

### 13.1.5 TSX Notice of Approval - Housekeeping Amendments to the TSX Company Manual

**TORONTO STOCK EXCHANGE**  
**NOTICE OF APPROVAL**  
**HOUSEKEEPING AMENDMENTS TO THE**  
**TORONTO STOCK EXCHANGE COMPANY MANUAL**

#### **Introduction**

In accordance with the Protocol for Commission Oversight of Toronto Stock Exchange Rule Proposals between the Ontario Securities Commission (the "OSC") and Toronto Stock Exchange ("TSX"), TSX has adopted and the OSC has approved, various amendments (the "Amendments") to the TSX Company Manual (the "Manual"). The Amendments are housekeeping in nature and therefore, are considered non-public interest amendments.

#### **Reasons for the Amendments**

The Amendments have been made to TSX Form 4 – Personal Information Form ("PIF") and Declaration. The Amendments revise the form of consent which is required by the Ontario Provincial Police ("OPP") in order for them to execute a criminal record check. The Amendments also delete references to Market Regulation Services Inc. ("RS") because investigative research functions have been moved from RS to TSX effective June 1, 2007.

#### **Summary of the Amendments**

There are no changes being made to the rules. Changes are being made only to Form 4 in Appendix H of the Manual. The changes to the PIF and Declaration are minimal. References to the OPP's consent form are being changed to reflect the form's new name – "Release and Discharge Relating to Consent to Disclosure of Criminal Record Information".

#### *Personal Information Form*

A new section 1(g) of the PIF has been added which requires the individual to provide a photocopy of his/her government issued photo identification (e.g. Driver's License or Passport). This is a new OPP requirement.

Exhibit 1 to the PIF is the OPP's new consent form. The new form includes revised release and discharge language as well as a more succinct consent to the release of criminal record information. References to RS have been deleted as RS will no longer be providing investigative research services for TSX as of June 1, 2007.

#### *Declaration*

Exhibit 1 to the Declaration is identical to the PIF's Exhibit 1. Therefore, the changes made to the Declaration's Exhibit 1 are the same as those described above for the PIF Exhibit 1. The Declaration itself has been revised to reflect the new name of the OPP consent form and to add a bracket that was missing in part (b) of the statutory declaration.

#### **Text of Amendments**

The Amendments are attached as **Appendix A**.

#### **Effective Date**

The Amendments become effective on **June 1, 2007**.

Appendix A

Non-Public Interest Amendments to the TSX Company Manual

Appendix H

1. In Appendix H, Form 4 – Personal Information Form is amended as follows:
  - (I) In the paragraph on the cover page subtitled “The Form”, the second paragraph has been revised to read as follows:

**“In all cases the Release and Discharge Relating to Consent to Disclosure of Criminal Record Information, which is attached as Exhibit 1, must be completed.”;**
  - (II) Question 1(G) has been added:

“G. A photocopy of a piece of identification issued by a government authority (such as a driver’s license or passport) that is acceptable to the Exchange, is legible and contains a recognizable photograph of you taken within the last 5 years, must be attached. If the piece of identification is not a passport, it must contain your full given name, surname, date of birth, gender and current mailing address. Check this box if attached.”; and
  - (III) Exhibit 1 formerly titled “Consent for Disclosure of Criminal Record Information” has been renamed “Release and Discharge Relating to Consent to Disclosure of Criminal Record Information.” The new Exhibit 1 is attached hereto as Exhibit 1.
2. In Appendix H, the Declaration is amended as follows:
  - (I) In the first paragraph, the final two sentences are revised as follows:

**“In all cases, Exhibit 1 – Release and Discharge Relating to Consent to Consent for Disclosure of Criminal Record Information, must be completed and a photocopy of a piece of identification issued by a government authority (such as a driver’s license or passport) that is acceptable to the Exchange, is legible and contains a recognizable photograph of the individual taken within the last 5 years, must be attached. If the piece of identification is not a passport, it must contain the individual’s full given name, surname, date of birth, gender and current mailing address.”**
  - (II) In paragraph (b) a bracket has been added after the reference to (“SRAs”); and
  - (III) Exhibit 1 formerly titled “Consent for Disclosure of Criminal Record Information” has been renamed “Release and Discharge Relating to Consent to Disclosure of Criminal Record Information.” The new Exhibit 1 is attached hereto as Exhibit 1.

EXHIBIT 1



TORONTO STOCK EXCHANGE COMPANY MANUAL

EXHIBIT 1: RELEASE AND DISCHARGE RELATING TO CONSENT TO DISCLOSURE OF CRIMINAL RECORD INFORMATION



ONTARIO  
Provincial  
Police

Release and Discharge Relating to Consent to Disclosure  
of Criminal Record Information

Surname Given Name Middle Name Date of Birth (dd/mmm/yyyy)  Male

Female

Previous Surnames (eg. Former marriage, maiden)

Address (number, street, apt., lot, concession, township, rural route #, city, postal code)

Occupation

I hereby authorize the Ontario Provincial Police (the OPP) to release records of criminal convictions for which a pardon has not been granted, records of discharges which have not been removed from the CPIC system in accordance with the Criminal Records Act, and records of outstanding criminal charges of which the OPP is aware, to the person(s) listed below.

Name Title

**Jim Manderville** **Manager, Investigative Research**

**Mary Lorimer** **Supervisor, Investigative Research**

**Lois Badley** **Supervisor, Investigative Research**

Department and Branch

**Compliance & Disclosure**

Name of Organization

**Toronto Stock Exchange**

**RELEASE AND DISCHARGE**

I hereby release and forever discharge Her Majesty the Queen in right of Ontario, the Commissioner of the Ontario Provincial Police and all members and employees of the OPP from any and all actions, claims and demands for damages, loss or injury howsoever arising which may hereafter be sustained by myself as a result of the disclosure of information by the OPP to the above named organization.

I acknowledge that information so disclosed may be confirmed only by a comparison of the fingerprints on file to which the information relates and my fingerprints.

SIGNATURE

DATE

**Declaration  
(as at June 1, 2007)**

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**TORONTO STOCK EXCHANGE COMPANY MANUAL**

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**CONFIDENTIAL**

This record and the information contained therein, is being provided in confidence and shall not be disclosed to any person with the exception of the person(s) named above without the express written consent of the Commissioner of the OPP.

Based on a name check only, and having a birth date as provided above – a records check:

- fails to reveal any record relating to the above subject.
- indicates the following information may relate to the above subject.

Details cannot be certified as relating to the subject of inquiry, without a fingerprint comparison.

LE 219 (Rev. 12/05)

**Declaration**  
**(as at June 1, 2007)**

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