

# IIROC NOTICE

## **Rules Notice Technical**

Dealer Member Rules

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**12-0066**

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## **List of Recognized Exchanges and Associations (Regulated Entities Purposes)**

This list identifies the exchanges and associations whose members qualify as “regulated entities” as defined in the General Notes and Definitions to Form 1 (the Joint Regulatory Financial Questionnaire and Report). These exchanges and associations meet the six criteria that are specified in the definition of regulated entities.

Regulated entities is one of four counterparty classification categories, which is to be used by Dealer Members in applying margin and capital requirements on transactions with these counterparties.

This list has been updated with the following changes:

- the American Stock Exchange will be renamed as NYSE AMEX LLC;
- the Bolsa de Valores de Sao Paulo will be renamed as Bolsa de Valores de São Paulo - BVSP (Bovespa S.A. - BVSP);



- the London International Financial Futures and Options Exchange will be renamed as London International Financial Futures and Options Exchange (LIFFE); and
- the Swiss Exchange will be renamed as SIX Swiss Exchange AG.

[This list](#) replaces the previous list provided in IIROC Rules Notice 10-0302, issued on November 19, 2010, and is effective immediately.