

## EQUITIES TRADING NOTICE

# TSX Equities Incident Management Procedures Update

To bolster effective communication in the case of a service disruption with a broad market impact, enhanced incident management procedures are now in place for Toronto Stock Exchange, TSX Venture Exchange, Alpha and TMX Select.

### Existing Communication Channels

The following communication channels will remain in place:

- Email Production Alerts
- Market Operations phone lines for Trade and Order reconciliation:
  - 416-947-4357
  - 416-947-4705
- Broadcast Messages through Market Data feeds
- Updates on Trader Notes

### Dedicated, One-Way Conference Bridge

To improve our ability to provide accessible and frequent updates to participants regarding the status of an incident, and to keep Market Operations phone lines open for order and trade reconciliation, we are introducing a dedicated conference bridge for frequent, one-way, outbound communication to stakeholders:

Local                **416-933-8665**  
Toll Free          **1-888-402-9166**  
Conference ID    **9931053#**

This conference number will be included on all Production Alert emails.

### **Impact Assessment Request**

We are also introducing a process to assist in assessing the impact of the incident when Market Operations cannot determine the impact with certainty based on available information.

Shortly after the declaration of the incident, if the extent of the impact is not clear, an email will be sent to designated personnel at Participating Organizations, access vendors and data vendors, requesting each firm's own assessment of the service interruption.

Assessment will typically focus on the following factors:

- Is your business unit able to enter and cancel orders and receive acknowledgement messages? If not, which marketplaces are affected?
- Is your business unit receiving timely market data? If not, which marketplaces are affected?
- Is there important information you would like to tell us about the problems you are experiencing?

Our team will be reaching out to you over the next few weeks to discuss these new procedures and to identify the contacts at your firm that will be authorized to report the impact assessment results to Market Operations.

We hope these additional procedures will provide for enhanced communication and timely sharing of information. Our goal is to be as transparent and responsive as possible while providing clear and precise procedures for market participants. Safeguarding of the market is imperative during periods of unexpected service disruption. Your support during such incidents can be critical to minimizing the overall impact and reaching a quick resolution.

**If you have further questions or need additional information, please contact our Market Operations team at 416-947-4357.**

A version of this notice is available on our web site at [www.tmx.com](http://www.tmx.com).

