Large Open Position Reporting - LOPR Notification Portal User Guide

For Approved Participants of Bourse de Montréal inc.

Regulatory Division Bourse de Montréal Inc.
Document Version 2.0
March 2020

VERSION CONTROL REFERENCE

Version Number	Date	Major Revisions
1.0	April 2016	First version of document
2.0	March 2020	Updates to Bourse’s new rule article numbers Housekeeping amendments

TYPOGRAPHIC CONVENTIONS

Convention	Meaning
Abbreviated menu commands	This document uses an abbreviated menu. For example, “Click **Display > Toolbars > Standard**” means that the **Display** menu should be clicked, point **Toolbars**, and click the **Standard** entry.
Boldface type	**Boldface** type is used for commands, keywords, file names URLs, or other information that must be used literally. Window names, dialogs, and other controls also appear in boldface type.
Initial Capital Letters	The first letter of each menu name, dialog box, dialog box element, and command are capitalized.
<Text in angle brackets>	Angle brackets are used for variables and values that must be provided.
	In User Interface (“UI”) illustrations, this convention is used to indicate the fields where information must be entered.
	In UI illustrations, this convention is used to indicate clickable buttons/controls.

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1 – OVERVIEW

1.1 – BACKGROUND

As described in article 6.500, on a daily basis Participants of Bourse de Montréal Inc. (the “Bourse”) must submit reports of accumulated positions for Derivative Instruments (“LOPR Reports”). The Bourse provides LOPR reporting tools (“GUI” and “SAIL” access) to satisfy the large open position reporting requirements of the Bourse.

The LOPR Notification Portal (the “Portal”) is **strictly reserved** for exceptional situations where issues prevented the accurate and timely submission of LOPR Reports via the LOPR tools.

In such circumstances, the Portal provides a user-friendly and secure alternative for submitting LOPR Reports. The content of the submission will be transmitted to the Regulatory Division of the Bourse (the “Division”).

1.2 – LOPR NOTIFICATION PORTAL PURPOSE

The Portal is to be used as an alternative or to provide supplemental information in the following circumstances:

- To provide corrections[1] for erroneous or incomplete LOPR Reports filed within the prescribed reporting deadline; To provide the LOPR Report when technical issues prevent its transmission in the usual prescribed manner;
- To provide the LOPR Report when the prescribed deadline has been missed; or
- To provide replacement or changes of unique identifiers.

The Portal does not in any way replace the prescribed manner in which LOPR Reports must be submitted to the Bourse.

1.3 – SCOPE

The **LOPR Notification Portal User Guide** describes how to use the Portal. The following topics are covered:

- Getting Started
- Submitting a Report
- Login as an Administrator

This guide does not cover LOPR Reporting Tools (GUI and SAIL access) used for prescribed daily submissions.

[1] For the purpose of this document, corrections are restricted to erroneous or incomplete LOPR account records or position records provided for a given reporting day. This excludes any information regarding position transfers occurring after the reporting deadline (trade breaks, allocation errors, reconciliation, out trades).

1.4 – AUDIENCE

The intended audience includes Approved Participants ("AP") and Foreign Approved Participants ("FAP") of the Exchange and their delegates.

1.5 – RELATED DOCUMENTATION AND CONTACT INFORMATION

For additional information concerning the LOPR regulatory requirements, Participants may refer to our website at https://reg.m-x.ca/en/regulatory/lopr.

For any questions pertaining to the functioning of the Portal and the submission of notifications, contact the Division at 514-787-6530, or by e-mail at lopr@tmx.com.

2 – GETTING STARTED

This section covers the following topics:

- Login
- Navigating in your workspace
- Viewing your profile
- Changing your password
- Logout

2.1 – BEFORE YOU START

Before logging into the Portal, you must know your login credentials (username and password). This information is usually provided by the head of compliance. The Portal supports **Users** and **Administrators** profiles. The **Administrator** is responsible for creating login credentials for individuals selected by the Participant to submit notifications on its behalf (**Users**). **Users** have access to manage their password, view their submissions and submit notifications.

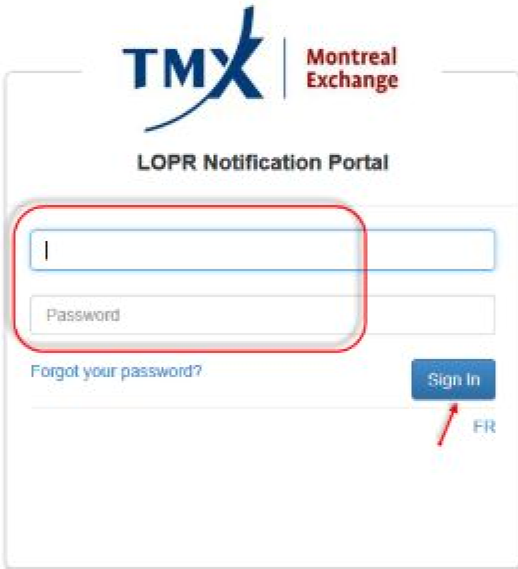
Refer to *Section 4, Login as an Administrator* for more information.

2.2 – LOGIN

To access the Portal:

1. Go to https://lopr.m-x.ca/user/login

2. Complete the fields in the **Login Information** window.



3. Click **Sign In**.

4. If this is your first login, complete the **Change Password** window.

5. Click **Submit**. After **three failed login attempts**, you must reset your password as follows.

6. Click on **Forgot your password** button. The **Password Recovery** dialog window is displayed.

7. Select the Participant for which you are making a submission from the drop-down field.
8. Enter the corresponding email address.
9. Click on **Submit**.

2.3 – NAVIGATING IN YOUR WORKSPACE

After a successful login, your **Submissions Workspace** is displayed.

The top section icons are defined in the following table.

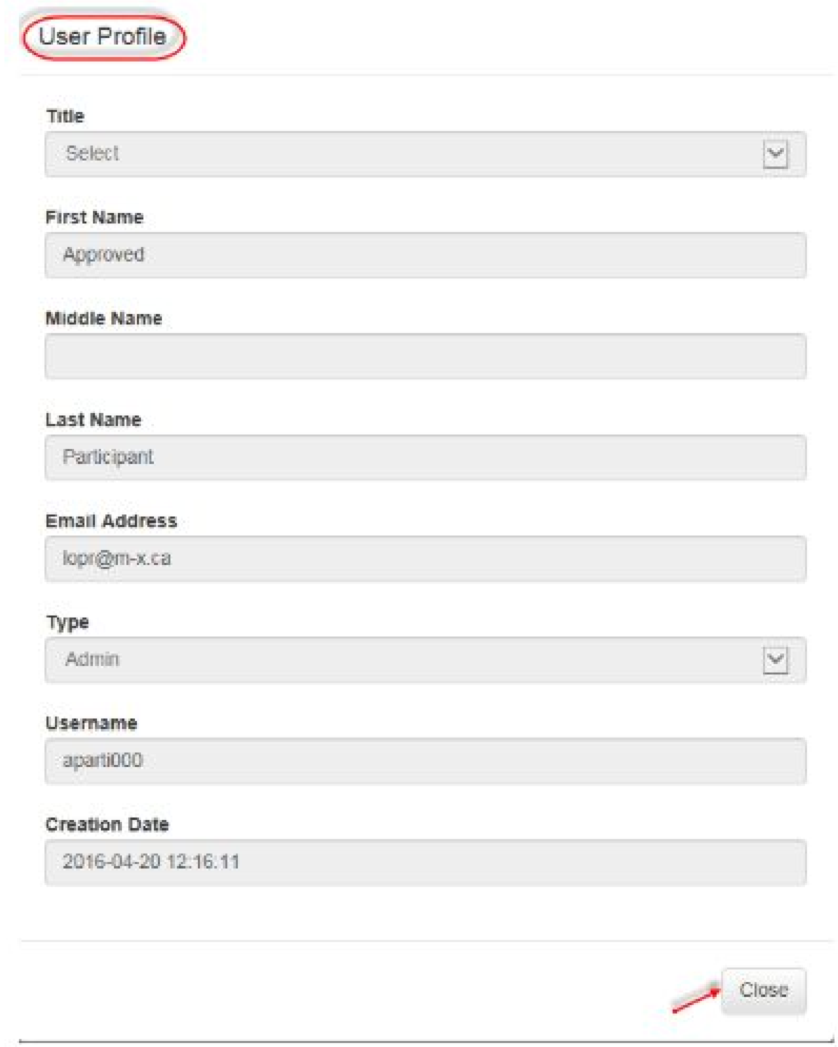
Icons Definition

Items		Description
A	AP1	Participant / Approved Participant
B	User	Logged user
C	Settings	Reset password
D	Sign Out	Sign out of the Portal
E		Select Language (French, English)
F	Expiration and Last Login information	Your Password Expiration (in days) Your Last Login (date and time)

2.4 – VIEWING YOUR PROFILE

1. From the workspace top section, click on your **User's icon**.

   The **User Profile** window is displayed.



2. Click on **Close**.

2.5 – RESETTING YOUR PASSWORD

1. From the workspace top section, click on **Settings**.
   The **Change Password** dialog window is displayed.
2. Enter and confirm the new password
3. Click on **Save Changes.**

2.6 – LOGOUT

When the session is over, you must log out from the Portal.

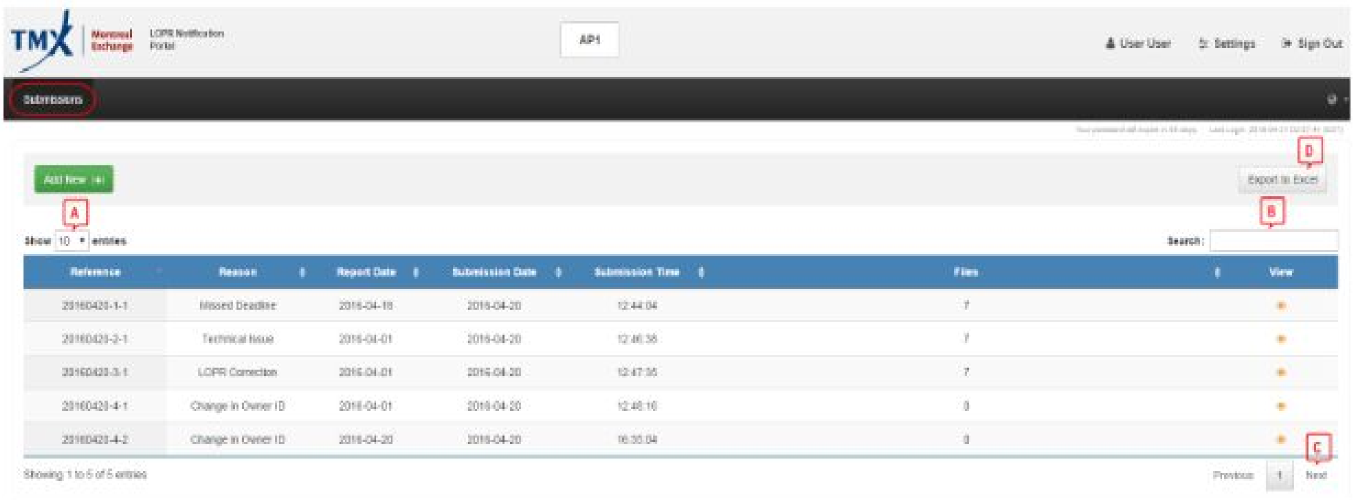
1. From the top section options, select **Sign Out.**

3 – SUBMITTING A REPORT

This section describes how to submit a new entry in the Portal or view a previously submitted entry.

3.1 – NAVIGATING IN YOUR SUBMISSIONS TAB

Under the **Submissions** tab, the **Submission Summary List** will display the submissions which you are entitled to see. **Note:** If this is your first submission, the list is empty.



This workspace gives access to the following navigation functions:

Navigation items

Items		Description
A	**Show [ ] entries**	Select **10**, **25**, **50**, **100**, **All** entries to display on the page
B	**Search**	Search entered text in all the submitted entries
C	**Previous / Next**	Navigate between subsets of entries
D	**Export to Excel**	Export the Submissions Summary to an Excel spreadsheet

For each entry in the **Summary List**, the following information is available:

Submissions Summary List Information

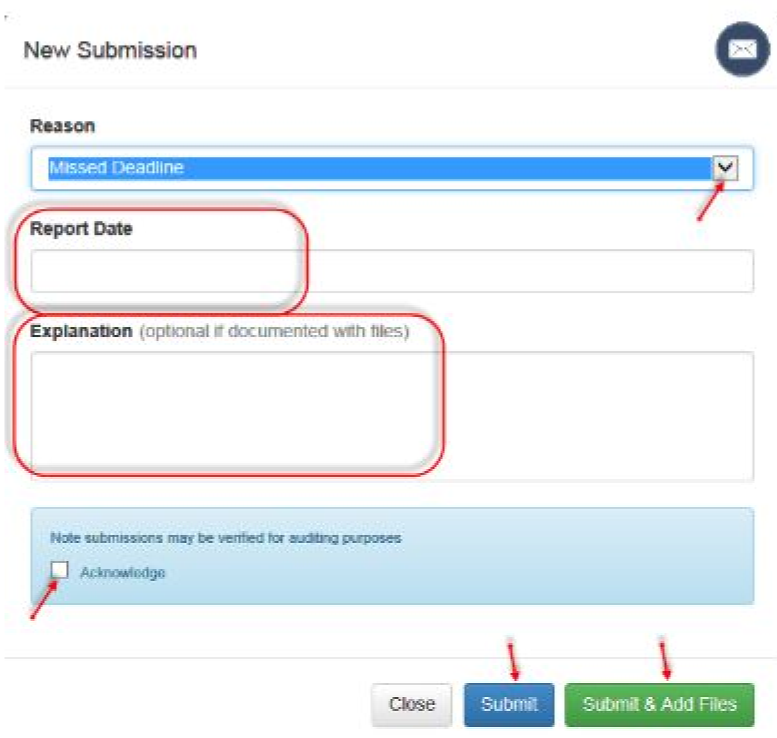
Column	Description
Reference	Unique ID assigned to each submission
Reason	Possible values: **Missed Deadline**, **Technical Issue**, **LOPR Correction**, **Change in Owner ID**
Report Date	Date of the report submitted or of the notification
Submission Date/Time	Date and time of the submission
Files	Number of files attached to the submission
View	Submission details

3.2 – ADDING A NEW SUBMISSION

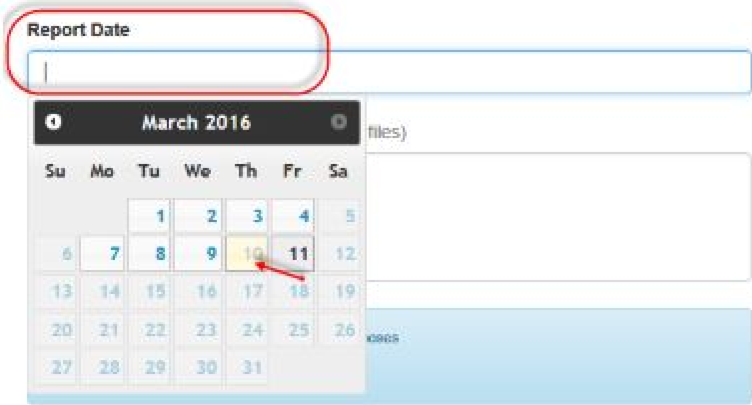
1. From the **Submissions** tab, click on **Add New [+]** button.

2. Select the reason from the **Reason** drop-down list.

   The **New Submission** dialog window is displayed as follows if you selected **Missed Deadline** or **Technical Issue**:



3. Select the **Report Date** from the calendar.



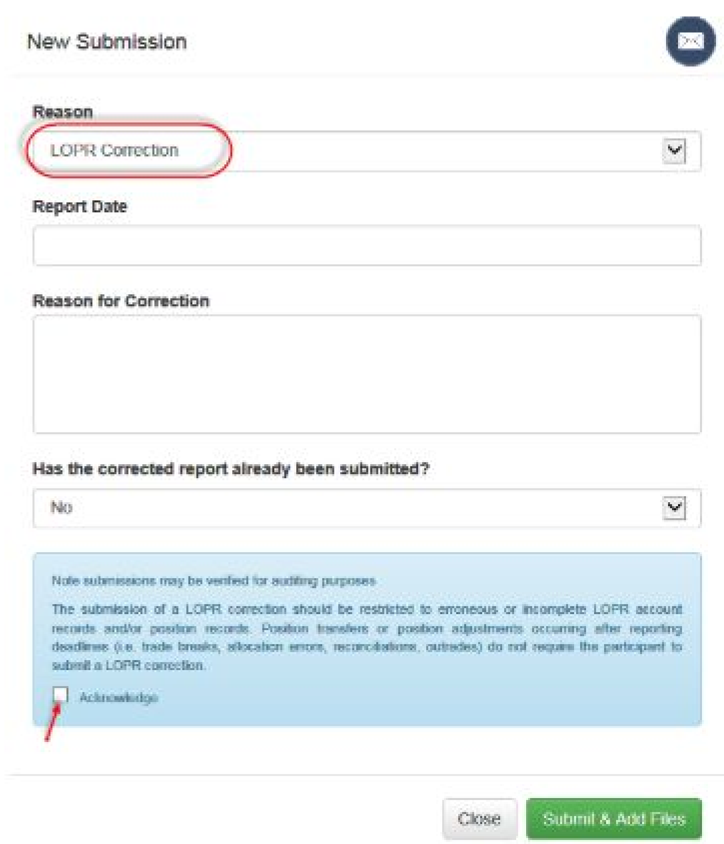
4. Enter an **Explanation** in the text field. This field is mandatory if you are not enclosing a file.

5. Add a checkmark next to **Acknowledge** in the warning section.

6. If you selected **LOPR Correction**:

    a. Enter a **Reason for Correction** in the text field. This field is mandatory.

    b. Review and acknowledge the specific LOPR warning.

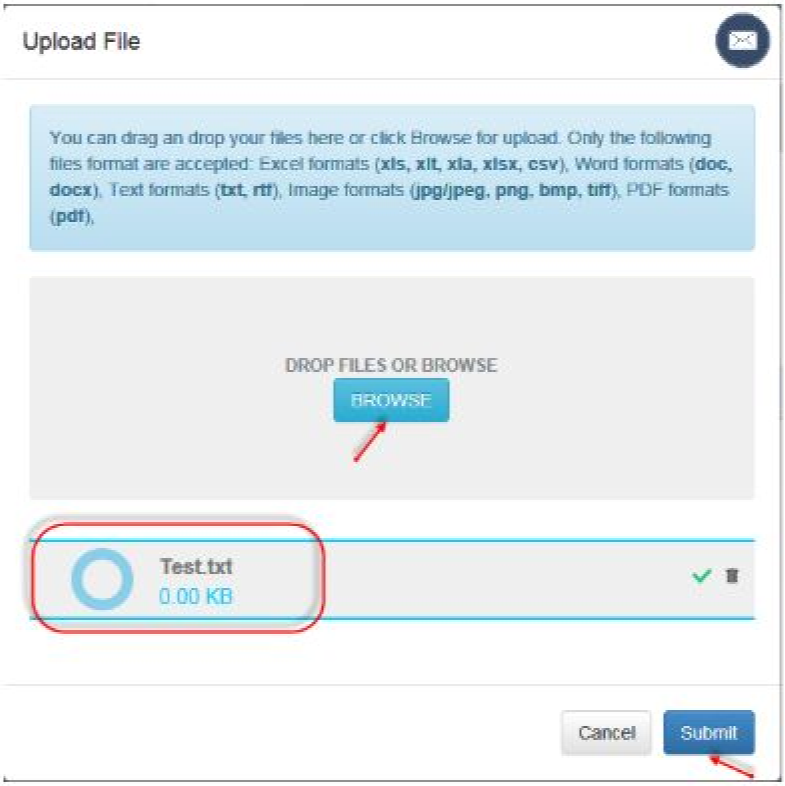


7. If you have no positions to report and you are not enclosing a file, click **Submit**.

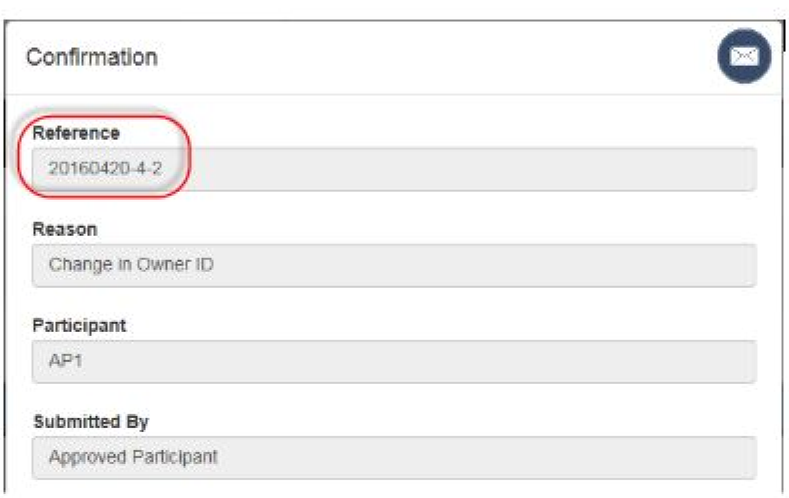
8. If you have positions to report and you are enclosing a file, click **Submit & Add Files**.

Note: When submitting a report, you can attach files in the following formats; Excel (xls, xlt, xla, xlsx, csv), Word (doc, docx), Text (txt, rtf), image (jpg, jpeg, png, bmp, tiff) and PDF (pdf).

9. Browse to select a file to add or drop a file in the **Upload File** window and then click **Submit**.

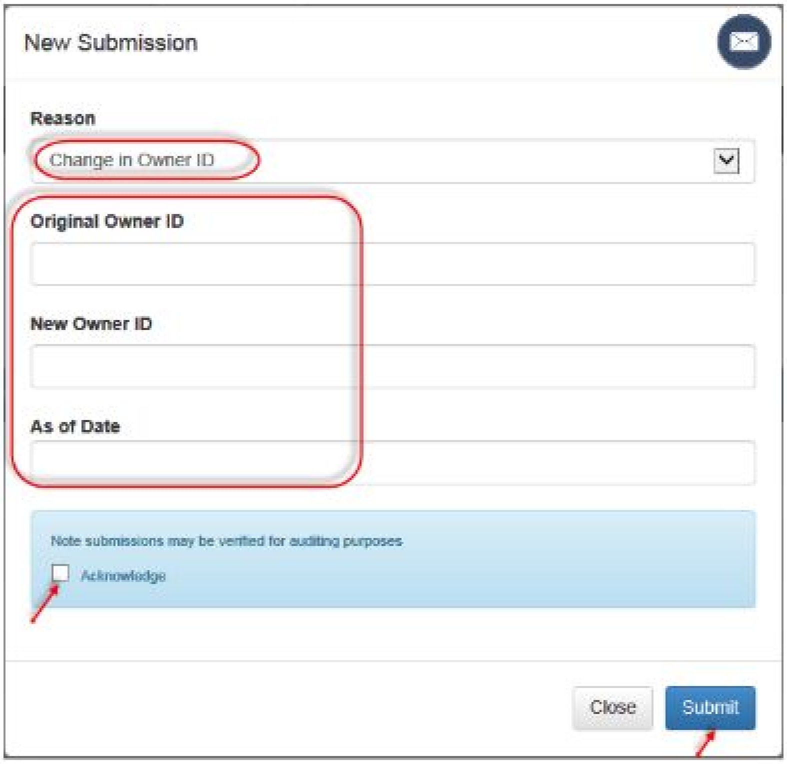


The **Confirmation** window is displayed.



10. Click **Close** to exit the window.

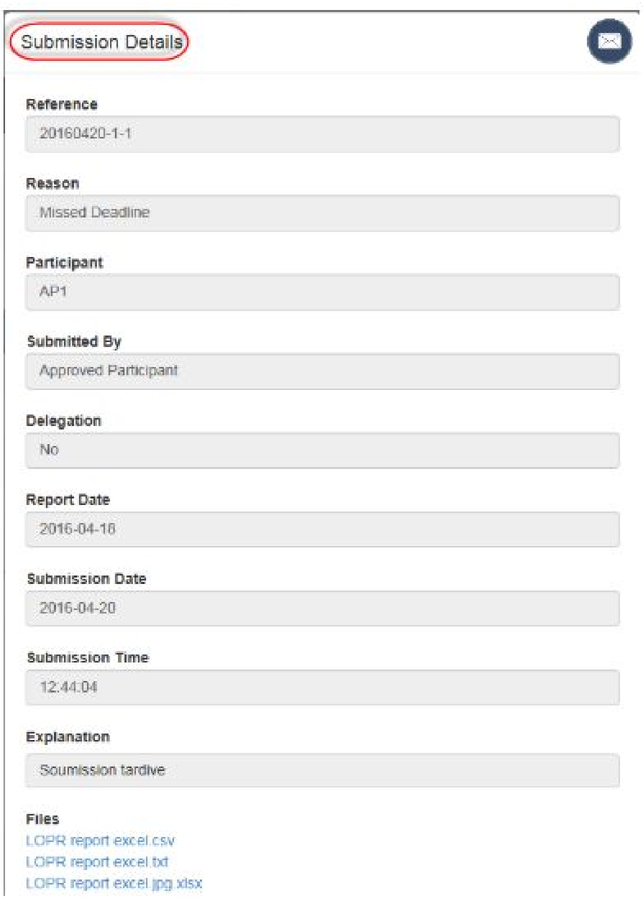
11. If you selected **Change in Owner ID**, enter the information regarding the original and new owner.



12. Add a checkmark next to **Acknowledge** in the warning section and then click **Submit**.

3.3 – VIEWING A PREVIOUS SUBMISSION

1. From the **Submissions Summary List**, click in the **View** column for **Details**:



2. Click **Close** to exit the window.

4 – LOGIN AS AN ADMINISTRATOR

This section covers the topics regarding an Administrator:

- Obtaining an Administrator’s profile
- Administrator’s functionalities
- Viewing all submissions from Users related to the participant
- Creating a new User
- Editing/Deactivating an existing User

4.1 – OBTAINING AN ADMINISTRATOR’S USER PROFILE

The Division creates an **Administrator** for each AP and FAP. The Chief Compliance Officer (CCO) of the AP or FAP will be attributed this profile by default.

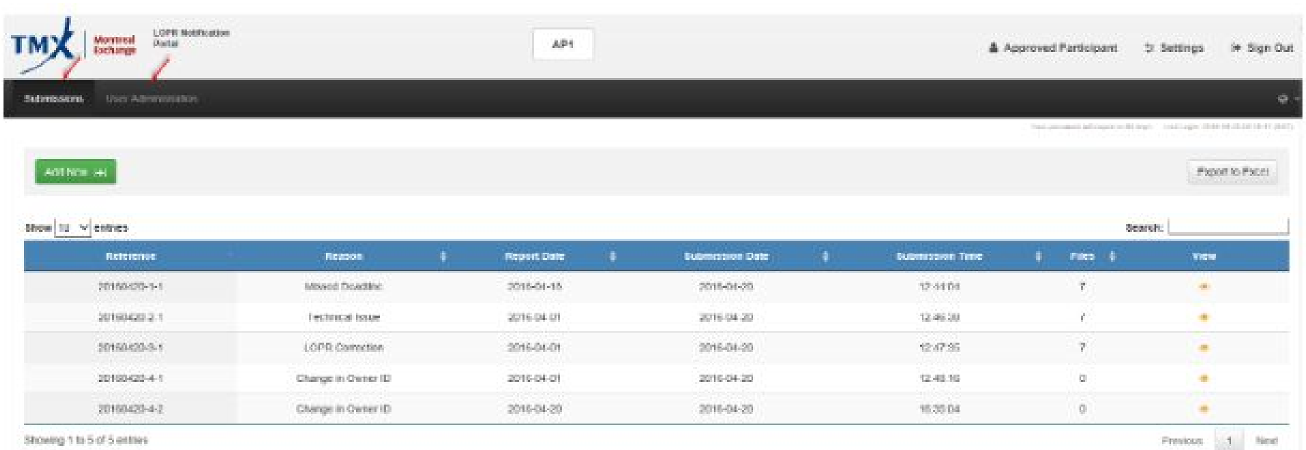
Note: The Portal automatically transmits the login credentials to the CCO’s e-mail address upon the creation of the Administrator account. The CCO can delegate his/her **Administrator** credentials.

4.2 – ADMINISTRATOR FUNCTIONALITIES

Administrators have the same functionalities as users. In addition, the following privileges are available for the **Administrator** profile:

- Access to viewing all user submissions for their respective Participant.
- Creating/editing user profiles for their respective Participant.

When you login as an administrator, the **Submissions** and **User Administration** tabs are available from the workspace.



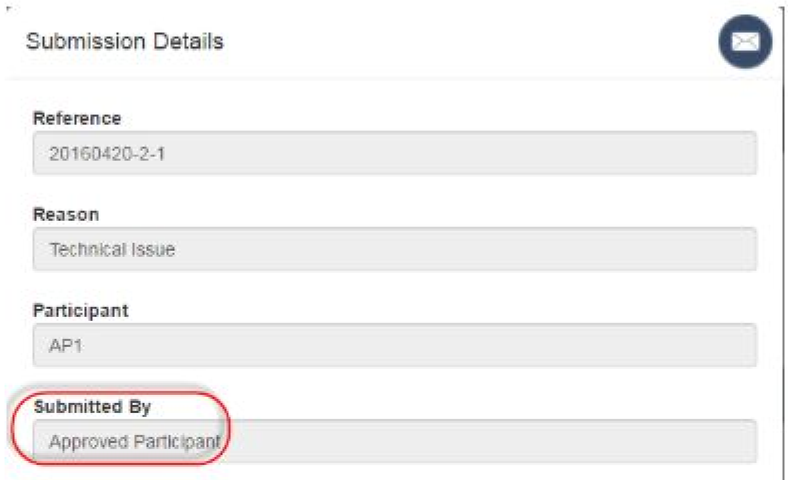
4.3 – VIEWING ALL USER SUBMISSIONS

1. After you login as an Administrator, select the **Submissions** tab.

   The **Submission Summary List** displays the entries submitted by all Users in your Firm.

2. Click  to display the **Submission Details** window.

   You can view the content of **Submitted By** field.



3. Click **Close** to exit the window.

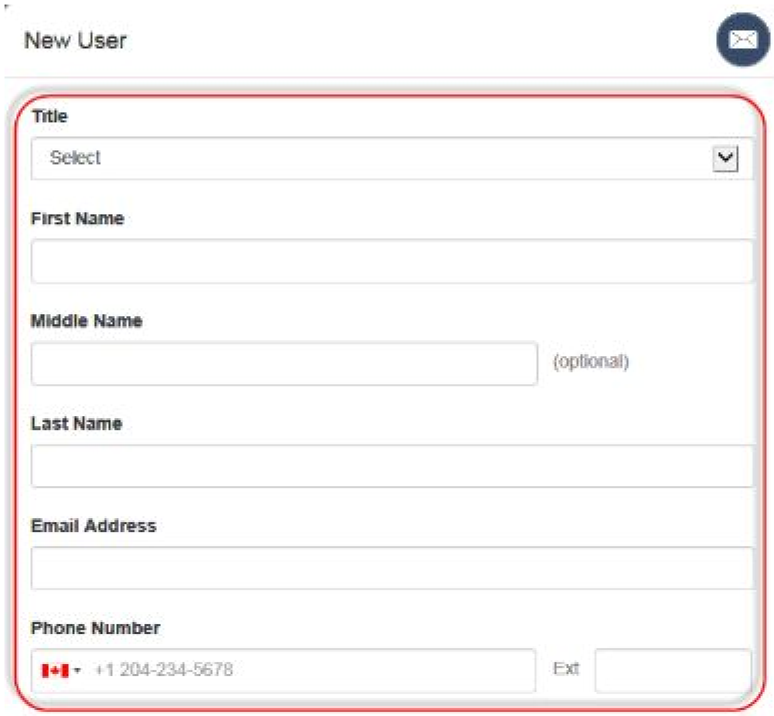
4.4 – CREATING A NEW USER

An administrator can create a maximum of **four (4)** users.

1. Select the **User Administration** tab. The **Users Summary List** is displayed.

2. Click on the **User [+]** button.

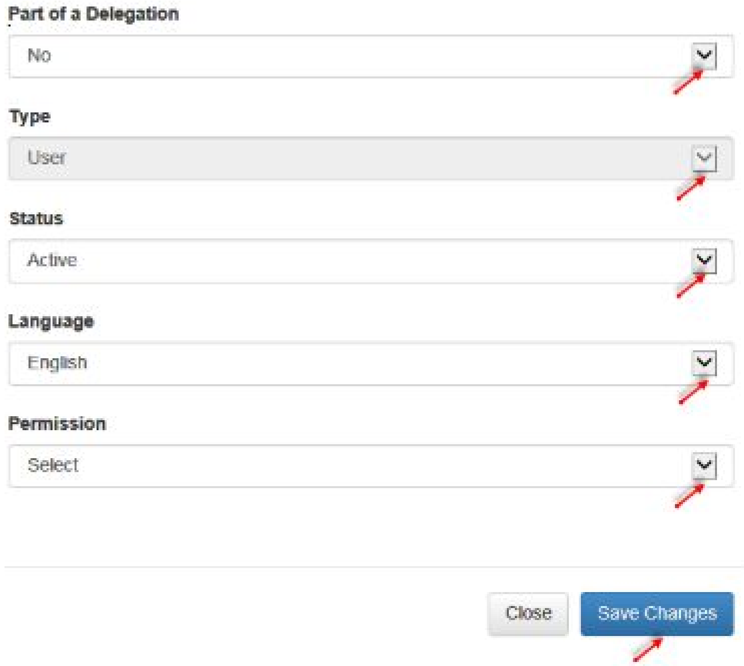
   The **New User** dialog window is displayed.



3. Enter the following information in the corresponding fields regarding the new user (all fields are mandatory unless indicated as optional):
   - Title (Mr. ,Mrs. ,Ms.)
   - First Name
   - Middle Name (Optional)
   - Last Name
   - Email Address
   - Phone Number
   - Language
4. Select **Yes** or **No** from the **Part of Delegation** drop-down list. This field is used to indicate if the user is the consequence of a LOPR delegation[2] that has been approved by the Division.

   If you select **Yes**, provide the name of the individuals' employer.
5. The **Type** field is set to **User** and cannot be modified.
6. Select **Active** from the **Status**[3] drop-down field.
7. Select an option from the **Permission** drop-down list.
   - **View Own**: users can only view their respective submission for the Participant.
   - **View All**: users can see all the submissions for the Participant.

[2] See Section 3.6 of the LOPR Regulatory Requirements Guide to obtain additional information on the delegation process.
[3] Refer to section 4.3 of this guide to obtain more information pertaining to the purpose of this field.



8. Click **Save Changes**.

   The Portal will automatically send **login credentials** to the user once you have completed the creation of the new user profile.

4.5 – EDITING OR DEACTIVATING AN EXISTING USER

You must deactivate any user that ceases to be employed by the Participant or if the delegation agreement is terminated.

1. From the Users Summary list, click  in the **Edit** column of the user you want to edit or deactivate.

   The **Edit User** window containing details about the selected user is displayed.

2. Make the needed modifications to the profile information. You can only modify the **Status**, **Language** or **Permission** fields.

3. To deactivate a user, select **Deactivate** from the drop-down list in the **Status** field.

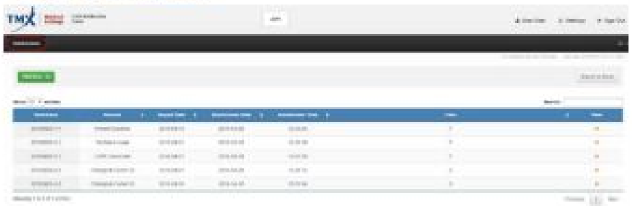
4. When all changes are done, click **Save Changes**.

5. If you want to exit without saving the changes, click **Close**.

QUICK REFERENCE GUIDE

Users

User Workspace



Login

- Go to https://lopr.m-x.ca.
- Click FR/EN to select the language (English/French).
- Complete the fields in the **Login Information** window.
- Click Sign In.
- If this is your first login, complete the **Change Password** window.

Resetting your Password

- From the workspace top section, click Settings.
- The **Change Password** dialog window is displayed.
- Enter and confirm the new password.
- Click Save Changes.

Adding a New Submission

- From the Submissions tab, click Add New [+].
- Select the reason from the **Reason** drop-down list.
- The **New Submission** dialog window is displayed
- According to the reason selected, fill the fields displayed.
- Add a checkmark ☐ Acknowledge in the warning section.
- If you have no positions to report and you are not enclosing a file, click Submit.
- If you have positions to report and you are enclosing a file, click Submit & Add Files.
- Browse to select a file to add or drop a file in the **Upload File** window and then click Submit.

Viewing a Previous Submission

- From the **Submissions** Summary list, click the view icon in the **View** column.

Administrators

Administrator Workspace

Viewing all Submissions

- After you login as an Administrator, select the Submissions tab.
- The **Submission Summary List** displays the entries submitted by all Users in your Firm.
- Click the view icon to display the **Submission Details** window.

Creating a New User

- After you login as an Administrator, select the User Administration tab.
- The **Users Summary List** is displayed.
- Click User [+].
- Fill required fields in the **New User** dialog window.
- Click Save Changes.

The Portal will automatically send **login credentials** to the user once this task is completed.

Editing/Deactivating an Existing User

- From the **Users** Summary list, click the edit icon in the **Edit** column of the user you want to edit or deactivate.
- The **Edit User** containing the details of the selected user window is displayed.
- Make the needed modifications to the profile information (**Status**, **Language**, **Permission**).
- To deactivate a user, select **Deactivate** from the drop-down list in the **Status** field.
- Click Save Changes.
- If you want to exit without saving changes, click Close.

Logout

- From the top section options, select Sign Out.