

**LYNX PERIODIC MATCH  
RETAIL & INSTITUTIONAL TRADER ID CERTIFICATION FORM**

This form is to be used for both new submissions and changes to previous submissions (and, if necessary, information can be included in an attachment). Any changes to prior submissions will take effect as at the beginning of the month following the change.

By completing and signing this form, the Lynx Periodic Match subscriber executing this form (“Subscriber”) is certifying that the Trader IDs it is identifying as being eligible for the “Retail & Institutional” active rates on Lynx Periodic Match are used to place or route orders on behalf of “investor” clients; that is, that each such Trader ID is not certified, registered, identified or used as a Trader ID:

- 1) through which liquidity-taking orders that must be marked by the subscriber as “Inventory” are executed, other than where any such “Inventory” trades being executed under the Trader ID are to facilitate a follow-on trade between the subscriber and a client;
- 2) through which any market making obligations are performed or any market making benefits are received due to status as a:
  - a. TSX Market Maker or Responsible Designated Person of the TSX Market Maker,
  - b. TSX Venture Odd Lot Member or TSX Venture Odd Lot Trader,
  - c. Alpha Exchange Odd Lot Dealer,
  - d. Nasdaq Canada GEF Member or GEF Approved Trader,
  - e. Nasdaq Canada Odd Lot Member, including any Approved Traders, DEA Eligible Clients or Approved Traders of DEA Eligible Clients to whom such obligations have been assigned,
  - f. CSE Market Maker, Designated Market Maker, or the assigned Primary Trader or Alternate Trader of the CSE Market Maker or Designated Market Maker, or
  - g. Cboe Canada Designated Market Maker or the Designated Market Maker Approved Trader;
- 3) that participates in any of the following liquidity provision programs and, for further clarity, transmits orders of a DEA client or pursuant to a routing arrangement:
  - a. Omega ATS Liquidity Provision (“LP”) Program,
  - b. TSX Alpha Exchange Liquidity Provision (“ALP”) Program,
  - c. Cboe MATCHNow Odd Lot Liquidity Provision (“OLLP”) Program,
  - d. Nasdaq Canada CXC, CX2 or CXD Trading Incentive Programs,
  - e. Canadian Securities Exchange CSE2 Volume Incentive Program;
- 4) that meets the Cboe Canada definition of “Latency Sensitive Trader” (“LST”) for the purposes of trading on its trading facilities (e.g., NEO-L, NEO-N, etc.), or has otherwise been certified by the Subscriber with Cboe Canada as an LST Trader ID;
- 5) that is subject to obligations or receives benefits for performing those obligations in a program offered by a Canadian marketplace similar to but not specifically identified in 2) above; or
- 6) that participates in a program offered by a Canadian marketplace similar to but not specifically identified in 3) above and, for further clarity, similarly transmits orders of a DEA client or pursuant to a routing arrangement.

Note: No certification is required for Trader IDs that have already been certified by the Subscriber, and accepted by Tradelogiq, in connection with a submitted Omega ATS Retail Trader ID Certification Form.

Subscriber certifies that the Trader IDs identified in Appendix A or provided in a separate file submitted with this form are eligible for the “Retail & Institutional” active rates on Lynx Periodic Match based on the preceding criteria.

**SUBMITTED BY:**

Subscriber Firm:

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Signature of  
Authorized Signatory:

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Date:

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Signatory Name:

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Title:

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Telephone:

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Email:

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**Appendix A**  
**List of Retail & Institutional Trader IDs**