

## TABLE OF CONTENTS

<b>PART 1 – DEFINITIONS AND INTERPRETATION</b>	
1.1	Definitions..... 1.1-1 – 1.1-30
1.2	Interpretation..... 1.2-1 – 1.2-6
<b>PART 2 – ABUSIVE TRADING</b>	
2.1	Just and Equitable Principals..... 2.1-1 – 2.1-10
2.2	Manipulative or Deceptive Method of Trading..... 2.2-1 – 2.2-17
2.3	Improper Orders and Trades 2.3.1
<b>PART 3 – SHORT SELLING</b>	
3.1	Restrictions on Short Selling..... 3.1-1 – 3.1-17
<b>PART 4 – FRONTRUNNING</b>	
4.1	Frontrunning..... 4.1-1 – 4.1-3
<b>PART 5 – BEST EXECUTION OBLIGATION</b>	
5.1	Best Execution of Client Orders..... 5.1-1 – 5.1-6
5.2	Best Price Obligation..... 5.2-1 – 5.2-17
5.3	Client Priority..... 5.3-1 – 5.3-13
<b>PART 6 – ORDER ENTRY AND EXPOSURE</b>	
6.1	Entry of Orders to a Marketplace..... 6.1-1
6.2	Designations and Identifiers..... 6.2-1 – 6.2-12
6.3	Exposure of Client Orders..... 6.3-1 – 6.3-3
6.4	Trades to be on a Marketplace..... 6.4-1 – 6.4-12
<b>PART 7 – TRADING IN A MARKETPLACE</b>	
7.1	Trading Supervision Obligation..... 7.1-1 – 7.1-31
7.2	Proficiency Obligation..... 7.2-1
7.3	Liability for Bids, Offers and Trades..... 7.3-1
7.4	Contract Record and Official Transaction Record..... 7.4-1
7.5	Recording Prices..... 7.5-1 – 7.5-6
7.6	Cancelled Trades..... 7.6-1
7.7	Restrictions on Trading by a Participant Involved in a Distribution..... 7.7-1 – 7.7-16
7.8	Restrictions on Trading During a Securities Exchange Take-over Bid..... 7.8-1
7.9	Trading in Listed or Quoted Securities by a Derivatives Market Maker..... 7.9-1
7.10	Agreement between a Market Regulator and an Access Person - proposed 7.10-1
7.11	Failed Trades - proposed 7.11-1
7.12	Variation and Cancellation of Trades – proposed 7.12-1

<b>PART 8 – PRINCIPAL TRADING</b>	
8.1	Client-Principal Trading..... 8.1-1 – 8.1-5
<b>PART 9 – TRADING HALTS, DELAYS AND SUSPENSIONS</b>	
9.1	Regulatory Halts, Delays and Suspensions of Trading ... 9.1-1 – 9.1-3
<b>PART 10 – COMPLIANCE</b>	
10.1	Compliance Requirements..... 10.1-1 – 10.1-9
10.2	Investigations..... 10.2-1 – 10.2-2
10.3	Extension of Responsibility..... 10.3-1 – 10.3-2
10.4	Extension of Restrictions..... 10.4-1 – 10.4-2
10.5	Powers and Remedies..... 10.5-1 – 10.5-3
10.6	Exercise of Authority..... 10.6-1
10.7	Assessment of Expenses..... 10.7-1
10.8	Practice and Procedure..... 10.8-1 – 10.8-23
10.9	Power of Market Integrity Officials..... 10.9-1 – 10.9-3
10.10	Report of Short Positions..... 10.10-1 – 10.10-5
10.11	Audit Trail Requirements..... 10.11-1 – 10.11-7
10.12	Retention and Inspection of Records and Instructions ... 10.12-1 – 10.12-2
10.13	Exchange and Provision of Information by Market Regulators ..... 10.13-1
10.14	Synchronization of Clocks..... 10.14-1 – 10.14-2
10.15	Assignment of Identifiers and Symbols..... 10.15-1 – 10.15-2
10.16	Gatekeeper Obligations of Directors, Officers and Employees of Participants and Access Persons..... 10.16-1 – 10.16-8
10.17	Gatekeeper Obligations with Respect to Access Persons – proposed 10.17-1
<b>PART 11 – ADMINISTRATION OF RULES</b>	
11.1	General Exemption Relief..... 11.1-1 – 11.1-3
11.2	General Prescriptive Power..... 11.2-1
11.3	Review or Appeal of Market Regulator Decision..... 11.3-1
11.4	Method of Giving Notice..... 11.4-1
11.5	Computation of Time..... 11.5-1
11.6	Waiver of Notice..... 11.6-1
11.7	Omissions or Errors in Giving Notice..... 11.7-1
11.8	Transitional Provisions..... 11.8-1
11.9	Non-Application of Rules..... 11.9-1
11.10	Indemnification and Limited Liability of the Market Regulator..... 11.10-1 – 11.10-2
11.11	Status of Rules and Policies..... 11.11-1