

APPENDIX A
National Instrument 21-101 *Marketplace Operation*
Summary of Changes

EXISTING SECTION	NEW PROVISION IN PROPOSED AMENDMENTS TO NI 21-101	COMMENTS
PART 3		
3.1 Application for Recognition	3.1 Initial Filing of Information	Combined with requirement in section 4.1 Application for Recognition
3.2 Change in Information After Recognition	3.2 Change in Information	Combined with requirement in sections 4.2 Change in Information After Recognition and subsections 6.4(2), 6.4(3) and 6.4(4)
PART 4		
4.1 Application for recognition	3.1 Initial Filing of Information	See Comment 1.
4.2 Change in Information after Recognition	3.2 Change in Information	See Comment 2.
PART 5		
5.1 Access Requirements	5.1 Access Requirements	Combined with section 6.13 Access Requirements
5.2 No Restrictions on Trading on Another Marketplace	5.2 No Restrictions on Trading on Another Marketplace	Combined with section 6.12 No Restrictions on Trading on Another Marketplace
5.6 Filing of Annual Audited Financial Statements	Subsection 4.2(1)	

PART 6		
6.5 Ceasing to Carry on Business as an ATS	3.4 Ceasing to Carry on Business as an ATS	
6.8 Confidential Treatment of Trading Information	5.10 Confidential Treatment of Trading Information	Requirement extended to all marketplaces
6.10 Risk Disclosure for Trades in Foreign Exchange-Traded Securities	5.9 Risk Disclosure for Trades in Foreign Exchange-Traded Securities	Requirement extended to all marketplaces
6.12 No Restrictions on Trading on Another Marketplace	5.2 No Restrictions on Trading on Another Marketplace	See Comment 6.
6.13 Access Requirements	5.1 Access Requirements	See Comment 5.
PART 10		
10.1 Disclosure of Trading Fees by Marketplaces	10.1 Disclosure by Marketplaces	Combined with additional disclosure requirements for marketplaces
10.3 Discriminatory Terms	5.8 Discriminatory Terms	Requirement maintained, but included in Part 5 of proposed amendments to NI 21-101.
PART 12		
12.1(a)(i) and 12.1(b)(iii) [requirements that a marketplace develop, maintain	12.4 Business Continuity Planning	

and test reasonable business continuity and disaster recovery plans]		
PART 14		
14.5(a)(i) and 14.5(b)(iii) [requirements that an information processor develop, maintain and test reasonable business continuity and disaster recovery plans]	14.6 Business Continuity Planning	