

Document: Alberta Notice 21-701  
Subject: Recognition of exchanges for purposes of various provisions of Alberta securities law  
(Replaced ASC Notice 3)

Amendments: February 1, 2008  
Published Date: November 27, 2001  
Effective Date: December 1, 2001

**ALBERTA SECURITIES COMMISSION**

**NOTICE 21-701**

**RECOGNITION OF EXCHANGES**

With the implementation of the new resale rule (MI 45-102 *Resale of Securities*) effective November 30, 2001 and the alternate trading systems rules (NI 21-101 *Marketplace Operation* and NI 23-101 *Trading Rules*) effective December 1, 2001, the Commission wishes to update its recognition of exchanges for the purposes of various provisions of Alberta securities laws.

Accordingly, effective December 1, 2001, the Commission

- issued a new recognition dated November 27, 2001
- revoked its prior recognition dated May 9, 1990, as amended on December 1, 1997 and June 9, 1999
- replaced ASC Notice 3 with an updated Alberta Notice 21-701

A copy of the new Recognition with accompanying Appendix 1 is attached to this notice.

The Recognition and Alberta Notice 21-701 have been posted on the Commission's website: [www.albertasecurities.com](http://www.albertasecurities.com) and can be located under "Policy and Legislation" by selecting *blanket orders* for the recognition and *notices* for Alberta Notice 21-701.

Dated November 27, 2001

ALBERTA SECURITIES COMMISSION

IN THE MATTER OF The Securities Act  
(SA 1981, c. S-6.1, as amended) (the "Act")

- and -

IN THE MATTER OF The Recognition of Various  
Exchanges for Various Purposes

RECOGNITION

1. Effective November 30, 2001, the Alberta Securities Commission (the "Commission") made Multilateral Instrument 45-102 *Resale of Securities* a rule;
2. Effective December 1, 2001, the Commission made National Instrument 21-101 *Marketplace Operation* and National Instrument 23-101 *Trading Rules* as rules;
3. Accordingly, the Commission wishes to update its recognition of certain exchanges for the purposes of certain sections of Alberta securities laws, dated May 9, 1990, as amended on December 1, 1997 and June 9, 1999 (collectively, the "Prior Recognition") to include these rules;
4. The Commission revokes the Prior Recognition and effective December 1, 2001, recognizes the exchanges listed in the attached Appendix 1 for the purposes of the provisions indicated.

Dated at the City of CALGARY )  
 )  
 in the Province of ALBERTA )  
 )  
 this 27th day of November, 2001 )  
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 "Signed by"  
 Glenda A. Campbell, Vice-Chair

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 "Signed by"  
 David W. Betts, Member

**Appendix 1**

**Securities Act**

s. 1(t.1)(iii)

s. 49(1)

s. 65(1)(y.1)

s. 107(1)(m)(ii)

s. 115(b)

s. 4.8(2) Multilateral Instrument 62-104

**Alberta Securities Commission Rules**

s. 16(a)(ii)

s. 38

s. 65

**Recognized Exchanges**

Canadian Venture Exchange Inc.

Canadian Venture Exchange Inc.

Canadian Venture Exchange Inc.  
The Bourse de Montréal Inc.  
The Toronto Stock Exchange Inc.

Canadian Venture Exchange Inc.  
The Bourse de Montréal Inc.  
The Toronto Stock Exchange Inc.

Canadian Venture Exchange Inc.  
The Bourse de Montréal Inc.  
The Toronto Stock Exchange Inc.

TSX Venture Exchange  
The Bourse de Montréal Inc.  
The Toronto Stock Exchange Inc.

Canadian Venture Exchange Inc.

Canadian Venture Exchange Inc.

Canadian Venture Exchange Inc.  
The Bourse de Montréal Inc.  
The Toronto Stock Exchange Inc.

Rule 72-501 - “recognized market” includes

Canadian Venture Exchange Inc.  
The Bourse de Montréal Inc.  
The Toronto Stock Exchange Inc.  
New York Stock Exchange  
American Stock Exchange  
London Stock Exchange

National Instrument 21-101 - for the purposes of the definitions of “corporate debt security”, “exchange-traded security”, “government debt security” in section 1.1 and section 2.1

Canadian Venture Exchange Inc.  
The Bourse de Montréal Inc.  
The Toronto Stock Exchange Inc.

National Instrument 23-101 - “recognized exchange” for the purposes of section 5.1 includes

Canadian Venture Exchange Inc.  
The Bourse de Montréal Inc.  
The Toronto Stock Exchange Inc.

National Instrument 32-101 - for the purposes of this instrument includes

Canadian Venture Exchange Inc.

Multilateral Instrument 45-102 - for the purpose of the definition of “qualified market” in section 1.1.

The Toronto Stock Exchange Inc.  
Tier 1 or Tier 2 of Canadian Venture Exchange Inc.  
The Bourse de Montréal Inc.  
American Stock Exchange  
Nasdaq National Market  
Nasdaq SmallCap Market  
New York Stock Exchange  
London Stock Exchange  
Any predecessor or successor to any of the entities listed above