

**Ontario Securities Commission**

**Form 24-101F1**

**Unofficial consolidation current to 2017-09-05**

**This document is not an official statement of law or policy and should be used for reference purposes only.**

**FORM 24-101F1  
REGISTERED FIRM EXCEPTION REPORT OF  
DAP/RAP TRADE REPORTING AND MATCHING**

**CALENDAR QUARTER PERIOD COVERED:**

From: \_\_\_\_\_ to: \_\_\_\_\_

**REGISTERED FIRM IDENTIFICATION AND CONTACT INFORMATION:**

1. Full name of registered firm (if sole proprietor, last, first and middle name):
2. Name(s) under which business is conducted, if different from item 1 :
  
- 3a. Address of registered firm's principal place of business:
  
- 3b. Indicate below the jurisdiction of your principal regulator within the meaning of NI 31-103 *Registration Requirements, Exemptions and Ongoing Registrant Obligations:*
  - Alberta
  - British Columbia
  - Manitoba
  - New Brunswick
  - Newfoundland & Labrador
  - Northwest Territories
  - Nova Scotia
  - Nunavut
  - Ontario
  - Prince Edward Island

Québec

Saskatchewan

Yukon

3c. Indicate below all jurisdictions in which you are registered:

Alberta

British Columbia

Manitoba

New Brunswick

Newfoundland & Labrador

Northwest Territories

Nova Scotia

Nunavut

Ontario

Prince Edward Island

Québec

Saskatchewan

Yukon

4. Mailing address, if different from business address:

5. Type of business:  Dealer  Adviser

6. Category of registration:

7. (a) Registered Firm NRD number:

(b) If the registered firm is a participant of a clearing agency, the registered firm's CUID number:

8. Contact employee name:

Telephone number:



**Legend**

"# of Trades" is the total number of transactions in the calendar quarter;  
"\$ Value of Trades" is the total value of the transactions (purchases and sales) in the calendar quarter.

**Exhibit B – Reasons for not meeting exception reporting thresholds**

Describe the circumstances or underlying causes that resulted in or contributed to the failure to achieve the percentage target for matched equity and/or debt DAP/RAP trades within the maximum time prescribed by Part 3 of the Instrument. Reasons given could be one or more matters within your control or due to another trade-matching party or service provider. If you have insufficient information to determine the percentages, the reason for this should be provided. See also Companion Policy 24-101 to the Instrument.

**Exhibit C – Steps to address delays**

Describe what specific steps you are taking to resolve delays in the equity and/or debt DAP/RAP trade reporting and matching process in the future. Indicate when each of these steps is expected to be implemented. The steps being taken could be internally focused, such as implementing a new system or procedure, or externally focused, such as meeting with a trade-matching party to determine what action should be taken by that party. If you have insufficient information to determine the percentages, the steps being taken to obtain this information should be provided. See also Companion Policy 24-101 to the Instrument.

**CERTIFICATE OF REGISTERED FIRM**

The undersigned certifies that the information given in this report on behalf of the registered firm is true and correct.

DATED at \_\_\_\_\_ this \_\_\_\_ day of \_\_\_\_\_ 20 \_\_\_\_

\_\_\_\_\_  
(Name of registered firm - type or print)

\_\_\_\_\_  
(Name of director, officer or partner - type or print)

\_\_\_\_\_  
(Signature of director, officer or partner)

\_\_\_\_\_  
(Official capacity - type or print)