



CIRCULAR 041-21

March 2, 2021

THE REGULATORY DIVISION PARTICIPANT SCORECARD

The Regulatory Division (the “Division”) is pleased to issue its fourth version of the Regulatory Division Participant Scorecard (the “Scorecard”). This Scorecard is one way for the Division to share its observations with Approved Participants (the “Participants”). The content of the Scorecard is consistent with the version launched in July 2020 and its frequency, for now, remains on a semi-annual basis. Some Participants will not receive a Scorecard, as it may not be customized to their business model or activities.

Participants, through their Designated Representatives, Chief Compliance Officers and Portal Administrators, may access the content of their Scorecard via the Participant Portal. Any comparison to other Participants’ practices or level of compliance is made on an anonymous basis.

Although this Scorecard is not intended to be interpreted as a formal warning or confirmation of Participant compliance, the Division invites each Participant to review its content.

For more information or for any questions, contact the Regulatory Division, at 514 787 6530 or toll-free in Canada and the US at 1 800 361 5353 ext. 46530, toll-free in Great Britain or France at 00 800 36 15 35 35 ext. 46530, or by email at info.mxr@tmx.com.

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