

INVESTMENT INDUSTRY REGULATORY ORGANIZATION OF CANADA
Dealer Member Rule 800.49 - Broker-to-Broker Non-Exchange Trade Matching
Report for Sub-Standard Quarterly Compliant Trade Percentage

1. Calendar quarter period covered:	dd/mm/yyyy to dd/mm/yyyy
2. Name of Dealer Member:	
3. CDS Participant CUID (if applicable):	
4. Name of report preparer:	
5. Title of report preparer:	
6. Phone number of report preparer:	
7. E-mail of report preparer:	
8. Did the Dealer Member use the trade confirmation exemption under Dealer Member Rule 200.1(h) for broker-to-broker non-exchange trades for the calendar period covered?	Yes or No
9. Exhibit A - Broker-to-broker non-exchange trade statistics for the quarter:	a. Quarterly compliant trade percentage (%) b. # of compliant trades c. # of DK trades d. # of M2 trades e. # of total trades
10. Exhibit B - Reasons for not meeting the quarterly compliant trade percentage threshold of 90%:	
11. Exhibit C - Action plan to improve the Dealer Member's quarterly compliant trade percentage:	

Notes and Instructions - Report for Sub-Standard Quarterly Compliant Trade Percentage

Purpose of the report

The purpose of the Report for Sub-Standard Quarterly Compliant Trade Percentage (the report) is to assist a Dealer Member in meeting its broker-to-broker trade reporting requirements under Dealer Member Rule 800.49(6), Determination of quarterly compliant trade percentage, if the Dealer Member's quarterly compliant trade percentage is less than 90%.

Submission of the report

If a Dealer Member's quarterly compliant trade percentage is less than 90%, the Dealer Member must submit the report via e-mail to IIROC at B2BTradeMatching@iirc.ca within two business days of receiving its individual quarterly trade matching summary report. The report submitted to IIROC must be in a form similar to the report provided and it must include the reason or reasons for the non-compliance during the quarter, its action plan to improve its compliant trade percentage and the expected time it will take resolve the problem.

Questions about the report

If you have any questions, please contact your IIROC Financial & Operations Compliance manager or Answerd Ramcharan at aramcharan@iirc.ca. For submission-related technical questions, please contact Nellie Gomes at ngomes@iirc.ca.