

## APPENDIX C - REPORTING OBLIGATIONS

### 1.1 Quarterly Reporting on Exemptions Granted

- 1.1.1 Exemptions Granted - On a quarterly basis, RS Inc. shall submit to the Recognizing Regulators an “Exemption” report summarizing all exemptions granted pursuant to the Universal Market Integrity Rules to marketplace participants during the period. This summary should include the following information:
- the name of the marketplace participant,
  - type of exemption approved during the period,
  - date of the exemption, and
  - a description of RS Inc. staff’s reason for the decision to approve the exemption.
- 1.1.2 Quarterly Report - In addition, a narrative should be included with the quarterly report that includes comments on any policy changes during the period.

### 2.1 Periodic Reporting on Cases

#### 2.1.1 Monthly Reporting

RS Inc. shall provide to the Recognizing Regulators, separately for each exchange, quotation and trade reporting system and ATS, the following information on a monthly basis:

- (i) **Open Cases.** Detailed statistics on open files, by type of alleged violation(s) including:
- the date the file was opened
  - the file number
  - the identity of the marketplace participant and/or listed or quoted company
  - the identity of the RS Inc. staff assigned
  - any other matters identified by the Recognizing Regulators
- (ii) **Closed Cases.** Detailed statistics on closed files, by type of violation(s) including:
- the information listed in paragraph 2.1.1(i) as well as:
  - the date the file was closed

- the action taken
- an explanation for the closing of the file
- a copy of the closing memo
- any other matters identified by the Recognizing Regulators

### 2.1.2 Quarterly Reporting

RS Inc. shall provide to the Recognizing Regulators, separately for each exchange, quotation and trade reporting system and ATS, the following information on a quarterly basis:

- (i) **Ageing Report.** Statistics regarding the length of time a file has been open, as at quarter end.
- (ii) **Caseload Report.** Summary statistics regarding the current caseload, including, but not limited to:
  - the number of files outstanding at the beginning and at the end of the period, by type of violation(s), the status of the files and the estimation of completion
  - the number of new files opened during the period, by type of violation(s)
  - the number of files referred and closed during the period
- (iii) **Summary of Files.** List of all files outstanding at or closed by the end of the period, classified by the nature of the violation.

### 2.1.3 Annual Reporting

RS Inc. shall provide to the Recognizing Regulators, separately for each exchange, quotation and trade reporting system and ATS, the following information on an annual basis:

- (i) **Open Cases.** Listing of all outstanding files, open as at year-end, by type of alleged violation(s) including:
  - the information set out in paragraph 2.1.1(i) above
- (ii) **Closed Cases.** Detailed statistics on closed files, by type of violation(s) including:
  - the number of files closed during the year, by type of violation(s), disposition and violation

- any other matter identified by the Recognizing Regulators
- (iii) **Open Files Narrative.** Narrative details regarding open files which:
- discuss specific developments on major investigations
  - provide an analysis of significant settlements involving marketplace participants and their clients to determine whether any action is warranted
  - provide an analysis of surveillance files in order to identify any emerging problems or trends
  - comment on enforcement related policy changes
  - comment on enforcement related functional and administrative changes
  - detail ongoing initiatives which are enforcement related, but not case specific

## 2.2 Reporting on Referrals

- 2.2.1 On a quarterly basis, RS Inc. shall provide to the Recognizing Regulator(s) of each exchange and quotation and trade reporting system the following information regarding each referral made by RS to the exchange and quotation reporting system during the period:
- sufficient details to identify the referral
  - the nature of the alleged misconduct