



Appendix B – Text of UMIR/DMR to Reflect Proposed UMIR/DMR Amendments Respecting Customer Identifiers

<p>1.1 Definitions</p> <p>...</p> <p><u>“Legal Entity Identifier” or “LEI” means a unique identification code assigned to a counterparty in accordance with standards set by the Global Legal Entity Identifier System.</u></p>	<p>1.1 Definitions</p> <p>...</p> <p>“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.</p>
<p><u>“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.</u></p>	<p>“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.</p>
<p><u>“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.</u></p>	<p>“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.</p>



<p>6.2 Designations and Identifiers</p> <p>(1) Each order entered on a marketplace shall contain:</p> <p>(a) the identifier of:</p> <ul style="list-style-type: none">(i) the Participant or Access Person entering the order as assigned to the Participant or Access Person in accordance with Rule 10.15,(ii) the marketplace on which the order is entered as assigned to the marketplace in accordance with Rule 10.15,(iii) the Participant for or on behalf of whom the order is entered, if the order is a jitney order,(iv) the client for or on behalf of whom the order is entered where the order originates from a Dealer Member that provides order execution services and the order requires a client identifier pursuant to Dealer Member Rule 3200,(v) the client for or on behalf of whom the order is entered under direct electronic access, and(vi) the investment dealer or foreign dealer equivalent for or on behalf of whom the order is entered under a routing arrangement; and(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(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	<p>6.2 Designations and Identifiers</p> <p>(1) Each order entered on a marketplace shall contain:</p> <p>(a) the identifier of:</p> <ul style="list-style-type: none">(i) the Participant or Access Person entering the order as assigned to the Participant or Access Person in accordance with Rule 10.15,(ii) the marketplace on which the order is entered as assigned to the marketplace in accordance with Rule 10.15,(iii) the Participant for or on behalf of whom the order is entered, if the order is a jitney order,(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(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
<p>(b) a designation acceptable to the Market Regulator for the marketplace on which the order is entered, if the order is:</p> <p>...</p> <ul style="list-style-type: none">(xv) for the account of a person who is a significant shareholder of the issuer of the security which is the subject of the order, <p>or</p> <ul style="list-style-type: none">(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(xvi) (xix) of a type for which the Market Regulator may from time to time require a specific or particular designation.	<p>(b) a designation acceptable to the Market Regulator for the marketplace on which the order is entered, if the order is:</p> <p>...</p> <ul style="list-style-type: none">(xv) for the account of a person who is a significant shareholder of the issuer of the security which is the subject of the order,(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, or(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(xix) of a type for which the Market Regulator may from time to time require a specific or particular designation.



**RULE 3200
MINIMUM REQUIREMENTS FOR DEALER MEMBERS
SEEKING APPROVAL UNDER RULE 1300.1(T) TO
OFFER AN ORDER-EXECUTION ONLY SERVICE**

A. Minimum requirements for Dealer Members offering solely an order-execution only service, either as the Dealer Member's only business or through a separate business unit of the Dealer Member

...

4. Supervision

...

5. Identification of **Certain Clients**

~~(a) The Dealer Member must ensure that a client identifier is assigned to each client that trades on a Marketplace for which the Corporation is the regulation services provider;~~

~~(a) whose trading activity on Marketplaces for which the Corporation 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 a dealer or 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 a dealer or adviser.~~

~~(b) The Dealer Member must provide each client identifier assigned pursuant to Rule A.5(a) and the name of the corresponding client to the Corporation. (c)~~

~~(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 must be assigned pursuant to Rule A.5(a) includes a client identifier in the form and manner acceptable to the Market Regulator contain the client identifier assigned to that client.~~

6. Systems and Books and Records

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6. Systems and Books and Records

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<p>B. Minimum requirements for Dealer Members offering both an advisory and an order-execution only service</p> <p>...</p> <p>5. Supervision...</p> <p>6. Identification of <u>Certain</u> Clients</p> <p>(a) The Dealer Member must ensure that a client identifier is assigned to each order-execution only service client that trades on a Marketplace for which the Corporation is the regulation services provider:</p> <p>(a) whose trading activity on Marketplaces for which the Corporation is the regulation services provider exceeds a daily average of 500 orders per trading day in any calendar month,</p> <p>(b) that is not an individual and is registered as a dealer or adviser in accordance with applicable securities legislation, or</p> <p>(c) that is not an individual and is in the business of trading securities in a foreign jurisdiction in a manner analogous to a dealer or adviser.</p> <p>(b) The Dealer Member must provide to the Corporation each client identifier assigned in the form and manner acceptable to the Market Regulator pursuant to Rule B.6(a) and the name of the corresponding client to the Corporation.</p> <p>(e) (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 by or on behalf of a client for whom a client identifier must be assigned includes a client identifier in the form and manner acceptable to the Market Regulator pursuant to Rule B.6(a) contain the client identifier assigned to that client.</p> <p>7. Systems and Books and Records</p> <p>...</p>	<p>B. Minimum requirements for Dealer Members offering both an advisory and an order-execution only service</p> <p>...</p> <p>5. Supervision...</p> <p>6. Identification of Clients</p> <p>(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.</p> <p>7. Systems and Books and Records</p> <p>...</p>
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<p>RULE 2800C TRANSACTION REPORTING FOR DEBT SECURITIES</p> <p>...</p> <p>1. Definitions</p> <p>For purposes of Rule 2800C, the terms below have the meanings noted.</p> <p>...</p> <p>1.5 “Legal Entity Identifier” or “LEI” means a unique identification code assigned to a counterparty in accordance with standards set by the Global Legal Entity Identifier System. 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.</p>	<p>RULE 2800C TRANSACTION REPORTING FOR DEBT SECURITIES</p> <p>...</p> <p>1. Definitions</p> <p>For purposes of Rule 2800C, the terms below have the meanings noted.</p> <p>...</p> <p>1.5 “Legal Entity Identifier” or “LEI” means a unique identification code assigned to a counterparty in accordance with standards set by the Global Legal Entity Identifier System.</p>																								
<p>2.4 Information Required on Transaction Reports</p> <p>...</p> <p>(c) Each transaction report must contain the following data elements relevant to a bond or Repo transaction as applicable:</p> <table border="1" data-bbox="214 949 808 1440"> <thead> <tr> <th>No.</th> <th>Data</th> <th>Description</th> </tr> </thead> <tbody> <tr> <td>13.</td> <td>CUSTOMER ACCOUNT TYPE</td> <td>Indicates whether the client is retail or institutional. This field must be populated if the counterparty type is ‘Client’</td> </tr> <tr> <td>14.</td> <td>CUSTOMER LEI</td> <td>The LEI assigned to the institutional client/customer, where the client/customer is eligible to obtain an LEI available. Optional field</td> </tr> <tr> <td>15.</td> <td>CUSTOMER ACCOUNT IDENTIFIER</td> <td>Identifier assigned by a reporting Dealer Member to uniquely identify the client/customer The account number of the customer where the counterparty is ‘Client’ and no Customer LEI is available. Optional field</td> </tr> </tbody> </table>	No.	Data	Description	13.	CUSTOMER ACCOUNT TYPE	Indicates whether the client is retail or institutional. This field must be populated if the counterparty type is ‘Client’	14.	CUSTOMER LEI	The LEI assigned to the institutional client/customer, where the client/customer is eligible to obtain an LEI available. Optional field	15.	CUSTOMER ACCOUNT IDENTIFIER	Identifier assigned by a reporting Dealer Member to uniquely identify the client/customer The account number of the customer where the counterparty is ‘Client’ and no Customer LEI is available. Optional field	<p>2.4 Information Required on Transaction Reports</p> <p>...</p> <p>(a) Each transaction report must contain the following data elements relevant to a bond or Repo transaction as applicable:</p> <table border="1" data-bbox="854 949 1448 1310"> <thead> <tr> <th>No.</th> <th>Data</th> <th>Description</th> </tr> </thead> <tbody> <tr> <td>13.</td> <td>CUSTOMER ACCOUNT TYPE</td> <td>Indicates whether the client is retail or institutional. This field must be populated if the counterparty type is ‘Client’</td> </tr> <tr> <td>14.</td> <td>CUSTOMER LEI</td> <td>The LEI assigned to the client/customer, where the client/customer is eligible to obtain an LEI.</td> </tr> <tr> <td>15.</td> <td>CUSTOMER ACCOUNT IDENTIFIER</td> <td>The account number of the customer where the counterparty is ‘Client’ and no Customer LEI is available.</td> </tr> </tbody> </table>	No.	Data	Description	13.	CUSTOMER ACCOUNT TYPE	Indicates whether the client is retail or institutional. This field must be populated if the counterparty type is ‘Client’	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.
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