



Appendix A – Text of Final UMIR Amendments

The Universal Market Integrity Rules are hereby amended as follows:

1. Section 1.1 is amended by inserting the following definition of “acceptable foreign trade reporting facility”:

“Acceptable Foreign Trade Reporting Facility” means a trade reporting facility or similar facility outside Canada:

- (a) on which the reporting of trades is monitored for compliance with regulatory requirements at the time of reporting by a self-organizing entity that is a member of the International Organization of Securities Commissions;
- (b) that displays and provides timely information of the price, volume and security identifier of each trade at the time of the reporting of the trade; and
- (c) included on a list of acceptable foreign trade reporting facilities published on the IIROC website.

2. Subsection (2) of Rule 6.4 is amended by:

- (a) deleting in clause (h) the word “or” immediately following “issuer;”;
- (b) replacing “.” in clause (i) with “; or” ; and
- (c) inserting the following as clause (j):

(j) Acceptable Foreign Trade Reporting Facility – in a listed security or quoted security that is reported to an acceptable foreign trade reporting facility and:

- (i) is more than 50 standard trading units and has a value of \$100,000; or
- (ii) originated from a contingent order related to a derivative transaction where the derivative transaction occurs outside of Canada and the trade in the listed or quoted security is handled by the same intermediary as the derivative transaction.