



APPLICATION FORM
List of persons eligible to sit on
a Disciplinary Committee of Montréal Exchange Inc. (the “**Exchange**”)

I, _____, the undersigned, would like to be added to the list of persons eligible to sit on a Disciplinary Committee of the Exchange.

Sub-paragraph 4.602a)i) of the Rules of the Exchange

1. a) Are you, or have you been within the last three years, a member of the Special Committee?

Yes

No

- b) If yes, please indicate the date you left the Committee:

Sub-paragraph 4.602a)ii) of the Rules of the Exchange

2. a) Are you, or have you been within the last three years, a director, officer or partner of the Exchange or any of its affiliated corporations or entities?

Yes

No

- b) If yes, please indicate your role, start date and the date you left this position:

Sub-paragraph 4.602a)iii) of the Rules of the Exchange

3. a) Do you have an immediate family member (spouse [or common-law partner], father, mother, child, brother or sister, father-in-law, mother-in-law, son-in-law or daughter-in-law, brother-in-law, sister-in-law or any other person who shares your residence) who is or has been within the last three years a director, officer or partner of the Exchange or any of its affiliated corporations or entities?

Yes

No

- b) If yes, please provide your family member's name, role, start date and end date, if applicable:

Sub-paragraph 4.602a)iv) of the Rules of the Exchange

4. a) Have you received or are you receiving a consulting, advisory or other compensatory fee from the Exchange, other than as remuneration as a member of the board of directors or as a part-time chair or vice-chair of the board of directors or any board committee, or received fixed amounts of deferred compensation for prior service with the Exchange if such compensation is not contingent on continued service?

Yes

No

- b) If yes, please specify to whom the compensatory fee was paid, if paid by the Exchange, the date of payment and the reasons for the payment of a compensatory fee:

Sub-paragraph 4.602a)v) of the Rules of the Exchange/Articles 202 or 203 of the Code of Civil Procedure, CQLR, c. C-25.01

5. a) Are you, with respect to an employee of the Regulatory Division, in one of the situations described in Articles 202 or 203 of the Code of Civil Procedure (with the necessary modifications [see the Appendix below for the wording of the articles])?

Yes

No

b) If yes, please specify:

Sub-paragraph 4.602a)vi) of the Rules of the Exchange

6. a) Do you have or have you had another relationship with the Exchange, or are you in any other situation that may create reasonable apprehension of bias?

Yes

No

b) If yes, please specify:

General

7. If you are a Qualified Lawyer (see the definition in the circular), are you willing to act as chair at a hearing?

Yes

No

8. Are you able to participate in a hearing, in either English or French?

French

English

Yes

Yes

No

No

9. Do you agree that any hearing you attend may be recorded (video and audio) as part of a videoconference?

Yes

No

CERTIFICATION

I, _____, hereby declare that the information provided on this form is accurate and complete. In addition, I hereby consent to the Exchange using this information (and any other public information) for the purpose of conducting any audit of me that it deems appropriate, as well as for the purpose of determining my eligibility to sit on a Disciplinary Committee of the Exchange and, if so, for the purpose of forming panels of the Disciplinary Committee from time to time, and to the Exchange disclosing such information to the members of the Special Committee of the Regulatory Division of the Exchange.

Signature: _____

Date: _____

Appendix

Articles 202 and 203 of the Code of Civil Procedure, CQLR, c. C-25.01

202. The following situations, among others, may be considered serious reasons for questioning a judge's impartiality and for justifying the judge's recusation:

- (1) the judge being the spouse of one of the parties or of the lawyer of one of the parties, or the judge or the judge's spouse being related or connected by marriage or civil union to one of the parties or to the lawyer of one of the parties, up to the fourth degree inclusively;
- (2) the judge being a party to a proceeding pertaining to an issue similar to the one before the judge for determination;
- (3) the judge having given advice or an opinion on the dispute or having previously dealt with the dispute as arbitrator or mediator;
- (4) the judge having represented one of the parties;
- (5) the judge being a shareholder or an officer of a legal person or a member of a partnership or an association or another group not endowed with juridical personality that is a party to the proceeding;
- (6) a serious conflict existing between the judge and one of the parties or the lawyer of one of the parties, or threats or insults having been uttered between them during the proceeding or in the year preceding the application for recusation.

203. A judge who has an interest or whose spouse has an interest in a case is disqualified and cannot hear the case.