

- paragraphs (2) and (3) of section 16.9 [*registration of chief compliance officers*];
 - paragraphs (1) and (2) of section 16.10 [*proficiency for dealing and advising representatives*];
 - section 16.11 [*capital requirements*];
 - section 16.13 [*insurance requirements*];
 - section 16.14 [*relationship disclosure information*];
 - section 16.15 [*referral arrangements*];
 - section 16.16 [*complaint handling*]; and
 - section 16.17 [*client statements – mutual fund dealers*].
- (b) Paragraph (a) does not apply where the person or company was, immediately prior to NI 31-103 coming into force, registered solely as:
- (i) a limited market dealer or salesperson, officer, partner or director of a limited market dealer in Ontario; or
 - (ii) a limited market dealer or sales person, officer or partner of a limited market dealer in Newfoundland and Labrador.

This order takes effect on February 26, 2010.

“original signed by”
 Glenda A. Campbell, QC, Vice-Chair
 Alberta Securities Commission

“original signed by”
 Stephen R. Murison, Vice-Chair
 Alberta Securities Commission

Appendix A

- (a) Each section of Divisions 1 and 2 [*proficiency*] of Part 3
- (b) Section 12.1 [*capital requirements*]
- (c) Section 12.2 [*notifying the regulator of a subordination agreement*]
- (d) Section 12.3 [*insurance - dealer*]
- (e) Section 12.4 [*insurance - adviser*]
- (f) Section 12.5 [*insurance – investment fund manager*]
- (g) Section 12.6 [*global bonding or insurance*]
- (h) Section 12.7 [*notifying the regulator of a change, claim or cancellation*]
- (i) Section 14.2 [*relationship disclosure information*]
- (j) Each section of Division 3 [*referral arrangements*] of Part 13
- (k) Section 13.16 [*dispute resolution service*]
- (l) Section 14.14 [*client statements*]