

Chapter 13

SRO Notices and Disciplinary Proceedings

13.1.1 Notice – Technical Amendments to CDS Procedures Relating to New Web User Administration Function

CDS CLEARING AND DEPOSITORY SERVICES INC. (CDS®)

TECHNICAL AMENDMENTS TO CDS PROCEDURES

NEW WEB USER ADMINISTRATION FUNCTION

NOTICE OF EFFECTIVE DATE

A. DESCRIPTION OF THE CDS PROCEDURE AMENDMENT

Background

The proposed amendments are to describe the User Administration function that is required to support CDS's new web-based infrastructure services, such as the Electronic Alert Service (EAS), and the Corporate Action Liability Management Service (CALMS).

External user access to CDS's new web services will be maintained by the participants. As part of signing up to use a web service, a company will designate one or more Web User Administrators (WUAs). CDS will define the administrators' user IDs and assign them the company administrator role (similar to that of the CDSX Customer Security Administrator role). This role will allow a WUA to create new user IDs and maintain existing user IDs within their company.

In addition, the company will designate one or more Web Access Administrators (WAAs). CDS will also define these administrator user IDs and assign them the access administrator role (similar to the CDSX Service Access Administrator). This role will allow a WAA to assign roles within each web service to existing user IDs within their company.

Together, the WUA and WAA roles will form the Web Administrator function.

The CDS Procedures marked for the amendments may be accessed at the CDS website at:
<http://www.cds.ca/cdsclearinghome.nsf/Pages/-EN-blacklined?Open>.

Description of Proposed Amendments

The proposed amendments describe the CDS web services, and the Web Administrator function.

Participating in CDS Services (Release 5.8)
Ch 3: Web services (new)

In addition, the following form will be added:

Web Administrator Request form (CDSX842)

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 approved by the SDRC on June 25, 2009

B. REASONS FOR TECHNICAL CLASSIFICATION

The amendments proposed pursuant to this Notice are considered technical amendments as Web User Administration is covered under Rules 3.1.1 Authorization to Act for Participant, and 3.1.2 Access to Services.

Section 3.1.1 (b) defines User Administrator as “A Signing Officer appoints or terminates an individual as a User Administrator for the Participant. A User Administrator appoints or terminates the individuals (who may include the User Administrator) to act as Users for the Participant and provides Authentication Mechanisms to each User.” Both a Web User Administrator (WUA) and a Web Access Administrator (WAA) are types of User Administrator and act in that role.

Section 3.1.2 includes “CDS assigns to each Participant the Authentication Mechanisms or the means of creating the Authentications Mechanisms that are used to identify the Participant and each User appointed by it and each Network Access chosen by it. CDS establishes the types of facilities that are eligible to be used for Network Access and the standards to be met by such facilities.” Web access is another mechanism to access CDS services.

C. EFFECTIVE DATE OF THE CDS PROCEDURE AMENDMENT

Pursuant to Appendix A (“Rule Protocol Regarding The Review And Approval Of CDS Rules By The OSC”) of the Recognition and Designation Order, as amended on November 1, 2006, and Annexe A (“Protocole d’examen et d’approbation des Règles de Services de Dépot et de Compensation CDS Inc. par l’Autorité des marchés financiers”) of AMF Decision 2006-PDG-0180, made effective on November 1, 2006, CDS has determined that the proposed amendments will become effective on a date subsequently determined by CDS, and as stipulated in the related CDS Bulletin.

D. QUESTIONS

Questions regarding this notice may be directed to:

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