



Appendix B – Blackline of Amendments to UMIR, DMR and PLR

Text of UMIR to Reflect the Amendments Respecting Client Identifiers

Text of UMIR Marked to Reflect Adoption of the Amendments	Text of UMIR Following Adoption of the Amendments
<p>1.1 Definitions</p> <p>...</p> <p><u>“identified order execution only client” means a client using an order execution only service:</u></p> <p><u>(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,</u></p> <p><u>(b) that is not an individual and is registered as a dealer or adviser in accordance with applicable securities legislation, or</u></p> <p><u>(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.</u></p> <p>...</p>	<p>1.1 Definitions</p> <p>...</p> <p>“identified order execution only client” means a client using an order execution only service:</p> <p>(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,</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>...</p>
<p>...</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>...</p>	<p>...</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>...</p>
<p>...</p> <p><u>“Legal Entity Identifier” means a unique identification code assigned to a person in accordance with standards set by the Global Legal Entity Identifier System.</u></p> <p>...</p>	<p>...</p> <p>“Legal Entity Identifier” means a unique identification code assigned to a person in accordance with standards set by the Global Legal Entity Identifier System.</p> <p>...</p>
<p>...</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>...</p>	<p>...</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>...</p>
<p>...</p> <p><u>“multiple client order” means an order that includes orders from more than one client, but does not include a principal order or a non-client order.</u></p> <p>...</p>	<p>...</p> <p>“multiple client order” means an order that includes orders from more than one client, but does not include a principal order or a non-client order.</p> <p>...</p>
<p>...</p>	<p>...</p>



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<p>6.2 Designations and Identifiers</p> <p>(1) Each order entered on a marketplace shall contain:</p> <p>(a) the identifier of:</p> <p>(i) the Participant or Access Person entering the order as assigned to the Participant or Access Person in accordance with Rule 10.15,</p> <p>(ii) the marketplace on which the order is entered as assigned to the marketplace in accordance with Rule 10.15,</p> <p>(iii) the Participant for or on behalf of whom the order is entered, if the order is a jitney order,</p> <p>(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;</p> <p>(v) the client for or on behalf of whom the order is entered under direct electronic access, and</p> <p>(vi) the investment dealer or foreign dealer equivalent for or on behalf of whom the order is entered under a routing arrangement; and</p> <p>(iv) the client for or on behalf of whom the order is entered:</p> <p>1. in the form of a Legal Entity Identifier for:</p> <p>A. orders entered using direct electronic access</p> <p>B. orders entered using a routing arrangement</p> <p>C. an identified order execution only client that is eligible to receive a Legal Entity Identifier under the standards set by the Global Legal Entity Identifier System</p> <p>D. orders for accounts that are supervised under Dealer Member Rule 2700</p> <p>2. in the form of an account number for all other client orders not included under UMIR 6.2(1)(a)(iv)(1)</p> <p>(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>	<p>6.2 Designations and Identifiers</p> <p>(1) Each order entered on a marketplace shall contain:</p> <p>(a) the identifier of:</p> <p>(i) the Participant or Access Person entering the order as assigned to the Participant or Access Person in accordance with Rule 10.15,</p> <p>(ii) the marketplace on which the order is entered as assigned to the marketplace in accordance with Rule 10.15,</p> <p>(iii) the Participant for or on behalf of whom the order is entered, if the order is a jitney order,</p> <p>(iv) the client for or on behalf of whom the order is entered:</p> <p>1. in the form of a Legal Entity Identifier for:</p> <p>A. orders entered using direct electronic access</p> <p>B. orders entered using a routing arrangement</p> <p>C. an identified order execution only client that is eligible to receive a Legal Entity Identifier under the standards set by the Global Legal Entity Identifier System</p> <p>D. orders for accounts that are supervised under Dealer Member Rule 2700</p> <p>2. in the form of an account number for all other client orders not included under UMIR 6.2(1)(a)(iv)(1)</p> <p>(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>



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<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> <p>(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, or <u>(xvi) for the account of a client where the order is sent using direct electronic access,</u> <u>(xvii) for the account of a client where the order is sent under a routing arrangement,</u> <u>(xviii) for the account of an order execution only client,</u> (xvi) <u>(xix)</u> of a type for which the Market Regulator may from time to time require a specific or particular designation, or (xviii) <u>(xx)</u> a bundled order, or <u>(xxi)</u> a multiple client order.</p>	<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> <p>(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, (xviii) for the account of an order execution only client, (xix) of a type for which the Market Regulator may from time to time require a specific or particular designation, (xx) a bundled order, or (xxi) a multiple client order.</p>
<p>(c) Where a designation is required under 6.2(1)(b)(xx) or (xxi), the Participant does not need to include a client identifier on the order under 6.2(1)(a)(iv).</p>	<p>(c) Where a designation is required under 6.2(1)(b)(xx) or (xxi), the Participant does not need to include a client identifier on the order under 6.2(1)(a)(iv).</p>
<p>...</p> <p>(6) Unless otherwise permitted or directed by the Market Regulator, a marketplace shall:</p> <p>(a) disclose for display in a consolidated market display any designation attached to an order that is required by sub-clause (i) to (vii.1) inclusive of clause (1)(b), but for a bypass order that is not part of a designated trade, and</p> <p>(b) not disclose for display in a consolidated market display any designation attached to an order that is required by sub-clause (viii) to (xviii) <u>(xxi)</u> inclusive of clause (1)(b).</p>	<p>...</p> <p>(6) Unless otherwise permitted or directed by the Market Regulator, a marketplace shall:</p> <p>(a) disclose for display in a consolidated market display any designation attached to an order that is required by sub-clause (i) to (vii.1) inclusive of clause (1)(b), but for a bypass order that is not part of a designated trade, and</p> <p>(b) not disclose for display in a consolidated market display any designation attached to an order that is required by sub-clause (viii) to (xxi) inclusive of clause (1)(b).</p>
<p>...</p>	<p>...</p>
<p>7.13 Direct Electronic Access and Routing Arrangements</p> <p>...</p> <p>(6) A Participant shall forthwith notify the Market Regulator:</p> <p>(a) upon entering into a written agreement respecting direct electronic access or a routing arrangement,</p>	<p>7.13 Direct Electronic Access and Routing Arrangements</p> <p>...</p> <p>(6) A Participant shall forthwith notify the Market Regulator:</p> <p>(a) upon entering into a written agreement respecting direct electronic access, of the name of the client</p>



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<p>of the name of the client; that is not eligible to obtain a Legal Entity Identifier under the standards set by the Global Legal Entity Identifier System investment dealer or foreign dealer equivalent; and</p> <p>(b) of any change in the information described in clause (a).</p>	<p>that is not eligible to obtain a Legal Entity Identifier under the standards set by the Global Legal Entity Identifier System; and</p> <p>(b) of any change in the information described in clause (a).</p>
<p>...</p>	<p>...</p>
<p>10.15 Assignment of Identifiers and Symbols</p> <p>(1) The Market Regulator shall assign a unique identifier to:</p> <p>(a) a marketplace for trading purposes upon the Market Regulator being retained as the regulation services provider for the marketplace;</p> <p>(b) an investment dealer, other than a Participant, or a foreign dealer equivalent upon the Market Regulator being notified that a Participant has entered into a written agreement with the investment dealer or foreign dealer equivalent respecting a routing arrangement; and</p> <p>(c) a client upon the Market Regulator being notified that a Participant has entered into a written agreement with the client respecting direct electronic access.</p>	<p>10.15 Assignment of Identifiers and Symbols</p> <p>(1) The Market Regulator shall assign a unique identifier to:</p> <p>(a) a marketplace for trading purposes upon the Market Regulator being retained as the regulation services provider for the marketplace.</p>



Text of DMR to Reflect Amendments Respecting Client Identifiers

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<p>RULE 2800C TRANSACTION REPORTING FOR DEBT SECURITIES ... 1. Definitions For purposes of Rule 2800C, the terms below have the meanings noted. ... 1.5 “Legal Entity Identifier” or “LEI” means a unique identification code assigned to a <u>counterparty person</u> 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 ... 1. Definitions For purposes of Rule 2800C, the terms below have the meanings noted. ... 1.5 “Legal Entity Identifier” or “LEI” means a unique identification code assigned to a person in accordance with standards set by the Global Legal Entity Identifier System. ...</p>																								
<p>2.4 Information Required on Transaction Reports ... (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="181 1108 748 1598"> <thead> <tr> <th>No.</th> <th>Data</th> <th>Description</th> </tr> </thead> <tbody> <tr> <td>...</td> <td>...</td> <td>...</td> </tr> <tr> <td>14.</td> <td>CUSTOMER LEI</td> <td>The LEI assigned to of the Institutional client/cCustomer, where 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 Retail Customer where the counterparty is ‘Client’ and no Customer LEI is available. Optional field</td> </tr> </tbody> </table> <p>...</p>	No.	Data	Description	14.	CUSTOMER LEI	The LEI assigned to of the Institutional client/cCustomer, where 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 Retail Customer where the counterparty is ‘Client’ and no Customer LEI is available. Optional field	<p>2.4 Information Required on Transaction Reports ... (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="850 1108 1417 1339"> <thead> <tr> <th>No.</th> <th>Data</th> <th>Description</th> </tr> </thead> <tbody> <tr> <td>...</td> <td>...</td> <td>...</td> </tr> <tr> <td>14.</td> <td>CUSTOMER LEI</td> <td>The LEI of the Institutional Customer.</td> </tr> <tr> <td>15.</td> <td>CUSTOMER ACCOUNT IDENTIFIER</td> <td>The account number of the Retail Customer.</td> </tr> </tbody> </table> <p>...</p>	No.	Data	Description	14.	CUSTOMER LEI	The LEI of the Institutional Customer.	15.	CUSTOMER ACCOUNT IDENTIFIER	The account number of the Retail Customer.
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<p>2.6 LEI renewal The reporting Dealer Member must ensure that the registration status of its LEI has not lapsed.</p>	<p>2.6 LEI renewal The reporting Dealer Member must ensure that the registration status of its LEI has not lapsed.</p>																								



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<p>RULE 3200 MINIMUM REQUIREMENTS FOR DEALER MEMBERS SEEKING APPROVAL UNDER RULE 1300.1(T) TO OFFER AN ORDER-EXECUTION ONLY SERVICE</p> <p>The following Rule sets forth the documentary, procedural and systems requirements for Dealer Members to receive approval to accept orders from a customer without a suitability determination where no recommendation was provided by the Dealer Member.</p> <p>In this Rule, “order-execution only service” means the acceptance and execution of orders from customers for trades that the Dealer Member has not recommended and for which the Dealer Member takes no responsibility as to the appropriateness or suitability of orders accepted or account positions held.</p> <p>In this Rule “automated order system” has the same meaning as defined in National Instrument 23-103 <i>Electronic Trading and Direct Electronic Access to Marketplaces</i>.</p> <p><u>In this Rule, “bundled order” has the same meaning as set out in the Universal Market Integrity Rules.</u></p> <p><u>In this Rule, “Legal Entity Identifier” means a unique identification code assigned to a person in accordance with standards set by the Global Legal Entity Identifier System.</u></p> <p><u>In this Rule, “Global Legal Entity Identifier System” has the same meaning as set out in the Universal Market Integrity Rules.</u></p> <p><u>In this Rule, “Legal Entity Identifier System Regulatory Oversight Committee” has the same meaning as set out in the Universal Market Integrity Rules.</u></p> <p><u>In this Rule, “multiple client order” has the same meaning as set out in the Universal Market Integrity Rules.</u></p> <p><u>In this Rule, “Participant” has the same meaning as set out in the Universal Market Integrity Rules.</u></p> <p>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</p> <p>...</p> <p>4. Supervision</p> <p>...</p> <p>5. Identification of Certain Clients</p> <p>(a) The Dealer Member must ensure that a client identifier is assigned to each <u>order-execution only</u></p>	<p>RULE 3200 MINIMUM REQUIREMENTS FOR DEALER MEMBERS SEEKING APPROVAL UNDER RULE 1300.1(T) TO OFFER AN ORDER-EXECUTION ONLY SERVICE</p> <p>The following Rule sets forth the documentary, procedural and systems requirements for Dealer Members to receive approval to accept orders from a customer without a suitability determination where no recommendation was provided by the Dealer Member.</p> <p>In this Rule, “order-execution only service” means the acceptance and execution of orders from customers for trades that the Dealer Member has not recommended and for which the Dealer Member takes no responsibility as to the appropriateness or suitability of orders accepted or account positions held.</p> <p>In this Rule “automated order system” has the same meaning as defined in National Instrument 23-103 <i>Electronic Trading and Direct Electronic Access to Marketplaces</i>.</p> <p>In this Rule, “bundled order” has the same meaning as set out in the Universal Market Integrity Rules.</p> <p>In this Rule, “Legal Entity Identifier” means a unique identification code assigned to a person in accordance with standards set by the Global Legal Entity Identifier System.</p> <p>In this Rule, “Global Legal Entity Identifier System” has the same meaning as set out in the Universal Market Integrity Rules.</p> <p>In this Rule, “Legal Entity Identifier System Regulatory Oversight Committee” has the same meaning as set out in the Universal Market Integrity Rules.</p> <p>In this Rule, “multiple client order” has the same meaning as set out in the Universal Market Integrity Rules.</p> <p>In this Rule, “Participant” has the same meaning as set out in the Universal Market Integrity Rules.</p> <p>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</p> <p>...</p> <p>4. Supervision</p> <p>...</p> <p>5. Identification of Certain Clients</p> <p>(a) The Dealer Member must ensure that a client identifier is assigned to each order-execution only</p>



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<p><u>service</u> client that trades on a Marketplace for which the Corporation is the regulation services provider:</p> <p>(a) (i) 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) (ii) that is not an individual and is registered as a dealer or adviser in accordance with applicable securities legislation, or</p> <p>(c) (iii) 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><u>(b) The client identifier required in Rule A.5(a) must be in the form of:</u></p> <p><u>(i) a Legal Entity Identifier for a client that is eligible to receive a Legal Entity Identifier under the standards set by the Global Legal Entity Identifier System</u></p> <p><u>(ii) an account number for all other client orders not included under Rule A.5(b)(i).</u></p> <p>(b) (c) If an account number is used as the client identifier under Rule A.5(b)(ii), the Dealer Member must provide each client identifier assigned the account number pursuant to Rule A.5(a) and the name of the corresponding client to the Corporation.</p> <p><u>(d) For an order-execution only service client that is not referred to under Rule A.5(a)(i)-(iii), the Dealer Member must use an account number as the client identifier.</u></p> <p>(c) (e) The Dealer Member must ensure that each order entered on a Marketplace for which the Corporation is the regulation services provider <u>must be assigned pursuant to Rule A.5(a) contain the client identifier assigned to that client contains:</u></p> <p><u>(i) the Legal Entity Identifier of the Dealer Member if it is a non-executing Dealer Member that is not a Participant,</u> and <u>(ii) a designation to indicate the order is for an order-execution only account.</u></p> <p><u>(f) The Dealer Member must ensure that each order entered on a Marketplace for which the Corporation is the regulation services provider contains either:</u></p> <p><u>(i) the client identifier required under Rule A.5(b) or Rule A.5(d),</u> or <u>(ii) a designation to indicate the order is a bundled order or a multiple client order.</u></p>	<p>service client that trades on a Marketplace for which the Corporation is the regulation services provider:</p> <p>(i) 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>(ii) that is not an individual and is registered as a dealer or adviser in accordance with applicable securities legislation, or</p> <p>(iii) 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 client identifier required in Rule A.5(a) must be in the form of:</p> <p>(i) a Legal Entity Identifier for a client that is eligible to receive a Legal Entity Identifier under the standards set by the Global Legal Entity Identifier System</p> <p>(ii) an account number for all other client orders not included under Rule A.5(b)(i).</p> <p>(c) If an account number is used as the client identifier under Rule A.5(b)(ii), the Dealer Member must provide the account number and the name of the corresponding client to the Corporation.</p> <p>(d) For an order-execution only service client that is not referred to under Rule A.5(a)(i)-(iii), the Dealer Member must use an account number as the client identifier.</p> <p>(e) The Dealer Member must ensure that each order entered on a Marketplace for which the Corporation is the regulation services provider contains:</p> <p>(i) the Legal Entity Identifier of the Dealer Member if it is a non-executing Dealer Member that is not a Participant, and (ii) a designation to indicate the order is for an order-execution only account.</p> <p>(f) The Dealer Member must ensure that each order entered on a Marketplace for which the Corporation is the regulation services provider contains either:</p> <p>(i) the client identifier required under Rule A.5(b) or Rule A.5(d), or (ii) a designation to indicate the order is a bundled order or a multiple client order.</p>



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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>...</p> <p>6. Identification of Certain 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) (i) 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) (ii) that is not an individual and is registered as a dealer or adviser in accordance with applicable securities legislation, or</p> <p>(c) (iii) 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><u>(b) The client identifier required in Rule B.6(a) must be in the form of:</u></p> <p><u>(i) a Legal Entity Identifier for a client that is eligible to receive a Legal Entity Identifier under the standards set by the Global Legal Entity Identifier System,</u></p> <p><u>or</u></p> <p><u>(ii) an account number for all other client orders not included under Rule B.6(b)(i).</u></p> <p>(b) (c) If an account number is used as the client identifier under Rule B.6(b)(ii), the Dealer Member must provide each client identifier assigned the account number pursuant to Rule B.6(a) and the name of the corresponding client to the Corporation.</p> <p><u>(d) For an order-execution only service client that is not referred to under Rule B.6(a)(i)-(iii), the Dealer Member must use an account number as the client identifier.</u></p> <p>(e) (e) The Dealer Member must ensure that each order 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 pursuant to Rule B.6(a) contain the client identifier assigned to that client. contains:</p> <p><u>(i) the Legal Entity Identifier of the Dealer Member if it is a non-executing Dealer Member that is not a Participant,</u></p> <p><u>and</u></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>...</p> <p>6. Identification of Certain 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>(i) 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>(ii) that is not an individual and is registered as a dealer or adviser in accordance with applicable securities legislation, or</p> <p>(iii) 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 client identifier required in Rule B.6(a) must be in the form of:</p> <p>(i) a Legal Entity Identifier for a client that is eligible to receive a Legal Entity Identifier under the standards set by the Global Legal Entity Identifier System,</p> <p>or</p> <p>(ii) an account number for all other client orders not included under Rule B.6(b)(i).</p> <p>(c) If an account number is used as the client identifier under Rule B.6(b)(ii), the Dealer Member must provide the account number and the name of the corresponding client to the Corporation.</p> <p>(d) For an order-execution only service client that is not referred to under Rule B.6(a)(i)-(iii), the Dealer Member must use an account number as the client identifier.</p> <p>(e) The Dealer Member must ensure that each order entered on a Marketplace for which the Corporation is the regulation services provider contains:</p> <p>(i) the Legal Entity Identifier of the Dealer Member if it is a non-executing Dealer Member that is not a Participant,</p> <p>and</p> <p>(ii) a designation to indicate the order is for an order-execution only account.</p>



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<p><u>(ii) a designation to indicate the order is for an order-execution only account.</u></p> <p><u>(f) The Dealer Member must ensure that each order entered on a Marketplace for which the Corporation is the regulation services provider contains either:</u></p> <p><u>(i) the client identifier required under Rule B.6(b) or Rule B.6(d),</u></p> <p><u>or</u></p> <p><u>(ii) a designation to indicate the order is a bundled order or a multiple client order.</u></p>	<p>(f) The Dealer Member must ensure that each order entered on a Marketplace for which the Corporation is the regulation services provider contains either:</p> <p>(i) the client identifier required under Rule B.6(b) or Rule B.6(d),</p> <p>or</p> <p>(ii) a designation to indicate the order is a bundled order or a multiple client order.</p>
<p><u>RULE 3600 Identifying clients of a Non-Executing Dealer Member</u></p> <p><u>(1) Definitions</u></p> <p><u>For purpose of Rule 3600, the terms below have the following meaning:</u></p> <p><u>"Bundled order" has the same meaning as set out in the Universal Market Integrity Rules.</u></p> <p><u>"Global Legal Entity Identifier System" has the same meaning as set out in the Universal Market Integrity Rules.</u></p> <p><u>"Legal Entity Identifier" means a unique identification code assigned to a person in accordance with standards set by the Global Legal Entity Identifier System.</u></p> <p><u>"Legal Entity Identifier System Regulatory Oversight Committee" has the same meaning as set out in the Universal Market Integrity Rules.</u></p> <p><u>"Listed security" has the same meaning as set out in the Universal Market Integrity Rules.</u></p> <p><u>"Multiple client order" has the same meaning as set out in the Universal Market Integrity Rules.</u></p> <p><u>"Participant" has the same meaning as set out in the Universal Market Integrity Rules.</u></p> <p><u>(2) Where a non-executing Dealer Member is not acting for an order-execution only service account and sends an order in a listed security to an executing Dealer Member for execution on a Marketplace for which the Corporation is the regulation services provider, the non-executing Dealer Member must include:</u></p> <p><u>(a) an identifier for the client for or on behalf of whom the order is entered, in the form of:</u></p> <p><u>(i) a Legal Entity Identifier for an order for an account that is supervised under Rule 2700</u></p> <p><u>(ii) an account number for all other client orders not included under 3600(2)(a)(i)</u></p> <p><u>(b) the Legal Entity Identifier of the non-executing Dealer Member that is not a Participant.</u></p>	<p><u>RULE 3600 Identifying clients of a Non-Executing Dealer Member</u></p> <p><u>(1) Definitions</u></p> <p><u>For purpose of Rule 3600, the terms below have the following meaning:</u></p> <p><u>"Bundled order" has the same meaning as set out in the Universal Market Integrity Rules.</u></p> <p><u>"Global Legal Entity Identifier System" has the same meaning as set out in the Universal Market Integrity Rules.</u></p> <p><u>"Legal Entity Identifier" means a unique identification code assigned to a person in accordance with standards set by the Global Legal Entity Identifier System.</u></p> <p><u>"Legal Entity Identifier System Regulatory Oversight Committee" has the same meaning as set out in the Universal Market Integrity Rules.</u></p> <p><u>"Listed security" has the same meaning as set out in the Universal Market Integrity Rules.</u></p> <p><u>"Multiple client order" has the same meaning as set out in the Universal Market Integrity Rules.</u></p> <p><u>"Participant" has the same meaning as set out in the Universal Market Integrity Rules.</u></p> <p><u>(2) Where a non-executing Dealer Member is not acting for an order-execution only service account and sends an order in a listed security to an executing Dealer Member for execution on a Marketplace for which the Corporation is the regulation services provider, the non-executing Dealer Member must include:</u></p> <p><u>(a) an identifier for the client for or on behalf of whom the order is entered, in the form of:</u></p> <p><u>(i) a Legal Entity Identifier for an order for an account that is supervised under Rule 2700</u></p> <p><u>(ii) an account number for all other client orders not included under 3600(2)(a)(i)</u></p> <p><u>(b) the Legal Entity Identifier of the non-executing</u></p>



Text of DMR Marked to Reflect Adoption of the Amendments	Text of DMR Following Adoption of the Amendments
<p><u>(3) Where a non-executing Dealer Member is not acting for an order-execution only service account and groups together orders in a listed security from more than one client or account type for execution on a Marketplace for which the Corporation is the regulation services provider:</u></p> <p><u>(a) 3600(2)(a) does not apply,</u> <u>and</u> <u>(b) the non-executing Dealer Member must provide to the executing Dealer Member that the client order is part of:</u></p> <p><u>(i) a bundled order, or</u> <u>(ii) a multiple client order.</u></p> <p><u>(4) A non-executing Dealer Member that is not acting for an order-execution only service account and is not a Participant must ensure that the registration status of its Legal Entity Identifier has not lapsed.</u></p>	<p>Dealer Member that is not a Participant.</p> <p>(3) Where a non-executing Dealer Member is not acting for an order-execution only service account and groups together orders in a listed security from more than one client or account type for execution on a Marketplace for which the Corporation is the regulation services provider:</p> <p>(a) 3600(2)(a) does not apply, and (b) the non-executing Dealer Member must provide to the executing Dealer Member that the client order is part of:</p> <p>(i) a bundled order, or (ii) a multiple client order.</p> <p>(4) A non-executing Dealer Member that is not acting for an order-execution only service account and is not a Participant must ensure that the registration status of its Legal Entity Identifier has not lapsed.</p>



Text of PLR to Reflect the Amendments Respecting Client Identifiers

Text of PLR Marked to Reflect Adoption of the Amendments	Text of PLR Following Adoption of the Amendments																																																				
<p>1201. Definitions</p> <p>...</p> <p>(2) The following terms have the meanings set out when used in the <i>IIROC requirements</i>:</p> <p>...</p> <table border="1" data-bbox="159 541 747 1612"> <tr> <td><u>"bundled order"</u></td> <td><u>Has the same meaning as set out in the Universal Market Integrity Rules.</u></td> </tr> <tr> <td>...</td> <td>...</td> </tr> <tr> <td><u>"Global Legal Entity Identifier System"</u></td> <td><u>Has the same meaning as set out in the Universal Market Integrity Rules.</u></td> </tr> <tr> <td>...</td> <td>...</td> </tr> <tr> <td><u>"Legal Entity Identifier"</u></td> <td><u>A unique identification code assigned to a person in accordance with standards set by the Global Legal Entity Identifier System.</u></td> </tr> <tr> <td>...</td> <td>...</td> </tr> <tr> <td><u>"Legal Entity Identifier System Regulatory Oversight Committee"</u></td> <td><u>Has the same meaning as set out in the Universal Market Integrity Rules.</u></td> </tr> <tr> <td>...</td> <td>...</td> </tr> <tr> <td><u>"listed security"</u></td> <td><u>Has the same meaning as set out in the Universal Market Integrity Rules.</u></td> </tr> <tr> <td>...</td> <td>...</td> </tr> <tr> <td><u>"multiple client order"</u></td> <td><u>Has the same meaning as set out in the Universal Market Integrity Rules.</u></td> </tr> <tr> <td>...</td> <td>...</td> </tr> <tr> <td><u>"Participant"</u></td> <td><u>Has the same meaning as set out in the Universal Market Integrity Rules.</u></td> </tr> </table>	<u>"bundled order"</u>	<u>Has the same meaning as set out in the Universal Market Integrity Rules.</u>	<u>"Global Legal Entity Identifier System"</u>	<u>Has the same meaning as set out in the Universal Market Integrity Rules.</u>	<u>"Legal Entity Identifier"</u>	<u>A unique identification code assigned to a person in accordance with standards set by the Global Legal Entity Identifier System.</u>	<u>"Legal Entity Identifier System Regulatory Oversight Committee"</u>	<u>Has the same meaning as set out in the Universal Market Integrity Rules.</u>	<u>"listed security"</u>	<u>Has the same meaning as set out in the Universal Market Integrity Rules.</u>	<u>"multiple client order"</u>	<u>Has the same meaning as set out in the Universal Market Integrity Rules.</u>	<u>"Participant"</u>	<u>Has the same meaning as set out in the Universal Market Integrity Rules.</u>	<p>1201. Definitions</p> <p>...</p> <p>(2) The following terms have the meanings set out when used in the <i>IIROC requirements</i>:</p> <p>...</p> <table border="1" data-bbox="824 541 1412 1612"> <tr> <td>"bundled order"</td> <td>Has the same meaning as set out in the Universal Market Integrity Rules.</td> </tr> <tr> <td>...</td> <td>...</td> </tr> <tr> <td>"Global Legal Entity Identifier System"</td> <td>Has the same meaning as set out in the Universal Market Integrity Rules.</td> </tr> <tr> <td>...</td> <td>...</td> </tr> <tr> <td>"Legal Entity Identifier"</td> <td>A unique identification code assigned to a person in accordance with standards set by the <i>Global Legal Entity Identifier System</i>.</td> </tr> <tr> <td>...</td> <td>...</td> </tr> <tr> <td>"Legal Entity Identifier System Regulatory Oversight Committee"</td> <td>Has the same meaning as set out in the Universal Market Integrity Rules.</td> </tr> <tr> <td>...</td> <td>...</td> </tr> <tr> <td>"listed security"</td> <td>Has the same meaning as set out in the Universal Market Integrity Rules.</td> </tr> <tr> <td>...</td> <td>...</td> </tr> <tr> <td>"multiple client order"</td> <td>Has the same meaning as set out in the Universal Market Integrity Rules.</td> </tr> <tr> <td>...</td> <td>...</td> </tr> <tr> <td>"Participant"</td> <td>Has the same meaning as set out in the Universal Market Integrity Rules.</td> </tr> </table>	"bundled order"	Has the same meaning as set out in the Universal Market Integrity Rules.	"Global Legal Entity Identifier System"	Has the same meaning as set out in the Universal Market Integrity Rules.	"Legal Entity Identifier"	A unique identification code assigned to a person in accordance with standards set by the <i>Global Legal Entity Identifier System</i>	"Legal Entity Identifier System Regulatory Oversight Committee"	Has the same meaning as set out in the Universal Market Integrity Rules.	"listed security"	Has the same meaning as set out in the Universal Market Integrity Rules.	"multiple client order"	Has the same meaning as set out in the Universal Market Integrity Rules.	"Participant"	Has the same meaning as set out in the Universal Market Integrity Rules.
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<p>3119. Best Execution of client orders</p> <p>(1) The following terms have the meaning set out below when used in sections 3119 through 3129:</p> <p>...</p> <p>(v) "listed security" means a security listed on an exchange, other than an option.</p>	<p>3119. Best Execution of client orders</p> <p>(1) The following terms have the meaning set out below when used in sections 3119 through 3129:</p> <p>...</p> <p>(v) "Opening Order" has the same meaning as set out in the Universal Market Integrity Rules.</p>																																																				



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<p>(vi) (v) “Opening Order” has the same meaning as set out in the Universal Market Integrity Rules.</p> <p>(vii) (vi) “over-the-counter securities” means <i>debt securities</i>, contracts for difference and foreign exchange contracts, but does not include:</p> <ul style="list-style-type: none"> (a) <i>listed securities</i>, (b) primary market transactions in securities, and (c) over-the-counter <i>derivatives</i> with non-standardized contract terms that are customized to the needs of a particular client and for which there is no secondary market. <p>(viii) (vii) “Trading Rules” has the same meaning as set out in the Universal Market Integrity Rules.</p>	<p>(vi) “over-the-counter securities” means <i>debt securities</i>, contracts for difference and foreign exchange contracts, but does not include:</p> <ul style="list-style-type: none"> (a) <i>listed securities</i>, (b) primary market transactions in securities, and (c) over-the-counter <i>derivatives</i> with non-standardized contract terms that are customized to the needs of a particular client and for which there is no secondary market. <p>(vii) “Trading Rules” has the same meaning as set out in the Universal Market Integrity Rules.</p>
<p>...</p>	<p>...</p>
<p><u>Part D: Client Identifiers</u></p> <p><u>3140. Identifying clients of a Non-Executing Dealer Member</u></p> <p><u>(1) Where a non-executing Dealer Member is not acting for an order execution only account and sends an order in a listed security to an executing Dealer Member for execution on a Marketplace for which IIROC is the regulation services provider, the non-executing Dealer Member must include:</u></p> <ul style="list-style-type: none"> <u>(a) an identifier for the client for or on behalf of whom the order is entered, in the form of:</u> <ul style="list-style-type: none"> <u>(i) a Legal Entity Identifier for an order for an account supervised under Part D of Rule 3900</u> <u>(ii) an account number for all other client orders not included under 3140(1)(a)(i).</u> <u>(b) the Legal Entity Identifier of the non-executing Dealer Member that is not a Participant.</u> <p><u>(2) Where a non-executing Dealer Member is not acting for an order execution only account and groups together orders from more than one client or account type for execution on a Marketplace for which IIROC is the regulation services provider:</u></p> <ul style="list-style-type: none"> <u>(a) 3140(1)(a) does not apply,</u> <u>and</u> <u>(b) the non-executing Dealer Member must provide to the executing Dealer Member that the order is part of:</u> <ul style="list-style-type: none"> <u>(i) a bundled order,</u> <u>or</u> 	<p>Part D: Client Identifiers</p> <p>3140. Identifying clients of a Non-Executing Dealer Member</p> <p>(1) Where a non-executing Dealer Member is not acting for an order execution only account and sends an order in a listed security to an executing Dealer Member for execution on a Marketplace for which IIROC is the regulation services provider, the non-executing Dealer Member must include:</p> <ul style="list-style-type: none"> (a) an identifier for the client for or on behalf of whom the order is entered, in the form of: <ul style="list-style-type: none"> (i) a Legal Entity Identifier for an order for an account supervised under Part D of Rule 3900 (ii) an account number for all other client orders not included under 3140(1)(a)(i). (b) the Legal Entity Identifier of the non-executing Dealer Member that is not a Participant. <p>(2) Where a non-executing Dealer Member is not acting for an order execution only account and groups together orders from more than one client or account type for execution on a Marketplace for which IIROC is the regulation services provider:</p> <ul style="list-style-type: none"> (a) 3140(1)(a) does not apply, and (b) the non-executing Dealer Member must provide to the executing Dealer Member that the order is part of: <ul style="list-style-type: none"> (i) a bundled order, or



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<p><u>(ii) a multiple client order.</u></p> <p><u>(3) The non-executing Dealer Member that is not acting for an order execution only account and is not a Participant must ensure that the registration status of its Legal Entity Identifier has not lapsed.</u></p>	<p>(ii) a multiple client order.</p> <p>(3) The non-executing Dealer Member that is not acting for an order execution only account and is not a Participant must ensure that the registration status of its Legal Entity Identifier has not lapsed.</p>
<p>...</p>	<p>...</p>
<p>3241. Order execution only account services</p> <p>...</p> <p>(4) The Dealer Member must ensure that a client identifier is assigned to each client that trades on a Marketplace for which IIROC is the regulation services provider:</p> <ul style="list-style-type: none"> (i) whose trading activity on Marketplaces for which IIROC is the regulation services provider exceeds a daily average of 500 orders per trading day in any calendar month, (ii) that is not an individual and is registered as a dealer or adviser in accordance with securities laws, or (iii) 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><u>(5) The client identifier required in 3241(4) must be in the form of:</u></p> <ul style="list-style-type: none"> <u>(i) a Legal Entity Identifier for clients eligible to receive a Legal Entity Identifier under the standards set by the Global Legal Entity Identifier System</u> <u>or</u> <u>(ii) an account number for all other client orders not included under 3241(5)(i).</u> <p><u>(5) (6) If an account number is used as the client identifier under 3241(5)(ii), the Dealer Member must provide each client identifier assigned pursuant to subsection 3241(4) the account number and the name of the corresponding client to IIROC.</u></p> <p><u>(7) For clients using an order execution only account that are not referred to under 3241(4), the Dealer Member must use an account number as the client identifier.</u></p> <p><u>(6)-(8) The Dealer Member must ensure that each order in a listed security entered on a Marketplace for which IIROC</u></p>	<p>3241. Order execution only account services</p> <p>...</p> <p>(4) The Dealer Member must ensure that a client identifier is assigned to each client that trades on a Marketplace for which IIROC is the regulation services provider:</p> <ul style="list-style-type: none"> (i) whose trading activity on Marketplaces for which IIROC is the regulation services provider exceeds a daily average of 500 orders per trading day in any calendar month, (ii) that is not an individual and is registered as a dealer or adviser in accordance with securities laws, or (iii) 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>(5) The client identifier required in 3241(4) must be in the form of:</p> <ul style="list-style-type: none"> (i) a Legal Entity Identifier for clients eligible to receive a Legal Entity Identifier under the standards set by the Global Legal Entity Identifier System or (ii) an account number for all other client orders not included under 3241(5)(i). <p>(6) If an account number is used as the client identifier under 3241(5)(ii), the Dealer Member must provide the account number and the name of the corresponding client to IIROC.</p> <p>(7) For clients using an order execution only account that are not referred to under 3241(4), the Dealer Member must use an account number as the client identifier.</p> <p>(8) The Dealer Member must ensure that each order in a listed security entered on a Marketplace for which IIROC is the regulation services provider contains:</p>



Adoption of the Amendments	Text of PLR Following Adoption of the Amendments
<p>is the regulation services provider by or on behalf of a client for whom a client identifier must be assigned pursuant to subsection 3241(4) contains the client identifier assigned to that client:</p> <p>(i) the Legal Entity Identifier of the Dealer Member if it is a non-executing Dealer Member that is not a Participant, and (ii) a designation to indicate the order is for an order execution only account.</p> <p>(9) The Dealer Member must ensure that each order in a listed security entered on a Marketplace for which IIROC is the regulation services provider contains either:</p> <p>(i) the client identifier required under 3241(5) or 3241(7), or (ii) a designation to indicate the order is a bundled order or a multiple client order.</p> <p>(10) The non-executing Dealer Member that is not a Participant must ensure that the registration status of its Legal Entity Identifier has not lapsed.</p>	<p>(i) the <i>Legal Entity Identifier</i> of the <i>Dealer Member</i> if it is a non-executing <i>Dealer Member</i> that is not a <i>Participant</i>, and (ii) a designation to indicate the order is for an <i>order execution only account</i>.</p> <p>(9) The <i>Dealer Member</i> must ensure that each order in a <i>listed security</i> entered on a <i>Marketplace</i> for which <i>IIROC</i> is the regulation services provider contains either:</p> <p>(i) the client identifier required under 3241(5) or 3241(7), or (ii) a designation to indicate the order is a <i>bundled order</i> or a <i>multiple client order</i>.</p> <p>(10) The non-executing <i>Dealer Member</i> that is not a <i>Participant</i> must ensure that the registration status of its <i>Legal Entity Identifier</i> has not lapsed.</p>
<p>...</p>	<p>...</p>
<p>RULE 7200 TRANSACTION REPORTING FOR DEBT SECURITIES</p> <p>...</p> <p>7202. Definitions</p> <p>(1) The following items have the meaning set out below when used in Rule 7200:</p> <p>...</p> <p>(iii) “file receipt” means an electronic acknowledgement that confirms the transaction reporting data file has been successfully transmitted.</p> <p>(iv) “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>(v) (iv) “Government Securities Distributor” means an entity that has been given notice of its status as such by the Bank of Canada and has access to bid at Government of Canada auctions.</p> <p>(vi) (v) “ISIN” means International Securities Identification Number.</p> <p>(vii) “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</p>	<p>RULE 7200 TRANSACTION REPORTING FOR DEBT SECURITIES</p> <p>...</p> <p>7202. Definitions</p> <p>(1) The following items have the meaning set out below when used in Rule 7200:</p> <p>...</p> <p>(iii) “file receipt” means an electronic acknowledgement that confirms the transaction reporting data file has been successfully transmitted.</p> <p>(iv) “Government Securities Distributor” means an entity that has been given notice of its status as such by the Bank of Canada and has access to bid at Government of Canada auctions.</p> <p>(v) “ISIN” means International Securities Identification Number.</p> <p>(vi) “MTRS 2.0” means the Market Trade Reporting System operated by <i>IIROC</i> for reporting <i>debt securities</i> transactions.</p> <p>(vii) “MTRS 2.0 Enrollment Form” means the form filed by a <i>Dealer Member</i> with <i>IIROC</i> to supply contact and other information that may be needed by <i>IIROC</i> in connection with the <i>Dealer Member’s</i> reporting of <i>debt securities</i> transactions. An MTRS 2.0 Enrollment</p>



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<p>Identifier System is unavailable to a reporting counterparty when a reporting obligation under Rule 7200 arises, a substitute legal identifier must be used as identified by IIROC.</p> <p>(viii) “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>(ix) (vi) “MTRS 2.0” means the Market Trade Reporting System operated by IIROC for reporting <i>debt securities</i> transactions.</p> <p>(x) (vii) “MTRS 2.0 Enrollment Form” means the form filed by a <i>Dealer Member</i> with IIROC to supply contact and other information that may be needed by IIROC in connection with the <i>Dealer Member’s</i> reporting of <i>debt securities</i> transactions. An MTRS 2.0 Enrollment Form must also be filed by any party seeking to act as an <i>authorized agent</i> for a <i>Dealer Member</i> in reporting transaction data to MTRS 2.0.</p> <p>(xi) (viii) “riskless principal trade” means a trade in a <i>debt security</i> that involves two offsetting orders (buy and sell) that are filled through transactions executed against a <i>Dealer Member’s</i> trading or other proprietary account, with the execution of one of the orders dependent upon the receipt or execution of the other. A riskless principal trade results in two offsetting principal transactions on the <i>Dealer Member’s</i> books, rather than one agency transaction. A <i>Dealer Member</i> typically performs a riskless principal trade to fill a client order with an offsetting transaction in the market or with another client.</p> <p>(xii) (ix) “special condition indicator” means a code used on a transaction report to indicate that the transaction has certain attributes. Among other uses, the special condition indicator helps to identify transactions that may be priced differently than other transactions in the same issue (for instance, a primary market transaction subject to a fixed price offering agreement). Special condition indicators are also used to identify <i>repurchase agreement</i> transactions, transactions that involve parties related to the <i>Dealer Member</i> executing the transaction, and certain other conditions that may apply to a transaction and that are relevant to the regulatory and market surveillance</p>	<p>Form must also be filed by any party seeking to act as an <i>authorized agent</i> for a <i>Dealer Member</i> in reporting transaction data to MTRS 2.0.</p> <p>(viii) “riskless principal trade” means a trade in a <i>debt security</i> that involves two offsetting orders (buy and sell) that are filled through transactions executed against a <i>Dealer Member’s</i> trading or other proprietary account, with the execution of one of the orders dependent upon the receipt or execution of the other. A riskless principal trade results in two offsetting principal transactions on the <i>Dealer Member’s</i> books, rather than one agency transaction. A <i>Dealer Member</i> typically performs a riskless principal trade to fill a client order with an offsetting transaction in the market or with another client.</p> <p>(ix) “special condition indicator” means a code used on a transaction report to indicate that the transaction has certain attributes. Among other uses, the special condition indicator helps to identify transactions that may be priced differently than other transactions in the same issue (for instance, a primary market transaction subject to a fixed price offering agreement). Special condition indicators are also used to identify <i>repurchase agreement</i> transactions, transactions that involve parties related to the <i>Dealer Member</i> executing the transaction, and certain other conditions that may apply to a transaction and that are relevant to the regulatory and market surveillance purposes of Rule 7200.</p>



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