

**CANADIAN SECURITIES ADMINISTRATORS (CSA)
STAFF NOTICE 24-306****NATIONAL INSTRUMENT 24-101 - *INSTITUTIONAL TRADE MATCHING AND SETTLEMENT* —
EXCEPTION REPORTING**

Part 4 of National Instrument 24-101 – *Institutional Trade Matching and Settlement* (Instrument) requires registrants in certain circumstances to complete and deliver Form 24-101F1 *Registrant Exception Report of DAP/RAP Trade Reporting and Matching* (Form) to the applicable securities regulatory authority. The Form must be delivered if less than a percentage target of the DAP/RAP trades (measured by volume or value) executed by the registrant (if a dealer) or for the registrant (if an adviser) in any given calendar quarter have *matched* within the time required by the Instrument. Please see Part 10 of the Instrument or Part 7 of the related Companion Policy for transition dates, relevant timelines and percentages.

How to deliver the FormOn-line Electronic Delivery

A registrant can complete an electronic version of the Form and submit it to the applicable securities regulatory authority through the CSA website at **www.csa-acvm.ca**.

Manual Delivery

Alternatively, a registrant can print the Form from the link provided on the CSA website and deliver the completed Form to the applicable securities regulatory authority via mail, fax or email. Fax numbers and email addresses for the applicable securities regulatory authority are provided below.

Information on the Instrument, Companion Policy and CSA Staff Notice 24-305 Frequently Asked Questions about the Instrument is posted on the following websites:

- CSA Website: **www.csa-acvm.ca**
- AMF Website:
<http://www.lautorite.qc.ca/reglementation/valeurs-mobilières/autres-reglements-textes-vigueur.fr.html>
- ASC Website:
<http://albertasecurities.com/securitiesLaw/Pages/ViewDocument.aspx?ProjectId=b9440adf-71d1-4e2b-9d7a-87aae368f84b>
- BCSC Website:
<http://www.bcsc.bc.ca/policy.aspx?id=5508&cat=2%20-%20Certain%20Capital%20Market%20Participants>
- MSC Website:
http://www.msc.gov.mb.ca/legal_docs/legislation/rules/24_101_msc_rule_2007_1.pdf
- OSC Website:
http://www.osc.gov.on.ca/HotTopics/STP/stp_index.jsp

If you have any questions regarding the Instrument or the completion and submission of the Form, please contact the applicable securities regulatory authority below:

Maxime Paré
Senior Legal Counsel
Market Regulation
Ontario Securities Commission
Telephone: (416) 593-3650
Fax: (416) 595-8940
mpare@osc.gov.on.ca

Emily Sutlic
Legal Counsel
Market Regulation
Ontario Securities Commission
Telephone: (416) 593-2362
Fax: (416) 595-8940
esutlic@osc.gov.on.ca

Alina Bazavan
Data Analyst
Market Regulation
Ontario Securities Commission
Telephone: (416) 593-8082
Fax: (416) 595-8940
abazavan@osc.gov.on.ca

Karen Andreychuk
Legal Counsel, Market Regulation
Alberta Securities Commission
Telephone: (403) 297-5946
Fax: (403) 297-4113
karen.andreychuk@seccom.ab.ca

Serge Boisvert
Direction de la supervision des OAR
Autorité des marchés financiers
Telephone: (514) 395-0337 poste 4358
Fax: (514) 873-7455
serge.boisvert@lautorite.qc.ca

Nathalie Gallant
Analyste en produits dérivés
Direction de la supervision des OAR
Autorité des marchés financiers
Telephone: (514) 395-0337 poste 4363
Fax: (514) 873-7455
nathalie.gallant@lautorite.qc.ca

Janice Leung
Senior Securities Examiner, Capital Markets Regulation
British Columbia Securities Commission
Telephone: (604) 899-6752
Fax: (604) 899-6506
jleung@bcsc.bc.ca

Michael Sorbo
Manager Examinations, Capital Markets Regulation
British Columbia Securities Commission

Telephone: (604) 899-6689
Fax: (604) 899-6506
msorbo@bcsc.bc.ca

Bob Bouchard
Director and Chief Administration Officer
Manitoba Securities Commission
Telephone: (204) 945-2555
Fax: (204) 945-0330
bob.bouchard@gov.mb.ca

Neil Sandler
Legal Counsel, Market Regulation
New Brunswick Securities Commission
Telephone: (506) 643-7857
Fax: (506) 658-3059
neil.sandler@nbsc-cvmnb.ca

Shirley P. Lee
Secretary to the Commission and Securities Analyst
Nova Scotia Securities Commission
Telephone: (902) 424-5441
Fax: (902) 424-3624
leesp@gov.ns.ca
