



Appendix A – Proposed DMR / UMIR Amendments

The Universal Market Integrity Rules are hereby amended as follows:

1. Section 1.1 is amended by:
 - a. adding the following definition of “Legal Entity Identifier”:
“**Legal Entity Identifier**” or “**LEI**” means a unique identification code assigned to a counterparty in accordance with the standards set by the Global Legal Entity Identifier System.
 - b. adding the following definition of “Global Legal Entity Identifier System”:
“**Global Legal Entity Identifier System**” means the system for unique identification of parties to financial transactions developed by the Legal Entity Identifier System Regulatory Oversight Committee.
 - c. adding the following definition of “Legal Entity Identifier System Regulatory Oversight Committee”:
“**Legal Entity Identifier System Regulatory Oversight Committee**” means the international working group established by the Finance Ministers and the Central Bank Governors of the Group of Twenty nations and the Financial Stability Board, under the Charter of the Regulatory Oversight Committee for the Global Legal Entity Identifier System dated November 5, 2012.
2. Paragraph 6.2(1)(a) is amended by:
 - a. replacing subparagraph (iv) with the following:
“(iv) the client for or on behalf of whom the order is entered, in the form and manner that is acceptable to the Market Regulator, and”
 - b. replacing subparagraph (v) with the following:
“(v) the client of a foreign dealer equivalent for or on behalf of whom the order is entered under a routing arrangement, where such client order is automatically generated on a predetermined basis by that client, and in the form and manner acceptable to the Market Regulator; and”
 - c. repealing subparagraph (vi).
3. Paragraph 6.2(1)(b) is amended by:
 - a. Deleting “or” at the end of subparagraph (xv)



- b. Replacing “(xvi)” in subparagraph (xvi) with “(xix)”
- c. Adding the following after subparagraph (xv):
 - “(xvi) for the account of a client where the order is sent using direct electronic access,
 - (xvii) for the account of a client where the order is sent under a routing arrangement,
 - (xviii) for the account of a client using the order-execution only service of a Dealer Member as defined in Dealer Member Rule 3200, or”.

The Dealer Member Rules are hereby amended as follows:

- 1. Section 5 of Part A of Rule 3200 is amended by:
 - a. deleting the word “Certain” in the title of section 5
 - b. replacing subsection (a) with the following:
 - “(a) The Dealer Member must ensure that each client order to be entered on a Marketplace for which the Corporation is the regulation services provider includes a client identifier in the form and manner acceptable to the Market Regulator.”
 - c. repealing subsection (b)
 - d. repealing subsection (c).
- 2. Section 6 of Part B of Rule 3200 is amended by:
 - a. deleting the word “Certain” in the title of section 6
 - b. replacing subsection (a) with the following:
 - “(a) The Dealer Member must ensure that each client order to be entered on a Marketplace for which the Corporation is the regulation services provider includes a client identifier assigned in the form and manner acceptable to the Market Regulator.”
 - c. repealing subsection (b)
 - d. repealing subsection (c).
- 3. Section 1 of Rule 2800C is amended by:



- a. Deleting the following at the end of subsection 1.5:

“If the Global Legal Entity Identifier System is unavailable to a reporting counterparty when a reporting obligation under this Rule arises, a substitute legal identifier must be used as identified by the Corporation.”

4. Paragraph (c) of subsection 2.4 of Rule 2800C is amended by:

- a. Replacing rows 14 and 15 with the following:

No.	Data	Description
14.	CUSTOMER LEI	The LEI assigned to the client/customer, where the client/customer is eligible to obtain an LEI.
15.	CUSTOMER ACCOUNT IDENTIFIER	The account number of the customer where the counterparty is 'Client' and no Customer LEI is available.