



# Large Open Position Reporting - LOPR Notification Portal User Guide



**V 2.1**

June 2021

# VERSION CONTROL REFERENCE

Version	Date	Status
1.0	April 2016	First version of document
2.0	March 2020	Updates to Bourse's new rule article numbers Housekeeping amendments
2.1	June 2021	Housekeeping amendments

# TYPOGRAPHIC CONVENTIONS

Convention	Meaning
Abbreviated menu commands	This document uses an abbreviated menu.  For example, "Click <b>Display &gt; Toolbars &gt; Standard</b> " means that the <b>Display</b> menu should be clicked, point <b>Toolbars</b> , and click the <b>Standard</b> entry.
<b>Boldface type</b>	<b>Boldface</b> 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.

# TABLE OF CONTENTS

<b>1 – OVERVIEW</b>	<b>4</b>
1.1 – BACKGROUND	4
1.2 – LOPR NOTIFICATION PORTAL PURPOSE	4
1.3 – SCOPE	4
1.4 – AUDIENCE	4
1.5 – RELATED DOCUMENTATION AND CONTACT INFORMATION	4
<b>2 – GETTING STARTED</b>	<b>5</b>
2.1 – BEFORE YOU START	5
2.2 – LOGGING IN	5
2.3 – NAVIGATING IN YOUR WORKSPACE	6
2.4 – VIEWING YOUR PROFILE	7
2.5 – RESETTING YOUR PASSWORD	8
2.6 – LOGGING OUT	8
<b>3 – SUBMITTING A REPORT</b>	<b>8</b>
3.1 – NAVIGATING IN YOUR SUBMISSIONS TAB	8
3.2 – ADDING A NEW SUBMISSION	9
3.3 – VIEWING A PREVIOUS SUBMISSION	13
<b>4 – LOGGING IN AS AN ADMINISTRATOR</b>	<b>13</b>
4.1 – OBTAINING AN ADMINISTRATOR’S USER PROFILE	13
4.2 – ADMINISTRATOR FUNCTIONALITIES	14
4.3 – VIEWING ALL USER SUBMISSIONS	14
4.4 – CREATING A NEW USER	14
4.5 – EDITING OR DEACTIVATING AN EXISTING USER	16
<b>QUICK REFERENCE GUIDE</b>	<b>17</b>

# 1 – OVERVIEW

## 1.1 – BACKGROUND

As described in [Article 6.500](#), Approved Participants and Foreign Approved Participants (collectively, “Participants”) of Bourse de Montréal Inc. (the “Bourse”) must submit reports of accumulated positions for Derivative Instruments (“LOPR Reports”) on a daily basis. 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 (the “Division”) of the Bourse.

## 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<sup>1</sup> 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.

## 1.4 – AUDIENCE

The intended audience includes Participants of the Bourse and their delegates.

## 1.5 – RELATED DOCUMENTATION AND CONTACT INFORMATION

For additional information concerning the LOPR regulatory requirements, Participants may refer to the [LOPR section of the Division’s website](#).

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<sup>1</sup> 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).

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 [info.mxr@tmx.com](mailto:info.mxr@tmx.com).

## 2 – GETTING STARTED

This section covers the following topics:

- Logging in
- Navigating in your workspace
- Viewing your profile
- Changing your password
- Logging out

### 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**).

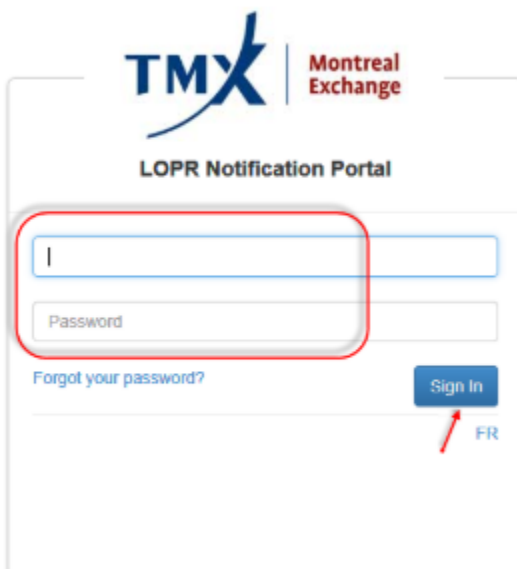
**Users** have access to manage their password, view their submissions and submit notifications.

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

### 2.2 – LOGGING IN

To access the Portal:

1. Go to <https://lopr.m-x.ca/user/login>
2. Complete the fields in the Login Information window.

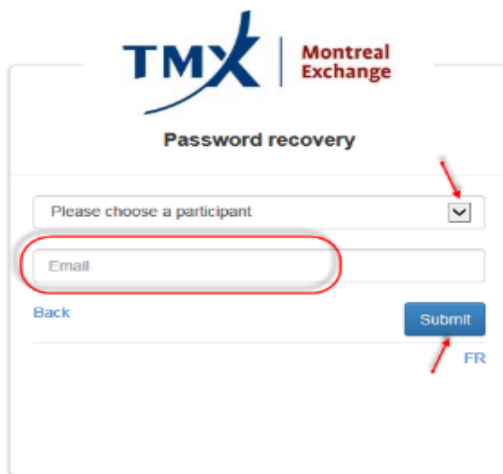


3. Click **Sign In**.

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



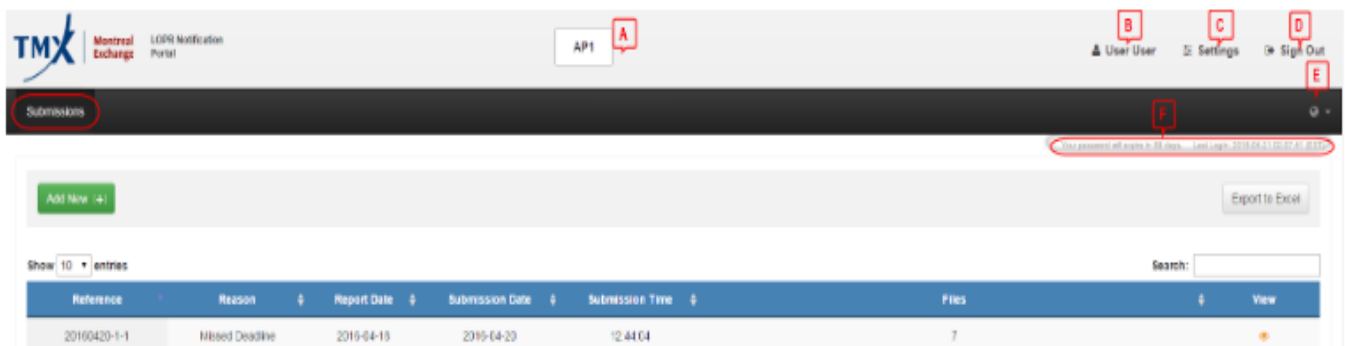
- Click **Submit**. After **three failed login attempts**, you must reset your password as follows.
- Click on **Forgot your password** button. The **Password Recovery** dialog window is displayed.



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

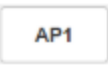
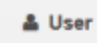
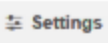
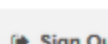

## 2.3 – NAVIGATING IN YOUR WORKSPACE

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



Reference	Reason	Report Date	Submission Date	Submission Time	Files	View
20160420-1-1	Missed Deadline	2016-04-18	2016-04-20	12:44:04	7	

The top section icons are defined in the following table.

Items		Description
A		Participant / Approved Participant
B		Logged user
C		Reset password
D		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.

User Profile

**Title**

**First Name**

**Middle Name**

**Last Name**

**Email Address**

**Type**

**Username**

**Creation Date**

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 – LOGGING OUT

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.

The screenshot displays the 'Submissions' tab in the TMX Manual Exchange LOPR Notification Portal. At the top, there is a navigation bar with the TMX logo, 'Manual Exchange LOPR Notification Portal', an 'API' button, and user options: 'User User', 'Settings', and 'Sign Out'. Below this is a dark 'Submissions' header. The main content area features a green 'Add New (+)' button, an 'Export to Excel' button, and a 'Show 10 entries' dropdown menu. A search box is located to the right of the dropdown. The table below has the following columns: Reference, Reason, Report Date, Submission Date, Submission Time, Files, and View. The table contains five rows of submission data. At the bottom, it says 'Showing 1 to 5 of 5 entries' and has 'Previous' and 'Next' navigation buttons. Red boxes labeled A, B, and C highlight the 'Show 10 entries' dropdown, the search box, and the 'Previous/Next' buttons respectively.

Reference	Reason	Report Date	Submission Date	Submission Time	Files	View
23160423-1-1	Missed Deadline	2016-04-18	2016-04-20	12:44:04	7	
23160423-2-1	Technical Issue	2016-04-01	2016-04-20	12:46:38	7	
23160423-3-1	LOPR Correction	2016-04-01	2016-04-20	12:47:55	7	
23160423-4-1	Change in Owner ID	2016-04-01	2016-04-20	12:48:16	0	
23160423-4-2	Change in Owner ID	2016-04-20	2016-04-20	16:30:04	0	

This workspace gives access to the following navigation functions:

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



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

Column	Description
Reference	Unique ID assigned to each submission
Reason	Possible values: <b>Missed Deadline, Technical Issue, LOPR Correction, Change in Owner ID</b>
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 the **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**:

The screenshot shows the 'New Submission' dialog window. At the top, there is a title bar with 'New Submission' and a close button. Below the title bar, there is a 'Reason' dropdown menu with 'Missed Deadline' selected. Below the dropdown, there is a 'Report Date' field, which is highlighted with a red box. Below the 'Report Date' field, there is an 'Explanation' field with the text '(optional if documented with files)', which is also highlighted with a red box. Below the 'Explanation' field, there is a blue box containing the text 'Note submissions may be verified for auditing purposes' and an 'Acknowledge' checkbox. At the bottom of the dialog, there are three buttons: 'Close', 'Submit', and 'Submit & Add Files'. Red arrows point to the 'Reason' dropdown, the 'Report Date' field, the 'Acknowledge' checkbox, and the 'Submit' and 'Submit & Add Files' buttons.

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

Report Date

March 2016

Su	Mo	Tu	We	Th	Fr	Sa
		1	2	3	4	5
6	7	8	9	10	11	12
13	14	15	16	17	18	19
20	21	22	23	24	25	26
27	28	29	30	31		

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.

New Submission

Reason

LOPR Correction

Report Date

Reason for Correction

Has the corrected report already been submitted?

No

Note submissions may be verified for auditing purposes

The submission of a LOPR correction should be restricted to erroneous or incomplete LOPR account records and/or position records. Position transfers or position adjustments occurring after reporting deadlines (i.e. trade breaks, allocation errors, reconciliations, outrades) do not require the participant to submit a LOPR correction.

Acknowledge

Close Submit & Add Files

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**.

Upload File

You can drag and drop your files here or click Browse for upload. Only the following files format are accepted: Excel formats (xls, xlt, xla, xlsx, csv), Word formats (doc, docx), Text formats (txt, rtf), Image formats (jpg/jpeg, png, bmp, tiff), PDF formats (pdf).

DROP FILES OR BROWSE

BROWSE

Test.txt  
0.00 KB

Cancel Submit

The **Confirmation** window is displayed

Confirmation

Reference  
20160420-4-2

Reason  
Change in Owner ID

Participant  
AP1

Submitted By  
Approved Participant

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


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


The image shows a web form titled "New Submission" with a close icon in the top right corner. The form contains the following elements:

- Reason:** A dropdown menu with "Change in Owner ID" selected and circled in red.
- Original Owner ID:** A text input field, circled in red.
- New Owner ID:** A text input field, circled in red.
- As of Date:** A text input field, circled in red.
- Warning Section:** A light blue box containing the text "Note submissions may be verified for auditing purposes" and an unchecked checkbox labeled "Acknowledge". A red arrow points to the checkbox.
- Buttons:** "Close" and "Submit" buttons at the bottom right. A red arrow points to the "Submit" button.

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**:

**Submission Details** 

**Reference**  
20160420-1-1

**Reason**  
Missed Deadline

**Participant**  
AP1

**Submitted By**  
Approved Participant

**Delegation**  
No

**Report Date**  
2016-04-18

**Submission Date**  
2016-04-20

**Submission Time**  
12:44:04

**Explanation**  
Soumission tardive

**Files**  
[LOPR report excel.csv](#)  
[LOPR report excel.txt](#)  
[LOPR report excel.jpg.xlsx](#)

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

## 4 – LOGGING IN 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 Participant. The Chief Compliance Officer (CCO) of the Participant will be attributed this profile by default.

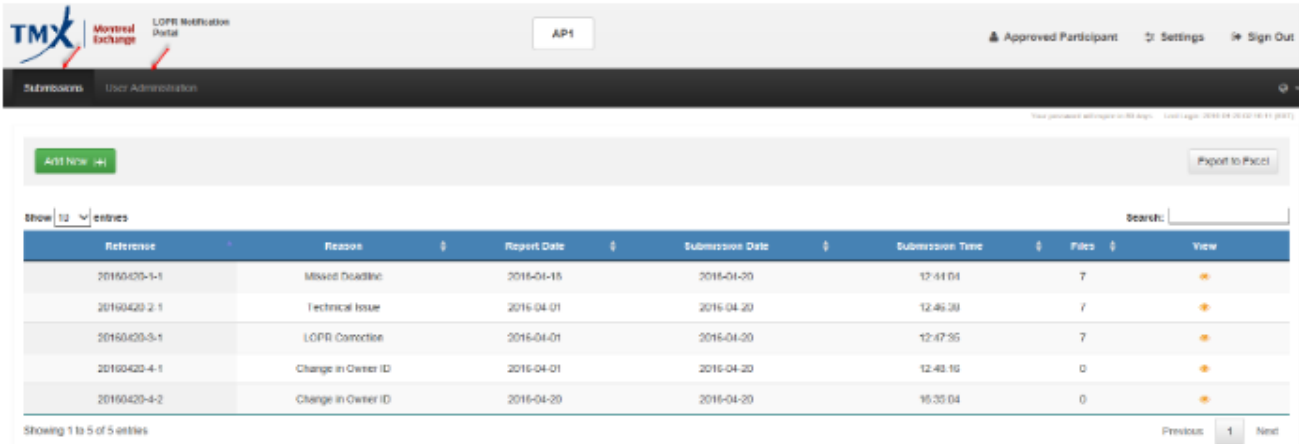
**Note:** The Portal automatically transmits the login credentials to the CCO's e-mail address upon the creation of the Administrator account. The CCO can delegate his/her **Administrator** credentials.

## 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.



The screenshot shows the TMX LOPR Notification Portal interface. At the top, there is a navigation bar with the TMX logo, 'Approved Participant', 'Settings', and 'Sign Out' buttons. Below the navigation bar, there is a header area with 'Add New' and 'Export to Excel' buttons. The main content area displays a table of submissions with the following columns: Reference, Reason, Report Date, Submission Date, Submission Time, Files, and View. The table contains five rows of data. Below the table, there is a pagination control showing 'Showing 1 to 5 of 5 entries' and 'Previous 1 Next' buttons.

Reference	Reason	Report Date	Submission Date	Submission Time	Files	View
20160420-1-1	Missed Deadline	2016-04-15	2016-04-20	12:51:04	7	
20160420-2-1	Technical Issue	2016-04-01	2016-04-20	12:46:38	7	
20160420-3-1	LOPR Correction	2016-04-01	2016-04-20	12:47:35	7	
20160420-4-1	Change in Owner ID	2016-04-01	2016-04-20	12:48:16	0	
20160420-4-2	Change in Owner ID	2016-04-20	2016-04-20	16:35:04	0	

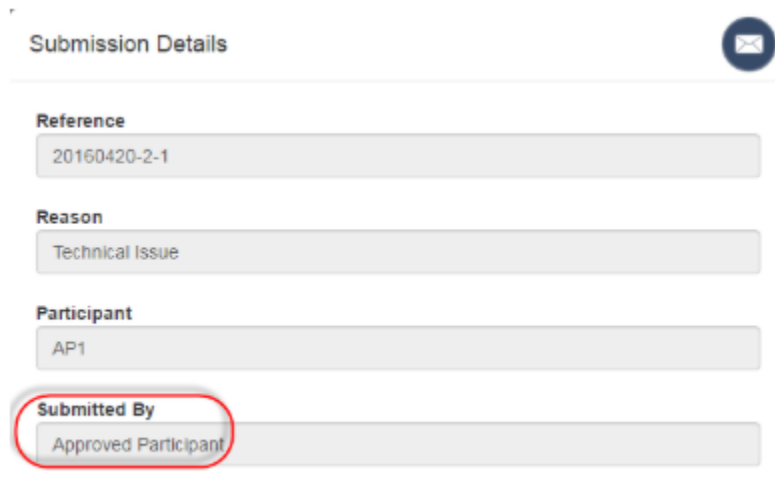
## 4.3 – VIEWING ALL USER SUBMISSIONS

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 the **Submitted By** field.



The screenshot shows the 'Submission Details' window. It contains the following fields:

- Reference:** 20160420-2-1
- Reason:** Technical Issue
- Participant:** AP1
- Submitted By:** Approved Participant (This field is circled in red in the original image)

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.

New User

Title  
Select

First Name

Middle Name (optional)

Last Name

Email Address


Phone Number  
+1 204-234-5678 Ext

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<sup>2</sup> 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**<sup>3</sup> 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.


<sup>2</sup> See section 3.6 of the LOPR Regulatory Requirements Guide to obtain additional information on the delegation process.

<sup>3</sup> Refer to section 4.3 of this guide to obtain more information pertaining to the purpose of this field.


**Part of a Delegation**

No 


**Type**

User 


**Status**

Active 

**Language**

English 

**Permission**

Select 


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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.**

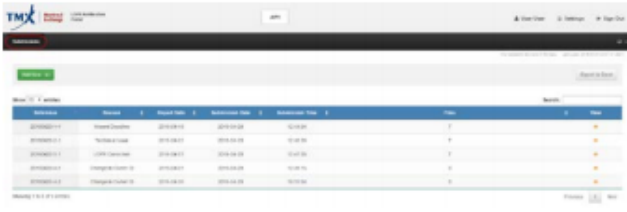




1. From the Users Summary list, click  in the **Edit** column of the user you want to edit or deactivate.

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	Administrators
<h3>User Workspace</h3> 	<h3>Administrator Workspace</h3> 
<h3>Login</h3> <ul style="list-style-type: none"> <li>Go to <a href="https://lopr.m-x.ca">https://lopr.m-x.ca</a>.</li> <li>Click <b>FR/EN</b> to select the language (English/French).</li> <li>Complete the fields in the <b>Login Information</b> window.</li> <li>Click <b>Sign In</b>.</li> <li>If this is your first login, complete the <b>Change Password</b> window.</li> </ul>	<h3>Viewing all Submissions</h3> <ul style="list-style-type: none"> <li>After you login as an Administrator, select the <b>Submissions</b> tab.</li> <li>The <b>Submission Summary List</b> displays the entries submitted by all Users in your Firm.</li> <li>Click  to display the <b>Submission Details</b> window.</li> </ul>
<h3>Resetting your Password</h3> <ul style="list-style-type: none"> <li>From the workspace top section, click <b>Settings</b>.</li> <li>The <b>Change Password</b> dialog window is displayed.</li> <li>Enter and confirm the new password.</li> <li>Click <b>Save Changes</b>.</li> </ul>	<h3>Creating a New User</h3> <ul style="list-style-type: none"> <li>After you login as an Administrator, select the <b>User Administration</b> tab.</li> <li>The <b>Users Summary List</b> is displayed.</li> <li>Click <b>User (+)</b>.</li> <li>Fill required fields in the <b>New User</b> dialog window.</li> <li>Click <b>Save Changes</b>.</li> </ul> <p>The Portal will automatically send <b>login credentials</b> to the user once this task is completed.</p>
<h3>Adding a New Submission</h3> <ul style="list-style-type: none"> <li>From the <b>Submissions</b> tab, click <b>Add New (+)</b>.</li> <li>Select the reason from the <b>Reason</b> drop-down list.</li> <li>The <b>New Submission</b> dialog window is displayed.</li> <li>According to the reason selected, fill the fields displayed.</li> <li>Add a checkmark <input type="checkbox"/> <b>Acknowledge</b> in the warning section.</li> <li>If you have no positions to report and you are not enclosing a file, click <b>Submit</b>.</li> <li>If you have positions to report and you are enclosing a file, click <b>Submit &amp; Add Files</b>.</li> <li>Browse to select a file to add or drop a file in the <b>Upload File</b> window and then click <b>Submit</b>.</li> </ul>	<h3>Editing/Deactivating an Existing User</h3> <ul style="list-style-type: none"> <li>From the <b>Users</b> Summary list, click  in the <b>Edit</b> column of the user you want to edit or deactivate.</li> <li>The <b>Edit User</b> containing the details of the selected user window is displayed.</li> <li>Make the needed modifications to the profile information (<b>Status</b>, <b>Language</b>, <b>Permission</b>).</li> <li>To deactivate a user, select <b>Deactivate</b> from the drop-down list in the <b>Status</b> field.</li> <li>Click <b>Save Changes</b>.</li> <li>If you want to exit without saving changes, click <b>Close</b>.</li> </ul>
<h3>Viewing a Previous Submission</h3> <ul style="list-style-type: none"> <li>From the <b>Submissions</b> Summary list, click  in the <b>View</b> column.</li> </ul>	<h3>Logout</h3> <ul style="list-style-type: none"> <li>From the top section options, select <b>Sign Out</b>.</li> </ul>