

PERSONAL INFORMATION FORM

This personal information form ("PIF") is to be completed by individuals who transmit personal information to the Regulatory Division (the "Division") of Bourse de Montréal Inc. (the "Bourse") or to the Bourse through the submission the following forms or whenever otherwise required by the Bourse or the Division in the course of their respective activities:

- (i) Form – Application as MX Approved Person (for Canadian approved participants);
- (ii) Form – Application as MX Approved Person (for Foreign approved participants); and
- (iii) MX-ID Form – Trader ID Request (when submitted by an individual who transmits his/her own personal information to the Division);

(Hereinafter the "Collection Forms")

Please note that individuals shall only complete one PIF when submitting multiple Collection Forms to the Division. For example, a trader simultaneously submitting both a *MX-ID Form – Trader ID Request* and an *Application as MX Approved Person* for a Canadian approved participant must only file one single PIF. A PIF must be completed and re-submitted when submitting a new Collection Form if no PIF was submitted over a one (1) year period since the last submission of a Collection Form.

Please provide the following information:

Individual's Name (Print characters)
Name of the approved participant
Role within the approved participant
Citizenship
Country or territory of residency
Email address (Please provide an email address that the Bourse or the Division may use to contact you regarding this personal information form. This email address may be used to exchange personal information relating to you. Due to the fast evolution of technologies, the Bourse and the Division cannot provide assurance that the information that you share will remain free from loss, interception, misuse or alteration by third parties and neither the Division, the Bourse nor their service providers shall have any liability for any loss, interception, misuse or alteration.)

DECLARATION

I, _____ hereby declare that:
(Name of Individual in print characters)

- (a) The information contained in this Personal Information Form, in the Collection Forms, as the case may be, and in any other document provided to the Division or the Bourse are authentic, true and correct;
- (b) **I have read, understand, and agree to the terms of the Personal Information Collection Policy of the Bourse attached hereto as Exhibit 1 (the “Personal Information Collection Policy”);**
- (d) **I consent to the collection, use, disclosure of my personal information, and any further information collected, used and disclosed, as set out in the Personal Information Collection Policy;**
- (e) I hereby agree to (i) be bound by and comply with all applicable rules, policies, regulations, directions, decisions, orders and rulings of each of the Bourse and the Division (collectively, the “Bourse requirements”), and (ii) to submit to the jurisdiction of each of the Bourse and the Division (and any successor or assignee of any of them, and wherever applicable, the directors, officers and committees thereof) to the extent that I am already or applying to become an approved person in accordance with the Bourse requirements;
- (f) I agree that the Bourse and the Division may, in accordance with the Bourse requirements, revoke, terminate, or suspend at any time the acceptances, approvals or any other rights that were previously granted to me;
- (g) This Personal Information Form and the rights and powers of the Bourse and the Division shall be governed by the laws of the Province of Quebec and the laws of Canada applicable therein, without regard to conflict of law principles; and
- (h) I acknowledge and agree that this declaration may be assigned or transferred by the Bourse and/or the Division to a third party without providing me with notice or obtaining my consent and that this Declaration shall thereafter continue to be binding on me and may be enforced against me by any such assignee or transferee. I understand that I am prohibited from transferring or assigning this declaration or any acceptance, approval or other right granted by the Bourse and/or the Division;

Signature of Person Completing this Form

Date:

Signed in:

EXHIBIT 1 PERSONAL INFORMATION COLLECTION POLICY

Collection, Use and Disclosure

Bourse de Montréal Inc. and its Regulatory Division (collectively, the “Bourse”), in the course of their regulatory activities, collect information about you which may be of personal, confidential, non-public, criminal or other similar nature (hereinafter, the “Personal Information”). This Personal Information may be shared through the personal information form or any other form used by the Bourse for approval or identification purposes, as well as through any other form of communication with the Bourse. The Bourse may use or disclose this Personal Information for the following purposes:

- to conduct background checks and verifications;
- to control and verify the accuracy of the Personal Information provided;
- to confirm the integrity, ethical conduct and competency to act as an officer, director, trader, services provider, liaison agent, employee, client or consultant for a Canadian or foreign approved participant;
- to consider the eligibility of an entity to be a Canadian or foreign approved participant,
- to detect and prevent fraud, market manipulation and misconduct,
- to conduct market analysis, investigations, inspections or enforcement proceedings to ensure compliance with exchange rules, policies, procedures, legislation, regulation, directives, decisions or orders; and
- to conduct any other examination, control, evaluation, analysis or verification required as part of the Bourse’s regulatory activities.

As part of its activities, the Bourse may also collect Personal Information from other sources, including but not limited to, securities regulatory authorities, self-regulatory entities, foreign exchanges, investigation bodies, courts, government agencies affected to ensure regulatory and legal compliance, and regulation services providers (collectively the “Entities”), or publicly available sources, including websites and social media platforms. The Bourse reserves the right to disclose certain Personal Information it collects in the course of its regulatory activities to the Entities or as otherwise permitted or required by law. The Entities may use such Personal Information for the purposes described above.

Your Personal Information may be transferred (or otherwise made available) to the Bourse’s affiliates and other third parties who provide services to the Bourse. For example, the Bourse uses service providers to help process, store and secure data. This may include sending email or other communications using their online services. These service providers are given the information they need to perform their designated functions, and are not authorized to use or disclose Personal Information for their own purposes. Your Personal Information may be maintained and processed by the Bourse, its affiliates and other third party service providers located in Canada or in other jurisdictions. In the event Personal Information is transferred to another jurisdiction, it will be subject to the laws of that jurisdiction and may be disclosed to or accessed by the courts, law enforcement and governmental authorities in accordance with those laws.

Failure to Consent

With your consent, Personal Information is collected by the Bourse and kept for as long as required for the purposes identified above. You may withdraw your consent at any time. If you do not consent to this Personal Information Collection Policy, or subsequently withdraw your consent, the Bourse may (i) refuse to allow you to act as an officer, director, trader, services provider, liaison agent, employee, client or consultant for a Canadian or foreign approved participant, (ii) refuse to allow an entity to become a Canadian or foreign approved participant of the Bourse, amongst other consequences.

Security

The Personal Information that is retained by the Bourse is kept in a secure environment. Only those employees of the Bourse or its service providers who require access to your Personal Information in order to accomplish the purposes and/or services identified above will be authorized to access your Personal Information. Employees of the Bourse or its service providers who have access to your Personal Information are obligated to keep it confidential.

Accuracy

Personal Information about you maintained by the Bourse that is identified by you as inaccurate or obsolete will be replaced or removed, as applicable.

Questions

If you have any questions about the privacy principles outlined above or our policies and practices, please send a written request to: Chief Privacy Officer, TMX Group, 300 - 100, Adelaide St. W., Toronto (Ontario) M5H 1S3, Canada, or by e-mail to privacyofficer@tmx.com.