

Chapter 1

Notices / News Releases

1.1 Notices

1.1.1 Notice of Agreement among Provincial and Territorial Securities Regulatory Authorities Transferring and Assigning Trade-mark to the Alberta Securities Commission

NOTICE OF AGREEMENT AMONG PROVINCIAL AND TERRITORIAL SECURITIES REGULATORY AUTHORITIES TRANSFERRING AND ASSIGNING TRADE-MARK TO THE ALBERTA SECURITIES COMMISSION

January 23, 2014

The provincial and territorial securities regulatory authorities have recently entered an agreement transferring and assigning the SEDAR trade-mark to the Alberta Securities Commission.

The agreement is being published today in the Bulletin in accordance with section 143.10 of the *Securities Act*. This agreement was delivered to the Minister of Finance on January 20, 2014, and is subject to Ministerial approval.

Questions may be referred to:

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TRADE-MARK TRANSFER AND ASSIGNMENT

WHEREAS the **CANADIAN SECURITIES ADMINISTRATORS** (the "Association"), an association comprised of the Alberta Securities Commission; the British Columbia Securities Commission; the Manitoba Securities Commission; the New Brunswick Securities Commission; the Financial Services Regulation Division, Service NL, Government of Newfoundland and Labrador; the Department of Justice, Office of the Superintendent of Securities, Government of the Northwest Territories; the Nova Scotia Securities Commission; the Office of the Superintendent of Securities for Nunavut, Department of Justice, Government of Nunavut; the Ontario Securities Commission; the Consumer, Labour and Financial Services Division, Department of Environment, Labour and Justice, Government of Prince Edward Island; the Autorité des marchés financiers; the Financial and Consumer Affairs Authority of Saskatchewan; and, the Office of the Yukon Superintendent of Securities, Department of Community Services, Corporate Policy and Consumer Affairs Division, Corporate Affairs Branch, Government of Yukon, (collectively, the "Administrators"), and whose principal office or place of business is c/o Attention: CSA IT Systems Office, Ontario Securities Commission, Suite 1903, 20 Queen Street West, Toronto, Ontario, M5H 3S8, Canada, are desirous of selling, assigning, conveying, transferring and setting over to the **Alberta Securities Commission** (the "Assignee"), the full post office address of whose principal office or place of business is: Suite 600, 250-5th Street SW, Calgary, Alberta, T2P 0R4, all of Association's right, title, interest and benefit in and to the trade-mark SEDAR (the "Trade-mark"), including pursuant to Canadian registration No. TMA 474,211 issued on April 7, 1997, and further including any and all goodwill pertaining thereto, and any and all rights relating thereto that may arise at law, and all rights of action resulting from prior infringement or other unauthorized use thereof, and all of its rights to oppose applications for the registration of similar or confusing trade-marks, and any and all rights of priority exercisable in Canada or elsewhere and resulting from the filing of the Trade-mark, as well as any applications corresponding thereto and any previously filed applications in respect thereof under international conventions (the "Trade-mark Rights");

AND WHEREAS, the Administrators, which in the order presented above, have respective principal offices or places of business at Suite 600, 250-5th Street SW, Calgary, Alberta, T2P 0R4; P.O. Box 10142, Pacific Centre, 701 West Georgia Street, Vancouver, British Columbia, V7Y 1L2; 500 - 400 St. Mary Avenue, Winnipeg, Manitoba, R3C 4K5; 85 Charlotte Street, Suite 300, Saint John, New Brunswick, E2L 2J2; 2nd Floor, West Block Confederation Building, P.O. Box 8700, St. John's, Newfoundland and Labrador, A1B 4J6; 1st Floor Stuart M. Hodgson Building, 5009 - 49th Street, P.O. Box 1320, Yellowknife, Northwest Territories, X1A 2L9; Duke Tower, Suite 400, 5251 Duke St., P.O. Box 458, Halifax, Nova Scotia, B3J 2P8; 1st Floor, Brown Building, P.O. Box 1000 - Station 570, Iqaluit, Nunavut, X0A 0H0; Box 55, Suite 1903 - 20 Queen Street West, Toronto, Ontario, M5H 3S8; 95 Rochford Street, 4th Floor, Shaw Building, Charlottetown, Prince Edward Island, C1A 7N8; Place de la Cité, tour Cominar, 2640, boulevard Laurier, 3^e étage, Québec, Québec, G1V 5C1; 601 - 1919 Saskatchewan Drive, Regina, Saskatchewan, S4P 4H2; 307 Black Street, 1st Floor, Whitehorse, Yukon, Y1A 2N1, are likewise each desirous of selling, assigning, conveying, transferring and setting over to the Assignee all of their right, title, interest and benefit, if any, in and to the Trade-mark Rights;

NOW THEREFORE, in consideration of the sum of one dollar (\$1.00) and other good and valuable consideration paid to it by the Assignee, the receipt and sufficiency of which is hereby acknowledged, the Association does hereby sell, assign, convey, transfer and set over to the Assignee its entire right, title, interest and benefit in and to the Trade-mark and the Trade-mark Rights, and each of the Administrators does hereby sell, assign, convey, transfer and set over to Assignee its respective entire right, title, interest and benefit, if any, in and to the Trade-mark and the Trade-mark Rights, the said Trade-mark and Trade-mark Rights to be held and enjoyed as fully and exclusively as the same would have been held and enjoyed by the Association and the Administrators (collectively the "Assignors") had this sale, assignment, conveyance, transfer and setting over not been made.

AND ASSIGNORS, other than the Alberta Securities Commission, on behalf of themselves and their successors, assigns, nominees or other legal representatives, do hereby covenant and agree to do all such lawful acts and things and to execute and deliver without further consideration such further lawful assignments, instruments, assurances, applications and other documents as may reasonably be required by the Assignee, or by its successors, assigns, nominees or other legal representatives, to vest or secure the Trade-mark and Trade-mark Rights in the Assignee, and in the Assignee's successors, assigns, nominees or other legal representatives.

AND ASSIGNEE agrees and acknowledges that this sale, assignment, conveyance, transfer and setting over is being effected on an "AS IS" basis, without warranty or condition of any kind, including any implied warranties or conditions of merchantable quality, merchantability, fitness for a particular purpose, validity or non-infringement of third-party rights, whether arising at law, in equity or by a course of dealing or usage of trade.

THIS ASSIGNMENT may be executed in any number of counterparts, each of which will be deemed to be an original, and all of which taken together will be deemed to constitute one and the same instrument, and shall be effective to transfer the Assignors' entire right, title, interest, property, and benefit to the Assignee on the day of the last execution of this Assignment.

IN WITNESS WHEREOF, the Alberta Securities Commission, by itself and for and on behalf of the Association, has by its authorized signing officer executed this Trade-mark Transfer and Assignment on the day and year set forth below.

DATED at Calgary, Alberta, this 28th day of March, 2013.

ALBERTA SECURITIES COMMISSION

Per: "David C. Linder"
Name: David C. Linder
Title: Executive Director

Witnessed by:

Name: "Witness"

IN WITNESS WHEREOF, the British Columbia Securities Commission, by itself and for and on behalf of the Association, has by its authorized signing officer executed this Trade-mark Transfer and Assignment on the day and year set forth below.

DATED at Vancouver, this 2nd day of April, 2013.

BRITISH COLUMBIA SECURITIES COMMISSION

Per: "Paul C. Bourque"
Name: Paul C. Bourque
Title: Executive Director

Witnessed by:

Name: "Witness"

IN WITNESS WHEREOF, the Manitoba Securities Commission, by itself and for and on behalf of the Association, has by its authorized signing officer executed this Trade-mark Transfer and Assignment on the day and year set forth below.

DATED at Winnipeg, MB, this 25th day of March, 2013.

MANITOBA SECURITIES COMMISSION

Per: "Don Murray"
Name: Don Murray
Title: Chair

Witnessed by:

Name: "Witness"

IN WITNESS WHEREOF, the New Brunswick Securities Commission, by itself and for and on behalf of the Association, has by its authorized signing officer executed this Trade-mark Transfer and Assignment on the day and year set forth below.

DATED at Saint John, this 28th day of March, 2013.

NEW BRUNSWICK SECURITIES COMMISSION

Per: "R Hancox"
Name: R. Hancox
Title: Executive Director

Witnessed by:

Name: "Witness"

IN WITNESS WHEREOF, the Financial Services Regulation Division, Service NL (formerly and most recently known as the Financial Services Regulation Division, Department of Government Services, formerly and previously known as the Financial Services Regulation Division, Department of Government Services and Lands, formerly and previously known as Department of Government Services and Lands, Securities Division, formerly and previously known as the Newfoundland Department of Justice, Securities Division), Government of Newfoundland and Labrador, by itself and for and on behalf of the Association, has by its authorized signing officer executed this Trade-mark Transfer and Assignment on the day and year set forth below.

DATED at St. John's, this 16th day of December, 2013.

**HER MAJESTY THE QUEEN IN RIGHT OF THE
PROVINCE OF NEWFOUNDLAND AND LABRADOR,
AS REPRESENTED BY FINANCIAL SERVICES
REGULATION DIVISION, SERVICE NL,
GOVERNMENT OF NEWFOUNDLAND AND
LABRADOR**

Per: "Douglas Connolly"
Name: Douglas Connolly
Title: Director, Financial Services Regulation

Witnessed by:

Name: "Witness"

**HER MAJESTY THE QUEEN IN RIGHT OF THE
PROVINCE OF NEWFOUNDLAND AND LABRADOR,
AS REPRESENTED BY THE MINISTER OF
MUNICIPAL AND INTERGOVERNMENTAL
AFFAIRS, GOVERNMENT OF NEWFOUNDLAND
AND LABRADOR**

Per: "Sean Dutton"
Name: Sean Dutton
Title: Deputy Minister

Witnessed by:

Name: "Witness"

IN WITNESS WHEREOF, the Department of Justice, Office of the Superintendent of Securities (formerly known as the Northwest Territories Department of Justice, Securities Registry), Government of the Northwest Territories, by itself and for and on behalf of the Association, has by its authorized signing officer executed this Trade-mark Transfer and Assignment on the day and year set forth below.

DATED at Yellowknife, NWT, this 28th day of March, 2013.

**DEPARTMENT OF JUSTICE, OFFICE OF THE
SUPERINTENDENT OF SECURITIES,
GOVERNMENT OF THE NORTHWEST
TERRITORIES**

Per: "Donn MacDougall"
Name: Donn MacDougall
Title: Deputy Superintendent of Securities,
Legal & Enforcement

Witnessed by:

Name: "Witness"

IN WITNESS WHEREOF, the Nova Scotia Securities Commission, by itself and for and on behalf of the Association, has by its authorized signing officer executed this Trade-mark Transfer and Assignment on the day and year set forth below.

DATED at Halifax, this 2 day of April, 2013.

NOVA SCOTIA SECURITIES COMMISSION

Per: "Sarah Bradley"
Name: Sarah Bradley
Title: Chair

Witnessed by:

Name: "Witness"

IN WITNESS WHEREOF, the Office of the Superintendent of Securities for Nunavut, Department of Justice, Government of Nunavut (a successor in part to the Department of Justice, Office of the Superintendent of Securities (formerly known as the Northwest Territories Department of Justice, Securities Registry), Government of the Northwest Territories), by itself and for and on behalf of the Association, has by its authorized signing officer executed this Trade-mark Transfer and Assignment on the day and year set forth below.

DATED at Iqaluit, Nunavut, this 24th day of March, 2013.

**OFFICE OF THE SUPERINTENDENT OF
SECURITIES FOR NUNAVUT, DEPARTMENT OF
JUSTICE, GOVERNMENT OF NUNAVUT**

Per: "Louis Arki"
Name: Louis Arki
Title: Superintendent of Securities

Witnessed by:

Name: "Witness"

IN WITNESS WHEREOF, the Ontario Securities Commission, by itself and for and on behalf of the Association, has by its authorized signing officer executed this Trade-mark Transfer and Assignment on the day and year set forth below.

DATED at Toronto, Ontario, this 28th day of March, 2013.

ONTARIO SECURITIES COMMISSION

Per: “Maureen Jensen”
Name: Maureen Jensen
Title: Executive Director and CAO

Witnessed by:

Name: “Witness”

IN WITNESS WHEREOF, the Consumer, Labour and Financial Services Division, Department of Environment, Labour and Justice, (formerly and most recently known as the Consumer, Corporate and Insurance Division, Office of the Attorney General, and formerly and previously known as Department of Provincial Affairs and Attorney General), Government of Prince Edward Island, by itself and for and on behalf of the Association, has by its authorized signing officer executed this Trade-mark Transfer and Assignment on the day and year set forth below.

DATED at _____, this _____ day of _____, 2013.

**CONSUMER, LABOUR AND FINANCIAL SERVICES
DIVISION, DEPARTMENT OF ENVIRONMENT,
LABOUR AND JUSTICE, GOVERNMENT OF PRINCE
EDWARD ISLAND**

Per: "Janice A. Sherry" _____
Name: Janice A. Sherry
Title: Minister & Attorney General

Witnessed by:

Name: "Witness" _____

IN WITNESS WHEREOF, the Autorité des marchés financiers (formerly known as the Commission des valeurs mobilières du Québec), by itself and for and on behalf of the Association, has by its authorized signing officer executed this Trade-mark Transfer and Assignment on the day and year set forth below.

DATED at _____, this _____ day of _____, 2013.

AUTORITÉ DES MARCHÉS FINANCIERS

Per: "Mario Albert" _____
Name: Mario Albert
Title: PDG

Witnessed by:

Name: _____

IN WITNESS WHEREOF, the Financial and Consumer Affairs Authority of Saskatchewan (successor in interest to the Saskatchewan Financial Services Commission, in turn a successor in interest to the Saskatchewan Securities Commission), by itself and for and on behalf of the Association, has by its authorized signing officer executed this Trade-mark Transfer and Assignment on the day and year set forth below.

DATED at Regina, SK, this 2nd day of April, 2013.

**FINANCIAL AND CONSUMER AFFAIRS AUTHORITY
OF SASKATCHEWAN**

Per: "Dave Wild"
Name: Dave Wild
Title: Chair & CEO

Witnessed by:

Name: "Witness"

IN WITNESS WHEREOF the Office of the Yukon Superintendent of Securities, Department of Community Services, Corporate Policy and Consumer Affairs Division, Corporate Affairs Branch (formerly and most recently known as the Yukon Securities Office, Corporate Affairs Branch, Consumer and Protective Services, Department of Community Services, and formerly and previously known as Yukon Territory Department of Justice, Registrar of Securities), Government of Yukon, by itself and for and on behalf of the Association, has by its authorized signing officer executed this Trade-mark Transfer and Assignment on the day and year set forth below.

DATED at Whitehorse, this 15 day of May, 2013.

**OFFICE OF THE YUKON SUPERINTENDENT OF
SECURITIES, DEPARTMENT OF COMMUNITY
SERVICES, CORPORATE POLICY AND CONSUMER
AFFAIRS DIVISION, CORPORATE AFFAIRS
BRANCH, GOVERNMENT OF YUKON**

Per: "Frederik Pretorius"
Name: Frederik Pretorius
Title: Superintendent of Securities

Witnessed by:

Name: "Witness"