

7.9 Trading in Listed or Quoted Securities by a Derivatives Market Maker

A Participant who is a derivatives market maker shall comply when trading on any marketplace with such additional requirements as may be required by:

- (a) an Exchange when trading on that Exchange in listed securities; and
- (b) a QTRS when trading on that QTRS in quoted securities.

Defined Terms: *UMIR section 1.1 – derivatives market maker, “Exchange”, “listed security”, “marketplace”, “Participant”, “quoted security” and “QTRS”*