



### Appendix 3 - Text of Amendments to Dealer Member Rule 3100 (Clean)

The Dealer Member Rules are hereby amended by adding the following section to Rule 3100:

#### RULE 3100 REPORTING AND RECORDKEEPING REQUIREMENTS

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##### I. B. 1.1 CYBERSECURITY REPORTING

- (1) For purposes of this sub-section, a “cybersecurity incident” includes any act to gain unauthorized access to, disrupt or misuse a *Dealer Member’s* information system, or information stored on such information system, that has resulted in, or has a reasonable likelihood of resulting in:
  - (i) substantial harm to any *person*,
  - (ii) a material impact on any part of the normal operations of the *Dealer Member*,
  - (iii) invoking the *Dealer Member’s* business continuity plan or disaster recovery plan, or
  - (iv) the *Dealer Member* being required under any applicable laws to provide notice to any government body, securities regulatory authority or other self-regulatory organization.
  
- (2) A *Dealer Member* must report to *the Corporation*, in writing, within 3 calendar days from discovering a *cybersecurity incident*.
  
- (3) The report provided by the *Dealer Member* to *the Corporation* under subsection (2) must include the following information:
  - (i) a description of the *cybersecurity incident*,
  - (ii) the date on which or time period during which the *cybersecurity incident* occurred and the date it was discovered by the *Dealer Member*,
  - (iii) a preliminary assessment of the *cybersecurity incident*, including the risk of harm to any *person* and/or impact on the operations of the *Dealer Member*,
  - (iv) a description of immediate incident response steps the *Dealer Member* has taken to mitigate the risk of harm to *persons* and impact on its operations, and
  - (v) the name of and contact information for an *individual* who can answer, on behalf of the *Dealer Member*, any of *the Corporation’s* follow-up questions about the *cybersecurity incident*.



- (4) Within 30 days, unless otherwise agreed by the Corporation, from discovering a *cybersecurity incident*, a *Dealer Member* must provide the Corporation with an incident investigation report, in writing, that includes the following information:
- (i) a description of the cause of the *cybersecurity incident*,
  - (ii) an assessment of the scope the *cybersecurity incident*, including the number of *persons* harmed and the impact on the operations of the *Dealer Member*,
  - (iii) details of the steps the *Dealer Member* took to mitigate the risk of harm to *persons* and impact on its operations,
  - (iv) details of the steps the *Dealer Member* took to remediate any harm to any *persons*, and
  - (v) actions the *Dealer Member* has or will take to improve its *cybersecurity incident* preparedness.