

*Note: [13 Sep 2023] – Amendments to ASC Rule 15-501 arising from NI 14-101. Refer to Annex I of the CSA Notice announcing amendments to NI 14-101 dated 15 Jun 2023.*

## **Alberta Local Amendments**

### **Amendments to Alberta Securities Commission Rule 15-501 *Rules of Practice and Procedure for Commission Proceedings***

- 1. *Alberta Securities Commission Rule 15-501 Rules of Practice and Procedure for Commission Proceedings is amended by this Instrument.***
- 2. *Paragraph 1.1(c.1) is amended by replacing the definition of “Canadian financial institution” with the following:***
  - (c.1) “Canadian financial institution” means**
    - (i) a bank listed in Schedule I or II to the *Bank Act* (Canada);
    - (ii) a body corporate to which the *Trust and Loan Companies Act* (Canada) applies;
    - (iii) an association to which the *Cooperative Credit Associations Act* (Canada) applies;
    - (iv) an insurance company or a fraternal benefit society incorporated or formed under the *Insurance Companies Act* (Canada);
    - (v) a trust, loan or insurance corporation incorporated by or under an Act of the legislature of a jurisdiction;
    - (vi) a credit union, central credit union, caisse populaire, financial services cooperative or credit union league or federation that is authorized to carry on business by or under an Act of the legislature of a jurisdiction; or
    - (vii) a treasury branch established and regulated by or under an Act of the legislature of a jurisdiction;.
- 3. This Instrument comes into force on September 13, 2023.**