

**ALBERTA SECURITIES COMMISSION  
BLANKET ORDER 21-501 (AB)**

**Order under section 221 of the Securities Act**

**Confidentiality for Forms that Marketplaces and Information Processors are  
Required to file under National Instrument 21-101 Marketplace Operation**

**Part 1 Definitions and Interpretation**

1.1 **Definitions** - In this Blanket Order:

“Act” means the Alberta Securities Act (Alberta) (S.A., 1981, c. S-61, as amended);

“ASC Rules” means the Alberta Securities Commission Rules;

“Forms” means the forms that marketplaces and information processors are required to file under NI 21-101 *Marketplace Operation* and includes Forms 21-101F1; 21-101F2; 21-101F3; 21-101F4; 21-101F5 and 21-101F6

“NI 21-101” means National Instrument 21-101 *Marketplace Operation*

1.2 Unless the context otherwise requires, terms defined in the Act or the ASC Rules have the same meaning in this Blanket Order.

**Part 2 Background to the Order**

2.1 Section 6.1(2) of the companion policy to NI 21-101 *Marketplace Operation* states that the Forms that marketplaces and information processors are required to file under NI 21-101 will be open for public inspection unless the filer makes an application to keep them confidential and the Commission agrees to do so.

2.2 This is consistent with the requirements of securities legislation that generally require securities regulators to make documents filed with them available to the public. Securities legislation also, however, permits securities regulators to decide on their own motion to keep documents confidential in certain circumstances.

2.3 Securities regulators have determined that it would not be prejudicial to the public interest to keep these Forms confidential because they require disclosure of intimate financial, business and technical information, and the desirability of avoiding disclosure of the information outweighs the desirability of adhering to the principle of public disclosure.

- 2.4 The Commission intends to amend NI 21-101 to indicate that the Forms identified below will now be kept confidential.
- 2.5 The Commission has determined that it would not be prejudicial to the public interest to grant this order.

**Part 3 Order**

3.1 The following forms shall be kept confidential:

- Form 21-101F1 *Information Statement - Exchange or Quotation and Trade Reporting System*
- Form 21-101F2 *Initial Operation Report Alternative System*
- Form 21-101F3 *Quarterly Report of Alternative Trading System Activities*
- Form 21-101F4 *Cessation of Operations Report for Alternative Trading System*
- Form 21-101F5 *Initial Operation Report for Information Processor*
- Form 21-101F6 *Cessation of Operations Report for Information Processor*

**Part 4 Effective Date**

4.1 This Blanket Order is effective January 15, 2003.

Dated at the City of CALGARY	)	
	)	
in the Province of ALBERTA	)	<u>“original signed by”</u>
	)	Glenda A. Campbell Q.C., Vice-Chair
this 15th day of January, 2003.	)	
	)	
	)	<u>“original signed by”</u>
	)	Eric T. Spink, Vice-Chair
	)	