

Note: [31 Oct 2025] – Amendments to ASC Rules (General). Refer to Annex A of the ASC Notice announcing amendments to ASC Rules (General) dated 30 Sep 2025.

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

- 1. *The Alberta Securities Commission Rules (General) are amended by this Instrument.***
- 2. *Part 6, Section 19 is amended by replacing “Queen’s” with “King’s”.***
- 3. *Part 8 is amended by adding the following section:***

28.1 Record keeping - A person or company referred to in section 60.1(2) or section 103.1(3) of the Act

- (a) must keep each book and record that it is required to keep under Alberta securities laws:
 - (i) for 7 years from the date the book or record is created,
 - (ii) in a safe location and in a durable form, and
 - (iii) in a manner that permits it to be provided to the regulator or securities regulatory authority in a reasonable period of time.
- (b) each book and record required to be provided to the regulator or securities regulatory authority must be provided in a format that is capable of being read by the regulator or securities regulatory authority..

- 4. *This Instrument comes into force on October 31, 2025.***