

## Appendix A – DEA & OES Notice Form

### Form for Identification of Direct Electronic Access Client (DEA), Active Order Execution Only Client (OEO), or Registered Adviser/Foreign Adviser Equivalent

(Please submit via ShareFile)

#### Instructions:

If you used a Legal Entity Identifier (LEI) on orders sent to a marketplace, you do not need to complete this form.

If you did not use an LEI on orders sent to a marketplace, please use this form to report:

- (1) Direct Electronic Access client that is ineligible to obtain an LEI under GLEIF standards
- (2) "Active" order execution only client whose trading activity on marketplaces regulated by CIRO exceeds a daily average of 500 orders per trading day in any calendar month.
- (3) Adviser or foreign adviser equivalent that either holds an OEO account, or has control over /manages an OEO account.

**Tab 1 – DEA Client**

Information about Submitter			Information about DEA client			
Name of individual filing this report	Name of Participant	Participant Number	Name of DEA client	Client Account Number provided on order (Tag 8025)	Addition/Modification / Deletion	Effective Date

**Tab 2 – Active OEO Client**

Information about Submitter			Information about "Active" OEO client			
Name of individual filing this report	Name of submitter's Dealer Member	If submitter is filing on behalf of OEO Dealer other than themselves: Name of OEO Dealer	Name of OEO client	Client Account Number provided on order (Tag 8025)	Addition/Modification / Deletion	Effective Date

**Tab 3 – Adviser or Foreign Adviser Equivalent**

Information about Submitter			If the adviser or foreign adviser equivalent is the OEO client:		If the adviser or foreign adviser equivalent manages an OEO account:		Type of Change and Effective Date	
Name of individual filing this report	Name of submitter's Dealer Member	If submitter is filing on behalf of OES Dealer other than themselves: Name of OES Dealer	Name of OEO client	Client Account Number provided on order (Tag 8025)	Name of adviser or foreign adviser equivalent	Adviser/Foreign Adviser Equivalent's Unique Identifier on order (Tag 1)	Addition/Modification / Deletion	Effective Date