

Chapter 13

SROs, Marketplaces, Clearing Agencies and Trade Repositories

13.2 Marketplaces

13.2.1 Canadian Securities Exchange – Housekeeping Amendments to Rules, Policies and Forms – Form 1B Listing Application

CSE Notice 2017-003
February 23, 2017

CANADIAN SECURITIES EXCHANGE

HOUSEKEEPING CHANGES

FORM 1B – LISTING APPLICATION

In accordance with Appendix C “Process for the Review and Approval of Rules and the Information Contained in Form 21-101F1 and the Exhibits Thereto” (“Protocol”) of the CSE Recognition Order the CSE has adopted the amendments described in this notice to the Form 1B Listing Application.

The amendments are Housekeeping Changes under the Protocol and were not published for comment.

DESCRIPTION OF THE PROPOSED AMENDMENTS

As part of the listing application process, the Form provides contact information and historical data about the issuer applicant, its securities, officers and directors, and status as a reporting issuer and listed company. It is not the primary disclosure document, but rather a summary for administrative purposes. CSE has amended two sections of the Form.

- 1) In *Part 1 Issuer Information* the applicant is required to specify 3 choices of trading symbol, in order of preference. Previously, the guidance provided indicated a symbol may be “up to 3 letters” and will be subject to availability. The missing words “may be” were added and the guidance changed to “up to 4 letters” to reflect the recent introduction of 4 letter symbols.

Amended Text of Form 1B, Part 1:

1.13 Desired Symbol(s)

Please specify 3 choices in order of preference. A symbol may be up to 4 ~~3~~ letters and will be subject to availability. The Exchange has final approval of any symbol request.

- 2) In *Part 3 Historical Information* the applicant must provide details of any application that was made to another market and denied. The question has been amended to include applications that were withdrawn. The amendment provides clarity. Collection of this information is consistent with the current listing application process.

Amended Text of Form 1B, Part 3

- 3.1 Has the Issuer (or any of its predecessors) ever applied to have its shares traded on another market and been denied a listing/quotation or withdrawn the application? If yes, please provide the name of the market or markets, dates and the reason why the application was denied or withdrawn.

EXPECTED IMPLEMENTATION DATE

The proposed amendments are effective immediately.

Questions about this notice may be directed to:

Mark Faulkner, Vice President Listings & Regulation
Mark.Faulkner@thecse.com, or 416-367-7340

For questions about Policies or listing requirements of the CSE, please contact the Listings & Regulation team at: listings@thecse.com or 416-367-7340