		New fields or Originating de	flags introduce	ders in Listed Securities (as of ed by the Amendments Respecting Client unicate to, or to provide on order, before	t Identifiers (A sending order	mendments <sup>1</sup> ) to Executing P	G articipant	Н	1	J			М	N N	0	<u> </u>
The fo	.2 Ta ollowi	gs indicated i ng table only	n blue for non includes the d	-crosses. Please refer to the FIX Specific lesignations and identifiers related to the light the information that an IIROC Dea	ations for cros Amendments. Ier Member w	ss tags or FIX 5 IIROC Dealer vould need to	i.0 tags Members must co provide in each		This table	•	•	ations for the Amendments		separately, based on consultation		ommittee.
Scena # froi Decisi Tree	om sion		Scei	nario Descriptions	Executing Participant # (6774)	Jitney Participant #	Non-PO IIROC Dealer Member (LEI) (8028)	OEO flag ("7" in 1724)	DEA flag ("5" in 1724)	RA flag ("1" in 2883)	Bundled order (BU) ("BU" in 6750)	Non-client order (NC) ("NC" in 6750)	Multiple Client (MC) ("MC" in 6750)	Client LEI (8027)	Account Number (8025)	Unique Ide for client o that uses a generate o (8026)
1			Direct Electronic Access ( <b>DEA</b> )	Participant provides DEA to a client	V				<b>V</b>					√ LEI of DEA client (if DEA client is eligible for LEI)	Account number of DEA client (if DEA client is not eligible for an LEI. Participant must separately report client name associated with account number to IIROC)	
2		Executing Participant receives an order from a client that is DEA, RA or OEO		Participant enters into RA with an IIROC Dealer Member, who is trading for its own proprietary account	<b>V</b>	(if IIROC Dealer Member is a Participant)	(if IIROC Dealer Member is not a Participant)			٧						
3			Routing Arrangement ( <b>RA</b> )	Participant enters into RA with an IIROC Dealer Member, who is trading for one client	<b>V</b>	(if IIROC Dealer Member is a Participant)	(if IIROC Dealer Member is not a Participant)			٧				LEI of IIROC Dealer Member's client (if client is supervised by IIROC Dealer Member as an institutional customer)	Account number of IIROC Dealer Member's client (if client is supervised by IIROC Dealer Member as a retail customer)	
4	ļ			Participant enters into RA with an IIROC Dealer Member, who is trading for more than one client	<b>V</b>	(if IIROC Dealer Member is a Participant)	(if IIROC Dealer Member is not a Participant)			٧	(if IIROC Dealer Member is grouping together orders for more than one account type)	(if PO is grouping together orders for more than one non-client account and no other account types)	(if IIROC Dealer Member is grouping together orders for more than one client that do not have a common parent entity)	LEI of common parent entity (if IIROC Dealer Member is grouping orders together for clients that have a common parent entity)		
5				Participant enters into RA with an IIROC Dealer Member, who is providing order execution only services ( <b>OEO</b> ) to a client	٧	(if IIROC Dealer Member is a Participant)	(if IIROC Dealer Member is not a Participant)	<b>V</b>		٧				LEI of identified OEO client (if IIROC Dealer Member's client is an identified OEO client <sup>2</sup> , and eligible for an LEI)	Account number of OEO client (if IIROC Dealer Member's OEO client: - is not an identified OEO client but is not eligible for an LEI (must separately report client name to IIROC))	

	Α	n Scenario Descriptions			E         F         G         H         I         J           Broker Information         Flags					J	K	L Account Types	М	N O		Р
8	Scenario # from Decision Tree				Executing Participant # (6774)	Jitney Participant # (6757)	Non-PO IIROC	OEO flag ("7" in 1724)		RA flag ("1" in 2883)	Bundled order (BU) ("BU" in 6750)	Non-client order (NC) ("NC" in 6750)	Multiple Client (MC) ("MC" in 6750)	Client LEI (8027)	Account Number (8025)	Unique Identifier for client of FDE that uses algo to generate order (8026)
14	5.1	Executing Participant receives an order from a client that is DEA, RA or OEO (cont'd)	Routing Arrangement (RA) (contd)	Participant enters into RA with IIROC Dealer Member who is a Jitney Participant (A) that is in a routing arrangement with another IIROC Dealer Member (B) that is trading for its own proprietary account	٧	√ (A's JPO #)	√ (B's LEI)			٧						
15	5.2			Participant enters into RA with IIROC Dealer Member who is a Jltney Participant (A) that is in a routing arrangement with another IIROC Dealer Member (B) that is trading for more than one client	٧	√ (A's JPO #)	√ (B's LEI)			٧	(if B is grouping together orders for more than one account type)	(if B is grouping together orders for more than one non-client account and no other account types)	(if B is grouping together orders for more than one client that do not have a common parent entity)	LEI of common parent entity (if B is grouping orders together for clients that have a common parent entity)		
16	5.3			Participant enters into RA with IIROC Dealer Member who is a Jitney Participant (A) that is in a routing arrangement with another IIROC Dealer Member (B) that is trading for one client	1	√ (A's JPO #)	√ (B's LEI)			٧				√ LEI of client that B supervises as institutional client	Account number of client that B supervises as retail client	
17	5.4			Participant enters into RA with IIROC Dealer Member who is a Jitney Participant (A) that is in a routing arrangement with a FDE (B) that is trading for its own proprietary account	√	√ (A's JPO #)				٧				√ LEI of FDE (Add FDE flag "6" in 1724)		

7	А	В	С	D	E	F Broker Informa	G	Н	Flags	J	K	Account Types	М	N Client Identi	O	P
8	Scenario # from Decision Tree		Scen	nario Descriptions	Executing Participant # (6774)	Jitney Participant # (6757)	Non-PO IIROC	OEO flag ("7" in 1724)		RA flag ("1" in 2883)	Bundled order (BU) ("BU" in 6750)	Non-client order (NC) ("NC" in 6750)	Multiple Client (MC) ("MC" in 6750)	Client LEI (8027)	Account Number (8025)	Unique Identifier for client of FDE that uses algo to generate order (8026)
18	5.5			Participant enters into RA with IIROC Dealer Member who is a Jitney Participant (A) that is in a routing arrangement with a FDE (B) that has a client that does not automatically generate orders on a predetermined basis	٧	√ (A's JPO #)				<b>\</b>				√ LEI of FDE (Add FDE flag "6" in 1724)		
19	5.6			Participant enters into RA with IIROC Dealer Member who is a Jitney Participant (A) that is in a routing arrangement with a FDE (B) that has a client that automatically generates orders on a predetermined basis	٧	√ (A's JPO #)				٧				√ LEI of FDE (Add FDE flag "6" in 1724)		√
20	6			Participant enters into RA with a foreign dealer equivalent, who is trading for its own proprietary account	٧					٧				√ LEI of FDE (Add FDE flag "6" in 1724)		
21	7			Participant enters into RA with a foreign dealer equivalent, who is trading for a client that does <u>not</u> automatically generate orders on a predetermined basis	٧					٧				√ LEI of FDE (Add FDE fiag *6" in 1724)		
22	8			Participant enters into RA with a foreign dealer equivalent, who is trading for a client that automatically generates orders on a predetermined basis	٧					٧				√ LEI of FDE (Add FDE flag "6" in 1724)		٧
23	9		Order Execution Only ( <b>OEO</b> )	Participant provides OEO to a client that is an identified OEO client	٧			٧						LEI of identified OEO client <sup>2</sup> (if identified OEO client is eligible for an LEI)	Account number of identified OEO client <sup>2</sup> (if identified OEO client is not eligible for an LEI (must separately report client name to IIROC))	

	Α	В	C D	E	F	G	Н І Ј			K	L	М	N	0	Р
7	_			Broker Information			Flags				Account Types	_	Client Ident	ifier	
8	Scenario # from Decision Tree	Security Descriptions			Jitney Participant # (6757)	Non-PO IIROC Dealer Member (LEI) (8028)	OEO flag ("7" in 1724)	DEA flag ("5" in 1724)	RA flag ("1" in 2883)	Bundled order (BU) ("BU" in 6750)	Non-client order (NC) ("NC" in 6750)	Multiple Client (MC) ("MC" in 6750)	Client LEI (8027)	Account Number (8025)	Unique Identifier for client of FDE that uses algo to generate order (8026)
24	10		Participant provides OEO to a client that is not an identified OEO client	٧			٧						LEI of OEO client (if OEO client is supervised as an institutional client)	Account number of OEO client (if OEO client is supervised as a retail client)	
25	11		Participant handles order for one client	V									LEI of PO's client (if client is supervised as an institutional client)	Account number of PO's client (if client is supervised as a retail client)	
26	12	Executing Participant receives an order from a client that is <u>not</u> DEA, RA or OEO	Participant handles order for more than one client	٧						(if PO is grouping together orders for more than one account type)	(if PO is grouping together orders for more than one non-client account and no other account types)	(if PO is grouping together orders for clients that do not have a common parent entity)	√ LEI of common parent entity		
27	13		Participant is handling an order for an IIROC Dealer Member, who is trading for its proprietary account	٧	(if IIROC Dealer Member is a Participant)	(if IIROC Dealer Member is not a Participant)									
28	14	Executing Participant receives an order from a client that is	Participant receives an order from an IIROC Dealer Member that is providing an order-execution only service for a client	٧	(if IIROC Dealer Member is a Participant)	(if IIROC Dealer Member is not a Participant)	٧						LEI of identified OEO client <sup>2</sup> (if IIROC Dealer Member's OEO client is an identified OEO client and eligible for an LEI)	Account number of OEO client (If IIROC Dealer Member's OEO client: - is not an identified OEO client <sup>2</sup> and supervised as a retail client, or - is an identified OEO client but is not eligible for an LEI (must separately report client name to IIROC))	
29	15	not DEA, RA or OEO (cont'd)	Participant is handling an order for an IIROC Dealer Member, who is trading for more than one client	٧	(if IIROC Dealer Member is a Participant)	OR  (if IIROC Dealer Member is not a Participant)				(if IIROC Dealer Member is grouping together orders for more than one account type)	(if PO is grouping together orders for more than one non-client account and no other account types)	(if IIROC Dealer Member is grouping together orders for clients that do not have a common parent entity)	LEI of common parent entity (if IIROC Dealer Member is grouping together orders for clients that have a common parent entity)		

	Α	B C D	E	F Broker Informa	G	Н		J	K	<u> </u>	М	N	0	Р
7				Flags				Account Types			Client Identifier			
8	Scenario # from Decision Tree		Executing Participant # (6774)	Jitney Participant # (6757)	Non-PO IIROC Dealer Member (LEI) (8028)	OEO flag ("7" in 1724)	DEA flag ("5" in 1724)	RA flag ("1" in 2883)	Bundled order (BU) ("BU" in 6750)	Non-client order (NC) ("NC" in 6750)	Multiple Client (MC) ("MC" in 6750)	Client LEI (8027)	Account Number (8025)	Unique Identifier for client of FDE that uses algo to generate order (8026)
30	16	Participant is handling an order for an IIROC Dealer Member, who is trading for one client	٧	(if IIROC Dealer Member is a Participant)	OR  (if IIROC Dealer Member is not a Participant)							LEI of IIROC Dealer Member's client (if client is supervised by IIROC Dealer Member as an institutional customer)	1	

1. IIROC Notice 19-0071 - Rule Notice – Notice of Approval - UMIR and DMR – Amendments Respecting Client Identifiers (April 18, 2019).

- 2. An "identified OEO client" is defined as client using an order execution only service:

  (a) whose trading activity on marketplaces for which the Market Regulator is the regulation services provider exceeds a daily average of 500 orders per trading day in any calendar month,
- (b) that is not an individual and is registered as an adviser in accordance with applicable securities legislation, or (c) that is not an individual and is in the business of trading securities in a foreign jurisdiction in a manner analogous to an adviser.