

ALBERTA SECURITIES COMMISSION

BLANKET ORDER 31-525

Citation: Extension of Transitional Relief from the Requirement to Provide Dispute Resolution Services Prescribed by Section 13.16 of NI 31-103, Re, 2012 ABASC 289

Date: 20120703

Definitions

1. Terms defined in the *Securities Act*, R.S.A. 2000, c. S-4, National Instrument 14-101 *Definitions*, or National Instrument 31-103 *Registration Requirements, Exemptions and Ongoing Registrant Obligations* (NI 31-103) have the same meaning in this Blanket Order.

Background

2. Section 13.16 [*dispute resolution service*] of NI 31-103 provides that a registered firm must ensure independent dispute resolution or mediation services are made available, at the firm's expense, to a client to resolve a complaint made by the client about any trading or advising activity of the firm or one of its representatives and must inform the client as soon as possible of how to contact and use the dispute resolution or mediation services which are provided to the firm's clients.
3. Section 16.16 [*complaint handling*] of NI 31-103 provides temporary relief from the application of section 13.16 of NI 31-103 until 28 September 2012 to persons or companies that were registered in a jurisdiction of Canada on 28 September 2009 (**Transition Period**).
4. The Commission is currently reviewing the dispute resolution provisions in section 13.16 of NI 31-103 and therefore considers it appropriate to extend the Transition Period.

Order

5. Section 13.16 of NI 31-103 does not apply to a person or company that was a registered firm in a jurisdiction of Canada on 28 September 2009, until the earlier of:
 - (i) 28 September 2014; and
 - (ii) the coming into effect of any amendments to section 13.16 of NI 31-103.

This order takes effect on 28 September 2012.

For the Commission:

"original signed by"

Glenda Campbell, QC
Vice-Chair

"original signed by"

Stephen Murison
Vice-Chair