



MX-R CONNECT USER GUIDE

REGULATORY DIVISION
BOURSE DE MONTRÉAL INC.

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Introduction

Welcome to the MX-R Connect User Guide intended for portal users of the Bourse de Montréal Inc. This tool will help you familiarize yourself with the portal navigation by providing you with walkthroughs of the main functions.

Overview

Background

MX-R Connect is a secure application allowing your firm to submit and update regulatory information, access application forms, and view regulatory registrations on demand.

Definitions

Approved Participant means an approved participant of the Bourse, whose name is duly recorded as such on the register referred to in article 3.1 (Formerly 3010) of the Rules of the Bourse and who has been approved by the Bourse pursuant to its Rules for the purpose of trading products listed on the Bourse.

Approved Person means the employee of an approved participant or the employee of an affiliated corporation or subsidiary of an approved participant that has been duly approved by the Bourse in accordance with article 3.400 (Formerly 7403).

Getting Started

This section presents all information that you need to enable your account.

Account Enabling

If you are not a member of the portal, your participant portal administrator can create an account for you. To enable it, you have to follow the steps below.

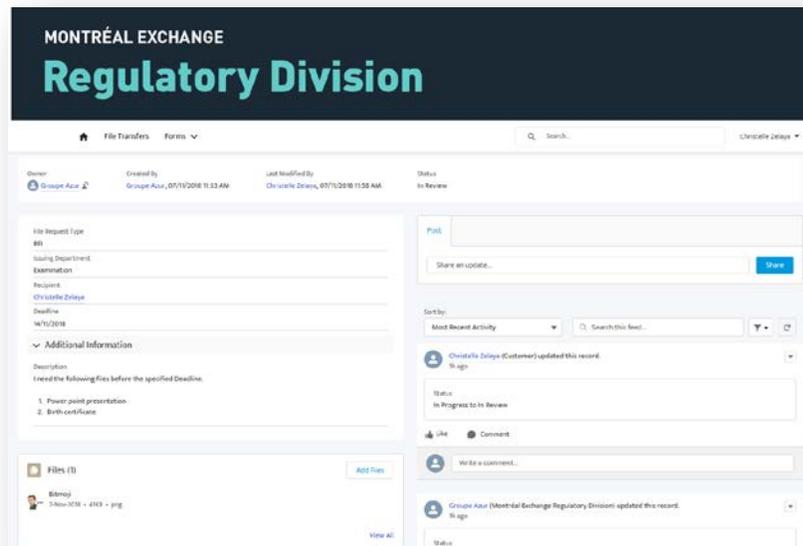
1. Once your administrator has created your account, you will receive an email welcoming you to MX-R Connect. You will have to click on the link and read the agreement. To continue, you have to select the “I accept” checkbox.
2. You will then be asked to create a password. Choose a unique and secure password, containing at least 8 characters, with a minimum of 1 letter and 1 number.

File Transfer Request

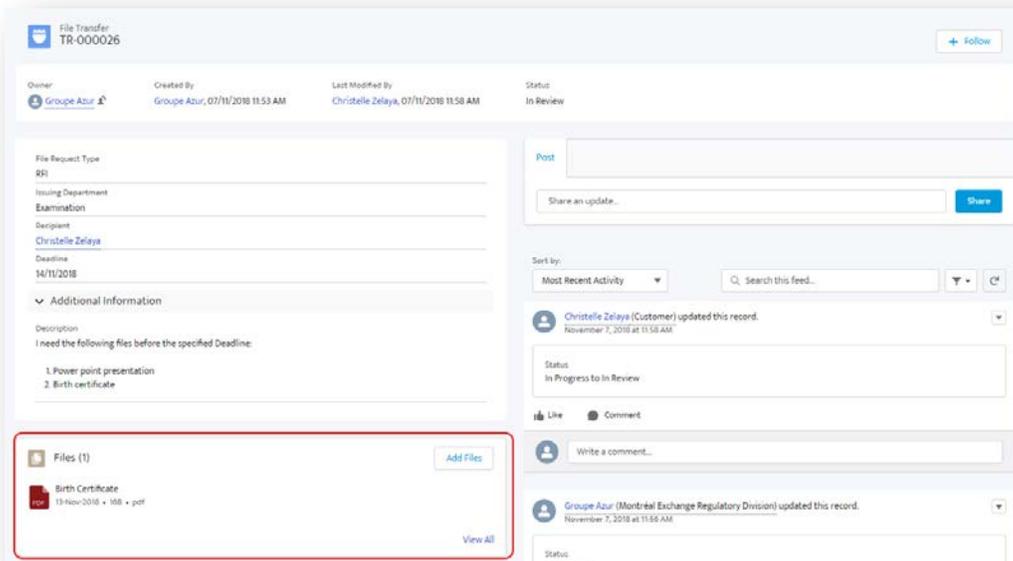
The file transfer functionality provides a solution to securely exchange inbound and outbound files with the Division.

To View a File Transfer When Receiving an Email Request

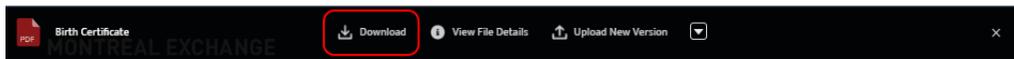
1. When you are required to provide or to retrieve files by the Division, you will receive an email notifying you of the requested action.
2. You will be redirected to a page similar to the one below. A description of the action required (files needed or reason explaining why files are shared) is detailed in the “Description” section, under “Additional Information.”



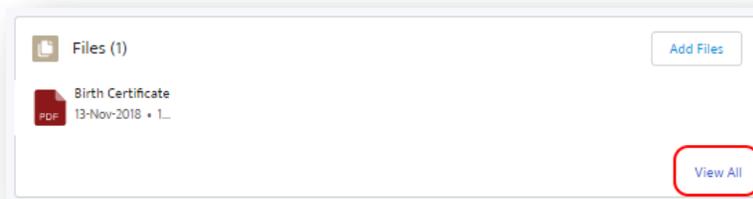
3. You can chat with the Division representative who sent you the file transfer request in case you or the representative have questions. Refer to the [“Chatter”](#) section for more information.
4. If the file transfer request was sent to you to retrieve files, you will see the files sent to you in the “Files” section.

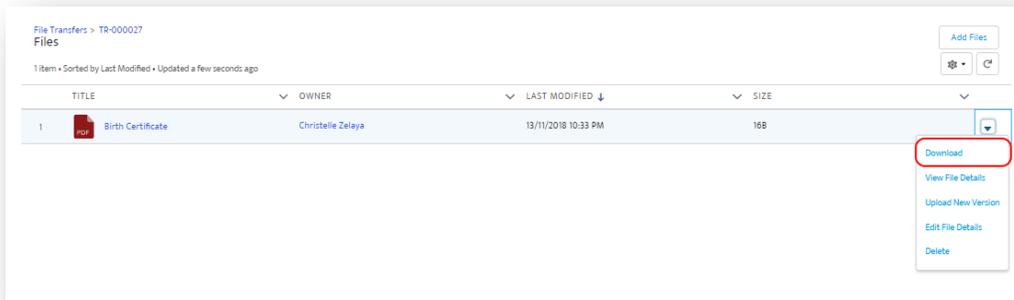


- You can consult the file directly by clicking on the file. Once the preview is open, you can download the file by using the “Download” button.



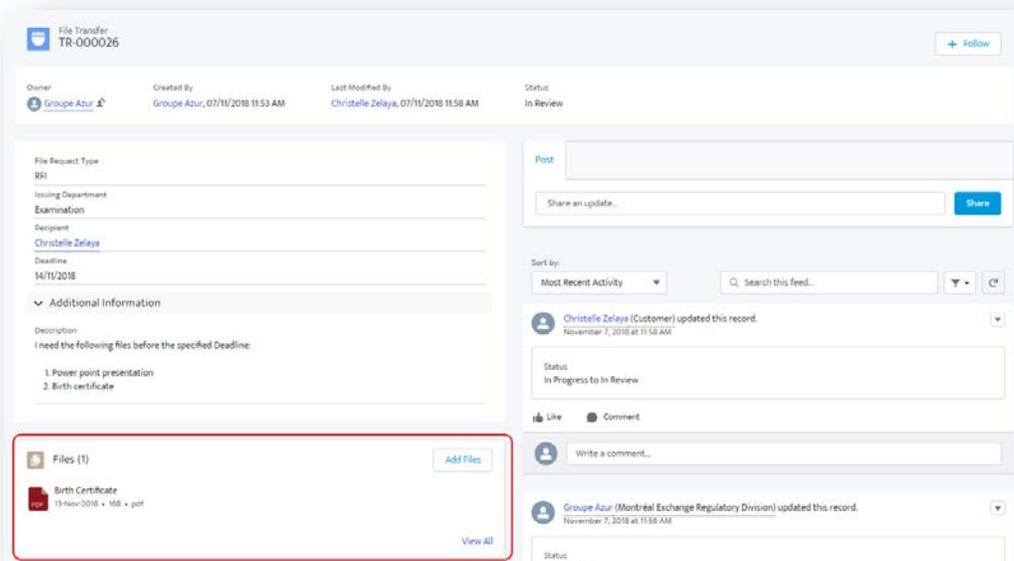
- You can also download the file directly by accessing the file list using the “View All” file link and after clicking on the down arrow next to the file using the “Download Option.”



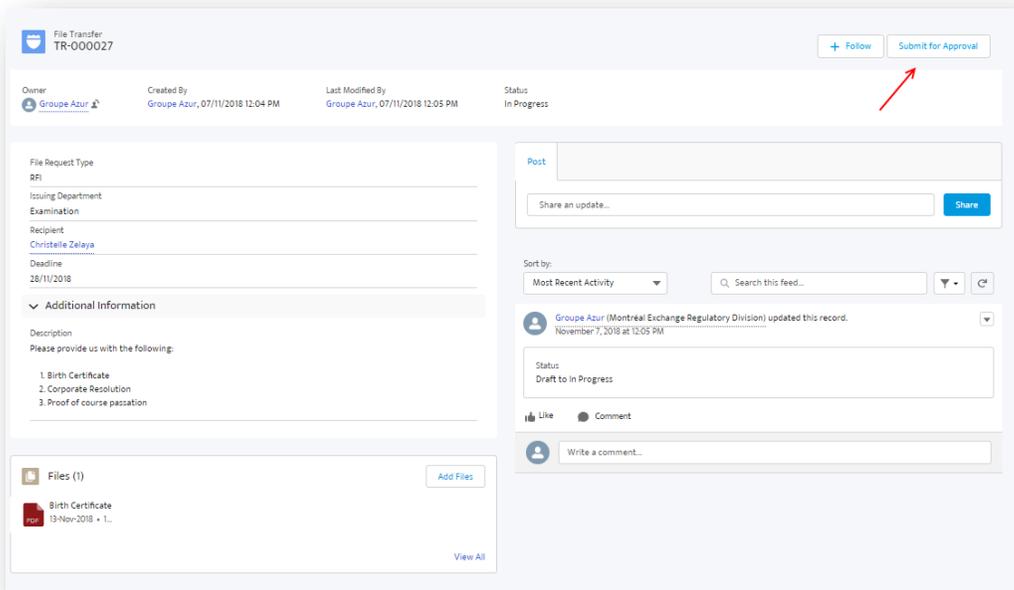


*The following steps are to be followed only if you are asked to provide files.

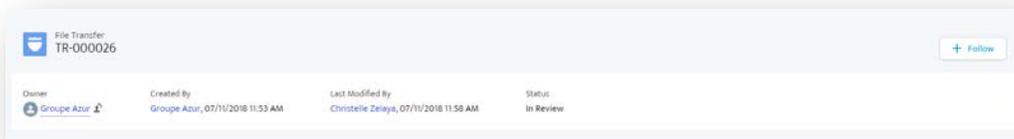
5. If you are asked to provide files, you can add them under the “Files” section by clicking on the “Upload Files” or “Add Files” button or by dragging and dropping the files in the section.
 - 10 files can be uploaded at the same time, if more then 10 files need to be uploaded select 10 files at a time.
 - The maximum file size is 2 GB.



6. To notify the Division representative that you have completed the upload of the requested files, you have to click on the “Submit for Approval” button, at the top right corner. You can add comments before clicking on the “Submit” button.



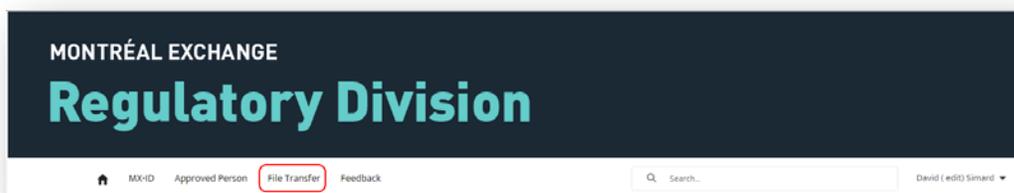
7. A notification will appear to inform you that the Division representative has been informed of the submission. You will also be able to see the progress of the request under “Status.”



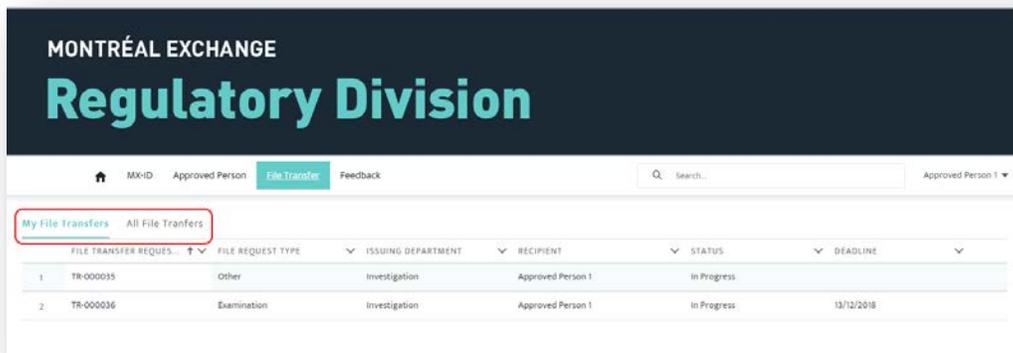
To View a File Transfer When You Log in the MX-R Connect Page

If you did not finish processing a transfer, you can always come back later to finish your task. You are able to perform an action related to a transfer in the MX-R Connect Page from the “Home” page.

1. Click on the “File Transfer” menu on at the top left of the page.



- To view all your file transfer requests, you have to select tab “My File Transfers”. To view all file transfer related to your company click on Tab “All File Transfers.”



Approved Person Form

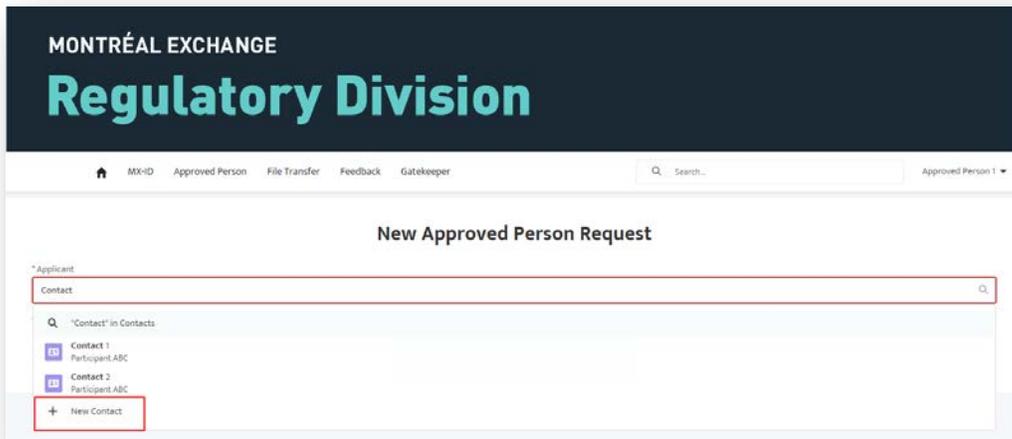
An approved person request form handle the request for new approved person.

Standard Navigation

To create a new approved person request, click on “Approved Person” menu and select “New Approved Person”.



You will have to select the related person for which the request will be made. Enter the name of the person for which the request is made, if no result are listed in the search bar select the “New Contact” option to create the contact for which the request will be made.



Once the Request Is Created

In order to submit a new Approved Person request, you need to review and fill asked information on each of the tabs. Please note that all the fields followed by an asterisk are required.

The “Previous” and “Next” buttons allow you to navigate from one tab to another. You can also navigate through tabs by clicking on the tab you wish to consult.

If you started filling the questionnaire and wish to finish it later, you can save the form by using the “Save” button.

Once all tabs are filled with needed information, you can submit your request by clicking the “Submit” button on the bottom right section of the page. If there is missing or incorrect information, you will see an error message.

Status Information

The top section of the form provides information about the status of your request:

- **Open:** The request has not been submitted to the Division.
- **Pending Review:** The request has been submitted to the Division. If the Division has any question regarding your request, they will contact you by using Chatter (refer to the [“Chatter”](#) section for more information).
- **Pending DocuSign:** The request has been validated. An electronic signature request has been sent.
- **Awaiting Signature:** The electronic signature request has been sent by DocuSign (refer to [“DocuSign”](#) section for more information). The signature of all requested signatories is pending.
- **Pending Decision:** All requested signatures have been received. The Division is reviewing the signatures.
- **Approved:** The request has been approved. The new Approved Person is now active.

- **Rejected:** The request has been rejected.

Approved Person Service Request

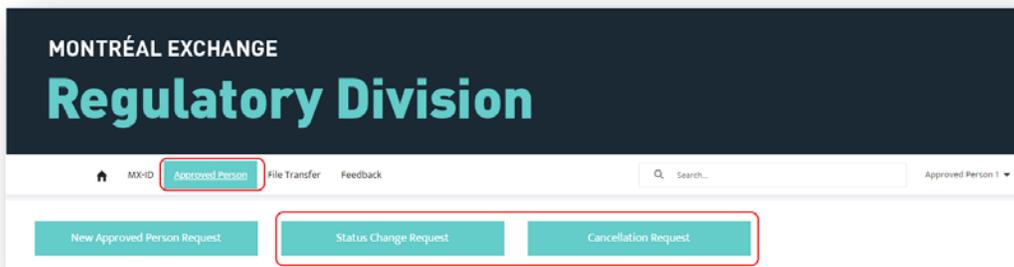
An Approved Person Service Request handles available requests related to an approved person. The available types of requests are Cancellation and Status Change.

- **Cancellation:**
 - When there is a termination of employment for an approved person, the approved participant must notify the Division.
 - When you wish to revoke rights for an approved person that is still being employed by the approved participant.
- **Status change:** The Division must be notified when an approved person wishes that their status be no longer effective despite being still employed by the approved participant.

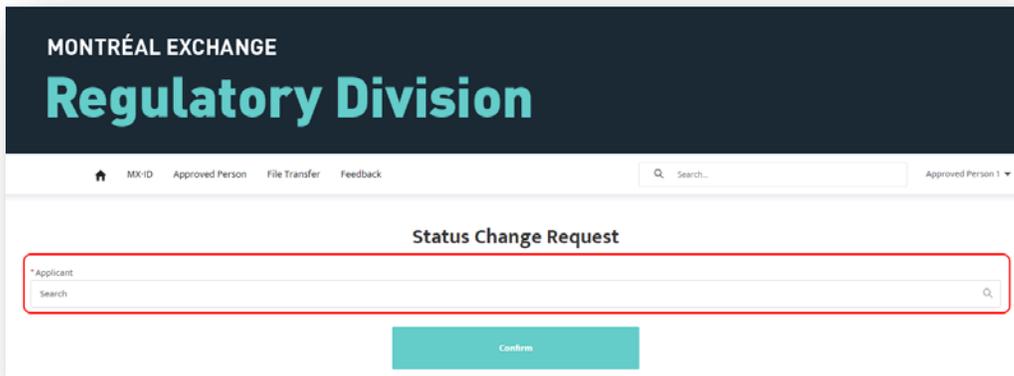
Standard Navigation

To create a new Approved Person service request, you have two options:

1. Click on “Approved Person” menu and select the option related to your request type: “Cancellation” or “Status change.”



Once you made your choice, you will have to select the approved person for which the request will be made. Enter the name of the approved person in the search bar and select the person. Once the selection is completed, click on the “Save” button.



2. From the “Approved Contact” record, you can use the “Service Request” button.

Once the request is created

In order to submit an Approved Person Service Request, you need to review and fill the asked information. Please note that all the fields followed by an asterisk are required.

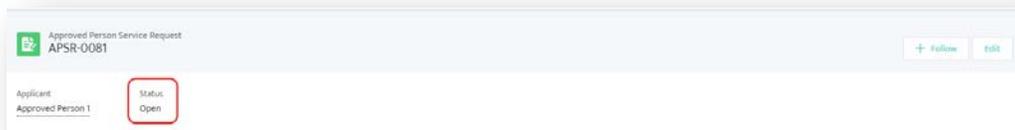
If you started filling the questionnaire and wish to finish it later, you can save the form by using the “Save” button.

Once you answered, you can submit your request by clicking on the “Save & Submit” button. If there is missing or incorrect information, you will see an error message.

The image shows a section of the form titled "Information Changes". It contains the following text: "The following areas were previously addressed in the original approved person application:". Below this are two columns of bullet points. The first column lists: "Change of name", "Civil proceedings", "Prior registration or licensing", "Bankruptcy", and "Refusal, suspension cancellation". The second column lists: "Offences under the law", "Business activities", "Self-regulatory organizations", "Surety bonds or fidelity bond", and "Judgement or garnishment or disciplinary measures". Below the bullet points is a question: "Have there been any changes in the above listed information for the registration/approval previously filed to the Regulatory Division?" with "Yes" and "No" radio buttons. Below the question is a text input field with the label "if 'yes', please specify:". Below the input field is a section titled "Signatures" with the instruction "Please Provide". There are three input fields: "First Name of the Designated Representative", "Last Name of the Designated Representative", and "Email of the Designated Representative". At the bottom right of the form are two buttons: "Save" and "Save & Submit".

Status Information

The top section of the form provides information about the status your request:



The statuses below are related to the three types of requests.

- **Open:** The request has not been submitted to the Division.
- **Pending Review:** The request has been submitted to the Division. If the Division has any question regarding your request, they will contact you by using Chatter (refer to the [“Chatter”](#) section for more information).
- **Pending DocuSign:** The request has been validated. An electronic signature request has been sent.
- **Awaiting Signature:** The electronic signature request has been sent by DocuSign (refer to [“DocuSign”](#) section for more information). The signature of all requested signatories is pending.
- **Pending Decision:** All requested signatures have been received. The Division is reviewing the signatures.
- **Completed:** The request has been completed. The approved person’s rights will be revoked at the provided date of termination.
- **Approved:** The request has been approved. The approved person’s status has been changed.
- **Rejected:** The request has been rejected.

MX-ID Request

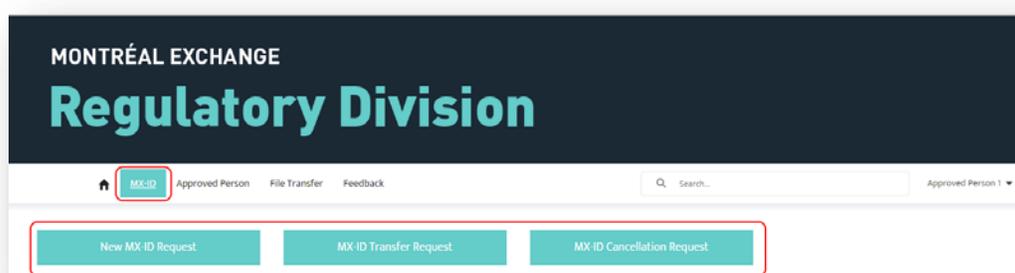
An MX-ID Request handles available requests related to an MX-ID. The available types of requests are

- **New:** For any request to access the trading system of the Bourse.

- **Transfer:** In order to change the ownership of an MX-ID.
- **Cancellation:** In order to cancel a MX-ID.

Standard Navigation

To create a new MX-ID request, click on “MX-ID” menu and select the MX-ID request type: “New MX-ID Request,” “MX-ID Transfer Request” or “MX-ID Cancellation Request.”



Once the request is created

In order to submit an MX-ID Request, you need to review and fill the asked information. Please note that all the fields followed by an asterisk are required.

If you started filling the questionnaire and wish to finish it later, you can save the form by using the “Save” button.

Once you answered, you can submit your request by clicking on the “Save & Submit” button. If there is missing or incorrect information, you will see an error message.

Signatures

Please provide the name and email of the Designated Person which will sign the MX-ID request

First Name of the Designated Representative Last Name of the Designated Representative Email of the Designated Representative

If the Designated Representative of the Approved Participant as provided in article 3501 of the Rules of the Bourse is not the signing representative of the Application form, a corporate resolution or relevant extract of corporate resolution duly authorizing a representative to sign on behalf of the Approved Participant.

Please provide the name and email of the other participant Designated Person which will sign the MX-ID request

First Name of the Designated Representative Last Name of the Designated Representative Email of the Designated Representative

If the Designated Representative of the Approved Participant as provided in article 3501 of the Rules of the Bourse is not the signing representative of the Application form, a corporate resolution or relevant extract of corporate resolution duly authorizing a representative to sign on behalf of the Approved Participant.

Status Information

The top section of the form provides information about the status of your request:

MX-ID Service Request
MXIDSR-0148

+ Follow Share Edit

MX-ID Status
 Open

The statuses below are related to the three types of requests.

- **Open:** The request has not been submitted to the Division.
- **Pending Review:** The request has been submitted to the Division. If the Division has any question regarding your request, they will contact you by using Chatter (refer to the [“Chatter”](#) section for more information).
- **Pending DocuSign:** The request has been validated. An electronic signature request has been sent.
- **Awaiting Signature:** The electronic signature request has been sent by DocuSign (refer to [“DocuSign”](#) section for more information). The signature of all requested signatories is pending.
- **Pending Decision:** All requested signatures have been received. The Division is reviewing the signatures.
- **Completed:** The request has been completed.
- **Rejected:** The request has been rejected.

Managing Account / Contact Information

You can manage your account information from any page of the environment. Click on your name, at the right of any page, and select “My Account.”

The screenshot displays the Montréal Exchange Regulatory Division user interface. At the top, the header reads "MONTRÉAL EXCHANGE Regulatory Division". Below the header, there is a navigation bar with links for "MX-ID", "Approved Person", "File Transfer", and "Feedback". A search bar is located on the right side of the navigation bar. The main content area is divided into three tabs: "MX-ID Request", "Approved Person Request", and "File Transfer". The "MX-ID Request" tab is active, showing a table of requests. The table has columns for "REQUES...", "APPLICANT", "STATUS", "CREATED BY", "CREATED DATE", and "LAST MODIFIED...". A single row is visible with the following data: "1", "MXIDSR-0149", "Approved Person 1", "Pending Review", "Approved Person 1", "09/12/2018 10:48 AM", and "09/12/2018 10:49 AM". To the right of the table, there is a "sort by:" dropdown menu set to "Most Recent Activity" and a search bar labeled "Search this". A sidebar menu on the right side of the page contains the following items: "Home", "My Profile", "My Settings", "My Account" (highlighted with a red border), and "Logout". At the bottom of the page, there is a graphic of a mountain range and the text "Follow the leaders! Start following colleagues, groups, and records to get updates right here."

Tab – Details

The information found on this section is the information related to your firm, if information shown is incorrect please contact the Division

The screenshot shows the 'Details' tab for a firm named 'Participant ABC'. The page header includes the Montréal Exchange logo and 'Regulatory Division'. A navigation bar contains links for 'MX-ID', 'Approved Person', 'File Transfer', 'Feedback', and 'Gatekeeper', along with a search bar and a 'Recover Person' dropdown. The main content area is divided into two sections: 'DETAILS' and 'RELATED'. The 'DETAILS' section contains a table of firm information:

Firm Participant ABC	
BDM No	Website
123	
DETAILS	
Firm Name	CEO
Participant ABC	Contact 1
Parent Firm	CCD
Website	Primary Contact
MX Incentive Program	Correspondence Language
Not Applicable	English
BDM No	Country
123	
Additional BDM No	Last update
	08/12/2018
BDM No additional information	

To the right of the details is a 'Post' section with a text input field, a 'Share an update...' button, and a 'Share' button. Below this is a search bar for the feed and a decorative illustration of a mountain range with a sun.

Tab - Related

Select the "Related" tab. If you wish to add / edit an address or a contact, click on the "New" button.

Addresses (1)		New
STREET	CITY	
1190 Avenue des Canadiens-de-Montréal	Montreal	
View All		

Contacts (4)				New
CONTACT NAME	TITLE	EMAIL	PHONE	
Approved Person 1		aperson1@participantabc.com		
Approved Person 2		aperson2@participantabc.com		
Contact 1		contact1@participantabc.com		
Contact 2		contact2@participantabc.com		
View All				

If you wish to edit an existing address or contact, click on the existing entry to edit. On the new page, click on the “Edit” button at the right.

Contact
Mr. Approved Person 1

Title: Director | Email: aperson1@participantabc.com | Is Active:

DETAILS | RELATED

Name: Mr. Approved Person 1	Title: Director
Alternate Name:	Birth Date:
Firm Name: Participant ABC	Correspondence Language: English
Affiliate Participant:	Regulatory Actions:
Is Approved: <input checked="" type="checkbox"/>	Email: aperson1@participantabc.com
Contact Type:	
Gender:	

Additional Information

Citizenship: Canada	Work Address:
Country or territory of residency: Canada	Work Phone:
Birth Country: Canada	Residential Address:
Birth City:	Residential Phone:
	Mobile:
	Fax:

[+ Follow](#) |
 [Request Name Change](#) |
 [Edit](#) |
 [View Customer User](#)

Post

Share an update... Share

🔍 Search this feed...



Collaborate here!
Here's where you start talking with your colleagues about this record.

To edit the name of an approved person, select the “Name change” button, the change of name for approved person needs to be validated by the Division before it is effective.

Contact

Mr. Approved Person 1

+ Follow
Request Name Change
Edit
View Customer User

Title	Email	Is Active
Director	aperson1@participantabc.com	<input checked="" type="checkbox"/>

DETAILS RELATED

Name	Title
Mr. Approved Person 1	Director
Alternate Name	Birthdate
Firm Name	Correspondence Language
Participant ABC	English
Affiliate Participant	Regulatory Actions

Post

Share an update...

Share

🔍

▼
🔄

Providing access to the Portal

If you want to provide or remove access to the Portal for contacts related to your firm, you will need to use the functionality enable or disable a customer user on the contact page.

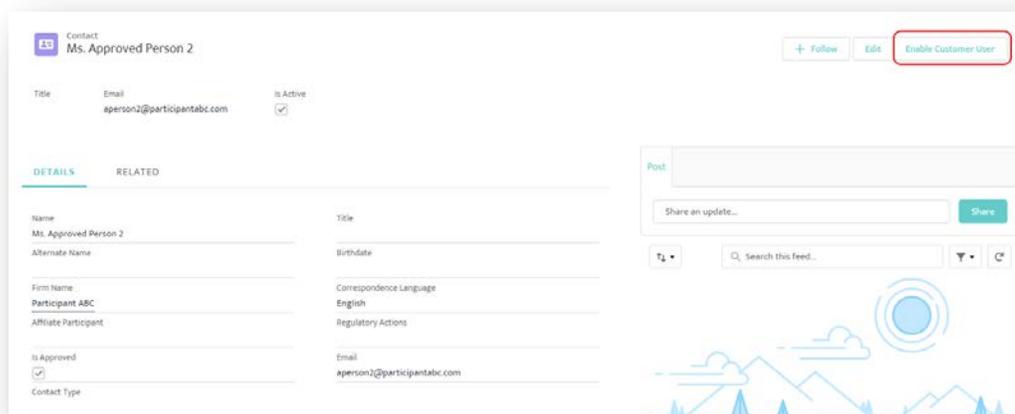
You must first access the contact's page. You can refer to the ["Managing Your Contacts"](#) section to learn how to access a contact's page.

From there, you will be able to click on the "Enable Customer User" or "Disable Customer User" button at the top right. Depending on whether the contact already has access to the Portal, only one of the buttons will be shown.

Provide Access to the Portal

If the contact doesn't already have access to the Portal, the button "Enable Customer User" will be shown. Click on this button to fill the information needed to provide access to the user :

Validate the information show in the screen below,



User information

- Validate that the information is correct for the contact, the username is the login information is the information the new user will use to connect to the Portal.

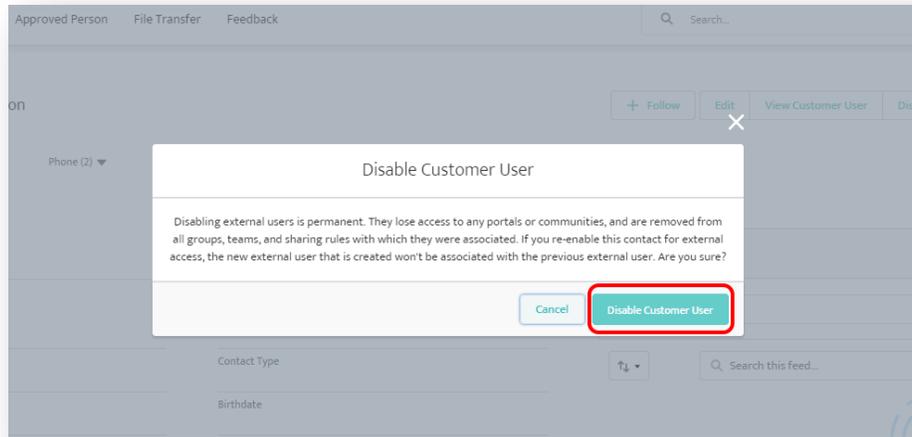
Contact information

- Information in this section will define contact information shown for this user, please validate the email information as the confirmation email to access the Portal will be sent to this email.

Revoke access to the Portal

To revoke the access to the Portal for a specific contact, click on the “Disable Customer User” button at the top right of the contact page.

Please review the impact of disabling a contact and click “Disable Customer user” if you still want to revoke access to this user.



Using Chatter

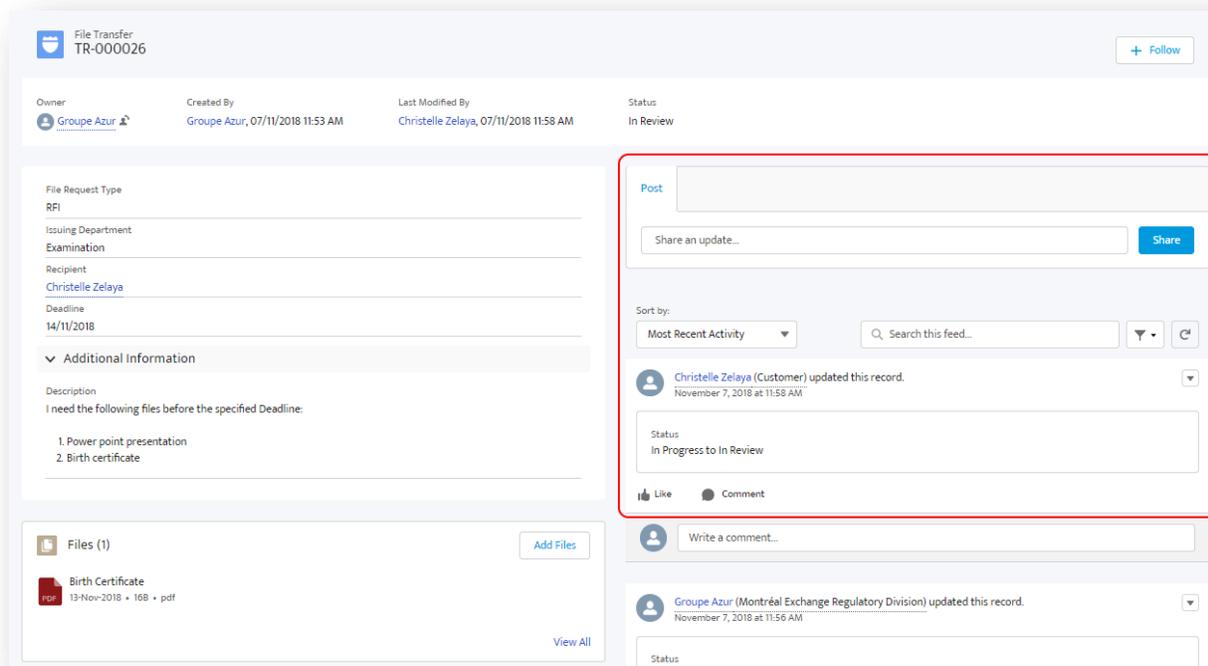
If the Division has questions or comments related to one of your requests, they will communicate with you by Chatter. You can also ask questions and details related to a specific request to the Division by using this same feature.

Standard Navigation

The Chatter section can be accessed under the “Post” tab, on the right section of all requests screens.

To post something or to send a reply:

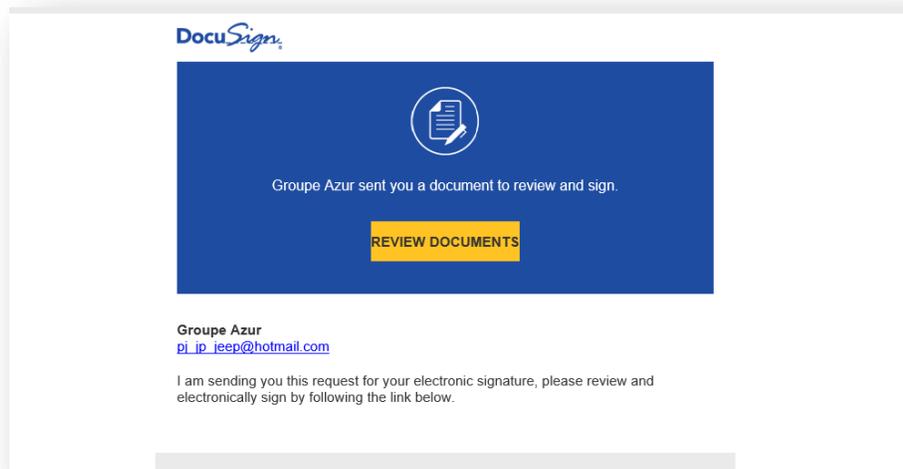
1. Click on the “Share an Update” field.
2. Enter your question, comment or reply.
3. Click on the “Share” button.



- When the representative replies to your chat, you will receive an email notification with their post.
- Directly replying to the email containing the answer from the representative is the same as if you reply in the “Post” section: your reply will be visible in the “Post” section.

Using DocuSign

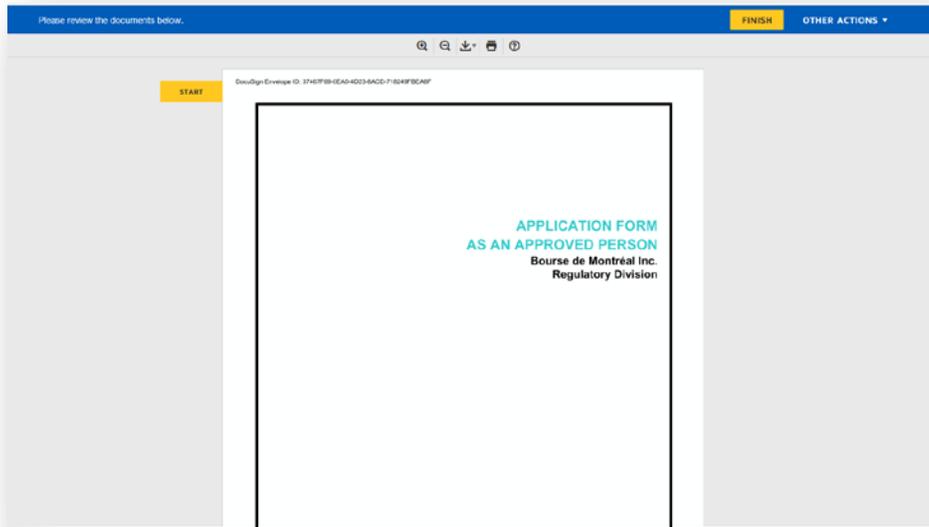
When you are required to sign a document, you will receive an email. The same email is sent to everyone that needs to sign. You will need to click on “Review Documents” to access DocuSign. Please read the document.



Standard Navigation

Below, you will find the main functions to navigate through the document that you need to sign. Please note that in addition to your signatures, some other fields might be required.

- “Start” button: By clicking on the “Start” button, you will be redirected directly to where you have to sign.



- “Sign” button: The “Sign” button will tell you where to sign. By clicking on it, you will be able to electronically sign the document.

A screenshot of a document viewer interface showing a sign-off form. On the left, a yellow "SIGN" button is visible. The form contains the following fields:

Signed at _____, this _____ day of _____ 20 _____
(city) (date) (month) (year)

Name of the Approved Participant
David Simard

Name of applicant _____ Name of the authorized representative of the Approved Participant
_____ 

Signature of applicant _____ Signature of the authorized representative of the Approved Participant

You can choose which type of electronic signatures you wish to adopt.

Adopt Your Signature

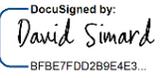
Confirm your name, initials, and signature.

* Required

Full Name* **Initials***

SELECT STYLE DRAW UPLOAD

PREVIEW [Change Style](#)

DocuSigned by:
 
 BFBF7FDD2B9E4E3...

By selecting Adopt and Sign, I agree that the signature and initials will be the electronic representation of my signature and initials for all purposes when I (or my agent) use them on documents, including legally binding contracts - just the same as a pen-and-paper signature or initial.

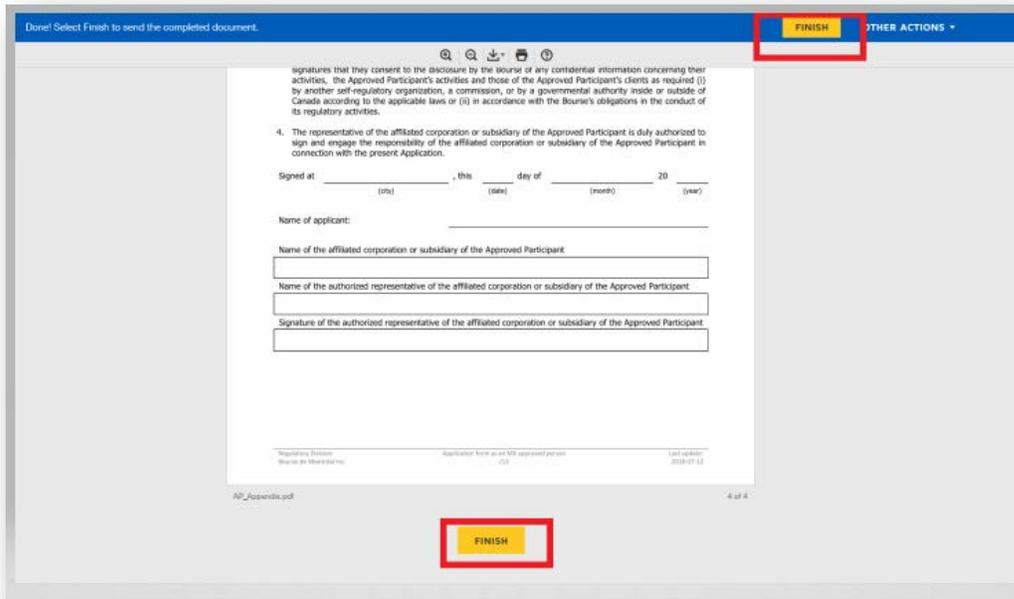
ADOPT AND SIGN CANCEL

- “Next” button: If more than one signature is required, the “Next” button will take you to the next signature space.

	David Simard
Name of applicant	Name of the authorized representative of the Approved Participant
Signature of applicant	Signature of the authorized representative of the Approved Participant

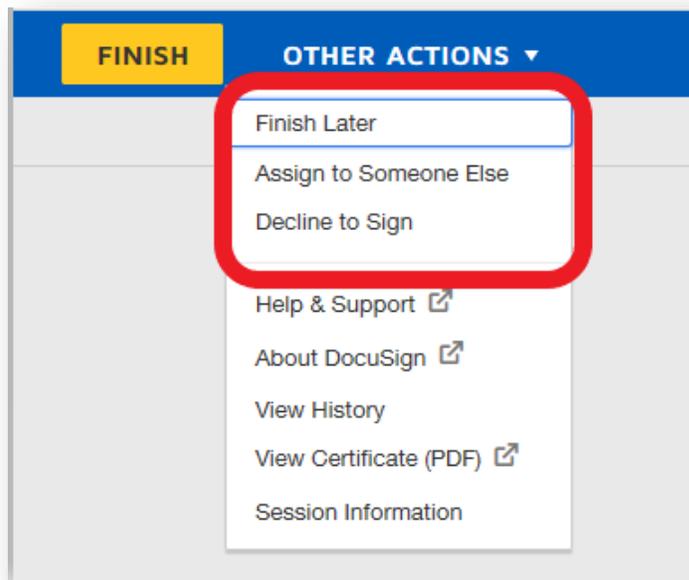
NEXT **Sign**

- “Finish” button: Once you are done, you can click on the “Finish” button for submission.

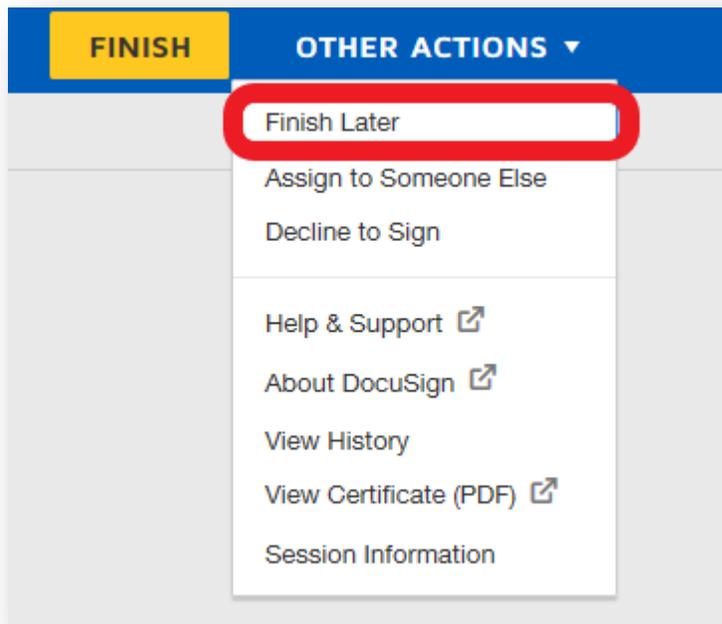


Other Actions

If you don't sign a document upon receipt, there are other actions you can choose from, by clicking on the arrow after "Other Actions," at the top right corner of the page.



- "Finish Later": If you don't sign a document upon receipt, but wish to sign it later on, you can always come back to it later by selecting "Finish Later."



- You can assign the document to someone else or decline to sign it. If you do not sign the document, please select the appropriate one in order to update the status.

