

Note: [28 Sep 2009] – Consequential amendments to ASC Policy 12-601 arising from the implementation of NI 31-103. Refer to Appendix G of CSA Notice announcing implementation of NI 31-103 dated 17 Jul 2009.

**AMENDMENTS TO ALBERTA SECURITIES COMMISSION POLICY 12-601
APPLICATIONS TO THE ASC**

1. *Section 4.5 of ASC Policy 12-601 is amended to replace the reference to “section 6.3(2)” with a reference to “section 6.2(3)”.*
2. *Appendix 1 to ASC Policy 12-601 is amended as follows:*
 - a. *under the heading “ASC Rules (General)”, by removing the rows addressing applications under sections 16(c), 21, and 69(1) of the ASC Rules (General);*
 - b. *under the heading “National and Multilateral Instruments”,*
 - i. a new row is inserted below the row addressing section 6.1 of NI 31-102 *National Registration Database*, as follows:

15.1	NI 31-103 Registration Requirements and Exemptions	\$750	Market Regulation	14(3), 16
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 - ii. in the row dealing with section 3.1 of MI 45-102 *Resale of Securities*, the “MI” is changes to “NI”.