ALBERTA SECURITIES COMMISSION RULES (GENERAL) AMENDMENT RULE

- 1 The Alberta Securities Commission Rules (General) are amended by this Rule.
- 2 Sections 47, 48, and 53 are repealed.
- 3 Form 3 is amended
 - (a) in section 10(a) by striking out "Form 4" and substituting "Form 33-109F4";
 - (b) by repealing section 10(b) and substituting the following:
 - (b) for each person who is a non-registered individual of the applicant and not referred to in clause (a), a completed Form 33-109F4, and
 - (c) by adding the following after section 11:

Notice of Collection and Use of Personal Information

The personal information required under this form is collected on behalf of and used by the securities regulatory authorities set out below for the administration and enforcement of certain provisions of the securities legislation in British Columbia, Alberta, Saskatchewan, Manitoba, Ontario, Nova Scotia, New Brunswick, Prince Edward Island, Newfoundland and Labrador, Northwest Territories, Yukon Territory and Nunavut.

If you have any questions about the collection and use of this information, you may contact the securities regulatory authority in any jurisdiction in which the required information is filed, at the address or telephone number provided in Schedule "A".

(d) by adding the following Schedule to Form 3:

| Alberta Securities Commission, 4th Floor, 300 B 5th Avenue S.W. Calgary, AB T2P 3C4 Attention: Information Officer Telephone: (403) 297-6454 Manitoba The Manitoba Securities Commission 1130-405 Broadway Winnipeg, MB R3C LB Attention: Enteror Legal Telephone: (204) 949-4508 Telephone: (204) 949-4508 Telephone: (204) 949-4508 Telephone: (206) 658-3021 Mova Securities Commission 6 Securities Commission 7 Securities Commission 6 Newfoundland and Labrador 8 Securities Commission 6 Newfoundland and Labrador 9 Securities Commission 6 Newfoundland and Labrador 8 Securities Commission 6 Newfoundland and Labrador 9 Securities Commission 6 Newfoundland 8 Securities Commission 7 Securities 7 Sec | SCHEDULE "A" | | |
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| Alberta Securities Commission, 4th Floor, 300 B 5th Avenue S.W. Calgary, AB T2P 3C4 Attention: Information Officer Telephone: (403) 297-6454 Manitoba The Manitoba Securities Commission 1130-405 Broadway Winnipeg, MB R3C 3L6 Attention: Director - Legal Telephone: (204) 945-4508 Telephone: (206) 658-3021 Tolephone: (206) 758-758 Telephone: (206) 758-758 Telephone: (206) 758-758 Telephone: (207) 758-758 Telephone: (207) 758-758 Telephone: (207) 208-755-758 Telep | | | |
| Alberta Securities Commission, 4th Floor, 300 B sith Avenue S.W. Calgary, AB T2P 3C4 Attention: Information Officer Telephone: (403) 297-8454 Manitoba Manitoba The Manitoba Securities Commission 1130-405 Broadway Winnipeg, MB R3C 3L6 Attention: Information Officer Telephone: (204) 945-4508 Membrane: (204) 945-4508 Membrane: (204) 945-4508 Newfoundland and Labrador Securities Commission of Newfoundland and Labrador P.O. Box 8700, 2nd Floor, West Block Confederation Building St. John's, NF A1B 4J6 Attention: Director of Securities Telephone: (2079) 729-4189 Telery Confederation Building St. John's, NF A1B 4J6 Attention: Director of Securities Telephone: (2079) 729-4189 Northwest Territories Government of the Northwest Territories P.O. Box 1320 Yellowknife, NWT X1A 2L9 Attention: Deputy Registrar of Securities Telephone: (867) 920-8984 Attention: Deputy Registrar of Securities Telephone: (867) 920-8984 Attention: POL Coordinator Telephone: (416) 593-8314 Commission des valeurs mobilières du Québec Stock Exchange Tower P.O. Box 246, 224 d Floor Sakatchewan Sakatchewan Sakatchewan Sakatchewan Sakatchewan Sakatchewan Sakatchewan Sakatchewan Sakatchewan Securities Commission Sundes valeurs mobilières du Québec Stock Exchange Tower P.O. Box 246, 224 d Floor Sakatchewan Securities Commission Sundes valeurs mobilières du Québec Stock Exchange Tower P.O. Box 246, 224 floor Sakatchewan Sa | | | |
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| Calgary, AB T2P 3C4 | , | | |
| Attention: Information Officer Telephone: (403) 297-6454 Manitoba The Manitoba Securities Commission 1130-405 Broadway Winnipeg, MB R3C 3L6 Attention: Director - Legal Telephone: (204) 945-4508 New Funswick Securities Administration Branch PO Box 5001 606, 133 Prince William Street Saint John, NB E2L 4'9 Attention: Deputy Administrator, Capital Markets Telephone: (204) 945-4508 Newfoundland and Labrador Securities Commission of Newfoundland and Labrador P.O. Box 8700, 2nd Floor, West Block Confederation Building St. John's, NF A1B 4J6 Attention: Director of Securities Tel: (709) 729-4189 Northwest Territories Government of the Northwest Territories P.O. Box 1320 Vellowknife, NWT X1A ZL9 Attention: Deputy Registrar of Securities Telephone: (867) 920-8984 Nunavut Legal Registries Division Department of Justice Government of Junavut Legal Registries Division Department of Junavut P.O. Box 1000 Station 570 Liqulut, NU X0A DH0 Attention: Deputy Registrar of Securities Telephone: (867) 920-8984 Ontario Ontario Contarios Securities Commission Suite 1903, Box 55 20 Queen Street West Toronto, ON MSH 358 Attention: FOI Coordinator Telephone: (416) 593-8314 Québec Commission des valeurs mobilières du Québec Stock Exchange Tower P.O. Box 246, 22nd Floor 800 Victoria Square Montréal, PQ H42 1G3 Attention: Responsable de l'accès à l'information Telephone: (514) 940-2150 or (800) 361-570 (in Québec) | 4th Floor, 300 B 5th Avenue S.W. | | |
| Telephone: (403) 297-6454 Manitoba The Manitoba Securities Commission 1130-405 Broadway Winnipeg, MB R3C 3L6 Attention: Director - Legal Telephone: (204) 945-4508 New Brunswick Securities Administration Branch PO Box 5001 606, 133 Prince William Street Saint John, NB E2L 4Y9 Attention: Director - Legal Telephone: (204) 945-4508 Newfoundland and Labrador Securities Commission of Newfoundland and Labrador P.O. Box 8700, 2nd Floor, West Block Confederation Building St. John's, NF A1B 4J6 Attention: Director of Securities Telephone: (902) 424-7768 Northwest Territories Government of the Northwest Territories P.O. Box 1320 Yellowknile, NWT X1A 2L9 Attention: Deputy Registrar of Securities Telephone: (867) 920-8984 Attention: Deputy Registrar of Securities Telephone: (867) 920-8984 Attention: FOI Coordinator Telephone: (416) 593-8314 Québec Commission des valeurs mobilières du Québec Stock Exchange Tower P.O. Box 426, 22nd Floor 800 Victoria Square Montréal, PQ H42 1G3 Attention: Eseponsable de l'accès à l'information Telephone: (514) 940-2150 or (800) 381-5072 (in Québec) Santantion: Fol Coord (514) 940-2150 or (800) 381-5072 (in Québec) | Calgary, AB T2P 3C4 | | |
| Telephone: (604) 899-6500 or (800) 373-6393 (in BC) New Brunswick Securities Administration Branch PO Box 5001 606, 133 Prince William Street Saint John, NB E2L 4Y9 Attention: Deputy Administrator, Capital Markets Telephone: (204) 945-4508 Newfoundland and Labrador Securities Commission of Newfoundland and Labrador P.O. Box 8700, 2nd Floor, West Block Confederation Building St. John's, NF A18 4.J6 Attention: Director of Securities Tel: (709) 729-4189 Northwest Territories Government of the Northwest Territories P.O. Box 1320 Yellowknife, NWT X1A 2L9 Attention: Deputy Registrar of Securities Telephone: (867) 920-8984 Nortario Contario Ontario Ontario Ontario Ontario Ontario Ontario Securities Commission Suite 1903, Box 55 20 Queen Street West Toronto, ON M5H 3S8 Attention: POL Coordinator Telephone: (416) 593-8314 Québec Commission des valeurs mobilières du Québec Stock Exchange Tower P.O. Box 426, 22nd Floor 800 Victoria Square Montréal, PQ H4Z 1G3 Attention: Responsable de l'accès à l'information Telephone: (514) 940-2150 or (800) 361-5672 (in Québec) | | | |
| Manitoba New Brunswick | Telephone: (403) 297-6454 | | |
| The Manitoba Securities Commission 1130-405 Broadway Winnipeg, MB R3C 3L6 Attention: Director - Legal Telephone: (204) 945-4508 Newfoundland and Labrador Securities Commission of Newfoundland and Labrador P.O. Box 8700, 2nd Floor, West Block Confederation Building St. John's, NF A1B 4J6 Attention: Director of Securities Telephone: (907) 729-4189 Telephone: (902) 424-7768 Northwest Territories Government of the Northwest Territories P.O. Box 1320 Yellowknife, NWT X1A 2L9 Attention: Deputy Registrar of Securities Telephone: (867) 920-8984 Telephone: (867) 920-8984 Department of Unavout Contario Securities Commission Ontario Securities Commission Suite 1993, Box 55 20 Queen Street West Toronto, ON M5H 3S8 Attention: FOl Coordinator Telephone: (416) 593-8314 Telephone: (416) 593-8314 Telephone: (416) 593-8314 Telephone: (514) 940-2150 or Roov 1800, 361-5672 (in Québec) Stock Exchange Tower Roov 1800, 361-5672 (in Québec) Stock Exchange Tower Roov 1800, 361-5672 (in Québec) Stock Coordinator Telephone: (514) 940-2150 or Roov 1800, 361-5672 (in Québec) Stock Coordinator Telephone: (514) 940-2150 or Roov 1800, 361-5672 (in Québec) Stock Coordinator Telephone: (514) 940-2150 or Roov 1800, 361-5672 (in Québec) Stock Coordinator Telephone: (514) 940-2150 or Roov 1800, 361-5642 (22nd Floor Roov | Manitoha | | |
| 1130-405 Broadway PO Box 5001 606, 133 Prince William Street Saint John, NB E2L 4Y9 Attention: Director - Legal Telephone: (204) 945-4508 Attention: Deputy Administrator, Capital Markets Telephone: (506) 658-3021 Telephone: (506) 658-3021 Nova Scotia Street Confederation Building 1690 Hollis Street P.O. Box 458 Attention: Director of Securities Halfax, NS B3J 3J9 Attention: FOI Officer Telephone: (902) 424-7768 Northwest Territories Northwest Territories P.O. Box 1320 Attention: Deputy Registrar of Securities P.O. Box 1000 Station 570 Iqaluit, NU XDA 0H0 Attention: Deputy Registrar of Securities Telephone: (867) 920-8984 P.O. Box 1000 Station 570 Iqaluit, NU XDA 0H0 Attention: FOI Deputy Registrar of Securities Telephone: (867) 975-6190 Prince Edward Island Securities Registry Office of the Attorney General B Consumer, Corporate Insurance Services Division P.O. Box 2000 Charlottetown, PE C1A 7N8 Attention: Deputy Registrar of Securities Telephone: (416) 593-8314 Telephone: (416) 593-8314 Sakatchewan | | | |
| Winnipeg, MB R3C 3L6 Attention: Director - Legal Telephone: (204) 945-4508 Newfoundland and Labrador Securities Commission of Newfoundland and Labrador P.O. Box 8700, 2nd Floor, West Block Confederation Building St. John's, NF A18 4J6 Attention: Director of Securities Tel: (709) 729-4189 Northwest Territories Government of the Northwest Territories P.O. Box 1320 Yellowknife, NWT X1A 2L9 Attention: Deputy Registrar of Securities Telephone: (867) 920-8984 Attention: Deputy Registrar of Securities Telephone: (867) 920-8984 Attention: Donatrio Ontario Ontario Ontario Securities Commission Suite 1903, Box 55 20 Queen Street West Toronto, On M5H 358 Attention: FOI Coordinator Telephone: (416) 593-8314 Québec Commission des valeurs mobilières du Québec Stock Exchange Tower P.O. Box 246, 22nd Floor 800 Victoria Square Montréal, PO H4Z 1G3 Attention: Responsable de l'accès à l'information Telephone: (314) 940-2150 or (800) 361-5072 (in Québec) | | | |
| Attention: Director - Legal Telephone: (204) 945-4508 Newfoundland and Labrador Securities Commission of Newfoundland and Labrador P.O. Box 8700, 2nd Floor, West Block Confederation Building St. John's, NF A18 4J6 Attention: Director of Securities Tel: (709) 729-4189 Northwest Territories Government of the Northwest Territories P.O. Box 1320 Vellowknife, NWT X1A 2L9 Attention: Deputy Registrar of Securities Telephone: (867) 920-8984 Attention: Deputy Registrar of Securities Telephone: (867) 920-8984 Ontario Ontario Ontario Contario Securities Commission Suite 1903, Box 55 20 Queen Street West Toronto, ON, M5H 358 Attention: FOI Coordinator Telephone: (416) 593-8314 Commission des valeurs mobilières du Québec Stock Exchange Tower P.O. Box 1030 Attention: Deputy Registrar of Securities Telephone: (902) 388-4569 Saskatchewan Saint John, NB E2L 4Y9 Attention: Deputy Administrator, Capital Markets Telephone: (506) 658-3021 Nova Scotia Nova Scotia Nova Scotia Securities Commission Sudatifax, NS B3J 3J9 Attention: FOI Officer Telephone: (902) 424-7768 Nunavut Legal Registries Division Department of Justice Government of Nunavut P.O. Box 1000 Station 570 Iqaluit, NU X0A 0H0 Attention: Deputy Registrar of Securities Telephone: (867) 975-6190 Prince Edward Island Securities Registry Office of the Attorney General B Consumer, Corporate Insurance Services Division P.O. Box 2000 Charlottetown, PE C1A 7N8 Attention: Deputy Registrar of Securities Telephone: (902) 368-4569 Saskatchewan Saskatchewan Saskatchewan Securities Commission 800 B1920 Broad Street Regina, SK S4P 3V7 Attention: Director Telephone: (306) 787-5842 | | | |
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| Newfoundland and Labrador Newfoundland and Labrador P.O. Box 8700, 2nd Floor, West Block Confederation Building 1690 Hollis Street P.O. Box 458 Attention: Director of Securities Halifax, NS B33 3J9 Attention: FOI Officer Telephone: (902) 424-7768 Nunavut Legal Registries Division Department of the Northwest Territories P.O. Box 1320 Pollis Street P.O. Box 458 Attention: FOI Officer Telephone: (902) 424-7768 Nunavut Legal Registries Division Department of Justice Government of Nunavut P.O. Box 1000 Station 570 Iqaluit, NU X0A 0H0 Attention: Deputy Registrar of Securities P.O. Box 1000 Station 570 Iqaluit, NU X0A 0H0 Attention: Deputy Registrar of Securities Telephone: (867) 920-8984 Prince Edward Island Securities Registry Office of the Attorney General B Consumer, Corporate Insurance Services Division P.O. Box 2000 Charlottelown, PE C1A 7N8 Attention: FOI Coordinator Telephone: (902) 368-4569 Saskatchewan Securities Commission Sackatchewan Securities Commission Saskatchewan | | | |
| Newfoundland and Labrador | Telephone: (204) 945-4508 | | |
| Securities Commission of Newfoundland and Labrador P.O. Box 8700, 2nd Floor, West Block Confederation Building 1690 Hollis Street P.O. Box 458 Halfax, NF A18 4J6 Attention: Director of Securities P.O. Box 458 Halfax, NS B3J 3J9 Attention: FOl Officer Telephone: (902) 424-7768 Northwest Territories P.O. Box 1320 Pelpowknife, NWT X1A 2L9 Attention: Deputy Registrar of Securities Telephone: (867) 920-8984 Elajauit, NU X0A 0HO Attention: Deputy Registrar of Securities Telephone: (867) 920-8984 Elajauit, NU X0A 0HO Attention: Deputy Registrar of Securities Telephone: (867) 975-6190 Prince Edward Island Ontario Securities Commission Suite 1903, Box 55 Office of the Attorney General B Consumer, Corporate Insurance Services Division P.O. Box 2000 Charlottetown, PE C1A 7N8 Attention: Coordinator Telephone: (416) 593-8314 Telephone: (902) 368-4569 Québec Sakatchewan Telephone: (514) 940-2150 or (800) 361-5072 (in Québec) | | | |
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| P.O. Box 8700, 2nd Floor, West Block Confederation Building St. John's, NF AtB 4J6 Attention: Director of Securities Tel: (709) 729-4189 Tel: (709) 729-4189 Northwest Territories Government of the Northwest Territories P.O. Box 1320 Yellowknife, NWT X1A 2L9 Attention: Deputy Registrar of Securities Telephone: (867) 920-8984 Contario Ontario Ontario Ontario Securities Commission Suite 1903, Box 55 20 Queen Street West Toronto, ON M5H 3S8 Attention: FOI Coordinator Telephone: (416) 593-8314 Telephone: (416) 593-8314 Commission des valeurs mobilières du Québec Stock Exchange Tower P.O. Box 246, 22nd Floor 800 Victoria Square Montréal, PQ H4Z 1G3 Attention: Responsable de l'accès à l'information Telephone: (514) 940-2150 or (800) 361-5072 (in Québec) | Securities Commission of Newfoundland and Labrador | Nova Scotia Securities Commission | |
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| St. John's, NF A18 4J6 Attention: Director of Securities Tel: (709) 729-4189 Northwest Territories Government of the Northwest Territories P.O. Box 1320 Yellowknife, NWT X1A 2L9 Attention: Deputy Registrar of Securities Telephone: (867) 920-8984 Legal Registries Division Department of Justice Government of Nunavut P.O. Box 1000 Station 570 Iqaluit, NU X0A 0H0 Attention: Deputy Registrar of Securities Telephone: (867) 920-8984 Contario Ontario Ontario Ontario Securities Commission Suite 1903, Box 55 20 Queen Street West Toronto, ON M5H 3S8 Attention: FOI Coordinator Toronto, ON M5H 3S8 Attention: FOI Coordinator Telephone: (416) 593-8314 Attention: Deputy Registrar of Securities Telephone: (416) 593-8314 Attention: Deputy Registrar of Securities Telephone: (902) 368-4569 Québec Saskatchewan Commission des valeurs mobilières du Québec Stock Exchange Tower P.O. Box 246, 22nd Floor 800 Victoria Square Montréal, PQ H4Z 1G3 Attention: Responsable de l'accès à l'information Telephone: (514) 940-2150 or (800) 361-5072 (in Québec) | | | |
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| Northwest Territories Covernment of the Northwest Territories P.O. Box 1320 Department of Justice Government of Nunavut P.O. Box 1320 Sovernment of Nunavut P.O. Box 1000 Station 570 Iqaluit, NU XOA 0H0 Attention: Deputy Registrar of Securities Prince Edward Island Prince Edward Island | 101. (100) 120 4100 | | |
| P.O. Box 1320 Yellowknife, NWT X1A 2L9 Attention: Deputy Registrar of Securities Telephone: (867) 920-8984 P.O. Box 1000 Station 570 Iqaluit, NU X0A 0H0 Attention: Deputy Registrar of Securities Telephone: (867) 975-6190 Prince Edward Island Ontario Ontario Ontario Securities Commission Suite 1903, Box 55 20 Queen Street West Toronto, ON M5H 3S8 Attention: FOI Coordinator Telephone: (416) 593-8314 Québec Commission des valeurs mobilières du Québec Stock Exchange Tower P.O. Box 246, 22nd Floor Sou Victoria Square Montréal, PQ H4Z 1G3 Attention: Responsable de l'accès à l'information Telephone: (514) 940-2150 or (800) 361-5072 (in Québec) | Northwest Territories | | |
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| Yellowknife, NWT X1A 2L9 Attention: Deputy Registrar of Securities Telephone: (867) 920-8984 Ontario Ontario Ontario Ontario Securities Commission Suite 1903, Box 55 20 Queen Street West Toronto, ON M5H 3S8 Attention: FOI Coordinator Telephone: (416) 593-8314 Commission des valeurs mobilières du Québec Stock Exchange Tower P.O. Box 246, 22nd Floor Montréal, PQ H4Z 1G3 Attention: Responsable de l'accès à l'information Telephone: (514) 940-2150 or (800) 361-5072 (in Québec) Government of Nunavut P.O. Box 1000 Station 570 Iqaluit, NU X0A 0H0 Attention: Deputy Registrar of Securities Telephone: (867) 975-6190 Prince Edward Island Securities Registry Office of the Attorney General B Consumer, Corporate Insurance Services Division P.O. Box 2000 Charlottetown, PE C1A 7N8 Attention: Deputy Registrar of Securities Telephone: (902) 368-4569 Saskatchewan Saskatchewan Securities Commission 800 B1920 Broad Street Regina, SK S4P 3V7 Attention: Director Telephone: (306) 787-5842 | | | |
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| 20 Queen Street West Toronto, ON M5H 3S8 Attention: FOI Coordinator Telephone: (416) 593-8314 Commission des valeurs mobilières du Québec Stock Exchange Tower P.O. Box 246, 22nd Floor Montréal, PQ H4Z 1G3 Attention: Responsable de l'accès à l'information Telephone: (514) 940-2150 or (800) 361-5072 (in Québec) Insurance Services Division P.O. Box 2000 Charlottetown, PE C1A 7N8 Attention: Deputy Registrar of Securities Telephone: (902) 368-4569 Saskatchewan Saskatchewan Saskatchewan Securities Commission 800 B1920 Broad Street Regina, SK S4P 3V7 Attention: Director Telephone: (306) 787-5842 | | | |
| Toronto, ON M5H 3S8 Attention: FOI Coordinator Telephone: (416) 593-8314 Commission des valeurs mobilières du Québec Stock Exchange Tower P.O. Box 246, 22nd Floor Montréal, PQ H4Z 1G3 Attention: Responsable de l'accès à l'information Telephone: (514) 940-2150 or (800) 361-5072 (in Québec) P.O. Box 2000 Charlottetown, PE C1A 7N8 Attention: Deputy Registrar of Securities Telephone: (902) 368-4569 Saskatchewan Saskatchewan Securities Commission 800 B1920 Broad Street Regina, SK S4P 3V7 Attention: Director Telephone: (306) 787-5842 | | | |
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| QuébecSaskatchewanCommission des valeurs mobilières du QuébecSaskatchewan Securities CommissionStock Exchange Tower800 B1920 Broad StreetP.O. Box 246, 22nd FloorRegina, SK S4P 3V7800 Victoria SquareAttention: DirectorMontréal, PQ H4Z 1G3Telephone: (306) 787-5842Attention: Responsable de l'accès à l'informationTelephone: (514) 940-2150 or (800) 361-5072 (in Québec) | Telephone. (410) 393-0314 | | |
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| Montréal, PQ H4Z 1G3 Attention: Responsable de l'accès à l'information Telephone: (514) 940-2150 or (800) 361-5072 (in Québec) Telephone: (306) 787-5842 | | | |
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| | Lelephone: (514) 940-2150 or | | |
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| Department of Community Services Yukon | | | |
| P.O. Box 2703 | | | |
| Whitehorse, YU Y1A 2C6 | | | |
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| Telephone: (867) 667-5225 | | | |