

RULE 6

REPORTS

6-101 Confirmation

In addition to the requirements under the *Securities Act* and the rules of the Investment Industry Regulatory Organization of Canada, a confirmation to a client of a purchase or sale of a listed security on the CNSX System shall indicate that the trade occurred on the CNSX System.

6-102 Records of Security Positions

A CNSX Dealer shall keep a record showing its security position from day to day and such record shall be kept in a manner as to enable the CNSX Dealer within a reasonable period to show the position on any prescribed date in all securities bought, sold or carried for or in any and all accounts, as well as the long and short position of each account in each security, the number of securities owing to or from the Clearing Corporation, the number of securities hypothecated, the number of securities in transfer and the number of securities on hand. The CNSX Dealer shall make such record available to CNSX or the Market Regulator upon request.