.ca***" at the end,***

(o) in Schedule F in the portion of the form under the contact information for Saskatchewan, by deleting "Deputy***" after "***Attention:***" and adding at the end "***E-mail: registrationfcaa@gov.sk.ca***",***

(p) in Schedule F in the portion of the form under the contact information for Nova Scotia, by replacing "Deputy Director, Capital Markets***" with "***Registration***",***

(q) in Schedule F in the portion of the form under the contact information for Yukon, by adding "Office of the Yukon***" before "***Superintendent of Securities***" and replacing "***(867) 667-5314***" with "***(867) 667-5466***", and***

(r) in Schedule F in the portion of the form under the contact information for Northwest Territories, by deleting "Deputy***" after "***Attention:***".***

17. (1) This Instrument comes into force on June 6, 2022.

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

ADVERTISEMENTS

Horse Racing Alberta

(Horse Racing Alberta Act)

Directive No. 188 - 2022
All Breeds

The Rules Governing Horse Racing in Alberta are AMENDED as follows:

Chapter 3: General Horse Racing Rules \ Part 5 General Rules

The following rule is AMENDED to read:

Rule 348 g Sales of race horses to be approved

(1) No sale of a race horse is effective unless it is first approved by the *judges/stewards board.

(2) No owner, breeder, trainer or other license holder (licensee) will knowingly sell, contribute or participate in the sale of any race horse racing in the Province of Alberta to any person, farm, facility, including those persons, farms, or facilities outside Canada or slaughterhouse for the purpose of slaughter. In addition, it is the responsibility of the licensee to ensure that the horse once sold will not end up in a slaughterhouse for the remainder of the life of the horse.

Rule 348 g Sales of race horses to be approved currently states:

(1) No sale of a race horse is effective unless it is first approved by the *judges/stewards board.

Dated at Edmonton, Alberta, April 4, 2022.

Kent Verlik, *Chief Executive Officer*.

Directive No. 189 - 2022
All Breeds

The Rules Governing Horse Racing in Alberta are AMENDED as follows:

Chapter 3: General Horse Racing Rules \ Part 3 Horse Racing Misconduct \ Division 2 Rule Violations

The following rule is AMENDED to read:

Rule 292 g Prohibition on entry

(1) If on the race day or at any other time a *horse tests positive in Alberta for any of the following classes of drugs, the horse shall be declared by the *judges/stewards board to be ineligible to race according to the penalty structure below after the date of identification of the horse with the positive test and, will be placed on the *judges/stewards list.

A horse may be eligible for a reduced penalty, if the owner/trainer provides a negative test result at their own expense and under the supervision of the Official Veterinarian.

(a) Class I: **90 days for first offence - reduced penalty considered after 45 days.**

(b) Class II: **60 days for first offence - reduced penalty considered after 30 days.**

(c) Class III: **15 days for first offence - reduced penalty considered after 7 days.**

(2) If a horse tests positive in a jurisdiction outside Alberta for any of the following classes of drugs, the horse shall be declared by the judges/stewards board to be ineligible to race in Alberta according to the penalty structure below after the date of identification of the horse with the positive test.

A horse may be eligible for a reduced penalty, if the owner/trainer provides a negative test result at their own expense and under the supervision of the Official Veterinarian.

(a) Class I: **90 days for first offence - reduced penalty considered after 45 days.**

(b) Class II: **60 days for first offence - reduced penalty considered after 30 days.**

(c) Class III: **15 days for first offence - reduced penalty considered after 7 days.**

(3) In subrules (1) and (2), Class I, Class II and Class III means the substances with that classification in the Uniform Classification Guidelines of Foreign Substances, published by Racing Commissioners International or if there is no such classification, as determined by Horse Racing Alberta.

Rule 292 g Prohibition of entry currently states:

(1) If on the race day or at any other time a *horse tests positive in Alberta for any of the following classes of drugs, the horse shall be declared by the *judges/stewards board to be ineligible to race for 90 days after the date of

identification of the horse with the positive test, and will be placed on the *judges/stewards list:

(a) Class I;

(b) Class II;

(c) Class III.

(2) If a horse tests positive in a jurisdiction outside Alberta for any of the following classes of drugs, the horse shall be declared by the judges/stewards board to be ineligible to race in Alberta for 90 days after the date of identification of the horse with the positive test:

(a) Class I;

(b) Class II;

(c) Class III.

(3) In subrules (1) and (2), Class I, Class II and Class III means the substances with that classification in the Uniform Classification Guidelines of Foreign Substances, published by Racing Commissioners International or if there is no such classification, as determined by Horse Racing Alberta.

Dated at Edmonton, Alberta, April 4, 2022.

Kent Verlik, *Chief Executive Officer*.

Directive No. 190 - 2022
Thoroughbred

The Rules Governing Horse Racing in Alberta are AMENDED as follows:

Chapter 3: General Horse Racing Rules \ Part 2 Race Meetings \ Division 2 Entries and Nominations

The following rule is AMENDED to read:

Rule 164 t Limitation on entries

A *horse may only be entered in a major and minor race meeting if:

(d) in the case of a horse that has not started for 30 days or more but has had a race of **five furlongs or more** during the current calendar year, the horse must have, in the presence of an official clocker, one qualifying workout of at least 4 furlongs within 30 days of the day of the race for which it is entered, and the results have been filed with the racing secretary.

Rule 164 t Limitation on entries currently states:

A *horse may only be entered in a major and minor race meeting if:

(d) in the case of a horse that has not started for 30 days or more but has had a race of **five and one half furlongs** or more during the current calendar year, the horse must have, in the presence of an official clocker, one qualifying workout of at least 4 furlongs within 30 days of the day of the race for which it is entered and the results have been filed with the racing secretary.

Dated at Edmonton, Alberta, April 4, 2022.

Kent Verlik, *Chief Executive Officer*.

Directive No. 191 - 2022
All Breeds

The Rules Governing Horse Racing in Alberta are AMENDED as follows:

Chapter 3: General Horse Racing Rules \ Part 4 Claiming Rules

The following rule is AMENDED to read:

Rule 336 g Limitations on sale and racing of claimed horses

(1) A claimed *horse in thoroughbred racing must not

(a) be sold or transferred to anyone, in whole or in part, except in a *claiming race, for at least 60 *days after the date of a *claim, unless the *stewards board permits a transfer to another *trainer;

(b) return to the same stable or to control or management of its former *licensed owner or trainer for at least 60 days after the date of the claim, unless the horse is reclaimed;

(c) be raced outside **of the** Alberta **circuit from which it was *claimed from for the balance of that Alberta circuits *racing season without the permission of the *stewards board.**

Rule 336 g Limitations on sale and racing of claimed horses currently states:

(1) A claimed horse in thoroughbred racing must not

(a) be sold or transferred to anyone, in whole or in part, except in a claiming race, for at least 60 days after the date of a claim, unless the stewards board permits a transfer to another trainer;

(b) return to the same stable or to control or management of its former licensed owner or trainer for at least 60 days after the date of the claim, unless the horse is reclaimed;

(c) be raced outside Alberta for a balance of the Alberta racing season without the permission of the stewards board.

Dated at Edmonton, Alberta, April 4, 2022.

Kent Verlik, *Chief Executive Officer*.

Directive No. 192 - 2022
Quarter Horse

The Rules Governing Horse Racing in Alberta are AMENDED as follows:

Chapter 3: General Horse Racing Rules \ Part 2 Race Meetings \ Division 5 Race Day \ Subdivision 2

The following rule is AMENDED to read:

Rule 257 g What are winnings

(1) For the purpose of determining eligibility and allowances only, the winning of a fixed sum is the value of a *race to the winner.

(2) **A Quarter Horse is considered a winner regardless of the money earned.**

Rule 257 g What are winnings currently states:

(1) For the purpose of determining eligibility and allowances only, the winning of a fixed sum is the value of a *race to the winner.

Dated at Edmonton, Alberta, April 4, 2022.

Kent Verlik, *Chief Executive Officer*.

Directive No. 193 - 2022
All Breeds

The Rules Governing Horse Racing in Alberta are AMENDED as follows:

Chapter 3: General Horse Racing Rules \ Part 1 Administration of Horse Races and Veterinary Care \ Division 1 Appointment of Officials, Facilities and Record Keeping Racing Officials

The following rule is AMENDED to read:

Rule 112 g First aid and ambulance facilities

(1) A ***licensed operator shall** provide and equip a first aid room and have present on their premises, or within easy call, a licensed physician, registered nurse, or qualified attendant and shall also have present during morning workouts, qualifying races and during the regular racing program an ambulance or mobile first aid vehicle, equipped and operated by the St. John Ambulance or equivalent, for participants and patrons.

(2) A *licensed operator shall have during morning workouts, qualifying races and during the regular racing program, a qualified person who has completed the Sport Concussion Assessment Tool 5th Edition (SCAT5) training for concussion assessment.

(3) A ***licensed operator** shall have a horse ambulance available in the stable area on race days for the removal of injured animals.

(4) Provide a horse ambulance available to remove horses from the track.

Rule 112 g First aid and ambulance facilities currently states:

(1) An Association shall/may provide and equip a first aid room and have present on their premises, or within easy call, a licensed physician, registered nurse or qualified attendant and shall also have present during morning workouts, qualifying races and during the regular racing program an ambulance or mobile first aid vehicle, equipped and operated by the St. John Ambulance Brigade or equivalent, for participants and patrons.

(2) An Association shall/may have a horse ambulance available in the stable area on race days for the removal of injured animals.

(3) Provide a horse ambulance available to remove horses from the track.

Dated at Edmonton, Alberta, April 4, 2022.

Kent Verlik, *Chief Executive Officer*.

Directive No. 194 - 2022
All Breeds

The Rules Governing Horse Racing in Alberta are AMENDED as follows:

Chapter 3: General Horse Racing Rules \ Part 2 Race Meetings \ Division 5 Race Day \ Subdivision 3 Testing for drugs, medications and foreign and prohibited substances

The following rule is AMENDED to read:

Rule 268 g Repeat of tests

(1) If a licensee is found culpable by the judge/stewards board with respect to a positive test for a prohibited drug in a horse under the licensee's care, the licensee may, at their own expense, arrange for a repeat test at a laboratory accredited by a recognized national accrediting body under ISO/IEC 17025, and is also known as a laboratory that does analysis on equine samples, on any residue of the urine, blood or saliva originally tested, if in the opinion of the official laboratory that has handled the initial testing

(a) there is sufficient quantity of the residue remaining for a proper test to be conducted, and

(b) the sample has not suffered degradation to the extent that the retesting results would be inconclusive.

(2) Once a test of a sample has been requested, any movement of that sample is under the control of Horse Racing Alberta, the Canadian Pari-Mutuel Agency and the official laboratory that handled the initial testing.

(3) A request for the release of an official sample residue must be made by the Originator (owner or trainer) to the Provincial Regulatory Body **and the Canadian Pari-Mutuel Agency** within 21 calendar days from the date of issue indicated on the Certificate of Positive Analysis.

Rule 268 g Repeat of tests previously stated:

If a licensee is found culpable by the judge/stewards board with respect to a positive test for a prohibited drug in a horse under the licensee's care, the licensee may, at their own expense, arrange for a repeat test at a laboratory accredited by a recognized national accrediting body under ISO/IEC 17025, and is also known as a laboratory that does analysis on equine samples, on any residue of the urine, blood or saliva originally tested, if in the opinion of the official laboratory that has handled the initial testing

(a) there is sufficient quantity of the residue remaining for a proper test to be conducted, and

(b) the sample has not suffered degradation to the extent that the retesting results would be inconclusive.

(2) Once a test of a sample has been requested, any movement of that sample is under the control of Horse Racing Alberta, the Canadian Pari-Mutuel Agency and the official laboratory that handled the initial testing.

(3) A request for the release of an official sample residue must be made by the Originator (owner or trainer) to the Provincial Regulatory Body within 21 calendar days from the date of issue indicated on the Certificate of Positive Analysis. **All requests are to be made in writing and must include the name and address of the chosen referee laboratory along with payment in full for**

shipping and handling related to the transportation of the sample residue to the referee laboratory. Requests must also include confirmation that the referee laboratory will accept and analyze the sample for the drug indicated in the Certificate of Positive Analysis.

Dated at Edmonton, Alberta, April 4, 2022.

Kent Verlik, *Chief Executive Officer*.

Public Sale of Land

(Municipal Government Act)

Thorhild County

Notice is hereby given that, under the provisions of the Municipal Government Act, Thorhild County will offer for sale, by public auction, in the County Administration Office, Thorhild, Alberta, on Tuesday, July 12, 2022, at 10:00 a.m., the following lands:

Lot	**Block**	**Plan**	**C. of T.**	**Subdivision/Hamlet**
4	11	3282HW	092134388	Thorhild
2	16	3939NY	092368250	Thorhild
A	-	7300KS	182317949	Newbrook
D	-	934MC	972067741	Newbrook

Pt. of Sec.	**Sec.**	**Twp.**	**Rge.**	**M.**	**Acres**	**C. of T.**
N1/2 NE (Lot 1, Block 2, Plan 1323806)	30	61	22	4	79.30	152139695
NW	13	58	22	4	108.61	182189295
NE	24	58	23	4	160.00	192159708
Pt NE (Lot 1, Block 1, Plan 0124201)	18	61	19	4	9.88	182073723

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 Thorhild 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 Thorhild County.

Thorhild 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. GST will apply on lands sold at the public auction. A 10% deposit is payable upon the acceptance of the bid at public auction. The balance of the accepted bid is due within 30 days.

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

Dated at Thorhild, Alberta, May 1, 2022.

Ryan Maier, *Chief Administrative Officer*.

Municipal District of Opportunity No. 17

Notice is hereby given that, under the provisions of the Municipal Government Act, the Municipal District of Opportunity No. 17 will offer for sale, by public auction, in the Municipal Office, Wabasca, Alberta, on Tuesday, August 23, 2022, at 10:00 a.m., the following lands:

Lot	**Block**	**Plan**	**C. of T.**
5A	15	0420495	042042368
9	32	0525897	142143014
3	6	0727117	072690997
13	13	1025633	122219782
9	31	1325004	132386995+6
12	31	1325004	132386995+2
9	2	1424644	142351098
10	2	1424644	142351098+1
11	2	1424644	142351098+2
12	2	1424644	142351098+3
13	2	1424644	142351098+4
14	2	1424644	142351098+5
15	2	1424644	142351098+6
16	2	1424644	142351098+7

2	5	1424644	192015395+1
3	5	1424644	142351098+9
4	5	1424644	142351098+10
2	6	1424644	142351098+11
3	6	1424644	142351098+12
1	1	1524838	152330934
10	9	7822447	132349335
4	5	7822894	922032403
16	9	7920484	202127708
4	17	7921557	052440757
5	31	8022049	132261542
2	28	8122581	152196260
45	-	8321796	002311516
52	-	8321796	042005173
80	-	8321796	152341858
10	3	8421261	182081454
1	D	8421864	132201452
6	6	8620788	982013666
30	1	9120016	062019173
2	-	9920455	992277321

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 Municipal District of Opportunity No. 17 may, after the public auction, become the owner of any parcel of land not sold at the public auction.

Terms: Cash or certified cheque payable to the Municipal District of Opportunity. A deposit of $1000 at time of the sale (non-refundable); and balance to be paid to the Municipal District of Opportunity within 15 days of the public auction. GST will be collected on all properties subject to GST.

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

Dated at Wabasca, Alberta, May 6, 2022.

Chad Tullis, *Chief Administrative Officer*.

Town of Peace River

Notice is hereby given that, under the provisions of the Municipal Government Act, the Town of Peace River will offer for sale, by public auction, at the Town Office, 9911 100 Street, Peace River, Alberta, on Monday, July 11, 2022, at 10:00 a.m., the following lands:

Lot	Block	Plan	C. of T.
7	2	7920995	092348002
5-7	12	2700BK	062268744
6	3	7920995	072023808
12	21	3176AZ	062330609
2, 3	7	2700BK	072525422+4
29	19	9323022	022474544
-	OT	570PX	072672060
6	7	8020475	152044005
14	5	7152BA	992372017
12A	9	5809NY	142165895
83	RLY	6840CC	132145838
7, 8	8	3735AX	042024081
-	OT	8022658	012411077+1
42-45	10	8122308	112177601

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 successful bidder has a right to a clear title with some exceptions. Section 423(1)(a)-(h) of the Municipal Government Act states “a person who purchases a parcel of land at a public auction acquires the land free of all encumbrances, except (a) encumbrances arising from claims of the Crown in right of Canada, (b) irrigation of drainage debentures, (c) caveats referred to in section 39.2(11) of the Condominium Property Act, (d) registered easements and instruments registered pursuant to section 69 of the Land Titles Act, (e) right of entry orders as defined in the Surface Rights Act registered under the Land Titles Act, (f) a notice of lien filed pursuant to section 38 of the Rural Utilities Act, (g) a notice of lien filed pursuant to section 20 of the Rural Electrification Loan Act, and (h) liens registered pursuant to section 21 of the Rural Electrification Long-term Financing Act.”

Terms: GST will apply on all lands sold at the public auction. The successful bidder must, before 3:00 p.m. on the day of the auction sale, make a non-refundable ten percent (10%) deposit (cash or certified cheque payable to the municipality), with the balance of the purchase price due on the closing date. Closing date for all sales will be fourteen (14) days after auction date. Payments by cash, certified cheque or bank draft only. Vendor financing or financing using third party mortgages or encumbrances upon the purchased lands, or other similar financing arrangements, cannot be accommodated.

The risk of the property lies with the purchaser immediately following the auction. The purchaser will be required to execute a Sale Agreement in form and substance provided by the municipality. The purchaser is responsible for obtaining vacant possession. The purchaser will be responsible for the transfer registration fee.

The auctioneer, councillors, the chief administrative officer, the designated officers, and employees of the municipality must not bid or buy any parcel of land offered for sale, unless directed by the municipality to bid for or buy a parcel of land on behalf of the municipality. If no offer is received on a property or if the reserve bid is not met, the property cannot be sold at the public auction. The Town of Peace River may, after the public auction, become the owner of any parcel of land that is not sold at the public auction.

A property will be removed from the public auction if payment of all arrears of taxes and costs occurs at any time prior to the sale. 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 Peace River, Alberta, May 12, 2022.

Tanya Bell, *Acting Chief Administrative Officer*.

Town of Spirit River

Notice is hereby given that, under the provisions of the Municipal Government Act, the Town of Spirit River will offer for sale, by public auction, in the Council Chambers at the Town Office 4502 50 Street Spirit River, Alberta, on Wednesday, August 10, 2022, at 2:00 p.m., the following lands:

Lot	**Block**	**Plan**	**C. of T.**
19, Pt. 20	A	1970BP	752015015
Pt. 20, 21	A	1970BP	115E162
Pt. 22	-	2085NY	111Y213
12, 13	A	1970BP	132277528
13, 14	4	7059BD	062406848
1	18	7621493	062224256
NW 23-78-6-6			042371882
20	1	6129HW	142210296

Each parcel will be offered for sale, subject to a reserve bid and to the reservations and conditions contained in the existing certificate of title.

The land is being offered for sale on an "as is, where is" basis, and the Town of Spirit River makes no representation and gives no warranty whatsoever as to the adequacy of services, soil conditions, land use districting, building and development conditions, absence or presence of environmental contamination, vacant possession, or the developability of the subject land for any intended use by the purchaser.

No bid will be accepted where the bidder attempts to attach conditions precedent to the sale of any parcel. No terms and conditions of sale will be considered other than those specified by the Town of Spirit River. No further information is available at the auction regarding the lands to be sold.

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

Terms: Sealed tenders clearly marked "Public Land Auction" will be accepted until 1:30 p.m. on August 10, 2022.

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

Dated at Spirit River, Alberta, May 9, 2022.

Greg Gayton, *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.

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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*
June 15	July 26
June 30	August 10
July 15	August 25
July 30	September 9
August 15	September 25
August 31	October 11
September 15	October 26
September 30	November 10
October 15	November 25
October 31	December 11
November 15	December 26
November 30	January 10

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