

## CIRCULAR 021-19

January 11, 2019

### LAUNCH OF THE REGULATORY DIVISION'S PARTICIPANT PORTAL

The Regulatory Division (the “Division”) is pleased to announce the launch of the participant portal (the “portal”) in the first quarter of 2019. The Division is planning a harmonious and gradual integration of the portal, which will be complete by **March 31, 2019 at the latest**. To this end, the Division will provide classroom training (in Montréal and Toronto) as well as webinar training. This circular describes activities related to the Division’s deployment of the portal.

The Division would like to thank all the participants of Bourse de Montréal Inc. (the “Bourse”) who have contributed to the development of this new tool.

The portal will be a secure and user-friendly single point of contact for participants. It will facilitate access to regulatory documents as well as the sending of requests, reports and notices to the Division. Participants will have round-the-clock access for consulting information related to their activities with the Division, such as the list of their approved persons, their MX-ID identifiers, and to consult the status of any request they have submitted to the Division. Following the launch of the portal, improvements will gradually be made to the initial functions throughout the year 2019. Furthermore, all useful information about the portal can be found on the Division’s website in the [Web Portal](#) section.

#### Initial functionalities

In this first phase, you will be able to use the portal for electronic transfers of requests such as approved person approval and transfer requests, MX-ID identifiers approval and transfer requests, and uniform termination notices (UTNs). The portal’s initial functionalities will also include the filing of notices of non-compliance (Gatekeeper), corrections to the identification of orders, and the secure transfer of documents between the Division and participants.

Initial functionalities:

- Approved persons
- MX-ID
- Secure document transfers
- Notices of non-compliance (Gatekeeper)
- Corrections to the identification of orders

#### Stages in the deployment

- The Division will transfer to the portal all the information it currently holds on each participant, including the list of approved persons and MX-ID identifiers. Participants will be required to collaborate by validating the accuracy of the information held by the Division and correcting it, as required.

- The Division will contact each participant to grant administrator access to the designated representative, the chief compliance officer or any other person authorized by the participant to act on its behalf. This administrator will then be able to authorize access to certain functionalities for various individuals, based on the participant's corporate structure and specific needs.
- A user's guide is available on the Division's website in the [Web Portal](#) section.
- Training will be offered in Montréal on February 18, 2019 and in Toronto on February 20, 2019. The training will then be available as a webinar on the Division's website, in the [Web Portal](#) section.

Montréal  
1800 - 1190, avenue des Canadiens-de-Montréal, P.O Box 37  
Montréal (Quebec) H3B 0G7  
February 18, 2019  
9:00 to 12:00

Toronto  
300-100 Adelaide Street West,  
Toronto, ON, M5H 1S3  
February 20, 2019  
1:30 pm to 4:30 pm

- Each participant will need to have completed its integration into the portal **no later than March 31, 2019**. After this date, the Division will no longer process any requests other than those sent through the portal. This will apply to all the available forms.

For more information or to register to one of the training sessions, please contact Katy Samson, CAPM, Project Manager, Regulatory Division, at 514-787-6516 or by email at [katy.samson@tmx.com](mailto:katy.samson@tmx.com).

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