

3<sup>rd</sup> December 2019NATIONAL INSTRUMENT 24-101 *TRADE MATCHING AND SETTLEMENT*

## TRADE-MATCHING STATEMENT

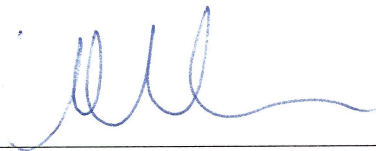
**To: All trade-matching parties providing trade orders to, acting on behalf of, or executing a trade with**

**UBS Securities Canada Inc.**

This Trade-Matching Statement is being provided in accordance with National Instrument 24-101 – *“Institutional Trade Matching and Settlement”* and Companion Policy 24-101CP [the “National Instrument”]. It applies to all trades that are subject to the National Instrument.

We confirm that we have established, maintain, and enforce policies and procedures designed to achieve matching in accordance with the National Instrument.

Signed, Toronto:



Lisa Petrelli  
Managing Director - Head of Equities, Canada

**Notice**

- *This format has been approved by the Canadian Capital Markets Association (CCMA) as the standard trade-matching statement format to be used by market participants to state their organization's compliance with the requirements of National Instrument 24-101, Trade Matching and Settlement*
- *The standard trade-matching statement format was reviewed and endorsed by:*
  - *Investment Dealers Association of Canada (IDA) staff and the Financial Administrators Section Operations Subcommittee for its use by Members (Bulletin MR0474, May 18, 2007)*
  - *The Investment Industry Association of Canada*