

TRADE CANCELLATIONS AND AMENDMENTS

Trade Date

Where a trade resulted from an error made by a MATCH Now participant, the participant should contact TriAct Support at 416-861-1010 x0 or support@triactcanada.com to request a cancellation / amendment.

Where a trade resulted from an error made by the MATCH Now system, TriAct will contact both parties to the trade, and may also consult the Investment Industry Regulatory Organization of Canada (IIROC) for a decision.

In certain circumstances, IIROC may contact TriAct to request a trade cancellation / amendment.

Incorrect price and/or volume increases will be referred to IIROC for approval to cancel / amend. The IIROC decision will depend on whether the trade was *clearly erroneous* (i.e. deviated from the expected outcome) and whether it created a *UMIR violation*.

- If IIROC instructs that the trade must be cancelled / amended, TriAct will inform both parties to the trade before effecting the change.
- If IIROC instructs that the trade may be cancelled / amended, TriAct will consult with both parties; if they mutually agree, the trade will be cancelled / amended; if not, the trade will stand.
- If IIROC instructs that the trade must stand, no change will be made.

Adjustments to other order properties: In addition to price and volume, the MATCH Now system will accommodate changes to:

- Account Type (client / non-client / specialist / inventory)
- Regulation ID (Insider / Significant Shareholder)

For changes to these properties, as well as volume decreases, IIROC will be advised. Counterparty approval is not required in these circumstances.

Post Trade Date

Requests to cancel / amend a trade after trade date should be directed to CDS. TriAct will coordinate with CDS and IIROC, and will make any necessary adjustments to the official trade record. Post trade date cancellations / amendments will not be broadcast on the TriAct market data feed.