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.

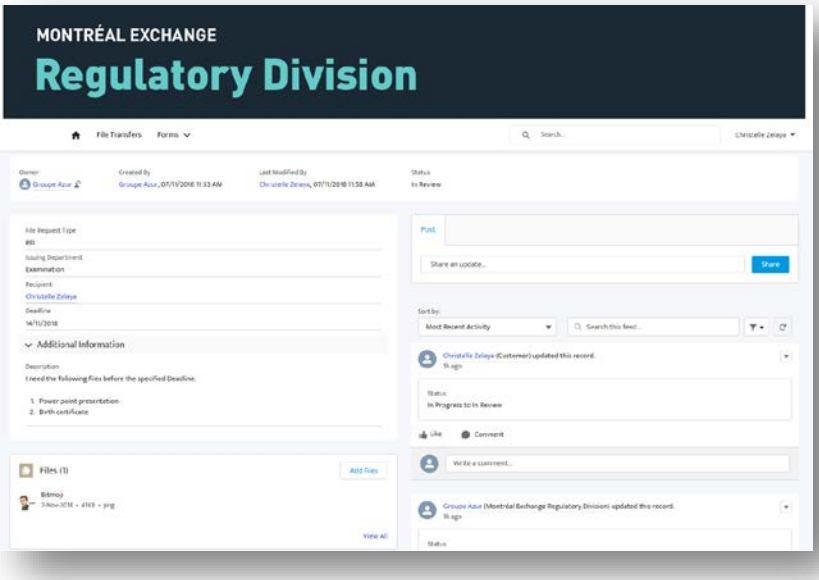
File Transfer Request

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

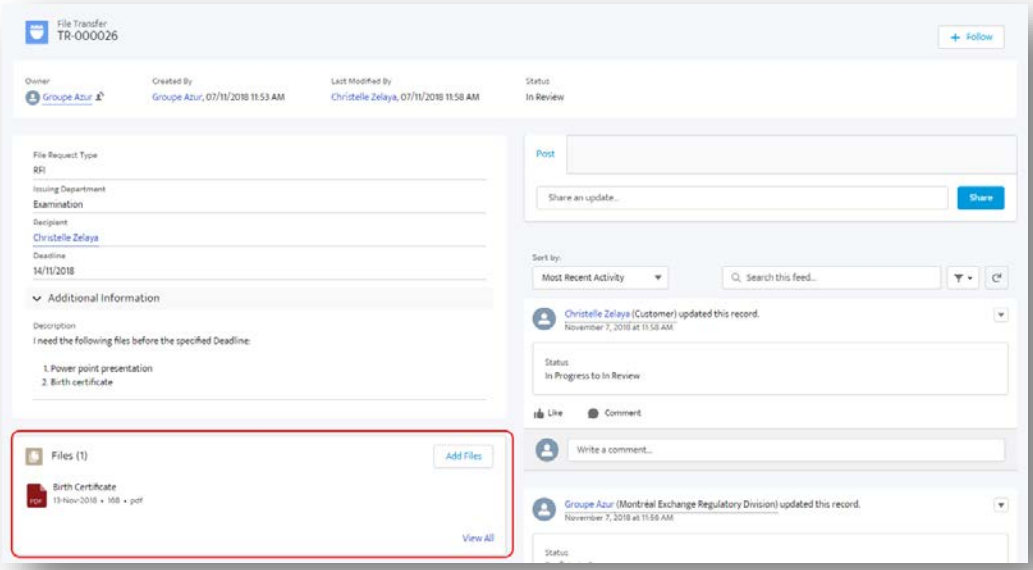
1. When you are required to provide or to retrieve files by the Division, you will receive an email notifying you of the requested action.

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.”



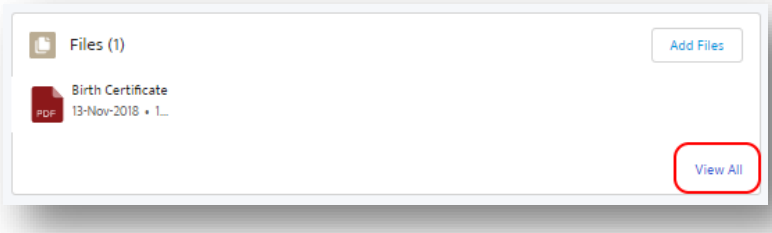
3. You can chat with the Division representative who sent you the file transfer request in case you or the representative have questions. Refer to the “Chatter” section for more information.

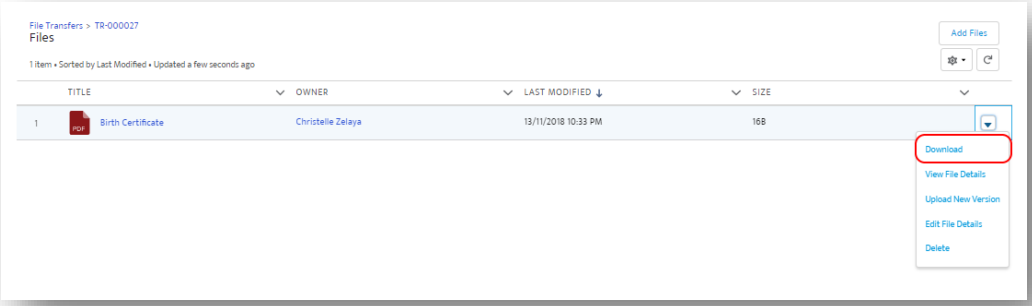
4. If the file transfer request was sent to you to retrieve files, you will see the files sent to you in the “Files” section.



- 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.”



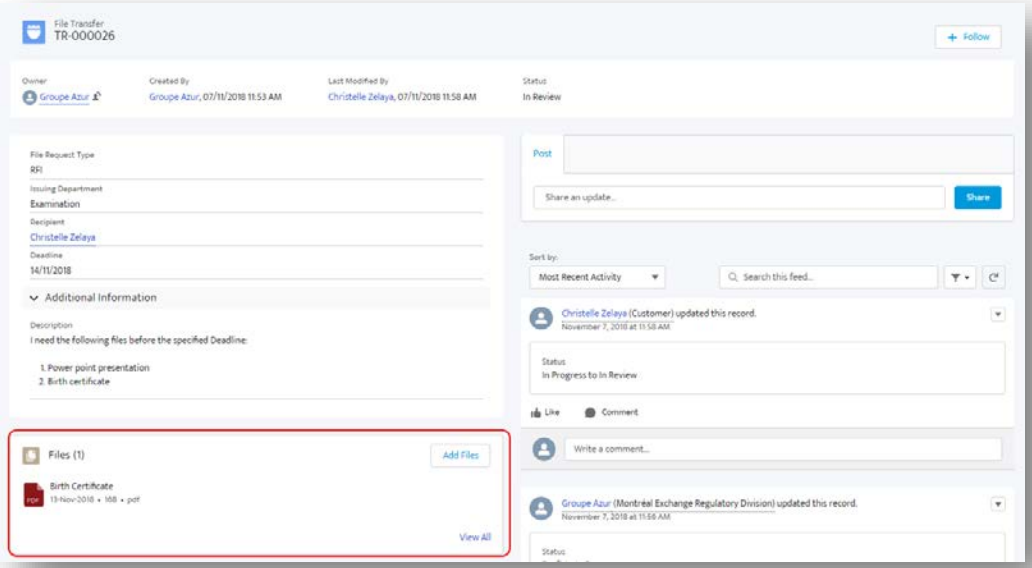


*The following steps are to be followed only if you are asked to provide files.

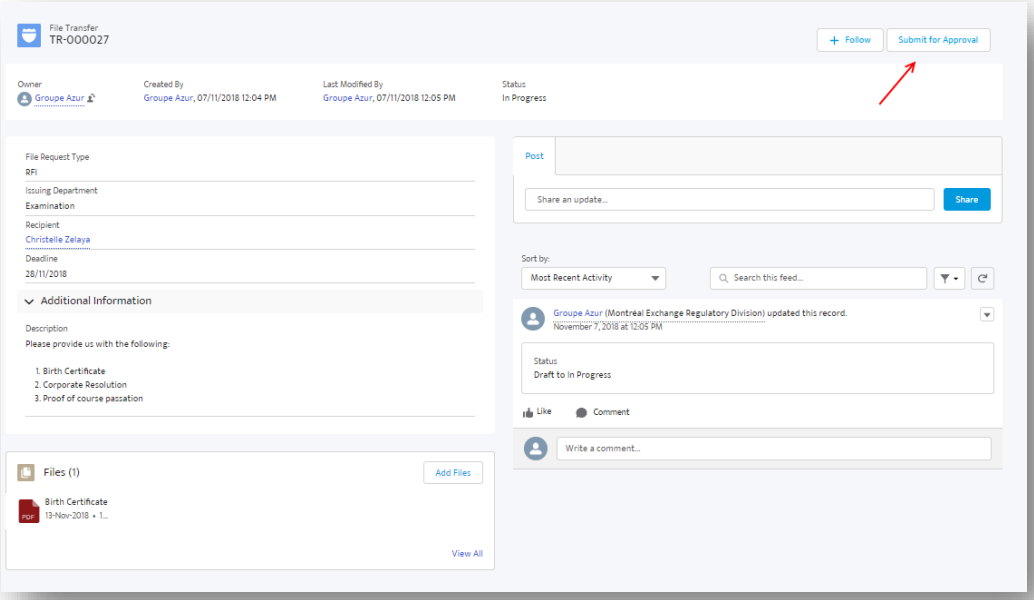
5. If you are asked to provide files, you can add them under the “Files” section by clicking on the “Upload Files” or “Add Files” button or by dragging and dropping the files in the section.

    - 10 files can be uploaded at the same time, if more then 10 files need to be uploaded select 10 files at a time.

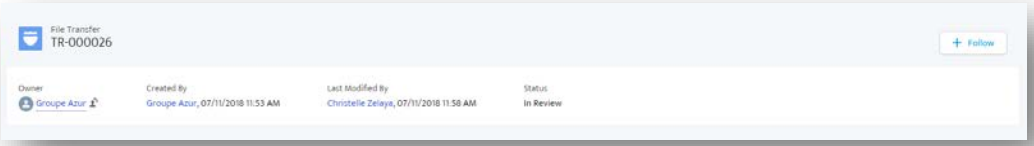
    - The maximum file size is 2 GB.



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.



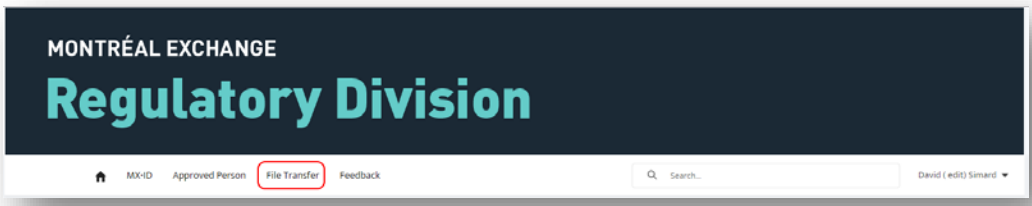
7. A notification will appear to inform you that the Division representative has been informed of the submission. You will also be able to see the progress of the request under “Status.”



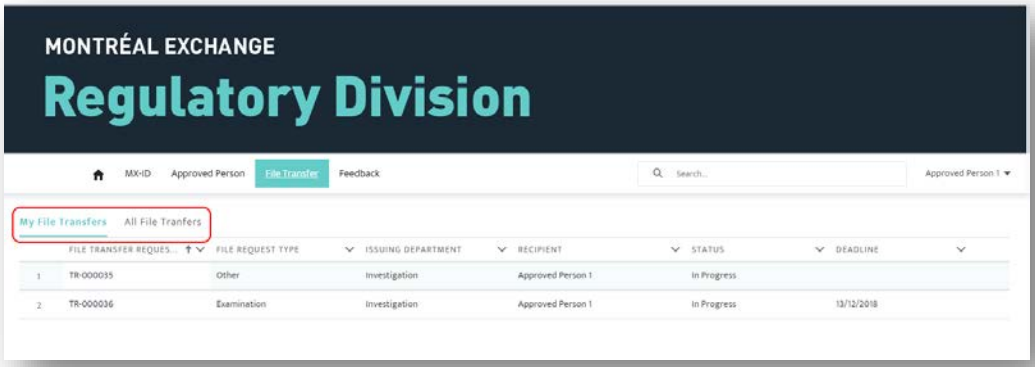
To View a File Transfer When You Log in the MX-R Connect Page

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.



2. 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.”

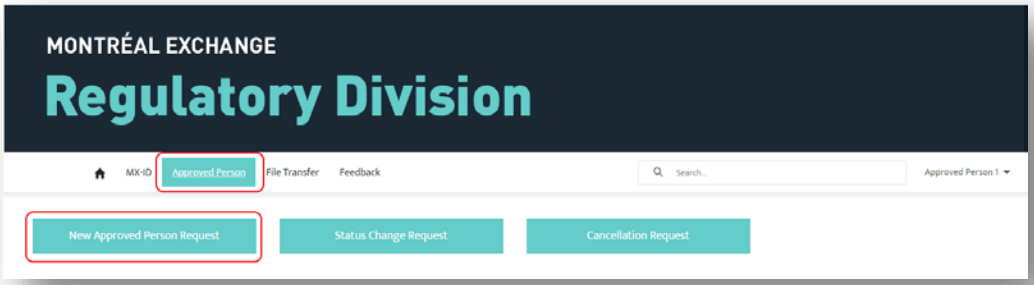


Approved Person Form

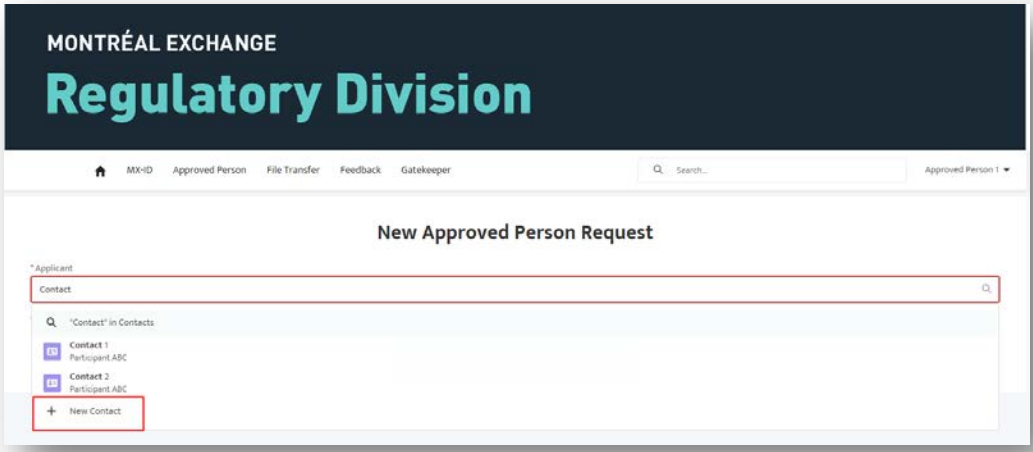
An approved person request form handle the request for new approved person.

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.



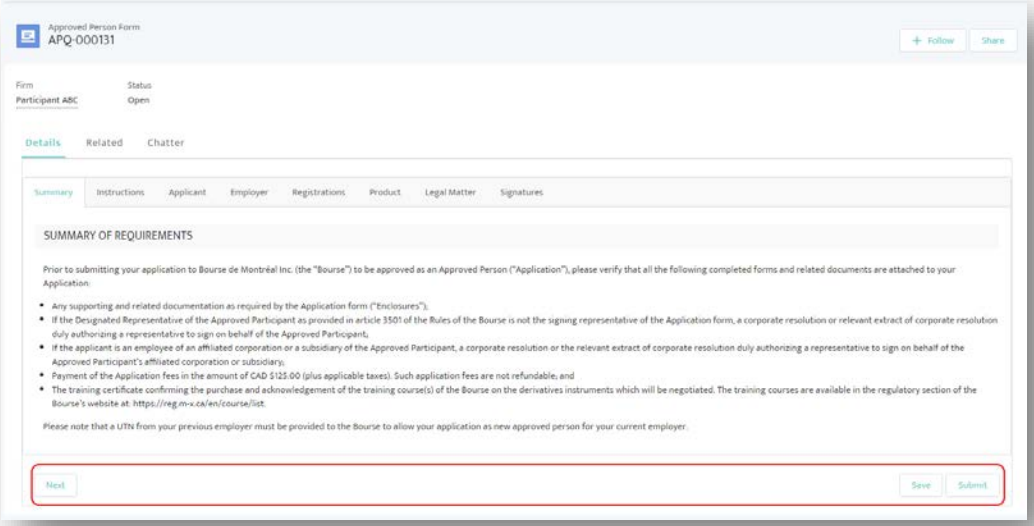
Once the Request Is Created

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.

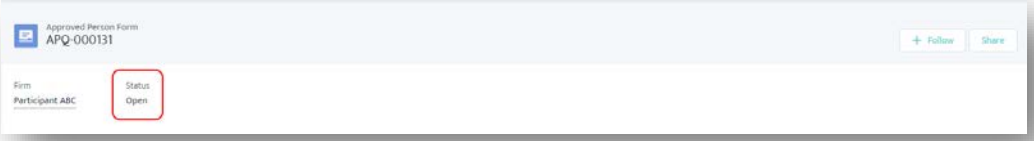
If you started filling the questionnaire and wish to finish it later, you can save the form by using the “Save” button.

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

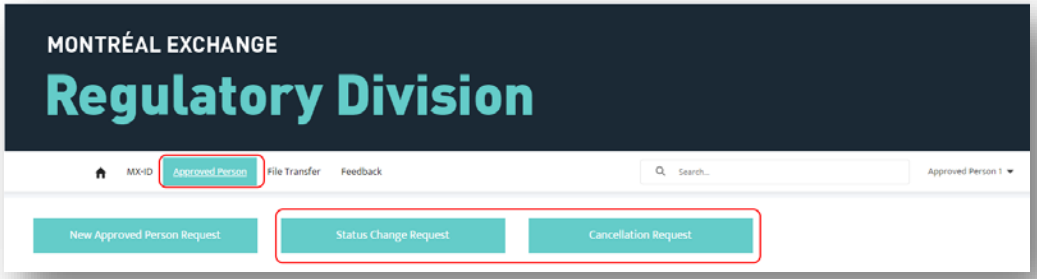
An Approved Person Service Request handles available requests related to an approved person. The available types of requests are Cancellation and Status Change.

- **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.

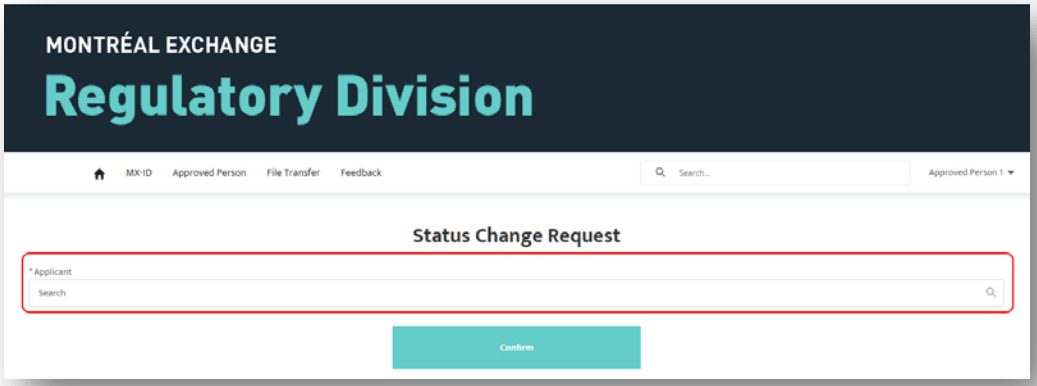
Standard Navigation

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.



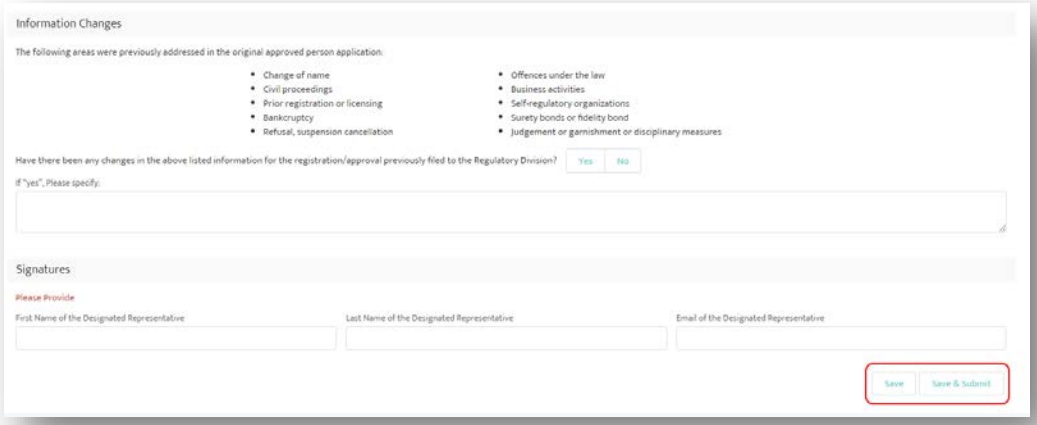
2. From the “Approved Contact” record, you can use the “Service Request” button.

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.

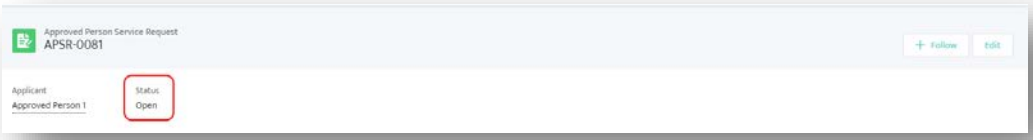
If you started filling the questionnaire and wish to finish it later, you can save the form by using the “Save” button.

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.



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

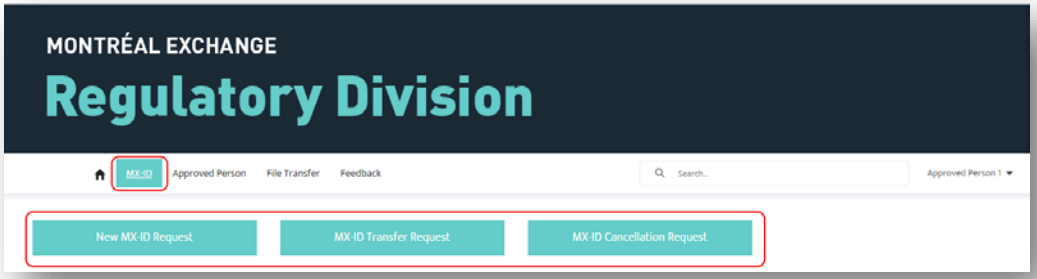
- **New:** For any request to access the trading system of the Bourse.

- **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

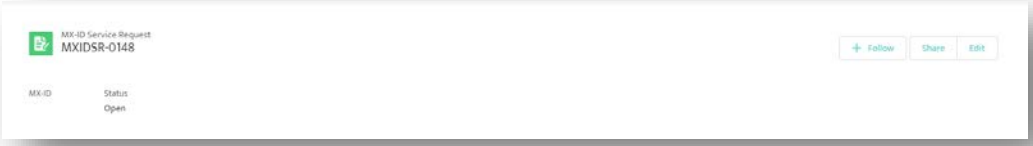
In order to submit an MX-ID Request, you need to review and fill the asked information. Please note that all the fields followed by an asterisk are required.

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.

Status Information

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

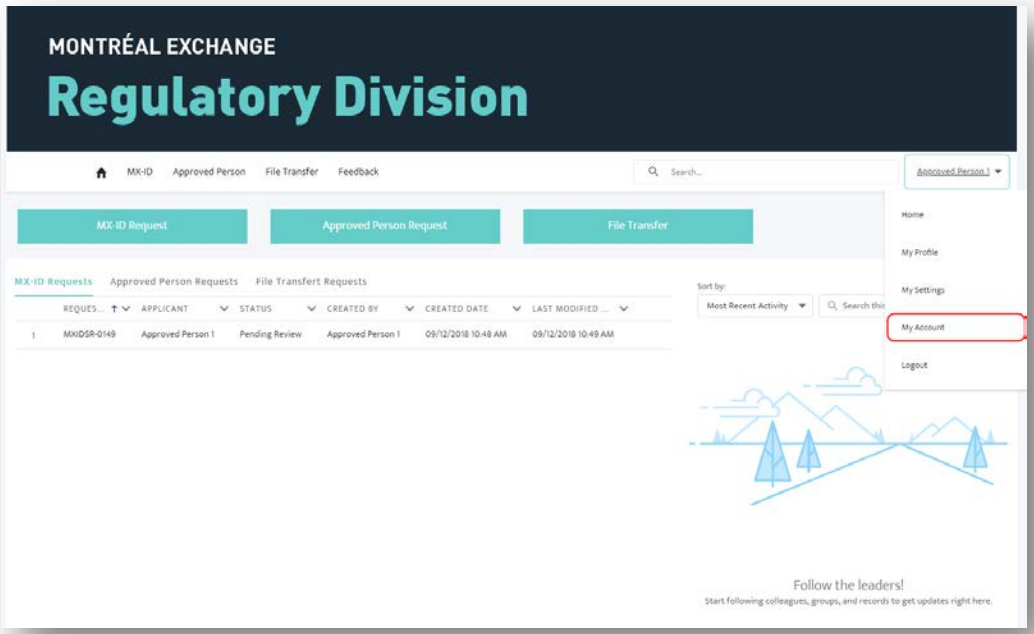


The statuses below are related to the three types of requests.

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

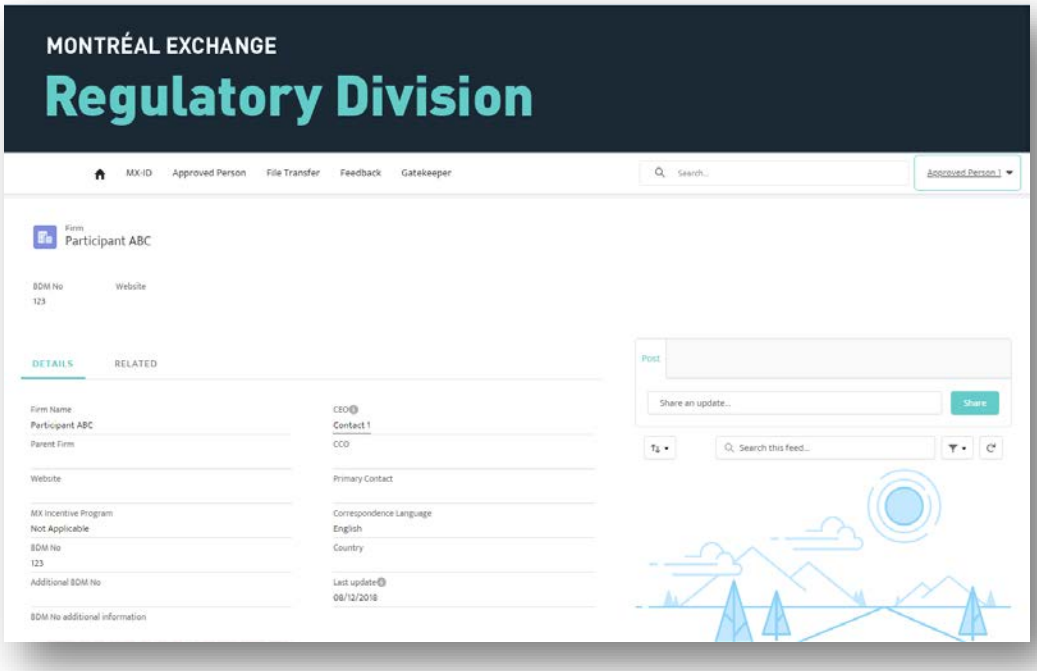
Managing Account / Contact Information

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.”



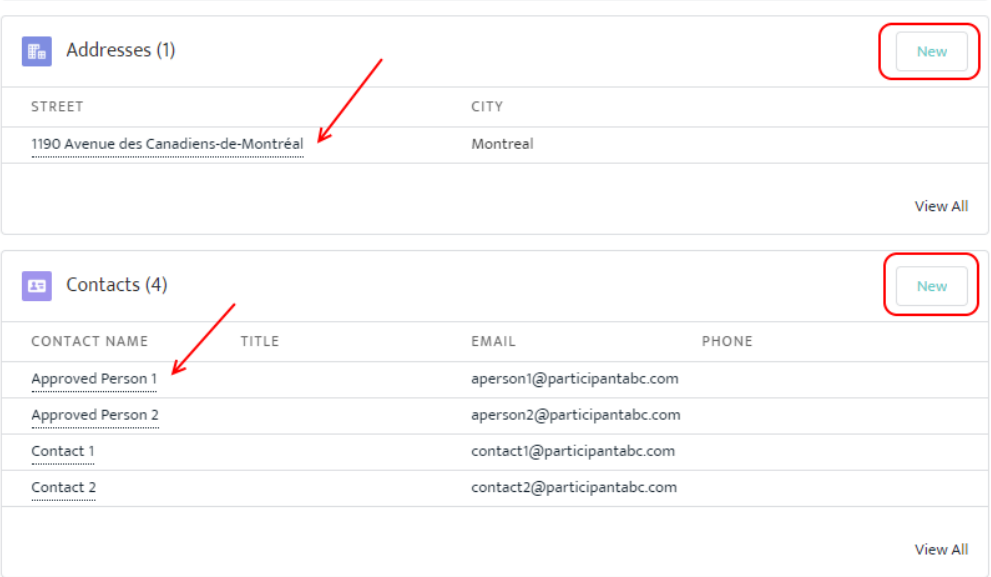
Tab – Details

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

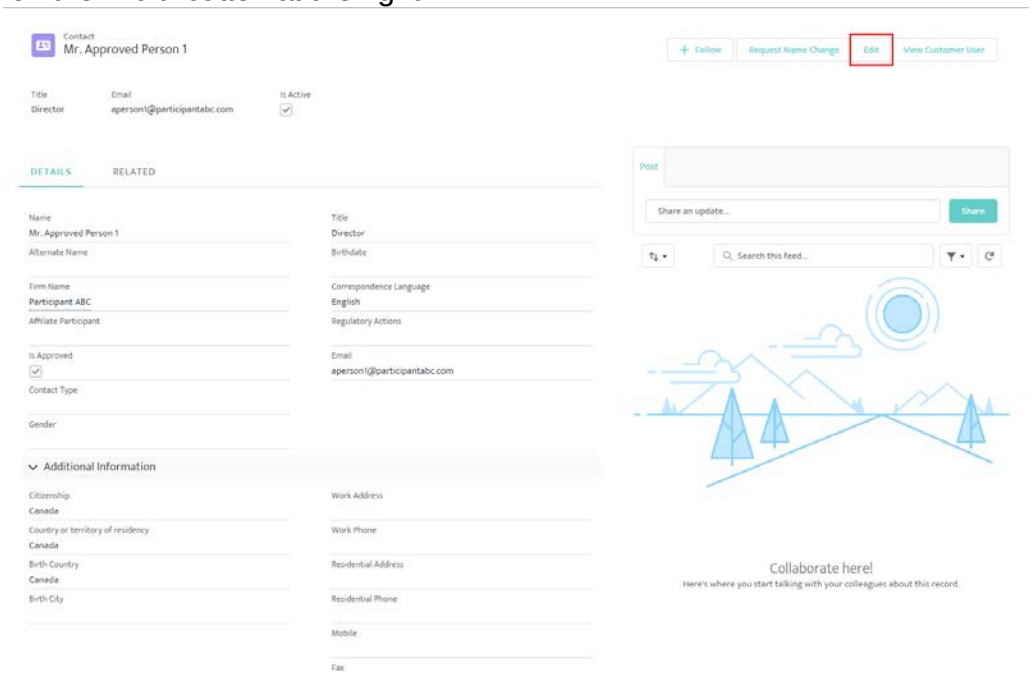


Tab - Related

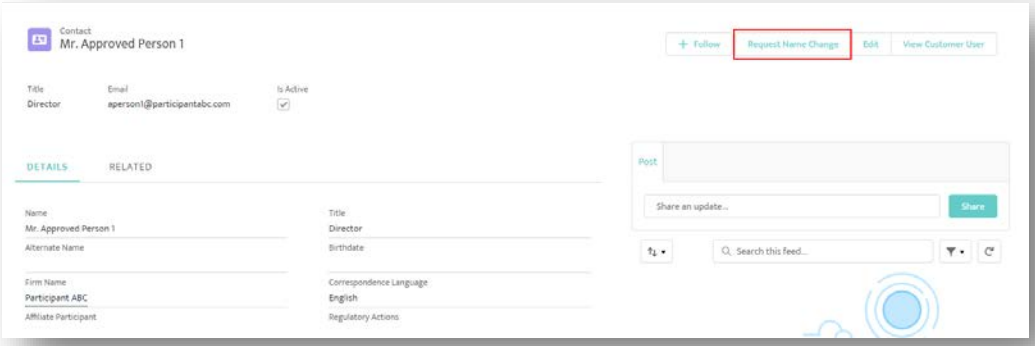
Select the “Related” tab. If you wish to add / edit an address or a contact, click on the “New” button.



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.



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
Director
Email
aperson1@participantabc.com
Is Active
DETAILS
RELATED
Name
Mr. Approved Person 1
Alternate Name
Firm Name
Participant ABC
Affiliate Participant
Title
Director
Birthdate
Correspondence Language
English
Regulatory Actions
Post
Share an update...
Share
Search this feed...

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.

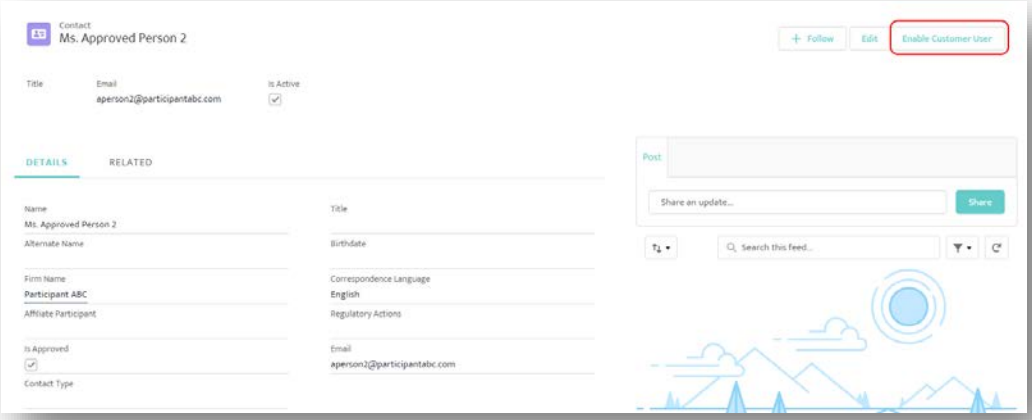
You must first access the contact's page. You can refer to the "Managing Your Contacts" section to learn how to access a contact's page.

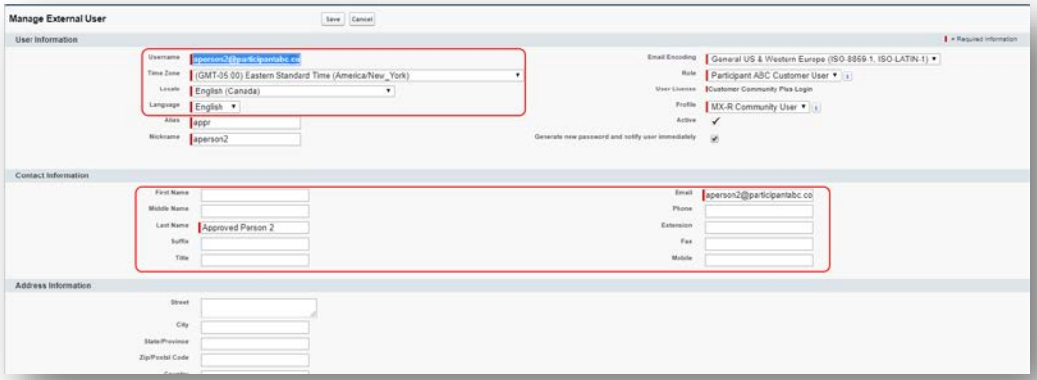
From there, you will be able to click on the "Enable Customer User" or "Disable Customer User" button at the top right. Depending on whether the contact already has access to the Portal, only one of the buttons will be shown.

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

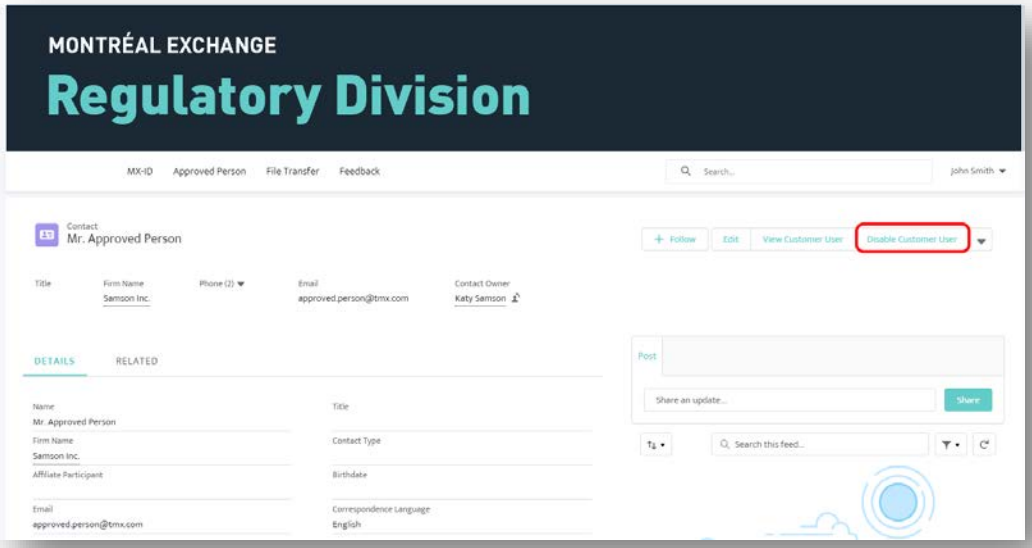
- Validate that the information is correct for the contact, the username is the login information is the information the new user will use to connect to the Portal.

Contact information

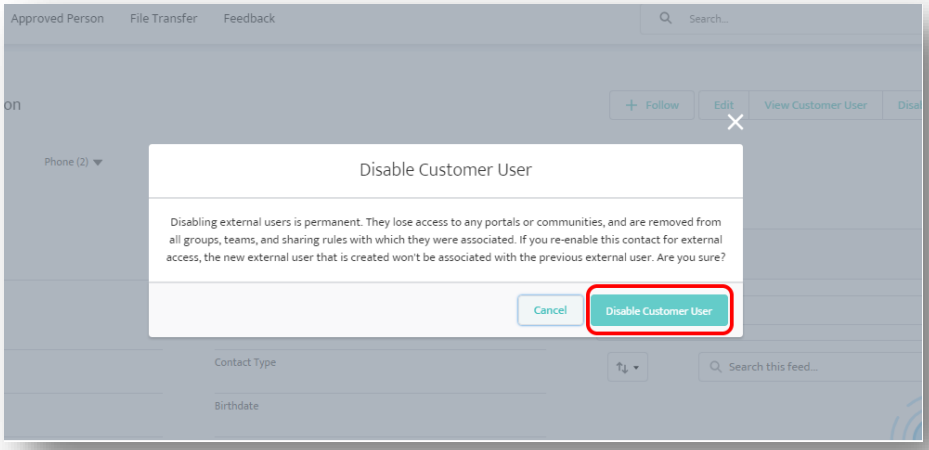
- Information in this section will define contact information shown for this user, please validate the email information as the confirmation email to access the Portal will be sent to this email.

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

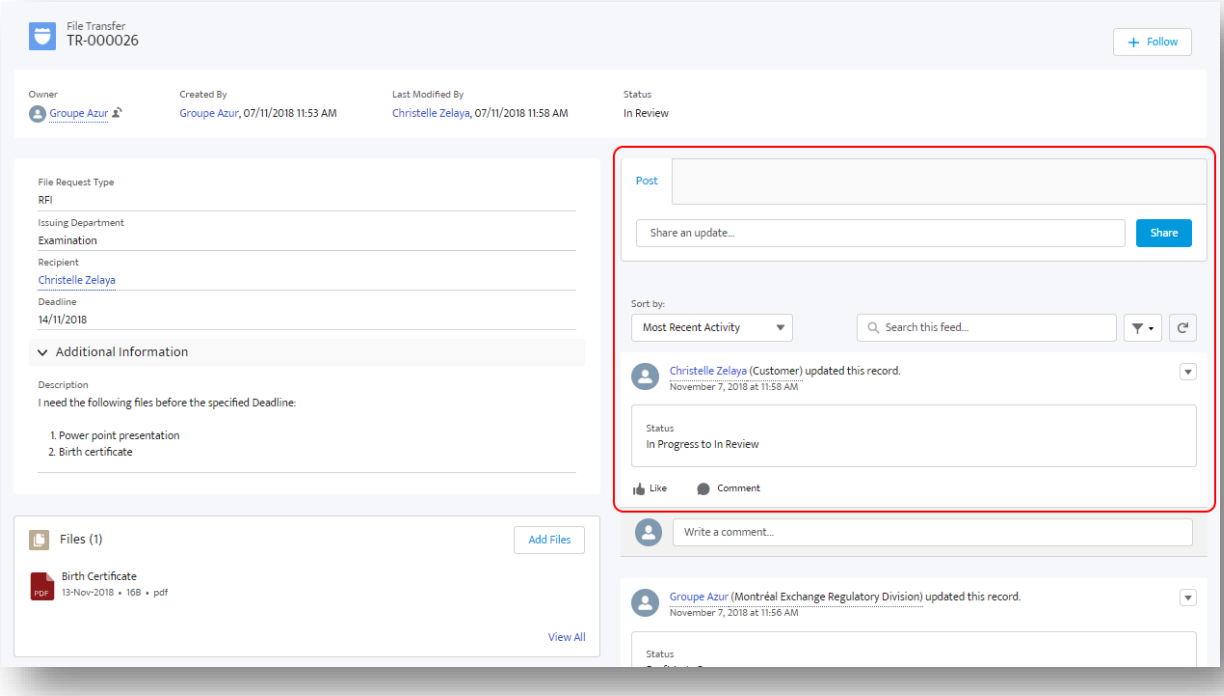
The Chatter section can be accessed under the “Post” tab, on the right section of all requests screens.

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.

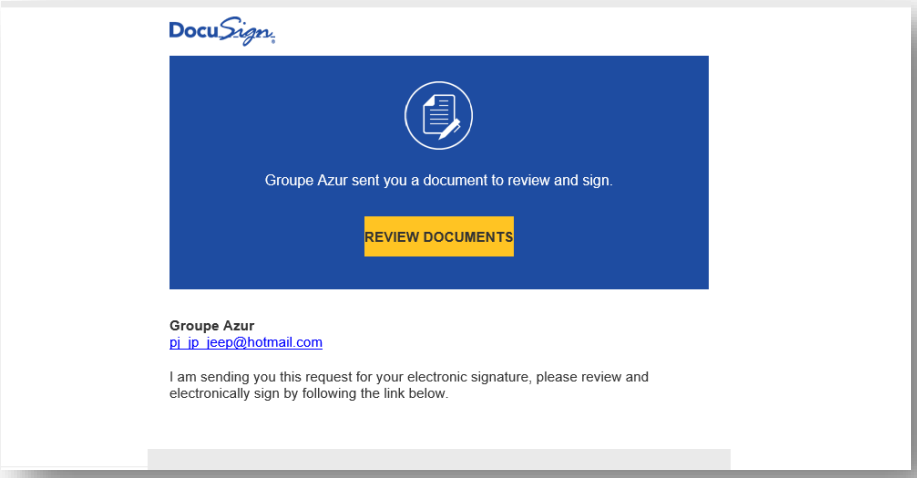


- When the representative replies to your chat, you will receive an email notification with their post.

- 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

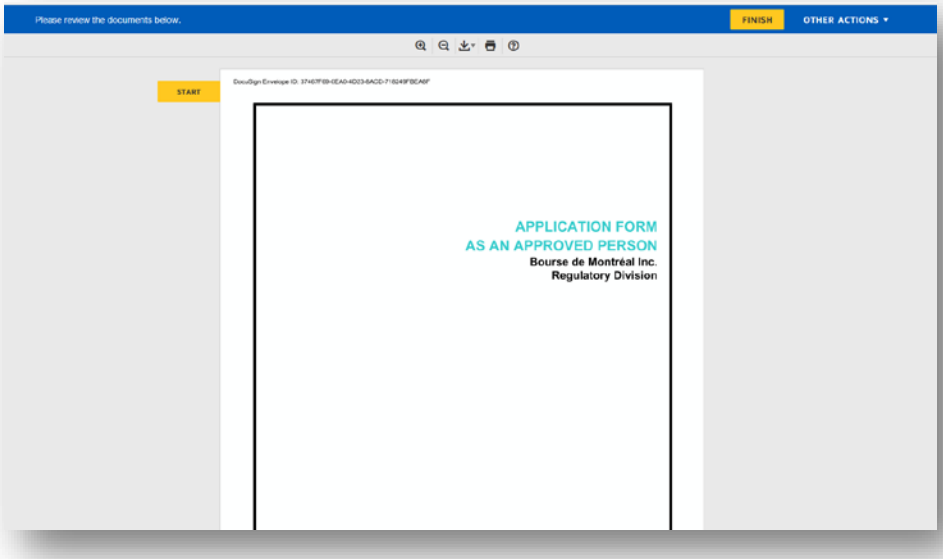
When you are required to sign a document, you will receive an email. The same email is sent to everyone that needs to sign. You will need to click on “Review Documents” to access DocuSign. Please read the document.



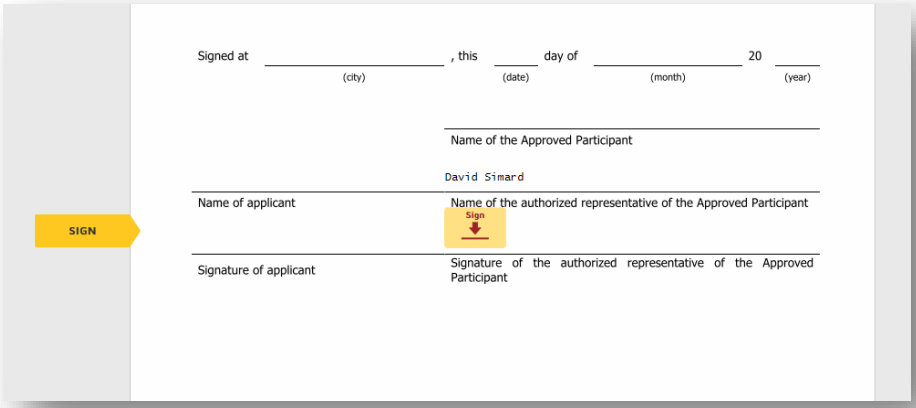
Standard Navigation

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.

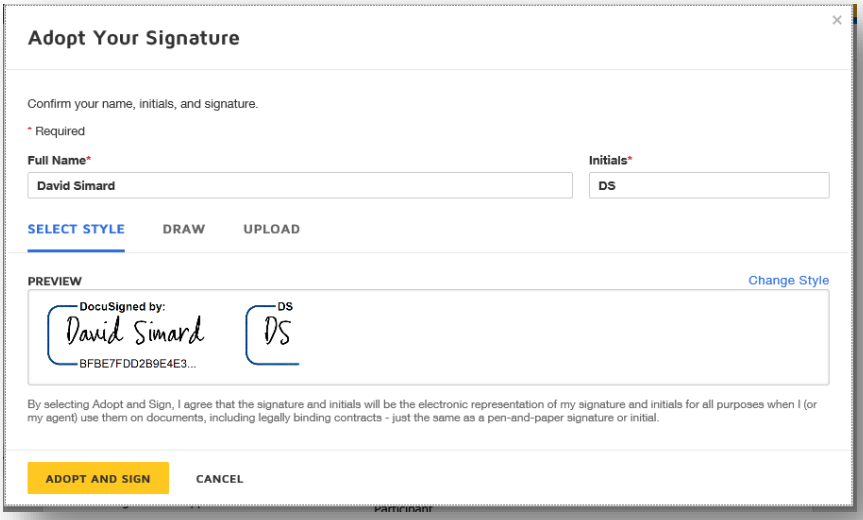
- “Start” button: By clicking on the “Start” button, you will be redirected directly to where you have to sign.



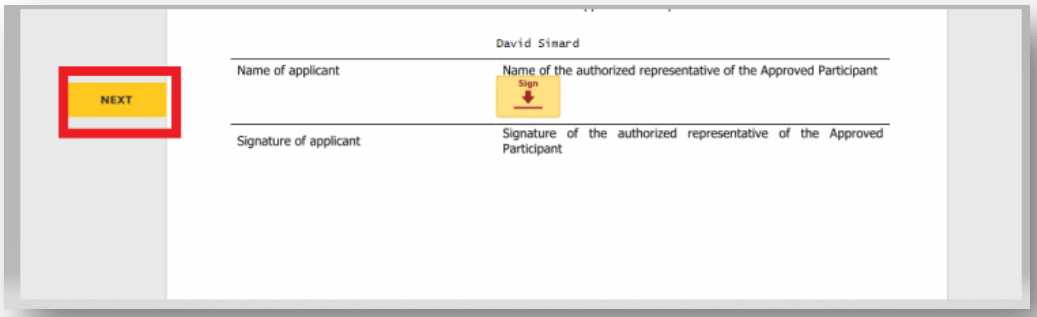
- “Sign” button: The “Sign” button will tell you where to sign. By clicking on it, you will be able to electronically sign the document.



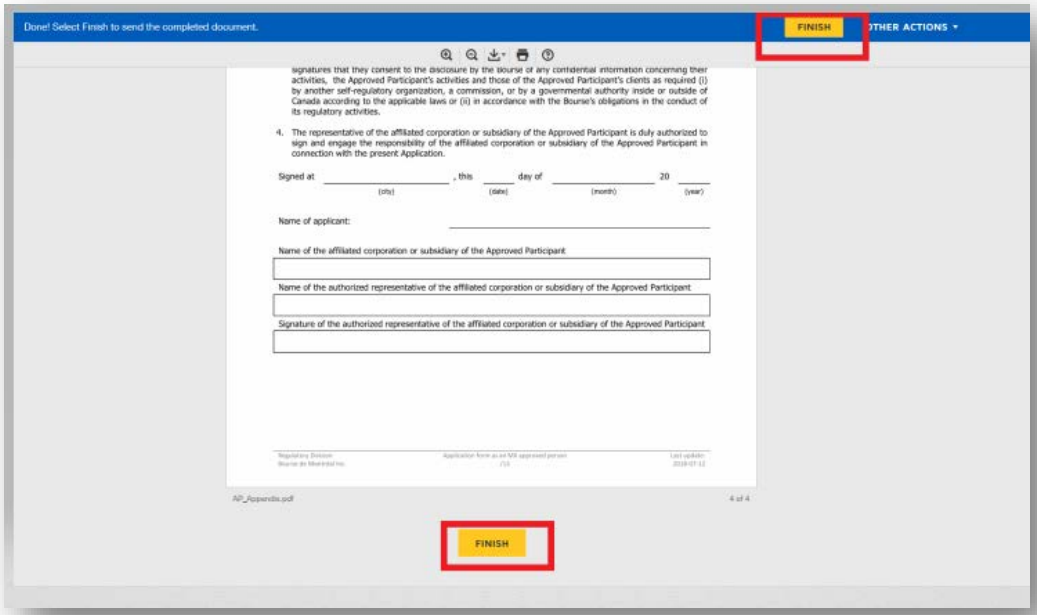
You can choose which type of electronic signatures you wish to adopt.



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

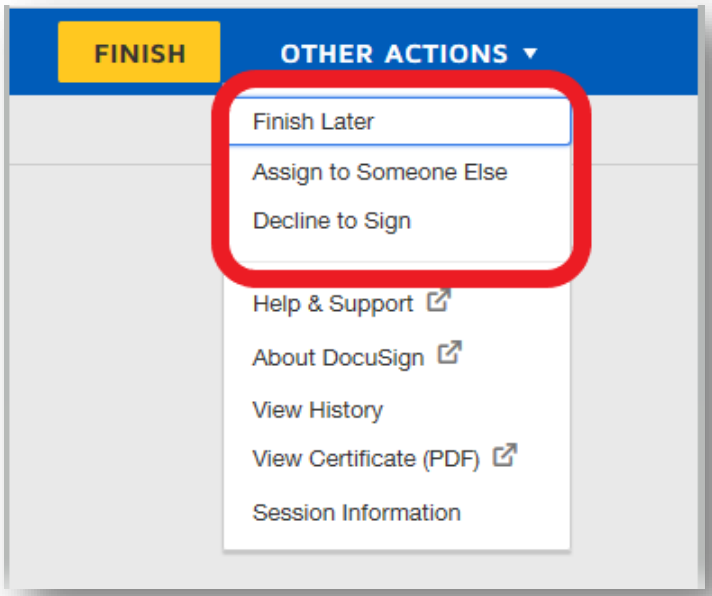


- “Finish” button: Once you are done, you can click on the “Finish” button for submission.

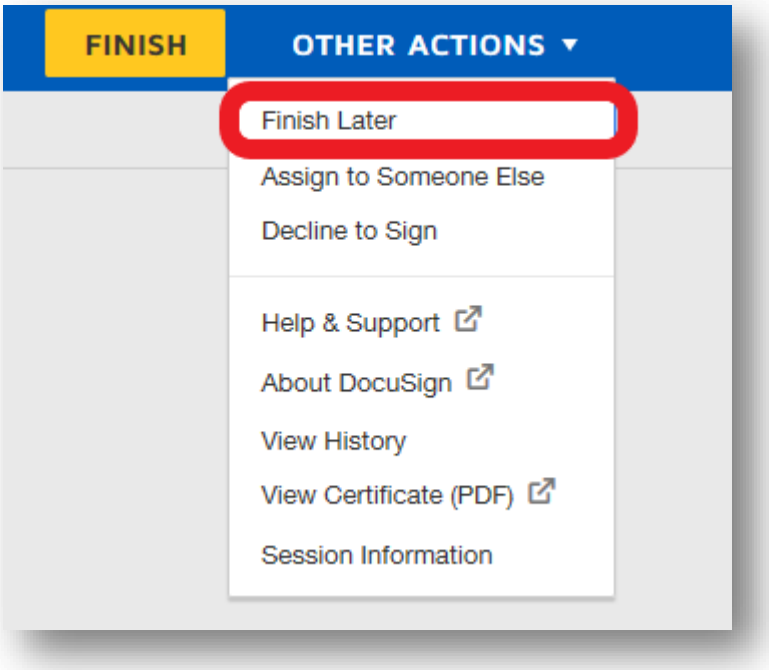


Other Actions

If you don't sign a document upon receival, 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 receival, 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.