

IIROC NOTICE

Rules Notice Request for Comments

Dealer Member Rules

Please distribute internally to:

Legal and Compliance

Retail

Senior Management

Contact:

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Director, Member Regulation Policy

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09-0051

February 17, 2009

Response to comments – client complaint handling rule and guidance note and amendments to Dealer Member Rules 19, 37 and 2500

Please note that a summary of comments received regarding the initial proposed amendments to complaint handling requirements published for comment in November, 2007, and IIROC staff's response, are posted on the IIROC website (www.iiroc.ca) under the heading "IIROC Rulebook – Dealer Member Rules – Policy Proposals/Comments").

The comment period for IIROC's current proposed amendments regarding complaint handling expires on March 16, 2009. Comments should be made in writing. Two copies of each comment letter should be delivered by March 16, 2009. One copy should be addressed to the attention of Jamie Bulnes, Director, Member Regulation Policy, Investment Industry Regulatory Organization of Canada, Suite 1600, 121 King Street West, Toronto, Ontario, M5H 3T9. The second copy should be addressed to the Manager of Market Regulation, Ontario Securities Commission, 19th Floor, Box 55, 20 Queen Street West, Toronto, Ontario, M5H 3S8.

Those submitting comment letters should be aware that a copy of their comment letter will be made publically available on the IIROC website.