

ALBERTA SECURITIES COMMISSION

IN THE MATTER OF the *Securities Act*
(R.S.A. 2000, c. S-4) (the "Act")

- and -

IN THE MATTER OF Certain Exemptions Under
Multilateral Instrument 31-102 *National Registration Database* ("MI 31-102") and Multilateral
Instrument 33-109 *Registration Information* ("MI 33-109")

ORDER

(Under s. 6.1 of MI 31-102 and s. 7.1 of MI 33-109)

1. WHEREAS the National Registration Database ("NRD") was launched on March 31, 2003;
2. AND WHEREAS MI 31-102 and MI 33-109 contain a number of provisions that establish timelines for the correction and provision of information about registered firms, registered individuals and non-registered individuals (the "transition requirements");
3. AND WHEREAS data downloaded onto NRD from the Commission's prior registration information system is less consistent with current information about registered firms, registered individuals and non-registered individuals than expected;
4. AND WHEREAS on May 2, 2003 the Commission issued an order ("Blanket Order 31-501") providing for an extension of the time period during which the transition requirements must be fulfilled to ensure that registered firms, registered individuals and non-registered individuals have sufficient time to fulfil the transition requirements;
5. AND WHEREAS the Commission has determined that it is in the public interest to provide a further extension of the time period during which the transition requirements must be fulfilled and to provide for an exemption for registered firms and registered individuals from filing certain forms under MI 31-102 and MI 33-109 if certain changes to an individual's personal information do not affect the individual's suitability for registration or status as a non-registered individual;
6. IT IS HEREBY ORDERED that Blanket Order 31-501 is revoked; and
7. IT IS HEREBY FURTHER ORDERED pursuant to section 6.1 of MI 31-102 and section 7.1 of MI 33-109 that:

- 7.1 a transition firm, as defined in section 7.1 of MI 31-102, is exempt from the requirement under section 7.4 of MI 31-102 to submit a completed Form 33-109F3 in the time required under section 7.4 provided that the completed Form 33-109F3 is submitted by November 15, 2003;
- 7.2 a transition firm, as defined in section 7.1 of MI 31-102, is exempt from the requirement under section 7.6 of MI 31-102 to submit a completed Form 33-109F4 in the time required under section 7.6 provided that the completed Form 33-109F4 is submitted by November 15, 2003;
- 7.3 a registered individual is exempt from the requirement under section 7.9(1)(a) of MI 31-102 to submit a completed Form 33-109F4 in the time required under section 7.9(1)(a) provided that the completed Form 33-109F4 is submitted by November 15, 2003;
- 7.4 if a completed Form 33-109F5 is submitted by a registered individual under section 8.5 of MI 33-109 to notify the regulator about changes to the information found in a previously filed Form 4, the individual is exempt from the requirement to submit a completed Form 33-109F4 under section 7.7 of MI 31-102 and section 8.5 of MI 33-109 provided that the change does not relate to information to be reported under items 1 *Name*, 14 *Criminal Disclosure*, 15 *Civil Disclosure*, and 16 *Financial Disclosure* of Form 33-109F4;
- 7.5 if a completed Form 33-109F5 is submitted on behalf of a non-registered individual under section 8.7 of MI 33-109 to notify the regulator about changes to the information found in a previously filed Form 4, the non-registered individual's firm is exempt from the requirement to submit a completed Form 33-109F4 under section 7.8 of MI 31-102 and section 8.7 of MI 33-109 provided that the change does not relate to information to be reported under items 1 *Name*, 14 *Criminal Disclosure*, 15 *Civil Disclosure*, and 16 *Financial Disclosure* of Form 33-109F4;
- 7.6 if a registered individual's location of employment changes, the individual is exempt from the requirement to submit a completed Form 33-109F5 under section 8.5 of MI 33-109 and from the requirement to submit a completed Form 33-109F4 under section 7.7 of MI 31-102 and section 8.5 of MI 33-109 provided that the individual makes a change of location of employment submission in NRD within five business days of the change;
- 7.7 if a non-registered individual's location of employment changes, the individual's firm is exempt from the requirement to submit a completed Form 33-109F5 under section 8.7 of MI 33-109 and from the requirement to submit a completed Form 33-109F4 under

section 7.8 of MI 31-102 and section 8.7 of MI 33-109 provided that the individual's firm makes a change of location of employment submission in NRD within five business days of the change;

- 7.8 a registered firm is exempt from the requirement under sections 8.2(a) and 8.4 of MI 33-109 to submit a completed Form 33-109F4 in the time required under sections 8.2(a) and 8.4 provided that the completed Form 33-109F4 is submitted by November 15, 2003;
- 7.9 a registered firm is exempt from the requirement under section 8.2(c) of MI 33-109 to submit a completed Form 33-109F3 in the time required under section 8.2(c) provided that the completed Form 33-109F3 is submitted by November 15, 2003; and
- 7.10 a registered firm is exempt from the requirement under section 8.3 of MI 33-109 to submit a completed Form 33-109F3 in the time required under section 8.3 provided that the completed Form 33-109F3 is submitted by November 15, 2003.

DATED at the City of Calgary)
 in the Province of Alberta)
 this 3 day of July, 2003.)
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"original signed by"

 Glenda A. Campbell, Q.C., Vice-Chair

"original signed by"

 Stephen R. Murison, Vice-Chair