

**ASC NOTICE AND REQUEST FOR COMMENT  
PROPOSED AMENDMENTS TO ASC RULE  
15-501 RULES OF PRACTICE AND PROCEDURE  
FOR COMMISSION PROCEEDINGS**

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**December 13, 2018**

**Introduction**

The Alberta Securities Commission (ASC) is publishing for a 45-day comment period proposed amendments (**Proposed Amendments**) to ASC Rule 15-501 *Rules of Practice and Procedure for Commission Proceedings* (ASC Rule 15-501).

The Proposed Amendments, if adopted, will remove some outdated references and create or amend provisions that will further promote the efficient use of scheduled time for hearings.

The text of the Proposed Amendments is attached as Annex A to this Notice and will be available on the ASC's website at: [www.albertasecurities.com](http://www.albertasecurities.com)

**Background**

ASC Rule 15-501 came into force on April 1, 2009, and is designed to foster efficient, cost-effective and timely proceedings before the Commission while ensuring fairness to each participant.

ASC Rule 15-501 represents a comprehensive outline of the procedural obligations that are imposed upon all parties who participate in a proceeding before the Commission. ASC Rule 15-501 codified what were, at the time, both new and existing but unwritten practices and procedures for proceedings before the Commission. In order to further promote the efficient use of scheduled time for hearings while continuing to ensure that parties are treated fairly, the ASC is publishing the Proposed Amendments for comment.

**Summary of the Proposed Amendments**

The Proposed Amendments address the following matters:

- (a) adds a definition for the phrase "Canadian financial institution" to support the implementation of the presumption of authenticity for specified documents;
- (b) removes outdated references to "facsimile" and "facsimile number";
- (c) specifically requires a pre-hearing conference at least 2 weeks prior to the scheduled commencement of a hearing;
- (d) requires documents that are tendered as evidence to be in electronic format to explicitly embed the concept of electronic hearings; and

- (e) creates a presumption respecting the authenticity of specified documents, including official documents created by a department of a provincial government or the federal government, a municipal government or a “Canadian financial institution” (as defined in the Proposed Amendments);

In respect of implementing electronic hearings, the ASC intends to issue guidelines in which the procedural steps that will be necessary will be clearly described for the benefit of all participants in a hearing.

### **Effective Date**

Assuming the comment process does not result in any material changes to the Proposed Amendments, the ASC anticipates having the Proposed Amendments effective on **April 1, 2019**.

### **Request for comments**

We welcome all comments on the Proposed Amendments. Please submit your comments in writing on or before **January 28, 2019**. If you are not sending your comments by email, please send a CD containing the submissions (in Microsoft Word format).

Please note that comments received may be made publicly available and a summary may be posted on the ASC website ([www.albertasecurities.com](http://www.albertasecurities.com)). You should not include personal information directly in the comments to be published. It is important that you state on whose behalf you are making the submission.

Please deliver your submission to only the following person:

Samir Sabharwal  
General Counsel  
Office of the General Counsel  
Alberta Securities Commission  
250-5<sup>th</sup> Street S.W.  
Calgary, AB T2P 0R4  
samir.sabharwal@asc.ca

### **Contents of Annex**

This Notice contains the following annex:

- Annex A - Proposed Amendments to ASC Rule 15-501 *Rules of Practice and Procedure for Commission Proceedings*

## Annex A

### Proposed Amendments to Alberta Securities Commission Rule 15-501 *Rules of Practice and Procedure for Commission Proceedings*

1. *Alberta Securities Commission Rule 15-501 Rules of Practice and Procedure for Commission Proceedings is amended by this Instrument.*
2. *Section 1.1 is amended by adding the following clause:*
  - (c.1) "**Canadian financial institution**" means a bank, loan corporation, trust company, insurance company, treasury branch, credit union or caisse populaire that, in each case, is authorized to carry on business in Canada or in a province or territory of Canada, or the Confédération des caisses populaires et d'économie Desjardins du Québec;.
3. *Clause 3.3(a) is replaced with the following:*
  - (a) If authorized by the Act, a person or company may commence an appeal before the ASC by serving, within the time prescribed by the Act, a written notice of appeal on the Commission in accordance with section 217(1.1) of the Act, and the notice of appeal shall include a statement indicating the order sought, the statutory provisions relied upon, and the grounds for the order..
4. *Section 5.1 is amended by adding "or" at the end of clause (a), by replacing "; or" at the end of clause (b) with "." and by deleting clause (c).*
5. *Sections 5.3 is amended by replacing ", electronic mail or facsimile" with "or electronic mail".*
6. *Clause 5.5(d) and section 5.8 are amended by deleting "or facsimile".*
7. *Section 5.6 and clause 5.7(b) are amended by replacing ", electronic mail address or facsimile number" with "or electronic mail address" wherever the expression occurs.*
8. *Clause 7.1(c) is amended by replacing "30" with "60".*
9. *Clause 7.2(b) is amended by replacing "15" with "30".*
10. *Clause 7.3(b) is amended by replacing "45" with "75".*
11. *Section 8.1 is amended by adding "at any time after a proceeding is commenced. Despite the foregoing, a pre-hearing conference shall be held at least 2 weeks before a hearing in the proceeding is scheduled to commence. The purpose of a pre-hearing conference is" after "with a panel".*

**12. The rule is amended by adding the following sections in Part 10:**

**10.4 Electronic Hearings**

In respect of a proceeding commenced by staff pursuant to section 3.2 of these Rules, all documents that the parties intend to enter as evidence at a hearing shall be presented in electronic form.

**10.5 Authenticity of Documents**

- (a) In this section, “authentic” means that:
  - (i) in the case of a document identified as an original, it was created, printed, written, signed or executed as it purports to have been; and
  - (ii) in the case of a document identified as a copy, it is a true copy of the original.
- (b) Subject to clause (c), in a proceeding, the following documents are presumed to be authentic:
  - (i) an official or public document created by a department of the Government of Canada, a department of a government of a province or territory in Canada, or a municipal government in Canada; and
  - (ii) an official or public document created by a Canadian financial institution.
- (c) Clause (b) does not apply to a document if a party to the proceeding objects to the authenticity of the document,
  - (i) at least 15 days prior to the commencement of a hearing, with respect to a hearing under Part 16 of the Act, or
  - (ii) at least 3 days prior to the commencement of any other hearing to which these Rules apply.
- (d) Clause (b) does not preclude a party to a proceeding from objecting to the admission of the document as evidence in the proceeding on grounds other than its authenticity, and the absence of an objection to the authenticity of the document by a party to the proceeding does not constitute an acknowledgment that the document is relevant or material..

**13. This Instrument comes into force on [•].**