

ALBERTA SECURITIES COMMISSION
COORDINATED BLANKET ORDER 33-930

Citation: Re Exemptions from Requirements to Submit Certain Personal Information Under National Instrument 33-109 Registration Information, 2026 ABASC 54

Date: 20260430

Definitions

1. Terms defined in the *Securities Act* (Alberta) (the **Act**) and National Instrument 33-109 *Registration Information* (**NI 33-109** or **the Instrument**) have the same meaning if used in this Order.

Background

2. Information submitted by firms and individuals under NI 33-109 is used by the Alberta Securities Commission (the **Commission**) and other members of the Canadian Securities Administrators (the **CSA**) to assess a filer's fitness for registration in relation to their solvency, integrity, and proficiency or whether information gives rise to concerns with a filer's permitted individual status.
3. Information submitted by individuals under NI 33-109 includes (i) eye colour, hair colour, height, and weight information, and (ii) citizenship information (including, in some circumstances, passport information).
4. The CSA intends to amend NI 33-109 to remove the requirements to submit this information under the Instrument based on the CSA's determination that (i) eye colour, hair colour, height, and weight information is not required to identify an individual or otherwise determine their fitness for registration or permitted individual status, and (ii) while citizenship information is sometimes used to confirm the identity of an individual as part of the registration process, this information, when needed, can be collected outside of the requirements in NI 33-109.
5. It is expected that amendments will be made to remove the requirements to submit this information under NI 33-109 when the Instrument is next amended.
6. The purpose of this Order is to exempt individuals from the requirements to submit this information under NI 33-109 as an interim measure until NI 33-109 is amended.

Order

7. The Commission, considering that to do so would not be prejudicial to the public interest, orders under section 213 of the Act that
 - (a) an individual required to submit a completed Form 33-109F4 under NI 33-109 is exempt from the requirement to submit information in any the following items in Form 33-109F4:

- (i) item 3.4 [*Eye colour*];
 - (ii) item 3.5 [*Hair colour*];
 - (iii) item 3.6 [*Height*];
 - (iv) item 3.7 [*Weight*];
 - (v) item 4 [*Citizenship*] (collectively, the **Specified Items**),
- (b) an individual required to submit a completed Form 33-109F5 under NI 33-109 is exempt from the requirement to submit information relating to any change to information previously submitted in respect of the individual's Form 33-109F4 in any of the Specified Items, and
- (c) an individual is exempt from the requirement in section 4.1 of NI 33-109 to submit a notice of change if the change only relates to information previously submitted in item 4 [*Citizenship*] of the individual's Form 33-109F4.

Effective Date and Term

8. This Order takes effect on May 1, 2026 and expires on the date on which amendments to NI 33-109 come into force that address substantially the same subject matter as this Order.

For the Commission:

“original signed by”

Stan Magidson, K.C.
Chair

“original signed by”

Kari Horn, K.C.
Vice-Chair