

| | A | B | C | D | E | F | G | H | I | J | K | L | M | N | O | P | |
|----|-------------------------------|---|-----------------------------------|---|--------------------------------|-----------------------------|---|------------------------|------------------------|-----------------------|--|---|--|--|--|---|--|
| 7 | Scenario # from Decision Tree | Scenario Descriptions | | | Broker Information | | | Flags | | | Account Types | | | Client Identifier | | | |
| 8 | | | | | Executing Participant # (6774) | Jitney Participant # (6757) | Non-PO IIROC Dealer Member (LEI) (8028) | OEO flag ("7" in 1724) | DEA flag ("5" in 1724) | RA flag ("1" in 2883) | Bundled order (BU) ("BU" in 6750) | Non-client order (NC) ("NC" in 6750) | Multiple Client (MC) ("MC" in 6750) | Client LEI (8027) | Account Number (8025) | Unique Identifier for client of FDE that uses algo to generate order (8026) | |
| 14 | 5.1 | Executing Participant receives an order from a client that is DEA, RA or OEO (cont'd) | Routing Arrangement (RA) (cont'd) | Participant enters into RA with IIROC Dealer Member who is a Jitney Participant (A) that is in a routing arrangement with another IIROC Dealer Member (B) that is trading for its own proprietary account | √ | √ (A's JPO #) | √ (B's LEI) | | | √ | | | | | | | |
| 15 | 5.2 | | | Participant enters into RA with IIROC Dealer Member who is a Jitney Participant (A) that is in a routing arrangement with another IIROC Dealer Member (B) that is trading for more than one client | √ | √ (A's JPO #) | √ (B's LEI) | | | √ | √ (if B is grouping together orders for more than one account type) | √ (if B is grouping together orders for more than one non-client account and no other account types) | √ (if B is grouping together orders for more than one client that do not have a common parent entity) | √ LEI of common parent entity (if B is grouping orders together for clients that have a common parent entity) | | | |
| 16 | 5.3 | | | Participant enters into RA with IIROC Dealer Member who is a Jitney Participant (A) that is in a routing arrangement with another IIROC Dealer Member (B) that is trading for one client | √ | √ (A's JPO #) | √ (B's LEI) | | | √ | | | | √ LEI of client that B supervises as institutional client | √ Account number of client that B supervises as retail client | | |
| 17 | 5.4 | | | Participant enters into RA with IIROC Dealer Member who is a Jitney Participant (A) that is in a routing arrangement with a FDE (B) that is trading for its own proprietary account | √ | √ (A's JPO #) | | | | √ | | | | √ LEI of FDE (Add FDE flag "6" in 1724) | | | |

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| 18 | 5.5 | | | Participant enters into RA with IIROC Dealer Member who is a Jitney Participant (A) that is in a routing arrangement with a FDE (B) that has a client that does <u>not</u> automatically generate orders on a predetermined basis | √ | √ (A's JPO #) | | | | √ | | | | √ LEI of FDE (Add FDE flag "6" in 1724) | | |
| 19 | 5.6 | | | Participant enters into RA with IIROC Dealer Member who is a Jitney Participant (A) that is in a routing arrangement with a FDE (B) that has a client that automatically generates orders on a predetermined basis | √ | √ (A's JPO #) | | | | √ | | | | √ LEI of FDE (Add FDE flag "6" in 1724) | | √ |
| 20 | 6 | | | Participant enters into RA with a foreign dealer equivalent, who is trading for its own proprietary account | √ | | | | | √ | | | | √ LEI of FDE (Add FDE flag "6" in 1724) | | |
| 21 | 7 | | | Participant enters into RA with a foreign dealer equivalent, who is trading for a client that does <u>not</u> automatically generate orders on a predetermined basis | √ | | | | | √ | | | | √ LEI of FDE (Add FDE flag "6" in 1724) | | |
| 22 | 8 | | | Participant enters into RA with a foreign dealer equivalent, who is trading for a client that automatically generates orders on a predetermined basis | √ | | | | | √ | | | | √ LEI of FDE (Add FDE flag "6" in 1724) | | √ |
| 23 | 9 | Order Execution Only (OEO) | | Participant provides OEO to a client that is an identified OEO client | √ | | | √ | | | | | | √ LEI of identified OEO client ² (if identified OEO client is eligible for an LEI) | OR √ Account number of identified OEO client ² (if identified OEO client is not eligible for an LEI (must separately report client name to IIROC)) | |

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| 24 | 10 | | | Participant provides OEO to a client that is not an identified OEO client | √ | | | √ | | | | | | ↓ LEI of OEO client (if OEO client is supervised as an institutional client) | ↓ Account number of OEO client (if OEO client is supervised as a retail client) | | |
| 25 | 11 | | | Participant handles order for one client | √ | | | | | | | | | ↓ LEI of PO's client (if client is supervised as an institutional client) | ↓ Account number of PO's client (if client is supervised as a retail client) | | |
| 26 | 12 | Executing Participant receives an order from a client that is <u>not</u> DEA, RA or OEO | | Participant handles order for more than one client | √ | | | | | | ↓ (if PO is grouping together orders for more than one account type) | ↓ (if PO is grouping together orders for more than one non-client account and no other account types) | ↓ (if PO is grouping together orders for clients that do not have a common parent entity) | ↓ LEI of common parent entity (if PO is grouping together orders for clients that have a common parent entity) | | | |
| 27 | 13 | | | Participant is handling an order for an IIROC Dealer Member, who is trading for its proprietary account | √ | ↓ (if IIROC Dealer Member is a Participant) | ↓ (if IIROC Dealer Member is not a Participant) | | | | | | | | | | |
| 28 | 14 | | | Participant receives an order from an IIROC Dealer Member that is providing an order-execution only service for a client | √ | ↓ (if IIROC Dealer Member is a Participant) | ↓ (if IIROC Dealer Member is not a Participant) | √ | | | | | | ↓ LEI of identified OEO client ² (if IIROC Dealer Member's OEO client is an identified OEO client and eligible for an LEI) | ↓ Account number of OEO client (if IIROC Dealer Member's OEO client ² and supervised as a retail client, or - is an identified OEO client but is not eligible for an LEI (must separately report client name to IIROC)) | | |
| 29 | 15 | | Executing Participant receives an order from a client that is not DEA, RA or OEO (cont'd) | | Participant is handling an order for an IIROC Dealer Member, who is trading for more than one client | √ | ↓ (if IIROC Dealer Member is a Participant) | ↓ (if IIROC Dealer Member is not a Participant) | | | | ↓ (if IIROC Dealer Member is grouping together orders for more than one account type) | ↓ (if PO is grouping together orders for more than one non-client account and no other account types) | ↓ (if IIROC Dealer Member is grouping together orders for clients that do not have a common parent entity) | ↓ LEI of common parent entity (if IIROC Dealer Member is grouping together orders for clients that have a common parent entity) | | |

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| 16 | | | | Participant is handling an order for an IIROC Dealer Member, who is trading for one client | √ | √ OR (if IIROC Dealer Member is a Participant) | √ (if IIROC Dealer Member is not a Participant) | | | | | | | √ OR LEI of IIROC Dealer Member's client (if client is supervised by IIROC Dealer Member as an institutional customer) | √ Account number of IIROC Dealer Member's client (if client is supervised by IIROC Dealer Member as a retail customer) | |
| 30 | 1. IIROC Notice 19-0071 - Rule Notice – Notice of Approval - UMIR and DMR – Amendments Respecting Client Identifiers (April 18, 2019). | | | | | | | | | | | | | | | |
| 31 | 2. An "identified OEO client" is defined as client using an order execution only service: | | | | | | | | | | | | | | | |
| 32 | (a) whose trading activity on marketplaces for which the Market Regulator is the regulation services provider exceeds a daily average of 500 orders per trading day in any calendar month, | | | | | | | | | | | | | | | |
| | (b) that is not an individual and is registered as an adviser in accordance with applicable securities legislation, or | | | | | | | | | | | | | | | |
| | (c) that is not an individual and is in the business of trading securities in a foreign jurisdiction in a manner analogous to an adviser. | | | | | | | | | | | | | | | |