

**HOUSEKEEPING AMENDMENT TO SCHEDULE 7A OF FORM 1**

**BLACKLINE COMPARISON OF THE HOUSEKEEPING AMENDMENT TO CURRENT SCHEDULE 7A OF FORM 1**

## FORM 1, PART II – SCHEDULE 7A

DATE: \_\_\_\_\_

\_\_\_\_\_  
(Dealer Member Name)**CASH AND SECURITIES BORROWING AND LENDING ARRANGEMENTS CONCENTRATION CHARGE****C\$'000**

- |                      |                                                                                                                                                                                   |       |
|----------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|
| 1. Sch. 1,<br>Line 2 | Market value deficiency amount relating to loans receivable from acceptable counterparties, net of legal offsets and margin already provided                                      | ----- |
| 2. Sch. 1,<br>Line 3 | Market value deficiency amount relating to loans receivable from regulated entities, net of legal offsets and margin already provided                                             | ----- |
| 3. Sch. 1,<br>Line 6 | Market value deficiency amount relating to securities borrowed from acceptable counterparties, net of legal offsets and margin already provided                                   | ----- |
| 4. Sch. 1,<br>Line 7 | Market value deficiency amount relating to securities borrowed from regulated entities, net of legal offsets and margin already provided                                          | ----- |
| 5. Sch. 7,<br>Line 3 | Market value deficiency amount relating to loans payable to acceptable counterparties, net of legal offsets and margin already provided                                           | ----- |
| 6. Sch. 7,<br>Line 4 | Market value deficiency amount relating to loans payable to regulated entities, net of legal offsets and margin already provided                                                  | ----- |
| 7. Sch. 7,<br>Line 7 | Market value deficiency amount relating to securities lent to acceptable counterparties, net of legal offsets and margin already provided                                         | ----- |
| 8. Sch. 7,<br>Line 8 | Market value deficiency amount relating to securities lent to regulated entities, net of legal offsets and margin already provided                                                | ----- |
| 9.                   | TOTAL MARKET VALUE DEFICIENCY EXPOSURE WITH ACCEPTABLE COUNTERPARTIES AND REGULATED ENTITIES, NET OF LEGAL OFFSETS AND MARGIN ALREADY PROVIDED [Sum of Lines 1 to <del>6</del> 8] | ===== |
| 10.                  | CONCENTRATION THRESHOLD – 100% OF NET ALLOWABLE ASSETS                                                                                                                            | ----- |
| 11.                  | CONCENTRATION CHARGE [Excess of Line 9 over Line 10, otherwise NIL]                                                                                                               | ===== |

B-21

~~Oct-2015~~ Mar-2019