

IIROC NOTICE

Rules Notice
Guidance Note
Dealer Member Rules

Please distribute internally to:

Credit
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Legal and Compliance
Operations
Regulatory Accounting
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List of Recognized Exchanges and Associations for the Purposes of Determining Entities that Qualify as Regulated Entities

Attached is a revised list of recognized exchanges and associations that meet the criteria stipulated in the definition of “regulated entities” in the General Notes and Definitions to the Joint Regulatory Questionnaire and Report (Form 1). This list has been updated to include the following:

- Euronext Brussels
- New Zealand Exchange Limited
- Swiss Exchange
- Borsa Italiana
- Investment Industry Regulatory Organization of Canada (IIROC)
- Financial Industry Regulatory Authority (FINRA)

In addition, the following associations have been removed from the list to reflect recent name changes and corporate reorganizations:

- Investment Dealers Association of Canada



- National Association of Securities Dealers, Inc.

This list replaces the previous list issued as part of Member Regulation Notice MR0493, issued on September 18, 2007 and is effective immediately.

IIROC Dealer Member Rules referenced in this Notice:

- Form 1, General Notes and Definitions, definition of the term “regulated entities”

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<http://docs.iiroc.ca/DisplayDocument.aspx?DocumentID=D9B75A677288443E8E309005E76479E3&Language=en>