



Attachment A

Dealer Member Rule Amendments

1. Paragraph (i) of subsection 2.1(b) of DMR 2800C is amended by:
 - a. adding “clause (ii) of subsection 2.5(a) of this Rule 2800C.” after “within the timeframe stated in”
 - b. deleting “Section 2.5 of this Rule 2800C if an ISIN or CUSIP is assigned to the Debt Security by 6:00 p.m. Eastern Time on the business day following the date of sale of the new issue”.
2. Section 2.2 of DMR 2800C is amended by:
 - a. adding “and ATSs” after “Reporting Responsibilities of Dealer Members”.
3. Subsection 2.2(c) of DMR 2800C is amended by:
 - a. deleting “where the ATS is the counterparty” after “In a transaction between a Dealer Member and an Alternative Trading System (ATS)”
 - b. deleting “and the ATS” after “the Dealer Member”
 - c. deleting “(where the ATS is the counterparty)” after “In a transaction between an ATS”.
4. Subsection 2.4(c) of DMR 2800C is amended by:
 - a. Row 33 is amended by:
 - i. adding “.” after “an open term Repo”
 - ii. adding the following paragraph after “an open term Repo.”:
“May indicate whether Repo is evergreen or extendable. Optional values”
 - b. Row 38 is amended by:
 - i. adding “Where the Dealer Member is aware of the collateral being used,” before “Indicates”
 - ii. replacing “Indicates” with “indicates”
 - iii. adding “for a single security” before “ISIN or CUSIP”
 - iv. adding an open bracket before “ISIN” and a close bracket after “CUSIP”
 - v. adding a comma after “CUSIP)”
 - vi. deleting “or if the Repo is for general collateral,”
 - vii. adding a period after “multiple securities”



viii. adding a new paragraph after “multiple securities.” as follows:

“Where the Dealer Member is not aware of the collateral being used, indicates general.”

c. adding a new row after Row 40 as follows:

41.	TRI-PARTY REPO INDICATOR	Indicates whether the transaction is a Tri-Party Repo.
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5. Subparagraph (i)(A) of subsection 2.5(a) of DMR 2800C is amended by:

- a. replacing “6:00 p.m.” with “4:00 p.m.”
- b. replacing “2:00 p.m.” with “10:00 p.m.”
- c. adding “same” after “Eastern Time on the”
- d. replacing “following” with “as”.

6. Subparagraph (i)(B) of subsection 2.5(a) of DMR 2800C is amended by:

- a. replacing “6:00 p.m.” with “4:00 p.m.”
- b. adding the “.” after “the report”
- c. deleting the following after “the report:”
“must be made no later than 2:00 p.m. Eastern Time on the second Business Day following the date of transaction execution; and”
- d. adding the following two bullets after “the report:”
 - “may be made by 10:00 p.m. Eastern Time on the same Business Day as the date of the transaction execution, and”
 - “must be made no later than 10:00 p.m. Eastern Time on the first Business Day following the date of transaction execution; and”.

7. Subparagraph (i)(C) of subsection 2.5(a) of DMR 2800C is amended by:

- a. replacing “2:00 p.m.” with “10:00 p.m.”
- b. replacing “second” with “first”.

8. Paragraph (ii) of subsection 2.5(a) of DMR 2800C is amended by:

- a. replacing “no later than” with “.”
- b. deleting “6:00 p.m. Eastern Time on the Business Day following the day that the ISIN or CUSIP number is assigned.”.



9. Adding a new subparagraph (A) to paragraph 2.5(a)(ii) of DMR 2800C as follows:

“(A) where the ISIN or CUSIP is assigned before 4:00 p.m. Eastern Time, no later than 10:00 p.m. Eastern Time on the same Business Day that the ISIN or CUSIP number is assigned;”

10. Adding a new subparagraph (ii)(B) after subparagraph (ii)(A) of subsection 2.5(a) of DMR 2800C as follows:

“(B) where the ISIN or CUSIP is assigned after 4:00 p.m. Eastern Time, no later than 10:00 p.m. Eastern Time on the first Business Day following the day that the ISIN or CUSIP was assigned.”



Dealer Member Plain Language Rule Amendments¹

The proposed Dealer Member Plain Language Rules are hereby amended as follows:

1. Paragraph (i) of subsection 7203(2) is amended by:
 - a. deleting “if an *ISIN* or *CUSIP* number is assigned to the *debt security* by 6:00 p.m. on the *business day* following the date of sale of the new issue”.
2. Paragraph (iii) of subsection 7203(3) is amended by:
 - a. deleting “where the Alternative Trading System is the counterparty,”
 - b. deleting “and the Alternative Trading System”
 - c. deleting “(where the Alternative Trading System is the counterparty)”.
3. Subsection 7203(6) is amended by:
 - a. Row 33 is amended by:
 - i. adding “.” after “an open term *repurchase agreement* transaction or *reverse repurchase agreement* transaction”
 - ii. adding the following paragraph after “an open term *repurchase agreement* transaction or *reverse repurchase agreement* transaction.”:

“May indicate whether *repurchase agreement* transaction or *reverse repurchase agreement* transaction is evergreen or extendable. Optional values”
 - b. Row 38 is amended by:
 - i. adding “Where the *Dealer Member* is aware of the collateral being used,” before “Indicates”
 - ii. replacing “Indicates” with “indicates”
 - iii. adding “for a single security” before “*ISIN* or *CUSIP*”
 - iv. adding “(“ before “*ISIN*” and “),” after “*CUSIP*”
 - v. deleting “or if the *repurchase agreement* transaction or *reverse repurchase agreement* transaction is for general collateral,”
 - vi. adding “.” after “multiple securities”

¹ IIROC Notice [18-0014](#) – Rules Notice – Request for Comments – Dealer Member Rules – *Re-publication of Proposed IIROC Dealer Member Plain Language Rule Book* (January 18, 2018).



vii. adding a new paragraph after “multiple securities.” as follows:

“Where the *Dealer Member* is not aware of the collateral being used, indicates general.”

c. adding a new row after Row 40 as follows:

41.	TRI-PARTY REPO INDICATOR	Indicates whether the <i>repurchase agreement</i> transaction or <i>reverse repurchase agreement</i> transaction is a tri-party repo.
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4. Subparagraph (i)(a) of subsection 7204(1) is amended by:

- a. replacing “6:00 p.m.” with “4:00 p.m.”
- b. replacing “2:00 p.m.” with “10:00 p.m.”
- c. adding “same” before “business day following”
- d. replacing “following” with “as”.

5. Subparagraph (i)(b) of subsection 7204(1) is amended by:

- a. replacing “6:00 p.m.” with “4:00 p.m.”
- b. adding “:” after “the report”
- c. deleting the following after “the report:”:
“must be made no later than 2:00 p.m. on the second *business day* following the date of trade execution, and”
- d. adding the following bullets after “the report:”
 - “may be made by 10:00 p.m. on the same *business day* as the date of the transaction execution, and”
 - “must be made no later than 10:00 p.m. on the first *business day* following the date of trade execution, and”

6. Subparagraph (i)(c) of subsection 7204(1) is amended by:

- a. replacing “2:00 p.m.” with “10:00 p.m.”
- b. replacing “second” with “first”.

7. Paragraph (ii) of subsection 7204(1) is amended by:

- a. adding “:” after “must be made”
- b. deleting “no later than 6:00 p.m. on the *business day* following the day that the *ISIN* or *CUSIP* is assigned”.



8. Adding a subparagraph (ii)(a) to subsection 7204(1) as follows:

“(a) where the *ISIN* or *CUSIP* is assigned before 4:00 p.m., no later than 10:00 p.m. on the same *business day* that the *ISIN* or *CUSIP* number is assigned,”

9. Adding a subparagraph (ii)(b) after subparagraph (ii)(a) of subsection 7204(1) as follows:

“(b) where the *ISIN* or *CUSIP* is assigned after 4:00 p.m., no later than 10:00 p.m. on the first *business day* following the day that the *ISIN* or *CUSIP* was assigned.”