

Technical Notice

014-11

TO: Montréal Exchange (MX) Approved Participants (APs) and Foreign Approved Participants (FAPs)
FROM: Participant Connectivity Coordinator
SUBJECT: LOPR Project - **SAIL or GUI LOPR Submission Time Extension System Update**
DATE: July 5, 2011

In preparation for the Go Live date of July 25, 2011, the Montreal Exchange (MX) would like to advise you of the changes that have been made to add an extended time slot to the system.

Position and Account Submission Time Extensions Implementation

It appears that the 9:30 p.m. Eastern Time (ET) same day submission time deadline that had originally been established for filing position reports could not be met by some approved participants by reason of technological constraints. In order to address this specific concern, MX will be implementing an extended time slot functionality.

For each trading day, the submission times available will be as follows:

- Current day submission – from 8:00 a.m. to 10:00 p.m. (ET)
- Restricted time – from 10:00 p.m. to 1:00 a.m. (systems closed - no submissions will be accepted)
- Extended Time for the previous trading day submission – from 1:00am to 7:59:59am

Example: The position report for July 25, which must include all open positions as of the close of the trading session for that day may be submitted either on July 25 before 10:00 p.m. (ET) or on the next business day, July 26, between 1:00 a.m. and 8:00 a.m. Positions of July 25 submitted on July 26 at 8:05am will be ignored.

System Implementation Dates

Participants using the GUI Application will need to install the new GUI Application version 1.7.1 on the exact dates listed below and the SAIL Protocol users will need to be able to treat the new messaging on these same dates:

- Test environment – Available on July 15, 2011
- Production environment - Available on July 18, 2011

The current GUI Application version 1.3.3 will connect but will have undesired side-effects in production after July 18, 2011.

Impacts

Participants using the MX-SAIL Protocol:

- Will need to adjust the existing protocol. There are 4 messages that will be modified
 - (KB- SailPositionAcknowledgment, PD-SailPositionDelete, KF-SailPositionDeleteAcknowledgment and PU-SailPositionDelimiter).
- Participant that have entered positions in the previous session, will receive their positions when they connect to the LOPR System again. Details concerning the modifications are available in the new SAIL specifications and design guides.

Participants using the MX-GUI Application

- A new GUI is required. The old GUI is not compatible with the protocol changes. Even though the old GUI will be able to connect and will apparently work when the tests and production environments will be updated, some undesired behaviour may arise. The GUI must be updated at the exact same dates MXMF will update its test and production environments (see dates mentioned above).
- The installation process of the new GUI remains identical to the previous one. There are no components to remove before installing the new GUI. However, it is recommended to save the configuration file (.ini) since it will be overwritten by the new installation. Simply replace the new configuration file with the old one.
- Workspaces that may have been created by the users will not be overwritten.
- There are no modifications to the CSV file format. The GUI will now display three new columns ([ResponseStatus](#), [SubmissionDate](#) and [SubmissionTime](#)) in order to track the date/time the data has been submitted.

Where to get the new MX-GUI Application version 1.7.1

The new version for the GUI Application is available off our internet site. Here is a link:

http://www.m-x.ca/prm/PositionReportManager_1.7.1_Install.exe

If you have questions and need additional information on this installation please refer to the GUI Application installation guide LOPR-MR-006E MX-R GUI LOPR Installation Guide v1.1.pdf that can be found on our website: http://reg.m-x.ca/f_techdocs_en/lopr-mr-006e_mx-r_lopr_installation_guide_v12_en.pdf

If you need further assistance on the GUI or SAIL applications please contact the MX Support desk at the phone number or e-mail address provided below

Documentation Updates:

The following documents have been updated to reflect the Extended Time release – See attachment, they are also available on our website: http://reg.m-x.ca/en/lopr/tech_documents

- LOPR-MR-004E MXR LOPR CSV Record Layouts v1.4.pdf
- LOPR-MR-001E MXR LOPR SAIL Business Design Guide v1.3.pdf
- LOPR-MR-002E MXR LOPR SAIL Specifications Guide v1.4.pdf
- LOPR-MR-003E MXR Positions Reporting User Guide v1.3.pdf

The List of changes to these documents are detailed in the Document History section of each document.

Please note: MX Support Desk support hours:

- Production Environment availability hours are from 1:00 AM to 10:00 PM ET
- Business support is available from Monday to Friday, from 7:00 AM to 5:00 PM ET. This covers all types of inquiries, incidents or problems (general inquiries, connectivity issues, application issues, etc.)
- Technical support is available on a 24/7 basis and is reserved for incidents or problems (outages, connectivity issues, urgent issues, etc.).

MX Support Desk 1-877-588-8489 or email samsupport@m-x.ca

Contact Information

Please forward all questions regarding the LOPR to lopr@m-x.ca.

We thank you for your cooperation.