

Appendix A
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~~— a small business investment company licensed by the U.S. Small Business Administration under section 301(c) or (d) of the U.S. Small Business Investment Act of 1958,~~

~~— a plan established and maintained by a U.S. state, its political subdivisions, or any agency or instrumentality of a U.S. state or its political subdivisions, for the benefit of its employees,~~

~~— an employee benefit plan within the meaning of Title I of the U.S. Employee Retirement Income Securities Act of 1974,~~

~~— a trust fund whose trustee is a bank or trust company and whose participants are exclusively plans of the types identified in (i~~

~~—each series of a series company (as defined in Rule 18f-2 under the U.S.~~

~~respect to the cost of those securities has been published and in the latter event, the securities may be valued at market.~~

~~In determining the aggregate amount of securities owned by an entity and invested on a discretionary basis, securities owned by subsidiaries of the entity that are consolidated with the entity in its financial statements prepared in accordance with generally accepted accounting principles may be included if the investments of such subsidiaries are managed under the discretion of the entity, except that, unless the entity is a reporting company under section 13 or 15(d) of the U.S. Securities Exchange Act, securities owned by such subsidiaries may not be included if the entity itself is a majority-owned subsidiary that would be included in the consolidated financial statements of another enterprise.~~

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approved technology system of a service provider re

- ~~e the Participating Organization has the right to change or remove an order in the Book and has the right to cancel any trade made by the eligible client for any reason;~~
- ~~f the Participating Organization has the right to discontinue accepting orders from the eligible client at any time without notice;~~
- ~~g the Participating Organization agrees to train the eligible client in the Exchange Requirements dealing with the entry and trading of orders and other applicable Exchange Requireme~~

~~— Order Execution Account Requirements~~

~~If the agreement required by Rule 2-502(b) is between a Participating Organization and a client in respect of an Order Execution Account, the agreement:~~

~~may be in written form or be in the form of a written or electronic notice acknowledged by the client prior to the entry of the initial order in respect of such Order Execution Account; and~~

~~— may omit provisions that would otherwise be required by Policy 2-502(2)(c), (g) and (h) if the order routing system of the Participating Organization:~~

~~— enforces the Exchange Requirements relating to the entry of orders, or~~

~~— routes orders that do not comply with Exchange Requirements relating to the entry of orders to an Approved Trader for review prior to entry to the trading system.~~

The Exchange may suspend a third party's electronic