FORM 1, PART II – SCHEDULE 9B

~~DATE:~~ _____

_____

~~(Dealer Member Name)~~

CONCENTRATION OF SECURITIES

DEBT SECURITY TEST

[excluding securities required to be in segregation or safekeeping & ~~debt securities with a margin rate of 10% or less~~positions reported on Schedule 9A (see S9, note ~~5~~3)]

1	2	3	4	5	6	7	8	9	10	11	12	13	14	
Description of Security	Client position long/(short) C$'000	Dealer Member's own long/(short) C$'000	Unit Price	Market value C$'000	Effective margin rate	Loan value of securities C$'000	Adjustments in arriving at amount loaned C$'000	"Amount loaned" C$'000	Risk-weighting adjustment factor %	Risk-weighted "amount loaned"(Column 9 x Column 10) C$'000	Amount cleared within five business days C$'000	~~Adjusted~~ Final adjusted amount loaned C$'000	Debt Security Test – exposure greater than 1/2 RAC, or 1/3 RAC («Yes» or «No»)	~~Concentration charge C$'000~~
[S9B, note ~~6~~2]	[S9, note ~~7~~5]	[S9, note ~~8~~6]				[S9, note 2]		[S9, note ~~9~~7]	[S9B, notes 5, 6 and 7]	[S9B, notes 5, 6 and 7]			[S9, notes 1 and 8]	~~[note 10]~~

[See notes and instructions]

~~Feb~~xxxx ~~2011~~20xx

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