

*Note: [31 Oct 2014] – Amendments to the ASC Rules (General) arising from amendments to the Securities Act (Alberta). Refer to Annex A of ASC Notice announcing amendments consequential to the proclamation of the Securities Amendment Act, 2014 (Alberta) dated 21 Oct 2014.*

## **AMENDMENTS TO ALBERTA SECURITIES COMMISSION RULES (GENERAL)**

- 1. *The Alberta Securities Commission Rules (General) are amended by this Instrument.***
- 2. *The heading to Part 4 is replaced with the following:***

### **PART 4 TRADING IN SECURITIES AND DERIVATIVES GENERALLY.**

- 3. *Section 8(1) is amended***
  - (a) by replacing “futures contract” with “derivative” wherever it occurs,***
  - (b) in paragraph (a)(ii) by adding “and derivatives” after “securities”, and***
  - (c) in paragraph (e) by adding “and derivatives” after “securities” wherever it occurs.***
- 4. *Section 8(2) is amended by replacing “futures contracts” with “derivatives” wherever it occurs.***
- 5. *Section 9(1) is amended by***
  - (a) replacing “an” with “a”, and***
  - (b) replacing “exchange contract” with “derivative” wherever it occurs.***
- 6. *Section 10 is amended by replacing “exchange contract” with “derivative”.***
- 7. *Section 11 is amended by***
  - (a) replacing “an” with “a”, and***
  - (b) replacing “exchange contract” with “derivative” wherever it occurs.***
- 8. *Section 12 is amended by replacing “exchange contract” with “derivative” wherever it occurs.***
- 9. *Section 13 is amended by***
  - (a) replacing “an” with “a”, and***

- (b) replacing “exchange contract” with “derivative” wherever it occurs.*
- 10. Section 14 is amended by replacing “exchange contracts” with “derivatives” wherever it occurs.**
- 11. Section 16(1)(a) is amended by**
- (a) replacing “exchange contracts” with “derivatives”, and*
- (b) replacing “an exchange contract” with “a derivative”.*
- 12. Section 16(3) is amended**
- (a) in paragraph (a) by replacing “an exchange contract” with “a derivative”, and*
- (b) in paragraph (b) by replacing “exchange contract” with “derivative”.*
- 13. This Instrument comes into force on October 31, 2014.**