

REGULATION TO AMEND REGULATION 23-101 RESPECTING TRADING RULES

Securities Act
(R.S.Q., c. V-1.1, s. 331.1, par. (2), (9.1), (11) and (32))

1. Section 6.2 of Regulation 23-101 respecting Trading Rules is amended by replacing the part preceding paragraph (a) 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 inserting, in the part preceding paragraph (a) and after the words “marketplace participant”, the words “or a marketplace that routes or reprices orders”.

3. The Regulation is amended by replacing, wherever they occur in the French text of the title of Part 10 and sections 10.1 and 10.2, the words “titres d’emprunt” with the words “titres de créance”.

4. 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”.

5. 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, and making 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”.

6. This Regulation comes into force on July 1, 2012.