

# IIROC NOTICE

**Rule Notice**  
**Guidance Note**  
**Dealer Member Rules**

*Please distribute internally to:*  
Operations  
Regulatory Accounting

*Contact:*

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**08-0004**  
**June 3, 2008**

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## Custodial Agreements

Attached is a listing of Custodial Agreements in effect as of May 31, 2008 between the Investment Industry Regulatory Organization of Canada (IIROC), as bare trustee on behalf of Members, and various entities such as mutual fund companies, the Bank of Canada etc., in reference to the Definition in Form #1, paragraph (d) – Acceptable Securities Locations.

In the administration of these custody agreements, the IIROC carries out due diligence to ensure that the custodial agreement is in the prescribed form and is duly executed by those in authority. Copies of the agreements on file are available upon request. It remains the responsibility of Member firms to carry out product due diligence and suitability assessment of investment sold to clients.

Please contact the IIROC Financial Compliance department directly for future changes, deletions or additions to the monthly published custodial agreement listing.

[Bare Trustee Agreements - Approved Fund Managers as of May 31, 2008](#)