

**21-101F5 Initial Form and Amendments to Form for Information Processor [F  
Proposed - Lapsed]**

**NATIONAL INSTRUMENT 21-101  
FORM 21-101F5  
INITIAL FORM AND AMENDMENTS TO FORM FOR  
INFORMATION PROCESSOR**

INITIAL FORM  AMENDMENT

GENERAL INFORMATION

1. Full name: \_\_\_\_\_

2. Main street address (Do not use a P.O. Box):

\_\_\_\_\_

3. Mailing address (if different):

\_\_\_\_\_

4. Address of head office (if different from address in item 2):

\_\_\_\_\_

\_\_\_\_\_

5. Business telephone and facsimile number:

\_\_\_\_\_

(Telephone) (Facsimile)

6. Website address:

\_\_\_\_\_

7. Contact employee:

\_\_\_\_\_

(Name and Title) (Telephone Number) (Facsimile) (E-mail address)

8. Counsel:

\_\_\_\_\_  
(Firm Name) (Contact Name) (Telephone Number) (Facsimile) (E-mail address)

9. Date of financial year end: \_\_\_\_\_

10. List of all marketplaces, dealers or other parties for which the applicant is acting or for which it proposes to act as an information processor. For each marketplace, dealers or other party, provide a description of the function(s) which the applicant performs or proposes to perform. For each such marketplace, dealer or other party, provide a list of all securities for which information with respect to quotations for, or transactions in, is or is proposed to be collected, processed, distributed or published.

**BUSINESS ORGANIZATION**

11. Legal status:  Corporation  Sole Proprietorship  
 Partnership  Other (Specify): \_\_\_\_\_

Except where the information processor is a sole proprietorship, indicate the date and place where the information processor obtained its legal status (*e.g.*, place of incorporation, place where partnership agreement was filed or where information processor was formed):

(a) Date (DD/MM/YYYY): \_\_\_\_\_ (b) Place of formation:  
\_\_\_\_\_

**EXHIBITS**

File all Exhibits with the form. For each exhibit, include the name of the information processor, the date of filing of the exhibit and the date as of which the information is accurate (if different from the date of the filing). If any Exhibit required is inapplicable, a statement to that effect shall be furnished instead of such Exhibit.

If the filer or information processor files an amendment to this Form and the amendment relates to an Exhibit to this Form, the filer must, in order to comply with section 15.3 of National Instrument 21-101, file the Exhibit to which the amendment relates showing the changes and provide an updated version of the Exhibit.

## BUSINESS ORGANIZATION

Exhibit A List any person or company who owns 10 percent or more of the filer's stock or who, either directly or indirectly, through agreement or otherwise, in any other manner, may control or direct the management or policies of the filer. Provide the full name and address of each such person and attach a copy of the agreement or, if there is none written, describe the agreement or basis through which such person exercises or may exercise such control or direction.

Exhibit B A list of the present officers, directors, governors or persons performing functions similar to any of the foregoing, of the information processor indicating for each:

- a. Name
- b. Title
- c. Dates of commencement and termination of present term of office or position
- d. Length of time each present officer, director or governor has held the same office or position
- e. Brief account of the business experience of each officer and director over the last 5 years

Exhibit C A narrative or graphic description of the organizational structure of the filer.

Exhibit D A list of all affiliates of the information processor and the general nature of the affiliation.

Exhibit E A copy of the constating documents with all subsequent amendments and of any existing by-laws, rules or instruments.

## FINANCIAL INFORMATION

Exhibit F Audited financial statements for the latest financial year of the filer and a report prepared by an independent auditor.

Exhibit G A complete list of all fees and other charges imposed, or to be imposed, by or on behalf of the filer for its information services.

## OPERATIONAL CAPABILITY

Exhibit H A description in narrative form of each service or function listed in item 10 and performed by the information processor. Include a description of all procedures utilized for the collection, processing, distribution and publication of information with respect to quotations for, and transactions in, securities.

Exhibit I A list of all computer hardware utilized by the filer to perform the services or functions listed in item 10, indicating:

- a. Manufacturer, and manufacturer's equipment and identification number
- b. Whether purchased or leased (if leased, duration of lease and any provisions for purchase or renewal)
- c. Where such equipment (exclusive of terminals and other access devices) is physically located

Exhibit J A description of the personnel qualifications for each category of professional, non-professional and supervisory employees employed by the information processor.

Exhibit K A description of the measures or procedures implemented by the filer to provide for the security of any system employed to perform the functions of an information processor. Include a general description of any physical and operational safeguards designed to prevent unauthorized access to the system. Describe any measures used to verify the accuracy of information received or disseminated by the system.

Exhibit L Where the functions of an information processor are performed by automated facilities or systems, attach a description of:

- a. all backup systems which are designed to prevent interruptions in the performance of any information providing functions as a result of technical malfunctions or otherwise in the system itself, in any permitted input or output system connection or as a result of any independent source,
- b. business and contingency plans for the ongoing operations of the facilities or systems in the event of a catastrophe,
- c. each type of interruption which has lasted for more than two minutes and has occurred within the six (6) months preceding the date of the filing, including the date of each interruption, the cause and duration, and
- d. the total number of interruptions which have lasted two minutes or less.

Exhibit M For each service or function listed in item 10,

- a. Quantify in appropriate units of measure the limits on the processor's capacity to retrieve, collect, process, store or display the data elements included within each function.
- b. Identify the factors (mechanical, electronic or other) which account for the current limitations reported in answer to (a) on the capacity to receive, collect, process, store or display the data elements included within each function.

ACCESS TO SERVICES

Exhibit N Attach the following:

- a. State the number of persons who presently subscribe or who have notified the filer of their intention to subscribe to the services of the information processor.
- b. For each instance during the past year in which any person has been prohibited or limited in respect of access to services offered by the filer, indicate the name of each such person and the reason for the prohibition or limitation.

Exhibit O Copies of all contracts governing the terms by which persons may subscribe to the services of an information processor.

Exhibit P A description of any specifications, qualifications or other criteria which limit, are interpreted to limit or have the effect of limiting access to or use of any services provided by the information processor and state the reasons for imposing such specifications, qualifications or other criteria.

Exhibit Q Attach any specifications, qualifications or other criteria required of participants who supply securities information to the filer for collection, processing for distribution or publication by the filer.

**CERTIFICATE OF INFORMATION PROCESSOR**

The undersigned certifies that the information given in this report is true and correct.

DATED at \_\_\_\_\_ this \_\_\_\_\_ day of \_\_\_\_\_ 20\_\_\_\_\_

\_\_\_\_\_  
(Name of information processor )

\_\_\_\_\_  
(Name of director, officer or partner - please type or print)

\_\_\_\_\_  
(Signature of director, officer or partner)

\_\_\_\_\_  
(Official capacity- please type or print)