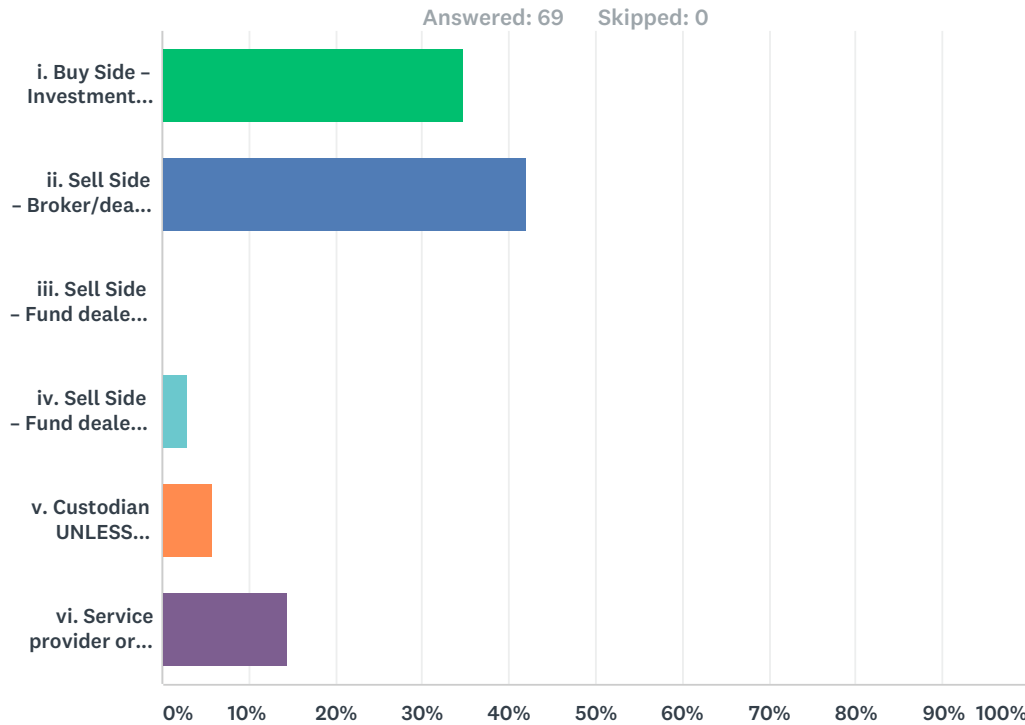
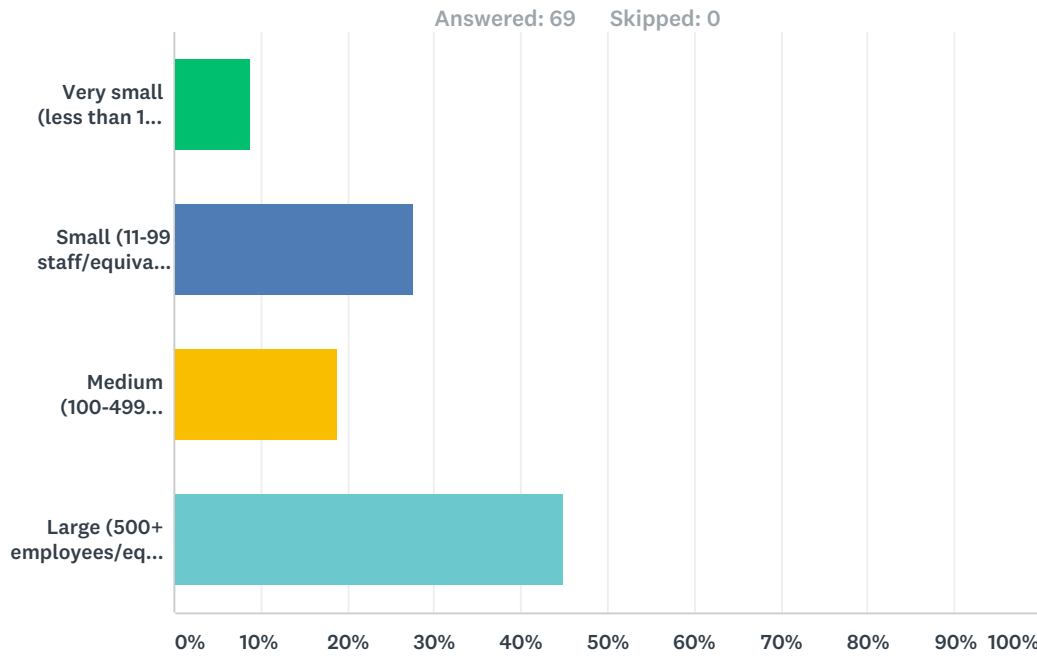


Q1 Please choose from this dropdown list, the industry segment for which you are responding: (Please select one answer only and, if you are ALSO responsible for an affiliate in a different industry segment, e-mail bamsden@ccma-acmc.ca to request an additional survey)



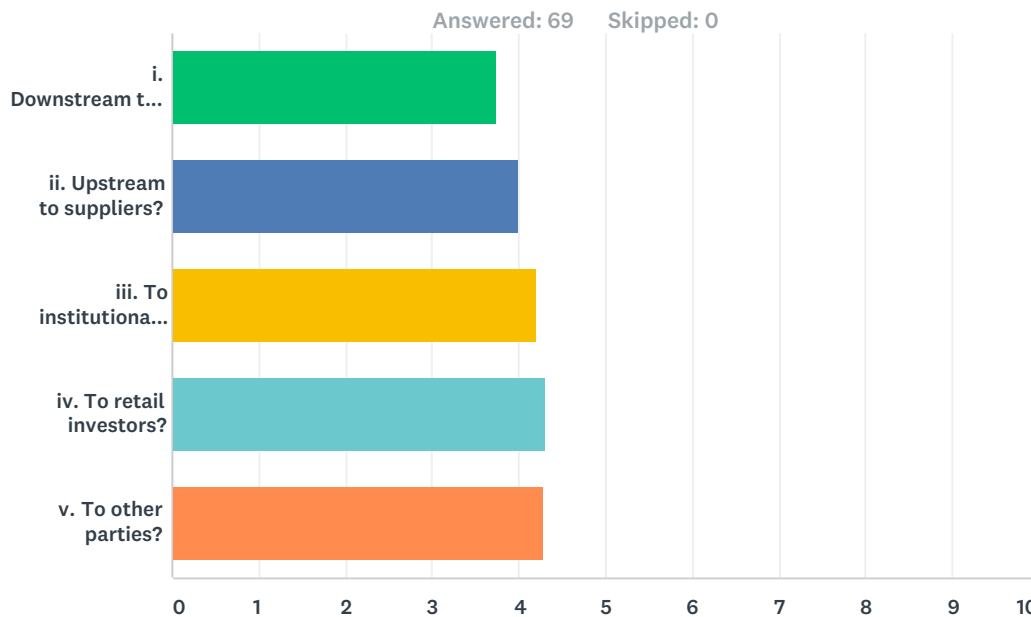
Answer Choices	Responses
i. Buy Side - Investment fund, portfolio or asset manager	34.78% 24
ii. Sell Side - Broker/dealer - IIROC	42.03% 29
iii. Sell Side - Fund dealer - MFDA: We do direct fund purchases only	0.00% 0
iv. Sell Side - Fund dealer - MFDA - other	2.90% 2
v. Custodian UNLESS completing the CCMA'S "T+2 Project Acknowledgement Form"	5.80% 4
vi. Service provider or vendor UNLESS completing the CCMA's "T+2 Project Acknowledgement Form"	14.49% 10
Total	69

Q2 What size company best describes the company you work for? (Please select one answer only)



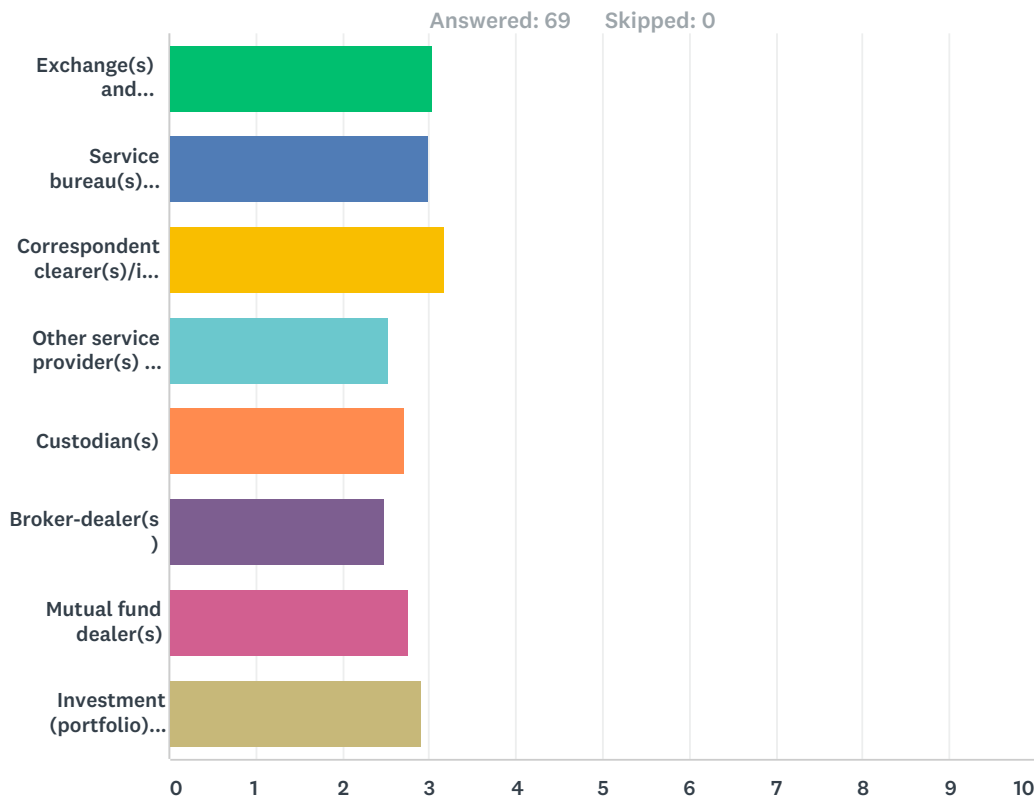
Answer Choices	Responses
Very small (less than 10 staff/equivalents)	8.70% 6
Small (11-99 staff/equivalents)	27.54% 19
Medium (100-499 employees/equivalents)	18.84% 13
Large (500+ employees/equivalents)	44.93% 31
Total	69

Q3 What is the status of your T+2 informational/readiness communication(s) to each of the following groups? (Please select only one answer to each question)



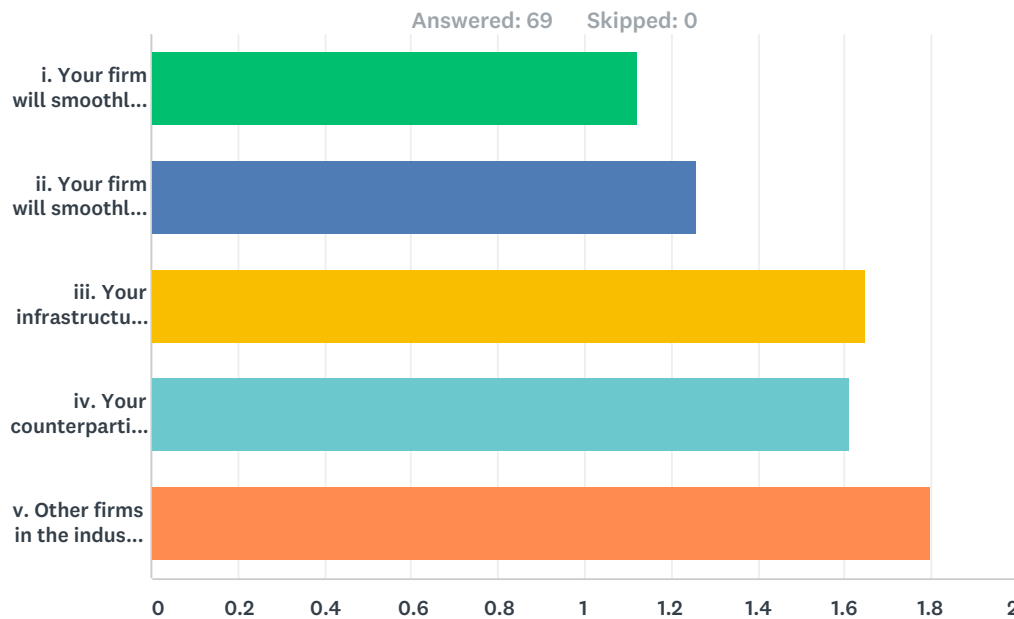
	Not started	In planning	Underway	Completed	Don't know	Not applicable	Total	Weighted Average
i. Downstream to financial firm clients/members/participants?	0.00% 0	5.80% 4	46.38% 32	31.88% 22	0.00% 0	15.94% 11	69	3.74
ii. Upstream to suppliers?	1.45% 1	4.35% 3	36.23% 25	33.33% 23	0.00% 0	24.64% 17	69	4.00
iii. To institutional investors?	1.45% 1	4.35% 3	39.13% 27	18.84% 13	0.00% 0	36.23% 25	69	4.20
iv. To retail investors?	1.45% 1	4.35% 3	39.13% 27	13.04% 9	0.00% 0	42.03% 29	69	4.32
v. To other parties?	1.45% 1	7.25% 5	31.88% 22	20.29% 14	0.00% 0	39.13% 27	69	4.28

Q4 With respect to each of the following types of organization, what is the current status of your firm's testing? (Please select at one answer per row)



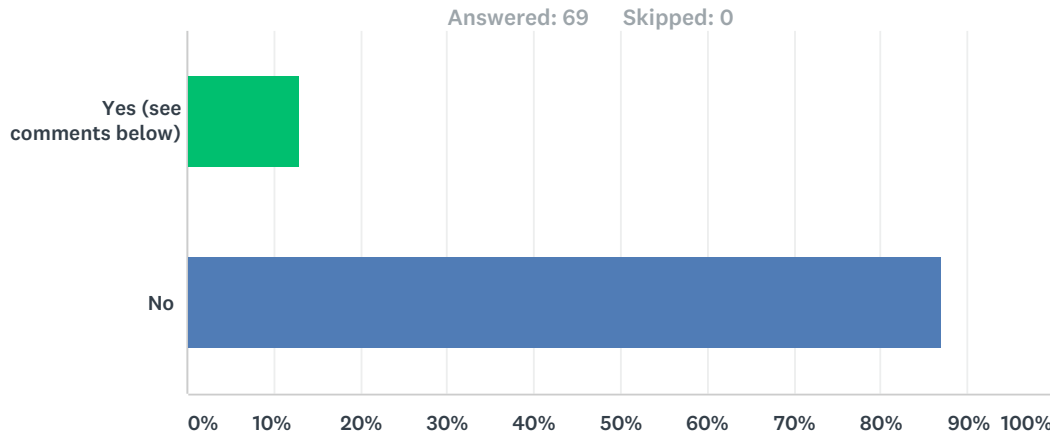
	We interact but won't be testing with	We are testing with	We have completed testing with	Not applicable	Don't know/can't find out	Total	Weighted Average
Exchange(s) and marketplace(s) (e.g., TMX, NEO, Triact)	14.71% 10	7.35% 5	39.71% 27	36.76% 25	1.47% 1	68	3.03
Service bureau(s) (e.g., Broadridge, IBM)	13.24% 9	17.65% 12	26.47% 18	41.18% 28	1.47% 1	68	3.00
Correspondent clearer(s)/intermediaries (e.g., NBCN, B2B)	11.76% 8	19.12% 13	11.76% 8	52.94% 36	4.41% 3	68	3.19
Other service provider(s) or vendor(s)	13.24% 9	41.18% 28	25.00% 17	20.59% 14	0.00% 0	68	2.53
Custodian(s)	27.69% 18	15.38% 10	15.38% 10	40.00% 26	1.54% 1	65	2.72
Broker-dealer(s)	26.87% 18	19.40% 13	32.84% 22	19.40% 13	1.49% 1	67	2.49
Mutual fund dealer(s)	22.73% 15	27.27% 18	4.55% 3	40.91% 27	4.55% 3	66	2.77
Investment (portfolio) managers	23.53% 16	17.65% 12	7.35% 5	47.06% 32	4.41% 3	68	2.91

Q5 How confident are you that...: (Please select only one answer to each question)



	Very comfortable	Somewhat comfortable	Not comfortable	Don't know	Not applicable	Total	Weighted Average
i. Your firm will smoothly transition to T+2 on September 5, 2017?	88.41% 61	11.59% 8	0.00% 0	0.00% 0	0.00% 0	69	1.12
ii. Your firm will smoothly handle double settlement date volumes (T+2/T+3 trades) on September 7, 2017?	78.26% 54	20.29% 14	0.00% 0	0.00% 0	1.45% 1	69	1.26
iii. Your infrastructure, service providers/vendors will smoothly handle the transition to T+2?	65.22% 45	24.64% 17	0.00% 0	0.00% 0	10.14% 7	69	1.65
iv. Your counterparties in the industry will smoothly handle the transition to T+2?	57.97% 40	34.78% 24	0.00% 0	2.90% 2	4.35% 3	69	1.61
v. Other firms in the industry will smoothly handle the transition to T+2?	40.58% 28	50.72% 35	0.00% 0	5.80% 4	2.90% 2	69	1.80

Q6 Is there anything – whether with respect to your firm, other firms, or in the industry – that you think would help lead to a smoother transition to T+2 on September 5, 2017, or other comments, that you would like to share? (Please select one answer only)



Answer Choices	Responses
Yes (see comments below)	13.04% 9
No	86.96% 60
Total	69

Q7 Please enter your contact information:

Answered: 69 Skipped: 0

Answer Choices	Responses	
Name	100.00%	69
Company	100.00%	69
Title	100.00%	69
E-mail	98.55%	68
Tel. No.	94.20%	65