



T+ 2

# Legal and Regulatory Working Group

## Issue list - as of September 21, 2017

No.	Issue	Notes	Assigned to	LRWG status	Overall status	Type
LRWG - 001	CDS Clearing and Depository Services Inc.	<p>No Participant <u>Rule</u> amendments are required.</p> <p>PROCEDURE AMENDMENTS:</p> <ul style="list-style-type: none"> <li>• S. 7.25 of "Participating in CDS Services" Trade Matching</li> <li>• New York Link Participant Procedures - Chapter 2 Reg SHO</li> <li>• CDSX User and Procedures Guide s. 8.2.3 Entitlement restrictions</li> <li>• CDS Reporting Procedures - various</li> <li>• NYL Participant Procedures s. 2.2 Entering Regulation SHO exempt and covered quantities</li> <li>• Trade and Settlement Procedures - Ch. 5</li> </ul> <p>COMPLETED</p> <ul style="list-style-type: none"> <li>• Participating in CDS Services S. 16.5 - Mark-to-Market component</li> <li>• <del>Trade and Settlement Procedures</del></li> </ul>	CDS	Aug. 2, 2017 - LRWG approved submission to T2SC for closure	T2SC CLOSED Aug. 24, 2017	Clearing Agency
LRWG - 002	FundSERV Inc.	<p>MFWG technical analysis in progress. Questions from LRWG - 026 re: settlement date on confirms.</p>	MFWG	Mar. 23, 2016 - LRWG approved submission to T2SC for closure	T2SC CLOSED Mar. 24, 2016	Clearing Agency



T+ 2

# Legal and Regulatory Working Group

## Issue list - as of September 21, 2017

No.	Issue	Notes	Assigned to	LRWG status	Overall status	Type
LRWG - 003	Canadian Derivatives Clearing Corporation	Rule amendments required (C-1303; C-1403; C-1803). Operations Manual section 6-6. Risk Manual pages 17, 21. CDCC Board approved amendments Nov. 2016. Filed with regulators as administrative changes Jan. 16, 2017. AMF has agreed.	CDCC	Aug. 2, 2017 - LRWG approved submission to T2SC for closure	T2SC CLOSED Aug. 24, 2017	Clearing Agency
LRWG - 004	NI 81-102 Investment Funds	<a href="http://www.osc.gov.on.ca/documents/en/Securities-Category8/ni_20170427_81-102_investment-funds.pdf">http://www.osc.gov.on.ca/documents/en/Securities-Category8/ni_20170427_81-102_investment-funds.pdf</a>	MFWG & CSA	Sept. 21, 2017 - LRWG approved submission to T2SC for closure	T2SC CLOSED Sept. 21, 2017	National Instrument
LRWG - 005	NI 24-101 Institutional Trade Matching & Companion Policy 24-101CP	<a href="http://www.osc.gov.on.ca/documents/en/Securities-Category2/csa_20170427_24-101_trade-matching.pdf">http://www.osc.gov.on.ca/documents/en/Securities-Category2/csa_20170427_24-101_trade-matching.pdf</a>	OWG & CSA	May 11, 2017 - LRWG approved submission to T2SC for closure	T2SC CLOSED May 25, 2017	National Instrument
LRWG - 006	NI 81-101	Mutual Funds Prospectus Disclosure	MFWG	Jan. 14, 2016 - LRWG approved submission to T2SC for closure	T2SC CLOSED Jan. 21, 2016	National Instrument



T+ 2

# Legal and Regulatory Working Group

## Issue list - as of September 21, 2017

No.	Issue	Notes	Assigned to	LRWG status	Overall status	Type
LRWG - 007	Insurance Products - Individual Variable Insurance Contracts (segregated funds)	CLHIA has advised no amendments are required.	MFWG	Nov. 22, 2016 - T2SC LRWG approved submission to T2SC for closure	CLOSED Nov. 23, 2016	Insurance
LRWG - 008	Securities Lending	Securities Loan agreements. Process for recall. Transfer to OWG re: systems changes.	Custodians	Dec. 17, 2015 - T2SC LRWG approved submission to T2SC for closure	CLOSED Jan. 21, 2016 re LRWG. T2SC CLOSED May 26-2016 re OWG	Contractual
LRWG - 009	Toronto Stock Exchange	Trading Rules: 5-103(1); 5-103(2)(a)(ii); 5-103(2)(b)(i)	TMX Group	July 6, 2017 - LRWG approved submission to T2SC for closure	CLOSED July 27, 2017	Exchange
LRWG - 010	Canadian Securities Exchange - dealer rules	Trading Rules: 5-103(1); 5-103(2)(a)(ii); 5-103(2)(b)(i)	CSE	Aug. 2, 2017 - LRWG approved submission to T2SC for closure	T2SC CLOSED Aug. 24, 2017	Exchange



T+ 2

## Legal and Regulatory Working Group

### Issue list - as of September 21, 2017

No.	Issue	Notes	Assigned to	LRWG status	Overall status	Type
LRWG - 011	Aequitas NEO Exchange Inc.	Trading Policies: Rules 12.03(1); 12.03(2)(a)(ii); 12.03(2)(b)(i)	Aequitas	Aug. 2, 2017 - LRWG approved submission to T2SC for closure	T2SC CLOSED Aug. 24, 2017	Exchange
LRWG - 012	Bourse de Montréal Inc.	Two Rule amendments have been identified regarding the delivery of the underlying bonds for Bond Futures Contracts. 15615 Submission of Delivery Notice & 15617 Delivery Day. No systems changes will be necessary. <ul style="list-style-type: none"> <li>• Board approved amendments.</li> <li>• AMF agreed with the administrative/housekeeping classification</li> <li>• AMF requested that the MX wait until the industry testing is complete (June 16) before submitting formally.</li> </ul>	MX	Aug. 2, 2017 - LRWG approved submission to T2SC for closure	T2SC CLOSED Aug. 24, 2017	Exchange
LRWG - 013	Investment Funds	Prospectuses and contracts - items apply to individual firms, each being expected to make any necessary amendments. See also, LRWG - 026.	MFWG	Apr. 13, 2017 - LRWG approved submission to T2SC for closure	T2SC CLOSED Apr. 26, 2017	Investment Funds



T+ 2

# Legal and Regulatory Working Group

## Issue list - as of September 21, 2017

No.	Issue	Notes	Assigned to	LRWG status	Overall status	Type
LRWG - 014	NI 81-104	<a href="http://www.osc.gov.on.ca/documents/en/Securities-Category8/ni_20170427_81-102_investment-funds.pdf">http://www.osc.gov.on.ca/documents/en/Securities-Category8/ni_20170427_81-102_investment-funds.pdf</a>	MFWG & CSA	Sept. 21, 2017 - T2SC LRWG approved submission to T2SC for closure	CLOSED Sept. 21, 2017	National Instrument
LRWG - 015	TSX Venture Exchange	TSX Venture Exchange Rule Book (Trading Policies). Rule A1.01 section (c)(i) of the definition of "Special Terms Order" (Definitions). Rule C.2.17(1) (Shares Selling Ex-Dividends and Ex-Rights). Rule C.3.05(2) (Buy-Ins)	TMX Group	July 6, 2017 - LRWG approved submission to T2SC for closure	T2SC CLOSED July 27, 2017	Exchange
LRWG - 016	TSX Alpha Exchange	Trading Policy Manual - section 7	TMX Group	Jan. 17, 2017 - LRWG approved submission to T2SC for closure	T2SC CLOSED Jan. 18, 2017	Exchange
LRWG - 017	CME, CBOT, COMEX, NYMEX ("CMEG")	Oct. 13, 2013 - (1) CMEG group of exchanges was exempted from OSC recognition under Securities Act (ON) and registration as exchange under Commodity Futures Act, and (2) Ontario Users that trade in CMEG group of exchanges' contracts as a Hedgers are exempted from registration under CFA. Primary regulator of CMEG group of exchanges is the CFTC in the U.S. Canadian traders access CMEG group of exchanges' services ultimately located outside of Canada (i.e. U.S.).	CMEG	Aug. 2, 2017 - LRWG approved submission to T2SC for closure	T2SC CLOSED Aug. 24, 2017	Exchange



T+ 2

# Legal and Regulatory Working Group

## Issue list - as of September 21, 2017

No.	Issue	Notes	Assigned to	LRWG status	Overall status	Type
LRWG - 018	ICE Futures Canada Inc.	Manitoba Securities Commission is the lead regulator [Order No. 5718 issued on June 16, 2008]. Exempted from registration and recognition in Ontario. All trades in ICE Futures Canada Contracts are settled and cleared through ICE Clear Canada. ICE general counsel has confirmed move to T+2 will have no impact.	ICE Futures Canada Inc.	July 21, 2016 - LRWG approved submission to T2SC for closure	T2SC CLOSED Aug. 25, 2016	Exchange
LRWG - 019	ICE Futures Europe	September 1, 2006 - ICE Futures was exempted from OSC recognition under Securities Act (ON); and registration as exchange under Commodity Futures Act. Ontario Users that trade in ICE Futures Europe contracts as a Hedgers are exempted from registration under CFA. Cleared and settled through ICE Clear Europe. Regulated in the UK which moved to T+2 Oct. 6, 2014.	ICE Futures Europe	July 21, 2016 - LRWG approved submission to T2SC for closure	T2SC CLOSED Aug. 25, 2016	Exchange
LRWG - 020	ICE Futures US	Sept. 1, 2009 - (1) ICE Futures US was exempted from OSC recognition under Securities Act (ON) and registration as exchange under Commodity Futures Act, and (2) Ontario Users that trade in ICE Futures US contracts as a Hedgers are exempted from registration under CFA. Primary regulator of ICE Futures US is the CFTC in the U.S. Canadian traders access ICE Futures services ultimately located outside of Canada (i.e. U.S.)	ICE	Aug. 2, 2017 - LRWG approved submission to T2SC for closure	T2SC CLOSED Aug. 24, 2017	Exchange



T+ 2

Legal and Regulatory Working Group

Issue list - as of September 21, 2017

No.	Issue	Notes	Assigned to	LRWG status	Overall status	Type
LRWG - 021	Natural Gas Exchange Inc.	Financial futures re: Canadian power already settle on a T+2 basis. No changes are required.	NGX	Mar. 4, 2016 - LRWG approved submission to T2SC for closure	T2SC CLOSED Apr. 21, 2016	Exchange
LRWG - 022	Nodal Exchange, LLP	Derivatives exchange for energy markets (including electric power locational (nodal) contracts.  All Nodal Exchanges contracts are financially settled by Nodal Clear.	Nodal Exchange, LLP	Aug. 24, 2016 - LRWG approved submission to T2SC for closure	T2SC CLOSED Aug. 25, 2016	Exchange



T+ 2

Legal and Regulatory Working Group

Issue list - as of September 21, 2017

No.	Issue	Notes	Assigned to	LRWG status	Overall status	Type
LRWG - 023	Swap Execution Facilities: (1) 360 Trading Networks Inc. (2) BGC Derivatives Markets, L.P. (3) Bloomberg SEF LLC (4) DW SEF LLC (5) GFI Swaps Exchange LLC (6) ICAP Global Derivatives Limited (7) ICAP SEF (US) LLC (8) ICE Swap Trade LLC (9) Javelin SEF, LLC (10) LatAm SEF, LLC (11) MarketAxess SEF Corporation (12) SwapEx, LLC (13) Thomson Reuters (SEF) LLC (14) tpSEF Inc. (15) Tradition SEF Inc. (16) trueEX LCC (17) TW SEF LLC	SEFs are regulated under Dodd-Frank. The SEFs listed have been exempted from recognition (as exchanges) in Ontario; part as a function of regulation in the US by the CFTC.  Swaps are OTC derivative products that do not settle on the same basis as cash market securities.  See also, <a href="http://www.albertasecurities.com/industry/registration-and-market-regulation/Pages/exchanges-alternative-trading-systems-and-clearing-agencies.aspx">http://www.albertasecurities.com/industry/registration-and-market-regulation/Pages/exchanges-alternative-trading-systems-and-clearing-agencies.aspx</a> .	CCMA	<b>Dec. 17, 2015 - T2SC LRWG approved submission to T2SC for closure</b>	<b>T2SC CLOSED Jan. 21, 2016</b>	SEF



T+ 2

# Legal and Regulatory Working Group

## Issue list - as of September 21, 2017

No.	Issue	Notes	Assigned to	LRWG status	Overall status	Type
LRWG - 024	IIROC - member rules	Rule 100.2(d)(ii)(A) Foreign Exchange margin requirement 100.2(d)(ii)(B) Risk Margin Requirement Rule 100.19 - margin for when-issued trades Rule 200.2(l) - trade confirmations RULE 800 TRADING AND DELIVERY Rule 800.27 (c) - accrued interest Rule 800.27(f) - MBS Rules 800.33, 800.34 - dividends (CDS has confirmed "business days" will be used) Rule 800.47 - when-issued trades Form 1, Schedule 11 (Unhedged Foreign Currencies Calculation) and 11A (Details of Unhedged Foreign Currencies Calculation for Individual Currencies with Margin Required Greater than or Equal to \$5,000) Notes and Instructions <a href="http://www.iiroc.ca/SitePages/Comments-">http://www.iiroc.ca/SitePages/Comments-</a>	IIROC	<b>July 6, 2017 - LRWG approved submission to T2SC for closure</b>	<b>T2SC CLOSED July 27, 2017</b>	SRO
LRWG - 025	IIROC - standard agreements with dealers	Analysis of the agreements tabled with the FAS Operations Subcommittee. No amendments required.	IIROC	<b>Apr. 19, 2016 - LRWG approved submission to T2SC for closure</b>	<b>T2SC CLOSED Apr. 21, 2016</b>	SRO



T+ 2

# Legal and Regulatory Working Group

## Issue list - as of September 21, 2017

No.	Issue	Notes	Assigned to	LRWG status	Overall status	Type
LRWG - 026	MFDA - member rules	<p>Procedure changes for sale compliance are required (regulatory approval of the procedure changes is not required). See also, LRWG - 013.</p> <p>No changes to Rule 5.4.3 are required. Analysis regarding the production of the settlement date for trade confirmations has been transferred to MFWG and resolved.</p>	MFDA	<p><b>Sept. 21, 2017 - T2SC LRWG approved submission to T2SC for closure</b></p>	<p><b>CLOSED Sept. 21, 2017</b></p>	SRO
LRWG - 027	Nasdaq CXC/Nasdaq CX2	<p>ATS subscriber agreements. These are publicly available. No changes required for agreements. There are systems changes. Classification of NI 21-101F2 filing requirements to be determined.</p> <p>Systems change tracking - transfer to OWG-026 (Closed July 27, 2017)</p>	Nasdaq CXC Limited	<p><b>Aug. 24, 2017 - T2SC LRWG approved submission to T2SC for closure</b></p>	<p><b>CLOSED Aug. 24, 2017</b></p>	ATS
LRWG - 028	GICs	GICs settle on a T+0 or T+1 basis.	CCMA	<p><b>July 21, 2016 - T2SC LRWG approved submission to T2SC for closure</b></p>	<p><b>CLOSED Aug. 25, 2016</b></p>	Product Type
LRWG - 029	TSX Company Manual	Toronto Stock Exchange - listing manual & policies s. 429 and 2. 429.1 - ex-dividend and due bills	TMX Group	<p><b>July 6, 2017 - T2SC LRWG approved submission to T2SC for closure</b></p>	<p><b>CLOSED July 27, 2017</b></p>	Exchange



T+ 2

# Legal and Regulatory Working Group

## Issue list - as of September 21, 2017

No.	Issue	Notes	Assigned to	LRWG status	Overall status	Type
LRWG - 030	Canadian Securities Exchange - Listing Agreement & Listing Policies	Listing Policy 6 re: ex-date.	CSE	Aug. 2, 2017 - LRWG approved submission to T2SC for	T2SC CLOSED Aug. 24, 2017	Exchange
LRWG - 031	TSX-V Corporate Finance Manual	Listing manual & policies.	TMX Group	July 6, 2017 - LRWG approved submission to T2SC for closure	T2SC CLOSED July 27, 2017	Exchange
LRWG - 032	Legislation and rules - various	No amendments required for: (1) NI 81-106 Continuous Disclosure (2) Employee Investment Act (British Columbia) (3) Small Business Venture Capital Act (British Columbia) (4) NPS 15 Conditions Precedent to Acceptance of Scholarship or Educational Plan Prospectuses (5) NI 41-101 Custody of Assets (6) Securities Acts - prospectus delivery to purchaser (delivery commenced within 2 days).	By jurisdiction	Feb. 16, 2017 - LRWG approved submission to T2SC for closure	T2SC CLOSED Feb. 22, 2016	Legislation



T+ 2

## Legal and Regulatory Working Group

### Issue list - as of September 21, 2017

No.	Issue	Notes	Assigned to	LRWG status	Overall status	Type
LRWG - 033	Scholarship or Education Plans	These investments funds are not subject to NI 81-102 (see s. 1.2(2)).	CSA & Industry	<b>Sept. 21, 2017 - T2SC LRWG approved submission to T2SC for closure</b>	<b>CLOSED Sept. 21, 2017</b>	Investment Fund
LRWG - 034	Chicago Mercantile Exchange Inc.	June 27, 2013 - CME Inc. (wholly owned sub of CME Group Inc.) is exempted from recognition as a clearing agency by the OSC. In the U.S. it is a designated contract market ("DCM") and a derivatives clearing organization ("DCO") under the Commodity Exchange Act. CME Inc. is regulated by both the CFTC and the SEC and provides clearing and settlement services for exchange-traded futures and options on futures, as well as for over-the-counter (OTC) derivatives transactions.	CME	<b>Aug. 2, 2017 - T2SC LRWG approved submission to T2SC for closure</b>	<b>CLOSED Aug. 24, 2017</b>	Clearing Agency



T+ 2

# Legal and Regulatory Working Group

## Issue list - as of September 21, 2017

No.	Issue	Notes	Assigned to	LRWG status	Overall status	Type
LRWG - 035	Investment funds that are mutual funds but are not reporting issuers e.g. Pooled Funds	Not subject to NI 81-102. NI 81-106 Investment Fund Continuous Disclosure ; NI 41-101 General Prospectus Requirements.	CSA & Industry	Sept. 21, 2017 - T2SC LRWG approved submission to T2SC for closure	CLOSED Sept. 21, 2017	Investment Fund
LRWG - 036	Canadian Investor Protection Fund (CIPF)	Confirmed with CIPF Risk that no amendments are required.		Mar. 23, 2016 - T2SC LRWG approved submission to T2SC for closure	CLOSED Mar. 24, 2016	Protection Fund
LRWG - 037	MFDA Investor Protection Corporation (MFDA IPC)	MFDA is sole SRO that is the sponsor of the MFDA IPC (103 MF dealers participate in the fund). Operates in all Canadian jurisdictions except Quebec (which has its own compensation fund). Confirmed with MFDA no amendments are required.	MFDA	Mar. 23, 2016 - T2SC LRWG approved submission to T2SC for closure	CLOSED Mar. 24, 2016	Protection Fund



T+ 2

# Legal and Regulatory Working Group

## Issue list - as of September 21, 2017

No.	Issue	Notes	Assigned to	LRWG status	Overall status	Type
LRWG - 038	CLS Bank International	CLS settlement services are: (1) payment instructions in relation to underlying foreign exchange ("FX") transactions (FX spot); (2) payment instructions in relation to underlying non-deliverable forward FX transactions; (3) intra-day FX swaps; and (4) the settlement of payment instructions in relation to underlying over-the-counter (OTC) derivative Transactions (Derivative Instructions)	CLS	Aug. 2, 2017 - LRWG approved submission to T2SC for closure	T2SC CLOSED Aug. 24, 2017	Clearing Agency
LRWG - 039	CME Clearing Europe Limited	Oct. 23, 2012, CME Clearing Europe exempted from recognition in Ontario as a clearing agency. CME Clearing Europe clears swaps i.e. OTC derivative products that do not settle on the same basis as cash market securities.	CME Clearing Europe Limited	Apr. 19, 2016 - LRWG approved submission to T2SC for closure	T2SC CLOSED Apr. 21, 2016	Clearing Agency
LRWG - 040	ICE Clear Canada, Inc.	Regulated by MSC. ICE Clear clears and settles futures and options obligations on a daily basis. ICE general counsel has confirmed move to T+2 will have no impact.	ICE Clear Canada, Inc.	July 21, 2016 - LRWG approved submission to T2SC for closure	T2SC CLOSED Aug. 25, 2016	Clearing Agency
LRWG - 041	ICE Clear Credit LLC	CDS (Credit Default Swaps) clearing. Regulated by SEC and CFTC.	ICE Clear Credit LLC	July 6, 2017 - LRWG approved submission to T2SC for closure	T2SC CLOSED July 27, 2017	Clearing Agency



T+ 2

## Legal and Regulatory Working Group

### Issue list - as of September 21, 2017

No.	Issue	Notes	Assigned to	LRWG status	Overall status	Type
LRWG - 042	LCH.Clearnet Limited	LCH.Clearnet Limited is recognized by OSC as a clearing agency. Primary regulator is the Bank of England; also regulated by the CFTC (as DCO). Was overseen by the Bank of Canada for Swapclear. RepoClear, EnClear and LCH Nodal are the 3 product types offered. <small>NOTE: Swapclear closed June 30, 2016</small>	LCH	July 6, 2017 - LRWG approved submission to T2SC for closure	T2SC CLOSED July 27, 2017	Clearing Agency
LRWG - 043	LCH.Clearnet LLC	LCH.Clearnet LLC was exempted from recognition as a clearing agency by the OSC on April 25, 2014 (exemption revoked effective June 30, 2016). Swapclear US service clears interest rate swaps. No amendments required. <small>NOTE: Swapclear closed June 30, 2016</small>		May 19, 2016 - LRWG approved submission to T2SC for closure	T2SC CLOSED May 26, 2016	Clearing Agency
LRWG - 044	Nodal Clear LLC	Exempted from recognition in Ontario since July 14, 2016. Primary regulator is CFTC. Does not settle T+3 currently. Initial and variation margin calls occur over the life of the future.	Nodal Clear LLC	Aug. 24, 2016 - LRWG approved submission to T2SC for closure	T2SC CLOSED Aug. 25, 2016	Clearing Agency
LRWG - 045	Omgeo Canada Matching Ltd.	Omgeo Canada is a matching service utility in Ontario. It provides centralized facilities for the institutional trade comparison and matching (affirmation / confirmation) process.	Omgeo	Nov. 22, 2016 - LRWG approved submission to T2SC for closure	T2SC CLOSED Nov. 23, 2016	Matching Service Utility



# T+ 2 Legal and Regulatory Working Group

## Issue list - as of September 21, 2017

No.	Issue	Notes	Assigned to	LRWG status	Overall status	Type
LRWG - 046	Options Clearing Corporation	OCC follows a T+3 settlement process. T+3 impacts various Rules.	OCC	Aug. 2, 2017 - LRWG approved submission to T2SC for closure	T2SC CLOSED Aug. 24, 2017	Clearing Agency
LRWG - 047	SS&C Technologies Canada Corp.	SS&C Tech. Canada is a matching service utility (MSU) in Ontario and provides centralized facilities for the institutional trade comparison and matching (affirmation / confirmation) process (product name is SSCNet).	SS&C	Aug. 2, 2017 - LRWG approved submission to T2SC for closure	T2SC CLOSED Aug. 24, 2017	Matching Service Utility
LRWG - 048	Crowdfunding Portals	MI 45-108 applies. Distribution subject to crowdfunding offering document.	CSA	June 8, 2017 - LRWG approved submission to T2SC for closure	T2SC CLOSED June 22, 2017	Multilateral Instrument
LRWG - 049	Nasdaq CXC Limited	If an application for exchange recognition is made, the Trading Rules and Listing Policies will need to be reviewed for settlement references (i.e. T+3).	Nasdaq CXC Limited	Jan. 17, 2017 - LRWG approved submission to T2SC for closure	T2SC CLOSED Jan. 18, 2017	Exchange



T+ 2

Legal and Regulatory Working Group

Issue list - as of September 21, 2017

No.	Issue	Notes	Assigned to	LRWG status	Overall status	Type
LRWG - 050	Aequitas NEO Exchange Inc. - listing manual & listing agreement for all listed issuers	Sections 6.01(2), 6.02(2), 6.02(4) re: ex-dates. Section 7.09 re: rights offerings. Section 7.15(3) re: stock splits.	Aequitas	Aug. 2, 2017 - LRWG approved submission to T2SC for closure	T2SC CLOSED Aug. 24, 2017	Exchange
LRWG - 051	IIROC - IDA MR0366 August 19, 2005 Guidance re: settlement date for f/x hedges	Regular Settlement Date To Be Used For Certain Foreign Exchange Hedge Trades	IIROC	Aug. 2, 2017 - LRWG approved submission to T2SC for closure	T2SC CLOSED Aug. 24, 2017	SRO
LRWG - 052	IIROC - UMIR	Part 1 - Definitions and Interpretation UMIR 1.1-30 "Special Terms Order"	IIROC	July 6, 2017 - LRWG approved submission to T2SC for closure	T2SC CLOSED July 27, 2017	SRO
LRWG - 053	Omega ATS & Lynx ATS	ATS subscriber agreements - OSI confirmed no changes required. No NI 21-101F2 filing changes required. System is parameter driven and can be changed to T+2 when required. Plan to communicate change to clients re: T+2.  Systems change tracking - transfer to OWG-029 (Closed July 27, 2017).	Omega Securities Inc.	Jan. 14, 2016 - LRWG approved submission to T2SC for closure  TRANSFER OWG-029 - CLOSED July	T2SC CLOSED Jan. 21, 2016 re LRWG.  T2SC CLOSED July 27, 2017 re OWG	ATS



# T+ 2

## Legal and Regulatory Working Group

### Issue list - as of September 21, 2017

No.	Issue	Notes	Assigned to	LRWG status	Overall status	Type
LRWG - 054	Candeal.ca Inc.	<p>ATS subscriber agreement - Candeal has confirmed no changes are required. Candeal has confirmed no 21-101F2 filings required. Systems changes to be tracked by OWG.</p> <p>Systems change tracking - transfer to OWG-032 (Closed July 27, 2017).</p>	Candeal	<p><b>May 19, 2016 - T2SC LRWG approved submission to T2SC for closure</b></p> <p><b>TRANSFER OWG-032 - CLOSED July</b></p>	<p><b>T2SC CLOSED</b></p> <p><b>May 26, 2016 re LRWG.</b></p> <p><b>T2SC CLOSED July 27, 2017 re OWG</b></p>	ATS
LRWG - 055	EquiLend Canada Corp.	<p>Marketplace for securities finance. ATS subscriber agreement (not publicly available) - confirmed no changes required. No link to clearing agencies. No systems or parameter changes required; no NI 21-101F2 filings required.</p>	EquiLend	<p><b>Jan. 28, 2016 - LRWG approved submission to T2SC for closure</b></p>	<p><b>T2SC CLOSED</b></p> <p><b>Feb. 18, 2016</b></p>	ATS
LRWG - 056	Instinet Canada Cross Limited ("ICX")	<p>ATS subscriber agreements - ICX confirmed no changes required. Systems and parameter changes required. NI 21-101F2 filings required. ATS subscriber agreements - ICX confirmed no changes required. Systems and parameter changes required. NI 21-101F2 filings required.</p> <p>Systems change tracking - transfer to OWG-027</p>	ICX	<p><b>Aug. 2, 2017 - LRWG approved submission to T2SC for closure</b></p>	<p><b>T2SC CLOSED</b></p> <p><b>Aug. 24, 2017</b></p>	ATS



# T+ 2 Legal and Regulatory Working Group

## Issue list - as of September 21, 2017

No.	Issue	Notes	Assigned to	LRWG status	Overall status	Type
LRWG - 057	Liquidnet Canada Inc.	<p>ATS subscriber agreement (not publicly available) - no changes are required. ATS for non-Canadian fixed income. Systems changes required. Amendments to the trading rules are required and there will be an amendment to the NI 21-101F2.</p> <p>Systems change tracking - transfer to OWG-031 (Closed July 27, 2017)</p>	Liquidnet Canada Inc.	<p><b>Aug. 24, 2017 - T2SC LRWG approved submission to T2SC for closure</b></p>	<p><b>CLOSED</b> <b>Aug. 24, 2017</b></p>	ATS
LRWG - 058	MATCH Now (TriAct Canada Marketplace LP)	<p>ATS subscriber agreement (not publicly available). Changes to subscriber agreement may be made to inform customers of T+2 (current form of agreement does not hard code T+3); there will be systems/parameter changes and NI 21-101F2 filings.</p> <p>Systems change tracking - transfer to OWG-030 (Closed July 27, 2017).</p>	TriAct	<p><b>Aug. 2, 2017 - T2SC LRWG approved submission to T2SC for closure</b></p>	<p><b>CLOSED</b> <b>Aug. 24, 2017</b></p>	ATS
LRWG - 059	Bloomberg Tradebook Canada Company	<p>ATS subscriber agreement (not publicly available) - confirmed no changes required. No system or parameter changes required. No NI 21-101F2 filings required.</p> <p>NOTE - ceased operations as an ATS (filing April 6, 2017)</p>	Bloomberg Tradebook Canada Company	<p><b>Mar. 4, 2016 - T2SC LRWG approved submission to T2SC for closure</b></p>	<p><b>CLOSED</b> <b>Apr. 21, 2016</b></p>	ATS



T+ 2

Legal and Regulatory Working Group

Issue list - as of September 21, 2017

No.	Issue	Notes	Assigned to	LRWG status	Overall status	Type
LRWG - 060	CBID / CBID Institutional (Perimeter Markets Inc.)	Fixed income and futures marketplaces. ATS subscriber agreement (not publicly available) - no changes required. Systems changes required. No NI 21-101F2 changes will be required.  Systems change tracking - transfer to OWG-028 (Closed July 27, 2017).	Perimeter	Feb. 11, 2016 - LRWG approved submission to T2SC for closure	T2SC CLOSED Feb. 18, 2016 re LRWG. T2SC CLOSED July 27, 2017 re OWG	ATS
LRWG - 061	MarketAxess Canada Ltd.	ATS subscriber agreement (not publicly available) - confirmed no changes required. No system or parameter changes required. No NI 21-101F2 filings required.	MarketAxess Canada Ltd.	Jan. 28, 2016 - LRWG approved submission to T2SC for closure	T2SC CLOSED Feb. 18, 2016	ATS
LRWG - 062	TMX Select	Ceased operations as an ATS.	TMX Group	Jan. 14, 2016 - LRWG approved submission to T2SC for closure	T2SC CLOSED Jan. 21, 2016	ATS