

IIROC NOTICE

Rule Notice Technical

Dealer Member Rules

Please distribute internally to:

Operations
Regulatory Accounting

Contact:

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13-0289
December 2, 2013

Custodial Agreements

Attached is a listing of Custodial Agreements in effect as of November 30, 2013 between the Investment Industry Regulatory Organization of Canada (IIROC), as bare trustee on behalf of Dealer Members, and various entities such as mutual fund companies, the Bank of Canada, pooled funds, laboured sponsored funds etc.

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

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

[Custodial Agreements \(30-11-13\)](#)