

## **RULE 9**

### **REPORTING TRADES**

#### **9-101 Secondary Market Options**

- (1) A CNSX Dealer receiving an option to purchase or sell a CNSX-listed security shall report the following details of the option to CNSX
  - (a) the trading symbol of the security;
  - (b) the number of units of the security underlying the option;
  - (c) whether the option is a put or call option;
  - (d) the identification of the party granting the option;
  - (e) the exercise price; and
  - (f) such other information as may be prescribed from time to time.

in the format prescribed from time to time by the end of the Business Day on which the option is received.
- (2) If the option is granted after the close of trading in the CNSX listed market, the Dealer shall report prior to the opening of trading on the following Business Day.
- (3) A CNSX Dealer shall immediately report an exercise of all or part of the option to CNSX providing the following information required in Rule 9-101.
  - (a) the trading symbol of the security;
  - (b) the number of units of the security purchased or sold;
  - (c) the purchase or sale price; and
  - (d) such other information as may be prescribed from time to time.
- (4) The CNSX Dealer shall pay the reporting fee prescribed from time to time.