

Chapter 13

SROs, Marketplaces, Clearing Agencies and Trade Repositories

13.2 Marketplaces

13.2.1 Aequitas Neo Exchange Inc. – Appeal Procedures – Notice of Approval

AEQUITAS NEO EXCHANGE INC.

NOTICE OF APPROVAL

APPEAL PROCEDURES

In accordance with section 13(a) of the OSC Recognition Order recognizing Aequitas Neo Exchange Inc. (NEO Exchange) as an exchange (Recognition Order), NEO Exchange filed, and the OSC approved, written procedural requirements governing the process for appeals or review of decisions made by NEO Exchange (Appeal Procedures). Section 13(c) of the Recognition Order indicates that the Appeal Procedures will be considered to be Rules of the exchange and subject to the *Process for the Review and Approval of Rules and the Information Contained in Form 21-101F1 and the Exhibits Thereto*.

The Appeal Procedures were published for comment on October 24, 2015 for 30 days. No public comments were received.