

Instruction Sheet for the ID Request Form

TOP SECTION:

| | |
|-----------------------|--|
| Date: | Print the date of this request |
| Located in: | Print the name of the city in which the applicant is currently working |
| ID: | Reserved for MX |
| Date Assigned: | Reserved for MX |

SECTION A:

Indicate whether the applicant is an **Employee** or a **Client** of the Approved Participant.

Employee: Person who is approved by the Bourse as a SAM Authorized Person.

Client: Person who is not an employee of the Approved Participant and who satisfies the Article 6366B conditions of MX Rule Six.

Print the applicant's identification and contact information.

Name of Approved Participant: Print the name of the Approved Participant requesting the ID.

Products: Select the product type(s) to be traded with this ID.

As a means of verification, we require that all applicants provide a **security question** and **answer**. Please select one from the following: **What is the name of the first street you lived on?** **What is the name of the elementary school you attended?** **In what city does your nearest relative live?** **What was/is your first pet?** **In what year did you graduate from high school?** **In which city were you born?** **What is the name of your first employer?** *Should you rather select a different question please send an email to MX-ID@m-x.ca*

SECTION B:

If you are using a 3rd party Independent Software Vendor's certified application, please select it in from the list (should you not see it, please advise us).

If this is your own proprietary application, please select **Other** and specify the name of the certified application in the area reserved for this purpose. (**Print clearly**).

If you are selecting a **FIX-based** application and are sharing the connection amongst multiple traders (by using the **SenderCompID/SenderSubID** combo in a **many-to-1 configuration**), please indicate so in the **Comments** section at the bottom of the request form. If you know the existing **SenderCompID** that will be used in this **many-to-1 configuration**, please include it in the **Comments** section.

If you are selecting a **SAIL-based** application and are sharing the connection amongst multiple traders (by having multiple traders use one **SAIL OR channel** in a **many-to-1 configuration**), please indicate so in the **Comments** section at the bottom of the request form. If you know the existing **SAIL OR channel** that will be used in this **many-to-1 configuration**, please include it in the **Comments** section.

SECTION C:

The ID Request Form must be dated and signed by the applicant.

SUB-SECTION C1: MANDATORY

This sub-section is to be completed and signed by a Partner or an Authorized Officer of the Approved Participant.

SUB-SECTION C2: OPTIONAL

Complete this sub-section **ONLY** if the MX ID is being requested by or for an Approved Participant other than the one listed in sub-section C1.

Example: User X, employee of an Approved Participant (Approved Participant A), requests an ID as a Client of another Approved Participant (Approved Participant B). In this situation, the Approved Participant A needs to complete sub-section C1 and Approved Participant B needs to complete sub-section C2. In section A, the applicant will need to select 'Client'.



APPLICANT'S COMMENTS:

An applicant already having one or more ID(s) must include these IDs in this section as well as indicate the reason for the current request for an additional MX ID.

If sub-section C2 was completed, additional details pertaining to the reason for the request are required and must be included in this section.

This section could also be used by an applicant wishing to include any notes or special comments regarding the request.

APPROVED BY MX REGULATORY DIVISION:

This field is reserved for MX Regulatory Division.