

B.11.2 Marketplaces

B.11.2.1 Carta Capital Markets, LLC – Revocation of Exemptive Relief – Notice of Commission Decision

CARTA CAPITAL MARKETS, LLC
REVOCAION OF EXEMPTIVE RELIEF
NOTICE OF COMMISSION DECISION

On December 5, 2024, the Commission revoked an exemptive relief decision issued to Carta Capital Markets, LLC (**Filer**) on January 21, 2022 ([2022 Decision](#)). The 2022 Decision granted exemptive relief to the Filer from the application of all provisions of National instrument 21-101 *Marketplace Operation*, National Instrument 23-101 *Trading Rules* and National Instrument 23-103 *Electronic Trading and Direct Electronic Access to Marketplaces* that apply to a person or company carrying on business as an alternative trading system in Ontario, British Columbia, Alberta, Saskatchewan, Manitoba, Quebec, New Brunswick, Nova Scotia, Newfoundland and Labrador, Prince Edward Island, Yukon, Northwest Territories and Nunavut. The 2022 Decision also provided exemptive relief to the Filer from the dealer registration requirement, which was granted by the Commission as principal regulator in accordance with Multilateral Instrument 11-102 *Passport System*.

A copy of the revocation decision is published in Chapter B.3 of this Bulletin.