



**TORONTO STOCK EXCHANGE
TSX VENTURE EXCHANGE
TSX ALPHA EXCHANGE
RETAIL TRADER ID IDENTIFICATION FORM**

Procedures for Updating Form

The Toronto Stock Exchange/TSX Venture Exchange/TSX Alpha Exchange Member will provide an updated Form to its TMX Equities Trading account representative if there are any changes to the information provided in this schedule.

For a Trader ID to be identified as 'Retail' on this form, it must be an ID through which orders originating from a 'Retail Customer' (as defined by IIROC) are sent, but will not apply for any such ID that is for a 'DEA client' (as defined in National Instrument 23-103) unless the 'DEA client' is a broker/dealer located in a non-Canadian jurisdiction that is acting as an 'agent' for retail client order flow. By including a Trader ID on this form, the Member is attesting that orders being entered on the Toronto Stock Exchange, the TSX Venture Exchange and/or the TSX Alpha Exchange through the Trader ID are from accounts that qualify as 'Retail' according to the foregoing definition.

Note that this form is intended for identification of **existing** Trader IDs as 'Retail'. If a Trader ID on this form does not exist on a TMX Exchange, it will be ignored on that Exchange.

NEW SUBMISSION **UPDATE**

SUBMITTED BY:

Name: _____ **Telephone:** _____
Signature: _____ **Email:** _____
Member: _____ **Effective Date:** _____

Effective Date must be the 1st of the month.

RETAIL TRADER IDs - TO BE COMPLETED BY CLIENT				
	TRADER ID(s)	TYPE OF ID	RETAIL TRADE DESK SUPERVISOR	TRADER ID DESCRIPTION*
<input type="checkbox"/> Add <input type="checkbox"/> Remove		<input type="checkbox"/> Non-DEA <input type="checkbox"/> DEA*	Name: Phone: Email:	Where 'TYPE OF ID' is marked DEA: Desk/Firm/Client: Contact:
<input type="checkbox"/> Add <input type="checkbox"/> Remove		<input type="checkbox"/> Non-DEA <input type="checkbox"/> DEA*	Name: Phone: Email:	Where 'TYPE OF ID' is marked DEA: Desk/Firm/Client: Contact:
<input type="checkbox"/> Add <input type="checkbox"/> Remove		<input type="checkbox"/> Non-DEA <input type="checkbox"/> DEA*	Name: Phone: Email:	Where 'TYPE OF ID' is marked DEA: Desk/Firm/Client: Contact:

Toronto Stock Exchange/TSX Venture Exchange/TSX Alpha Exchange Approval:

Account Manager: _____ **Signature:** _____

Member is responsible for ensuring that the information set forth on this schedule is accurate and correct at all times.

** Only DEA client IDs described above under 'Procedures for Updating Form' may be included on this form.*

Please attach a separate sheet with a duplication of this table if you require more space.