

**NOTICE OF EFFECTIVE DATE –  
TECHNICAL AMENDMENTS TO CDS PROCEDURES**

**HOUSEKEEPING CHANGES – July 2018**

**A. DESCRIPTION OF THE PROPOSED CDS PROCEDURE AMENDMENTS**

The following amendments are housekeeping changes made in the ordinary course of review of CDS's Participant Procedures, and are required for correction or stylistic enhancement.

**ENGLISH**

Please note that the English version includes technical amendments that do not appear in the French version and that are meant to ensure consistency between both versions, coherence of the text or its linguistic quality.

**Global Change to all manuals**

- Update covers to apply new marketing templates
- Update Montreal address

**CDS Application for Participation**

- Page 13, replace ATON participant option under Full Service with Participant Category – LIMITED
- Page 18, Correct typo (Agent instead of Agen)
- Page 33, Remove CDS GST/HST number for consistency with the rest of form set

**CDSX Forms**

- **CDSX166 – Notice of Record & Meeting Dates:**
  - Page 1, Revert checkbox options (from Form A, D and S to Form C holders only and All holders)
  - Page 1, Reinstate deleted GST/HST/QST section
  - Page 2, Update Montreal address
  - Page 2, Update email address from cds.ca to tmx.com
- **CDSX796 – Calculation of Entrance Fees** – Remove CDS GST/HST number for consistency with the rest of form set (**Note:** Form CDSX796 is the stand-alone version of Appendix F of the Application for Participation).

**SMS Forms**

- **SMS004 – Request for Participants Holder of Record**
  - Merge GST and HST lines into single HST line
  - Delete CDS registration numbers section

**FRENCH**

Please note that the French version includes technical amendments that do not appear in the English version and that are meant to ensure consistency between both versions, coherence of the text or its linguistic quality.

The following amendments were made only in the French version of the documents.

**Global Change to all manuals**

- Update covers to apply new marketing templates
- Update Montreal address

### **CDS Reporting Procedures**

- Chapter 1, Introduction to CDS Reports:
  - Page 15: Report 000205 Holders of Record for Events moved after report 00085 in this table to reflect the sequence in English.
  - Page 16:
    - Report 000105 Dutch Auction Tender report: deleted in this table because it is a duplicate.
    - Reports 000256 Unconfirmed Withdrawal of Tender Report – Depository Agent and 000257 Unconfirmed Withdrawal of Tender Report – Participant: corrected report titles to reflect the English version.
    - Report 000535 Unreleased and Pending Entitlement Payments report – Transfer Agent: added to this table to reflect the English version.
    - Report 000234 1042-S Reporting – Detail report: deleted in this table because it is a doublet.
    - Report 003436 CDS Trading Blotter – Dropped Trade report: deleted because this report has already been deleted in the English version.
- Chapter 10, Continuous Net Settlement Reports, section 10.8 Fails-to-receive Mark Detail report (000124F), page 56 : editing of the translation of the narrative to reflect the English version.
- Chapter 13, Entitlement reports, pages 84-85: Added sections for Unconfirmed Withdrawal of Tender Report – Depository Agent 000256 and Unconfirmed Withdrawal of Tender Report – Participant 000257 to reflect the English version.
- Chapter 25, Transaction reports, section 25.5 Deleted Transaction report (001943), page 135: inversion of status AL and DLI in bullets 9 and 10 to reflect the English version; editing of translation of bullet 11 (word added) to reflect the English version.

### **CDS Application for Participation**

- Page 13, replace ATON participant option under Full Service with Participant Category – LIMITED
- Page 33, Remove CDS GST/HST number for consistency with the rest of form set

### **CDSX Forms**

- **CDSX166 – Notice of Record & Meeting Dates:**
  - Page 1, Correct typo: Distribution des documents to Distribution des documents
  - Page 1, Revert checkbox options (from Form A, D and S to Form C holders only and All holders)
  - Page 1, Reinstate deleted GST/HST/QST section
  - Page 2, Update Montreal address
  - Page 2, Update email address from cds.ca to tmx.com
- **CDSX796 – Calculation of Entrance Fees** – Remove CDS GST/HST number for consistency with the rest of form set

### **SMS Forms**

- **SMS004 – Request for Participants Holder of Record**
- Merge GST and HST lines into single HST line
- Delete CDS registration numbers section

CDS procedure amendments are reviewed and approved by CDS's strategic development review committee (SDRC). The SDRC determines or reviews, prioritizes and oversees CDS-related systems development and other changes proposed by participants and CDS. The SDRC's membership includes representatives from the CDS participant community and it meets on a monthly basis.

These amendments were reviewed and granted non-disapproval by the SDRC on July 26, 2018.

The proposed procedure amendments are available for review and download on the User Documentation page on the CDS website at <https://www.cds.ca/cds-services/user-resources/user-documentation>.

**B. REASONS FOR TECHNICAL CLASSIFICATION**

The amendments proposed in this Notice are considered technical in nature, involving matters of routine operating procedures and administrative practices relating to the settlement services, to correct inaccurate grammar and referencing, and to enhance stylistic formatting.

**C. EFFECTIVE DATE OF THE CDS PROCEDURE AMENDMENTS**

CDS is recognized as a clearing agency by the Ontario Securities Commission pursuant to Section 21.2 of the Ontario Securities Act, and by the British Columbia Securities Commission pursuant to Section 24(d) of the British Columbia Securities Act, and as a clearing house by the Autorité des marchés financiers pursuant to Section 169 of the Quebec Securities Act. In addition CDS is deemed to be the clearing house for CDSX®, a clearing and settlement system designated by the Bank of Canada pursuant to Section 4 of the Payment Clearing and Settlement Act.

CDS has determined that these amendments will become effective upon receiving the necessary regulatory approvals.

**D. QUESTIONS**

Questions regarding this notice may be directed to:

Andrea Weissler  
Documentation Specialist, Operations Governance & Oversight  
CDS Clearing and Depository Services Inc.  
100 Adelaide Street West  
Toronto, Ontario M5H 1S3  
Telephone: (416) 365-8406  
Email: andrea.weissler@tmx.com



*Clearing and Depository Services Inc.*



PROCEDURES AND USER GUIDES

***CDSX Procedures and User Guide***

*Release 14.0 – June 29, 2018*

Published by:

CDS Clearing and Depository Services Inc.  
85 Richmond Street West  
Toronto, Ontario  
M5H 2C9

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## B. Regulation of Applicant:

Office of Superintendent of Financial Institutions (OSFI)  Ministry of Financial Institutions (Ontario)

Inspecteur général des institutions financières  Other \_\_\_\_\_  
(Specify other)

## Securities Commissions:

AB  BC  MB  NB  NF  NS  NWT  ON

PEI  QC  SK  Other \_\_\_\_\_  
(Specify other)

## Self-Regulatory Organizations:

Bourse de Montréal  Investment Industry Regulatory Organization of Canada (IIROC)

Market Regulation Services (RS)  Other \_\_\_\_\_  
(Specify other)

## C. As provided by Rule 2.2, we apply to become a participant of CDS in one of the following categories:

Regulated Financial Institution  Foreign institution

Government Body  Bank of Canada

## D. As provided by Rule 2.3, we apply to be classified in the following Participant category:

## Full service:

Extender of Credit  Receiver of Credit

Settlement Agent  [ATON Participant Participant category - LIMITED](#)

## Limited purpose:

TA Participant  ATON Participant

ACT Participant

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**Additional Information:**

In support of our application for classification as Settlement Agent, we attach the following information:

- (A) most recent audited financial statements;
- (B) most recent quarterly financial statements as provided to Applicant's primary Regulatory Body;
- (C) statement of the amount of Applicant's Capital (as defined in Rule 1.2.1); and its Regulatory Capital (as defined in Rule 5.10.6);
- (D) Applicant's Rating Discount (as defined in Rule 5.10.8) and the rating(s) of its short-term debt by the Bond Rating Service(s) upon which the Rating Discount is based;
- (E) Applicant's Formula Amount (as defined in Rule 5.10.6);
- (F) Applicant's System Operating Cap (as defined in Rule 5.10.3);
- (G) a portion of the System Operating Cap may be allocated to establish U.S. Cap;
- (H) any required approvals by Regulatory Bodies having jurisdiction over Applicant (pursuant to Rule 3.7.1)

**We undertake:**

- (i) to provide CDS with updates to the information listed above at the same time as we provide quarterly financial statements to our primary Regulatory Body, or at any time upon request by CDS, in accordance with Rule 3.7.2; and;
- (ii) to notify CDS promptly of any material adverse change in our financial status and of any event or occurrence which results in material changes to any of the representations and information contained in this Application.

We understand that a fee may be assessed by CDS for failure to provide timely notification of a material change. We also understand that this Application form is provided to us as a convenience and that it is our obligation to ensure that we comply with the requirements of the Rules, as they are amended from time to time, which set out the requisite qualifications of the Participant category into which we have asked to be classified.

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Name of Applicant (Participant)

---

Signature of Signing Officer

---

Name and Title of Signing Officer

---

Date

CDSX801 pg. 2 (05/03)

## Application for Participation: Appendix F Calculation of Entrance Fees

In order to calculate the applicable Entrance Fee please complete the following: (ATON Participant applicants — go to Step 3 and enter \$5,000 in box (E))

**Step 1**  
Calculation of fees related to the Applicant or Participant:

	With Invested Capital or equivalent ownership (Amount A)	Without Invested Capital (Amount B)	
Share Capital	\$ _____	Fair market value of Canadian securities portfolio under its ownership, management, control or custody	
Subordinated Debt	\$ _____		
Retained Earnings	\$ _____		
Contributed and Earned Surpluses	\$ _____		x 0.1%
General Contingency, Investment and required reserves	\$ _____		
<b>Total</b>	\$ _____ x 0.5%		Insert amount IN (A) or (B)
(A)	\$ _____	(B) \$ _____	\$ _____ <i>If greater than \$250,000, go to (E) and insert \$250,000</i>

**Step 2**  
Calculation of fees relating to a controlling corporation or entity: (To be completed only if the applicant or participant is a subsidiary or is controlled by another entity which is not a participant nor an applicant in the service(s) being applied for.)

Controlling corporation or entity which controls, directly or indirectly in any manner whatever, the applicant or participant, as determined by CDS in its discretion,

	With Invested Capital or equivalent ownership (Amount C)	Without Invested Capital (Amount D)	
Share Capital	\$ _____	Fair market value of Canadian securities portfolio under its ownership, management, control or custody	
Subordinated Debt	\$ _____		
Retained Earnings	\$ _____		
Contributed and Earned Surpluses	\$ _____		x 0.1%
General Contingency, Investment and required reserves	\$ _____		
<b>Total</b>	\$ _____ x 0.5%		Insert amount IN (C) or (D)
(C)	\$ _____	(D) \$ _____	\$ _____

**Step 3**  
Consolidate Steps 1 + 2:

Applicant or participant		(A) or (B)	\$ _____
Controlling corporation or entity	plus	(C) or (D)	\$ _____
		<b>Total:</b>	(E) \$ _____ <i>minimum \$50,000, maximum \$250,000, then go to Step 4</i>

**Step 4**  
Determine total Entrance Fee by inserting amount in (E) below:

Total entrance fee to be paid:	\$ _____
Plus 5% GST	\$ _____
or 12% HST (BC residents only)	\$ _____
or 13% HST (ON, NL, NB residents only)	\$ _____
or 15% HST (NS residents only)	\$ _____
Subtotal	\$ _____
Plus 9.975% QST (Quebec residents only)	\$ _____
Amount of Payment	\$ _____

Remove GST/HST section

CDS's GST/HST Registration Number	8 4 4 1 8 2 1 2 1 R T 0 0 1
CDS's QST Registration Number	1 2 1 2 4 6 4 6 5 8 T Q 0 0 1

**Note:** Before preparing payment, read Instructions for Completing the Application for Participation on page 3.



# Notice of Record & Meeting Dates

New   
 Change

Issuer Name (maximum 30 characters)

English \_\_\_\_\_

French \_\_\_\_\_

Address	Telephone
	Contact Name

Transfer Agent	CUID	Name	Telephone
Address	Email Address		Contact Name

<b>Proxy Type</b>	<b>Meeting Type</b>	<b>Material Distribution Type</b>	Record Date _____
<input type="checkbox"/> Management	<input type="checkbox"/> Annual	<input type="checkbox"/> Form A <span style="color: green;">C holders only</span>	Meeting Date _____
<input type="checkbox"/> Dissenting	<input type="checkbox"/> General	<input type="checkbox"/> <del>Form D</del> <span style="color: green;">All holders</span>	Material Mail Date _____
	<input type="checkbox"/> Special	<input type="checkbox"/> <del>Form S</del>	
	<input type="checkbox"/> Extraordinary		

**Payment for publication**     Payment enclosed     To be invoiced (*Transfer Agents only*)

Province (**must be selected**)

<input type="checkbox"/> # of publications at \$100.00 per publication	\$ _____
<b>Plus GST</b>	\$ _____
<b>or HST (BC, ON, NB, NL, NS residents only)</b>	\$ _____
<b>Plus QST (Quebec residents only)</b>	\$ _____
<b>Note: Calculated QST amount is rounded up to the nearest cent.</b>	
<b>Total payment enclosed</b>	\$ _____

Reinstate CDS GST/HST/QST numbers:  
 Clearing and Depository Services Inc.'s GST/HST  
 84418212RT  
 Clearing and Depository Services Inc.'s QST  
 1212464658RT

Authorized Signature for Invoicing (Transfer Agents only)  
**Note: Not required for electronic submission.**

ISIN	Voting Status		Security Description
	Y	N	
_____	<input type="checkbox"/>	<input type="checkbox"/>	_____
_____	<input type="checkbox"/>	<input type="checkbox"/>	_____
_____	<input type="checkbox"/>	<input type="checkbox"/>	_____
_____	<input type="checkbox"/>	<input type="checkbox"/>	_____

**Early Search (Determination of Intermediaries)**

Send Early Search report to:     Transfer Agent     Issuer     Other (*statutory declaration required*) \_\_\_\_\_

Send via:     Mail     Courier (*collect*)     CDS Envelope System     Fax #: \_\_\_\_\_

**Proxy Related Material**

Will be distributed by:     Transfer Agent     Issuer     Other \_\_\_\_\_

**Holders of Record**

Send Holders of Record and Omnibus Proxy to:     Transfer Agent     Issuer     Other \_\_\_\_\_

Send via:     Mail     Courier     CDS Envelope System

This Notice and Request for services is authorized by:

Transfer Agent     Issuer     Third Party \_\_\_\_\_

*Name of Requesting Party*

All services provided by Clearing and Depository Services Inc. here under are subject to the terms and conditions printed on the reverse of this form.

## Notice of Record & Meeting Dates

### Terms and Conditions

1. Meeting and record dates are published once a week only, in an index available to the financial press.
2. In order to meet the requirements of processing and of National Instrument Policy 54-101, this fully completed Notice of Record & Meeting Dates form must reach CDS Clearing and Depository Services Inc. by 12:00 noon (ET), 25 days before the record date. The deadline for requesters to submit publication instructions is 3 p.m. (ET) on the Wednesday prior to the week intended for publication.
3. Delivery of Early Search report is CDS Clearing and Depository Services Inc.'s acknowledgement of receipt of the Notice of Record and Meeting Dates form.

Please contact Shareholder Communications at (514) 848-6134 if you have not received your Early Search report within seven days of sending your notice to CDS Clearing and Depository Services Inc.

4. The issuer or their agent shall promptly report to CDS Clearing and Depository Services Inc. any error or omission concerning the publication or intended publication of any notice of the issuer's record and meeting dates and if applicable, shall pay the costs of re-publication at the publication fee set out on the front of this form. CDS Clearing and Depository Services Inc.'s liability for any error or omission caused by CDS Clearing and Depository Services Inc. shall be limited to causing the publication, where time permits, at the next scheduled publication date or otherwise, as soon as reasonably practicable, of a corrected or appropriate notice in the newspaper(s) in which the notice was or should have been published.

Send this form by mail or fax to:

CDS Clearing and Depository Services Inc. **Update Montreal address:**  
~~600, boul. de Maisonneuve Ouest~~ 1700 – 1190, avenue des Canadiens-de-Montréal  
~~Bureau 210~~ C. P. 14  
Montréal (Québec) Montréal (Québec)  
~~H3A 3J2~~ H3B 0G7

Fax: (514) 848-6039

Attention: Shareholder Communications

OR

Email the completed form to [NRMD@~~cds~~.<sup>tmx</sup>.com](mailto:NRMD@<del>cds</del>.<sup>tmx</sup>.com)

# Application for Participation: Appendix F

## Calculation of Entrance Fees

In order to calculate the applicable Entrance Fee please complete the following: (ATON Participant applicants — go to Step 3 and enter \$5,000 in box (E))

### Step 1

Calculation of fees related to the Applicant or Participant:

	With Invested Capital or equivalent ownership (Amount A)	Without Invested Capital (Amount B)		
Share Capital	\$ _____	Fair market value of Canadian securities portfolio under its ownership, management, control or custody		
Subordinated Debt	\$ _____			
Retained Earnings	\$ _____			
Contributed and Earned Surpluses	\$ _____		\$ _____	
			x 0.1%	
General Contingency, Investment and required reserves	\$ _____			
<b>Total</b>	\$ _____		Insert amount IN (A) or (B)	
	x 0.5%			
(A)	\$ _____	(B)	\$ _____	

*If greater than \$250,000, go to (E) and insert \$250,000*

### Step 2

Calculation of fees relating to a controlling corporation or entity: (To be completed only if the applicant or participant is a subsidiary or is controlled by another entity which is not a participant nor an applicant in the service(s) being applied for.)

Controlling corporation or entity which controls, directly or indirectly in any manner whatever, the applicant or participant, as determined by CDS in its discretion,

	With Invested Capital or equivalent ownership (Amount C)	Without Invested Capital (Amount D)		
Share Capital	\$ _____	Fair market value of Canadian securities portfolio under its ownership, management, control or custody		
Subordinated Debt	\$ _____			
Retained Earnings	\$ _____			
Contributed and Earned Surpluses	\$ _____		\$ _____	
			x 0.1%	
General Contingency, Investment and required reserves	\$ _____			
<b>Total</b>	\$ _____		Insert amount IN (C) or (D)	
	x 0.5%			
(C)	\$ _____	(D)	\$ _____	

### Step 3

Consolidate Steps 1 + 2:

Applicant or participant		(A) or (B)	\$ _____
Controlling corporation or entity	plus	(C) or (D)	\$ _____
<b>Total:</b>		(E)	\$ _____

*minimum \$50,000, maximum \$250,000, then go to Step 4*

### Step 4

Determine total Entrance Fee by inserting amount in (E) below:

Total entrance fee to be paid:	\$ _____
Plus 5% GST	\$ _____
or 12% HST (BC residents only)	\$ _____
or 13% HST (ON, NL, NB residents only)	\$ _____
or 15% HST (NS residents only)	\$ _____
Subtotal	\$ _____
Plus 9.975% QST (Quebec residents only)	\$ _____
Amount of Payment	\$ _____

Delete GST/HST/QST number section

CDS's GST/HST Registration Number	8 4 4 1 8 2 1 2 1 R T 0 0 0 1
CDS's QST Registration Number	1 2 1 2 4 6 4 6 5 8 T Q 0 0 0 1

**Note:** Before preparing payment, read **Instructions for Completing the Application for Participation** on page 3 of the Application for Participation.

CDSX796 (06/18)

Note: CDSX796 is the stand-alone version of Appendix F of the Application for Participation.

# Request for Participant Holders of Record

The eligible issuer \_\_\_\_\_ by its duly authorized officer or its appointed agent (if applicable)  
(issuer)

\_\_\_\_\_ hereby requests CDS to provide listings of the positions of CDS participants in the  
(name of officer or agent)

security of the issuer eligible to the depository service of CDS Clearing and Depository Services Inc. ("CDS Clearing") upon the terms and conditions on

the reverse hereof:

Eligible security:	ISIN number:
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**Listing(s) requested:**

**A.** Subscription options, periodically upon the last business day of each  week  month  quarter  
 commencing on \_\_\_\_\_ . All subscriptions end on October 31<sup>st</sup> of each year.  
(date)

or **B.** Specific date(s) as follows: \_\_\_\_\_

or **C.** Consecutive business days commencing \_\_\_\_\_ and ending \_\_\_\_\_ inclusive.

Province **(must be selected)**:

Merge separate lines into single HST line

Fee for this request:	<input type="text"/>
Plus 5% GST:	<input type="text"/>
or 13% HST: (ON, NL, NB residents only) or 14% HST: (PEI residents only) or 15% HST: (NS residents only)	<input type="text"/>
Plus 9.975% QST: (QC residents only)	<input type="text"/>
<b>Note:</b> Calculated QST amount is rounded up to the nearest cent.	<input type="text"/>
<b>Total:</b>	<input type="text"/>

Delete

~~(CDS GST/HST Registration Number)~~  
~~8 3 0 5 0 7 4 9 7 R T 0 0 0 1~~

~~(CDS QST Registration Number)~~  
~~1 2 1 5 3 2 5 5 5 1 T Q 0 0 0 1~~

Payment enclosed  Invoicing required:

\_\_\_\_\_  
 \* pre-authorized invoicing requires authorized signature (transfer agents or issuers on subscription)

**Delivery instructions (please specify):**

<input type="checkbox"/> CUID _____	<input type="checkbox"/> Courier (COD)	<input type="checkbox"/> Mail	<input type="checkbox"/> Fax number _____	<input type="checkbox"/> Pick-up	<input type="checkbox"/> Other
Contact:				Phone:	
Address:					
City:		Province:		Postal code:	
				Date:	

**Requested by:**

<input type="checkbox"/> Issuer	<input type="checkbox"/> Transfer agent	<input type="checkbox"/> Third party*	Name of requesting party:
Title:			Authorized signing officer:

**CDS internal use only**

Request accepted by CDS supervisor/manager signature:	Date:
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Fax this request to CDS Shareholder Communications at (514) 848-6039.

\*Requests submitted by a third party require the completion of an Undertaking to Depository for Intermediary Search Request by completing the form (SMS014 National Instrument 54-101 Undertaking) in order for CDS to release the information.

# ATON PARTICIPANT PROCEDURES



APRIL 7, 2014  
RELEASE 13.0





**CDS Clearing and  
Depository Services Inc.**

[cds.ca](http://cds.ca)

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## Clearing and Depository Services Inc.

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T 1 416 365-8375  
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H3B 0G7

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[webmanuals@tmx.com](mailto:webmanuals@tmx.com)

# ATON BEST PRACTICES GUIDE



FEBRUARY 5, 2016  
RELEASE 7.0





**CDS Clearing and  
Depository Services Inc.**

[cds.ca](http://cds.ca)

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## Clearing and Depository Services Inc.

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# CDS BATCH AND INTERACTIVE SERVICES — TECHNICAL INFORMATION



JUNE 29, 2018  
RELEASE 23.0





**CDS Clearing and  
Depository Services Inc.**

[cbs.ca](http://cbs.ca)

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# CDS DTC CROSS-BORDER MOVEMENT SERVICE PARTICIPANT PROCEDURES



FEBRUARY 4, 2008  
RELEASE 7.0





**CDS Clearing and  
Depository Services Inc.**

[cds.ca](http://cds.ca)

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## Clearing and Depository Services Inc.

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[webmanuals@tmx.com](mailto:webmanuals@tmx.com)

# CDS GLOSSARY



DECEMBER 24, 2017  
RELEASE 7.0





**CDS Clearing and  
Depository Services Inc.**

[cds.ca](http://cds.ca)

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## Clearing and Depository Services Inc.

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[webmanuals@tmx.com](mailto:webmanuals@tmx.com)

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Montréal (Québec)  
H3B 0G7

T 1 514 848-1010  
F 1 514 848-9745

[webmanuals@tmx.com](mailto:webmanuals@tmx.com)

# CODES



JUNE 1, 2015  
RELEASE 3.0





**CDS Clearing and  
Depository Services Inc.**

[cds.ca](http://cds.ca)

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## Clearing and Depository Services Inc.

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# CDS DELIVERY SERVICES PARTICIPANT PROCEDURES



DECEMBER 24, 2017  
RELEASE 4.0





**CDS Clearing and  
Depository Services Inc.**

[cds.ca](http://cds.ca)

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## Clearing and Depository Services Inc.

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F 1 514 848-9745

[webmanuals@tmx.com](mailto:webmanuals@tmx.com)

# DTC DIRECT LINK PARTICIPANT PROCEDURES



DECEMBER 24, 2017  
RELEASE 18.0





**CDS Clearing and  
Depository Services Inc.**

[cds.ca](http://cds.ca)

---

## Clearing and Depository Services Inc.

### **Toronto**

100 Adelaide Street West  
Toronto, ON  
M5H 1S3

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F 1 416 367-2755

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1700 - 1190, avenue des Canadiens-de-Montréal  
C. P. 14  
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H3B 0G7

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F 1 514 848-9745

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# DEPOSITARY AND PAYING AGENT PROCEDURES



NOVEMBER 2, 2015  
RELEASE 9.0





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# US DEPOSIT AND WITHDRAWAL PROCEDURES



NOVEMBER 2, 2015  
RELEASE 6.0





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# ESIR USER GUIDE



FEBRUARY 4, 2008  
RELEASE 7.0





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# INTERNATIONAL SERVICES PROCEDURES



APRIL 7, 2014  
RELEASE 5.0





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# MONEY MARKET ISSUE AND ENTITLEMENT PROCEDURES



NOVEMBER 2, 2015  
RELEASE 8.0





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## Clearing and Depository Services Inc.

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# NEW YORK LINK PARTICIPANT PROCEDURES



SEPTEMBER 5, 2017  
RELEASE 27.0





**CDS Clearing and  
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# ISSUE AND ENTITLEMENT PROCEDURES — OTHER SECURITIES



NOVEMBER 2, 2015  
RELEASE 5.0





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# CDSX PROCEDURES AND USER GUIDE



JUNE 29, 2018  
RELEASE 14.0





**CDS Clearing and  
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# PLEDGE AND SETTLEMENT PROCEDURES



JUNE 29, 2018  
RELEASE 9.0





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# CDS REPORTING PROCEDURES



JUNE 29, 2018  
RELEASE 14.0





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# PARTICIPATING IN CDS SERVICES



DECEMBER 24, 2017  
RELEASE 13.2





**CDS Clearing and  
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[cbs.ca](http://cbs.ca)

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## Clearing and Depository Services Inc.

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# TRANSFER AGENT PROCEDURES



JANUARY 18, 2017  
RELEASE 12.0





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# TRADE AND SETTLEMENT PROCEDURES



DECEMBER 24, 2017  
RELEASE 13.1





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## B. Regulation of Applicant:

- Office of Superintendent of Financial Institutions (OSFI)  Ministry of Financial Institutions (Ontario)
- Inspecteur général des institutions financières  Other \_\_\_\_\_  
(Specify other)

## Securities Commissions:

- AB  BC  MB  NB  NF  NS  NWT  ON
- PEI  QC  SK  Other \_\_\_\_\_  
(Specify other)

## Self-Regulatory Organizations:

- Bourse de Montréal  Investment Industry Regulatory Organization of Canada (IIROC)
- Market Regulation Services (RS)  Other \_\_\_\_\_  
(Specify other)

## C. As provided by Rule 2.2, we apply to become a participant of CDS in one of the following categories:

- Regulated Financial Institution  Foreign institution
- Government Body  Bank of Canada

## D. As provided by Rule 2.3, we apply to be classified in the following Participant category:

## Full service:

- Extender of Credit  Receiver of Credit
- Settlement Agent  Participant category - LIMITED

## Limited purpose:

- TA Participant  ATON Participant
- ACT Participant

## Additional Information:

In support of our application for classification as Settlement Agent, we attach the following information:

- (A) most recent audited financial statements;
- (B) most recent quarterly financial statements as provided to Applicant's primary Regulatory Body;
- (C) statement of the amount of Applicant's Capital (as defined in Rule 1.2.1); and its Regulatory Capital (as defined in Rule 5.10.6);
- (D) Applicant's Rating Discount (as defined in Rule 5.10.8) and the rating(s) of its short-term debt by the Bond Rating Service(s) upon which the Rating Discount is based;
- (E) Applicant's Formula Amount (as defined in Rule 5.10.6);
- (F) Applicant's System Operating Cap (as defined in Rule 5.10.3);
- (G) a portion of the System Operating Cap may be allocated to establish U.S. Cap;
- (H) any required approvals by Regulatory Bodies having jurisdiction over Applicant (pursuant to Rule 3.7.1)

## We undertake:

- (i) to provide CDS with updates to the information listed above at the same time as we provide quarterly financial statements to our primary Regulatory Body, or at any time upon request by CDS, in accordance with Rule 3.7.2; and;
- (ii) to notify CDS promptly of any material adverse change in our financial status and of any event or occurrence which results in material changes to any of the representations and information contained in this Application.

We understand that a fee may be assessed by CDS for failure to provide timely notification of a material change. We also understand that this Application form is provided to us as a convenience and that it is our obligation to ensure that we comply with the requirements of the Rules, as they are amended from time to time, which set out the requisite qualifications of the Participant category into which we have asked to be classified.

---

Name of Applicant (Participant)

---

Signature of Signing Officer

---

Name and Title of Signing Officer

---

Date

CDSX801 pg. 2 (05/03)



## Application for Participation: Appendix F Calculation of Entrance Fees

In order to calculate the applicable Entrance Fee please complete the following: *(ATON Participant applicants — go to Step 3 and enter \$5,000 in box (E))*

**Step 1**  
Calculation of fees related to the Applicant or Participant:

	With Invested Capital or equivalent ownership (Amount A)	Without Invested Capital (Amount B)		
Share Capital	\$ _____	Fair market value of Canadian securities portfolio under its ownership, management, control or custody		
Subordinated Debt	\$ _____			
Retained Earnings	\$ _____			
Contributed and Earned Surpluses	\$ _____		\$ _____	
			x 0.1%	
General Contingency, Investment and required reserves	\$ _____			
<b>Total</b>	\$ _____		Insert amount IN (A) or (B)	
	x 0.5%			
(A)	\$ _____	(B)	\$ _____	

*If greater than \$250,000, go to (E) and insert \$250,000*

**Step 2**  
Calculation of fees relating to a controlling corporation or entity: *(To be completed only if the applicant or participant is a subsidiary or is controlled by another entity which is not a participant nor an applicant in the service(s) being applied for.)*

Controlling corporation or entity which controls, directly or indirectly in any manner whatever, the applicant or participant, as determined by CDS in its discretion,

	With Invested Capital or equivalent ownership (Amount C)	Without Invested Capital (Amount D)		
Share Capital	\$ _____	Fair market value of Canadian securities portfolio under its ownership, management, control or custody		
Subordinated Debt	\$ _____			
Retained Earnings	\$ _____			
Contributed and Earned Surpluses	\$ _____		\$ _____	
			x 0.1%	
General Contingency, Investment and required reserves	\$ _____			
<b>Total</b>	\$ _____		Insert amount IN (C) or (D)	
	x 0.5%			
(C)	\$ _____	(D)	\$ _____	

**Step 3**  
Consolidate Steps 1 + 2:

Applicant or participant		(A) or (B)	\$ _____
Controlling corporation or entity	plus	(C) or (D)	\$ _____
	<b>Total:</b>	(E)	\$ _____

*minimum \$50,000, maximum \$250,000, then go to Step 4*

**Step 4**  
Determine total Entrance Fee by inserting amount in (E) below:

Total entrance fee to be paid:	\$ _____
Plus 5% GST	\$ _____
or 12% HST (BC residents only)	\$ _____
or 13% HST (ON, NL, NB residents only)	\$ _____
or 15% HST (NS residents only)	\$ _____
Subtotal	\$ _____
Plus 9.975% QST (Quebec residents only)	\$ _____
<b>Amount of Payment</b>	<b>\$ _____</b>

**Note:** Before preparing payment, read Instructions for Completing the Application for Participation on page 3.

# Notice of Record & Meeting Dates

New   
 Change

Issuer Name (maximum 30 characters)

English \_\_\_\_\_ French \_\_\_\_\_

Address	Telephone
	Contact Name

Transfer Agent	CUID	Name	Telephone
Address		Email Address	Contact Name

Proxy Type	Meeting Type	Material Distribution Type	Record Date _____
<input type="checkbox"/> Management	<input type="checkbox"/> Annual <input type="checkbox"/> Special	<input type="checkbox"/> Form C holders only	Meeting Date _____
<input type="checkbox"/> Dissenting	<input type="checkbox"/> General <input type="checkbox"/> Extraordinary	<input type="checkbox"/> All holders	Material Mail Date _____

Payment for publication  Payment enclosed  To be invoiced (Transfer Agents only)

**Province (must be selected)**

# of publications at \$100.00 per publication \$ \_\_\_\_\_

**Plus GST** \$ \_\_\_\_\_

**or HST (BC, ON, NB, NL, NS residents only)** \$ \_\_\_\_\_

**Plus QST (Quebec residents only)** \$ \_\_\_\_\_

**Note:** Calculated QST amount is rounded up to the nearest cent.

**Total payment enclosed** \$ \_\_\_\_\_

Clearing and Depository Services Inc.'s GST/HST Registration Number	8 4 4 1 8 2 1 2 1 R T
Clearing and Depository Services Inc.'s QST Registration Number	1 2 1 2 4 6 4 6 5 8 R T

\_\_\_\_\_  
 Authorized Signature for Invoicing (Transfer Agents only)  
**Note:** Not required for electronic submission.

ISIN	Voting Status		Security Description
	Y	N	
_____	<input type="checkbox"/>	<input type="checkbox"/>	_____
_____	<input type="checkbox"/>	<input type="checkbox"/>	_____
_____	<input type="checkbox"/>	<input type="checkbox"/>	_____
_____	<input type="checkbox"/>	<input type="checkbox"/>	_____

**Early Search (Determination of Intermediaries)**

Send Early Search report to:  Transfer Agent  Issuer  Other (statutory declaration required) \_\_\_\_\_

Send via:  Mail  Courier (collect)  CDS Envelope System  Fax #: \_\_\_\_\_

**Proxy Related Material**

Will be distributed by:  Transfer Agent  Issuer  Other \_\_\_\_\_

**Holders of Record**

Send Holders of Record and Omnibus Proxy to:  Transfer Agent  Issuer  Other \_\_\_\_\_

Send via:  Mail  Courier  CDS Envelope System

This Notice and Request for services is authorized by:

Transfer Agent  Issuer  Third Party \_\_\_\_\_  
 Name of Requesting Party

All services provided by Clearing and Depository Services Inc. here under are subject to the terms and conditions printed on the reverse of this form.

## Notice of Record & Meeting Dates

### Terms and Conditions

1. Meeting and record dates are published once a week only, in an index available to the financial press.
2. In order to meet the requirements of processing and of National Instrument Policy 54-101, this fully completed Notice of Record & Meeting Dates form must reach CDS Clearing and Depository Services Inc. by 12:00 noon (ET), 25 days before the record date. The deadline for requesters to submit publication instructions is 3 p.m. (ET) on the Wednesday prior to the week intended for publication.
3. Delivery of Early Search report is CDS Clearing and Depository Services Inc.'s acknowledgement of receipt of the Notice of Record and Meeting Dates form.

Please contact Shareholder Communications at (514) 848-6134 if you have not received your Early Search report within seven days of sending your notice to CDS Clearing and Depository Services Inc.

4. The issuer or their agent shall promptly report to CDS Clearing and Depository Services Inc. any error or omission concerning the publication or intended publication of any notice of the issuer's record and meeting dates and if applicable, shall pay the costs of re-publication at the publication fee set out on the front of this form. CDS Clearing and Depository Services Inc.'s liability for any error or omission caused by CDS Clearing and Depository Services Inc. shall be limited to causing the publication, where time permits, at the next scheduled publication date or otherwise, as soon as reasonably practicable, of a corrected or appropriate notice in the newspaper(s) in which the notice was or should have been published.

Send this form by mail or fax to:

CDS Clearing and Depository Services Inc.  
1700 – 1190, avenue des Canadiens-de-Montréal  
C. P. 14  
Montréal (Québec)  
H3B 0G7

Fax: (514) 848-6039  
Attention: Shareholder Communications

OR

Email the completed form to [NRMD@tmx.com](mailto:NRMD@tmx.com)

## Application for Participation: Appendix F Calculation of Entrance Fees

In order to calculate the applicable Entrance Fee please complete the following: *(ATON Participant applicants — go to Step 3 and enter \$5,000 in box (E))*

### Step 1

Calculation of fees related to the Applicant or Participant:

	With Invested Capital or equivalent ownership (Amount A)	Without Invested Capital (Amount B)		
Share Capital	\$ _____	Fair market value of Canadian securities portfolio under its ownership, management, control or custody		
Subordinated Debt	\$ _____			
Retained Earnings	\$ _____			
Contributed and Earned Surpluses	\$ _____		\$ _____	
			x 0.1%	
General Contingency, Investment and required reserves	\$ _____			
<b>Total</b>	\$ _____		Insert amount IN (A) or (B)	
	x 0.5%			
(A)	\$ _____	(B)	\$ _____	

*If greater than \$250,000, go to (E) and insert \$250,000*

### Step 2

Calculation of fees relating to a controlling corporation or entity: *(To be completed only if the applicant or participant is a subsidiary or is controlled by another entity which is not a participant nor an applicant in the service(s) being applied for.)*

Controlling corporation or entity which controls, directly or indirectly in any manner whatever, the applicant or participant, as determined by CDS in its discretion,

	With Invested Capital or equivalent ownership (Amount C)	Without Invested Capital (Amount D)		
Share Capital	\$ _____	Fair market value of Canadian securities portfolio under its ownership, management, control or custody		
Subordinated Debt	\$ _____			
Retained Earnings	\$ _____			
Contributed and Earned Surpluses	\$ _____		\$ _____	
			x 0.1%	
General Contingency, Investment and required reserves	\$ _____			
<b>Total</b>	\$ _____		Insert amount IN (C) or (D)	
	x 0.5%			
(C)	\$ _____	(D)	\$ _____	

### Step 3

Consolidate Steps 1 + 2:

Applicant or participant		(A) or (B)	\$ _____
Controlling corporation or entity	plus	(C) or (D)	\$ _____
	<b>Total:</b>	(E)	\$ _____

*minimum \$50,000, maximum \$250,000, then go to Step 4*

### Step 4

Determine total Entrance Fee by inserting amount in (E) below:

Total entrance fee to be paid:	\$ _____
Plus 5% GST	\$ _____
or 12% HST (BC residents only)	\$ _____
or 13% HST (ON, NL, NB residents only)	\$ _____
or 15% HST (NS residents only)	\$ _____
Subtotal	\$ _____
Plus 9.975% QST (Quebec residents only)	\$ _____
Amount of Payment	\$ _____

**Note:** Before preparing payment, read **Instructions for Completing the Application for Participation** on page 3 of the Application for Participation.

# Request for Participant Holders of Record

The eligible issuer \_\_\_\_\_ by its duly authorized officer or its appointed agent (if applicable)  
(issuer)

\_\_\_\_\_ hereby requests CDS to provide listings of the positions of CDS participants in the  
(name of officer or agent)

security of the issuer eligible to the depository service of CDS Clearing and Depository Services Inc. ("CDS Clearing") upon the terms and conditions on

the reverse hereof:

Eligible security:	ISIN number:
--------------------	--------------

### Listing(s) requested:

- A.** Subscription options, periodically upon the last business day of each  week  month  quarter commencing on \_\_\_\_\_ . All subscriptions end on October 31<sup>st</sup> of each year.  
(date)
- or **B.** Specific date(s) as follows: \_\_\_\_\_
- or **C.** Consecutive business days commencing \_\_\_\_\_ and ending \_\_\_\_\_ inclusive.

Province **(must be selected)**:

Fee for this request:	
Plus GST:	
or HST: (ON, NL, NB, NS, PEI residents only)	
Plus QST: (QC residents only)	
<b>Note:</b> Calculated QST amount is rounded up to the nearest cent.	
<b>Total:</b>	

Payment enclosed

Invoicing required:

\_\_\_\_\_ *\* pre-authorized invoicing requires authorized signature (transfer agents or issuers on subscription)*

### Delivery instructions (please specify):

<input type="checkbox"/> CUID _____	<input type="checkbox"/> Courier (COD)	<input type="checkbox"/> Mail	<input type="checkbox"/> Fax number _____	<input type="checkbox"/> Pick-up	<input type="checkbox"/> Other
Contact:				Phone:	
Address:					
City:	Province:	Postal code:	Date:		

### Requested by:

<input type="checkbox"/> Issuer	<input type="checkbox"/> Transfer agent	<input type="checkbox"/> Third party*	Name of requesting party:		
Title:			Authorized signing officer:		

### CDS internal use only

Request accepted by CDS supervisor/manager signature:	Date:
---	-------

Fax this request to CDS Shareholder Communications at (514) 848-6039.

*\*Requests submitted by a third party require the completion of an Undertaking to Depository for Intermediary Search Request by completing the form (SMS014 National Instrument 54-101 Undertaking) in order for CDS to release the information.*