

REGULATION TO AMEND REGULATION 23-101 RESPECTING TRADING RULES

Securities Act

(R.S.Q., c. V-1.1, s. 331.1, par. (2), (3), (8), (9.1), (11), (26) and (32); s. 331.2)

1. Section 6.2 of Regulation 23-101 respecting Trading Rules is amended by replacing the introductory sentence with the following:

“For the purposes of paragraph 6.1(1)(a) the permitted trade-throughs are:”.

2. Section 6.5 of the Regulation is amended by replacing the words “marketplace participant” with the words “marketplace participant or a marketplace that routes or reprices orders”.

3. Section 11.1 of the Regulation is amended by replacing, in paragraph (2), the words “this Part” with the words “the requirements in section 11.2”.

4. Section 11.2 of the Regulation is amended:

(1) in paragraph (1):

(a) by replacing the word “record” with the words “record in electronic form”;

(b) by adding, after subparagraph (s), the following, with the necessary changes:

“(t) each unique client identifier assigned to a client accessing the marketplace using direct electronic access; and

(u) whether the order is a directed-action order.”;

(2) by replacing, in paragraph (7), the word “records” with the words “records in electronic form”.

5. This Regulation comes into force on *(indicate the date of coming into force of this Regulation)*.