



NOTICE TO MEMBERS

No. 2013 - 031

February 1, 2013

Penson Financial Services Canada

Following Penson Financial Services Canada announcing, on January 31st, 2013, its intention to present a Petition for the Issuance of an Order (the “Order”) that its Liquidation be continued under the supervision of the Court, appointing a Liquidator and approving a claims process, under the *Canadian Business Corporation Act* (CBCA), and the issuance of the Order today, the Canadian Derivatives Clearing Corporation (CDCC) is issuing this notice to its Clearing Members regarding the status of its Clearing Member Penson Financial Services Canada.

In accordance with its Rules (Section A-1A04), CDCC is declaring Penson Financial Services Canada to be a Non-Conforming Clearing Member. Under this status, CDCC will prevail itself of any appropriate measures available to it under its Rules.

If you have any questions or concerns, please contact CDCC’s Member Services Department or direct e-mail inquiries to cdccops@cdcc.ca.

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Canadian Derivatives Clearing Corporation

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