



Nasdaq Canada Retail Trader: Trader ID Identification Form

Please email the completed Form to ca.compliance@nasdaq.com

An updated Form must be submitted by the Nasdaq Canada Member for any changes to the initial submission. By checking the boxes below the Nasdaq Canada Member is attesting that orders being entered on the CX2 Trading Book through the Trader IDs below are from accounts that qualify as Retail Traders. A Retail Trader account is defined as an account for a Retail Customer as defined by IIROC and does not include an account for a DEA Client as defined in National Instrument 23-103.

New Submission Update

SUBMITTED BY:

Name: _____	Tel: _____
Signature: _____	Email: _____
Member: _____	Effective Date: _____

Retail Trader: Trader ID Details			
	TRADER ID	RETAIL SUPERVISOR	TRADER ID DESCRIPTION
<input type="checkbox"/> Add <input type="checkbox"/> Remove		Name / Email / Phone	Desk/Firm/Client: Contact:
<input type="checkbox"/> Add <input type="checkbox"/> Remove		Name / Email / Phone	Desk/Firm/Client: Contact:
<input type="checkbox"/> Add <input type="checkbox"/> Remove		Name / Email / Phone	Desk/Firm/Client: Contact:
<input type="checkbox"/> Add <input type="checkbox"/> Remove		Name / Email / Phone	Desk/Firm/Client: Contact:
<input type="checkbox"/> Add <input type="checkbox"/> Remove		Name / Email / Phone	Desk/Firm/Client:

			Contact:
<input type="checkbox"/> Add <input type="checkbox"/> Remove		Name / Email / Phone	Desk/Firm/Client: Contact:
Please attach a separate sheet with additional Trader ID information in the same format as this Form. This Form is subject to the terms and conditions of the Nasdaq CXC Limited Member Agreement.			