

IIROC NOTICE

Rules Notice
Notice of Approval/Implementation
Dealer Member Rules

Please distribute internally to:
Legal and Compliance
Operations
Senior Management
Retail

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16-0133

June 16, 2016

Amendments Requiring Disclosure of Membership in IIROC

The applicable securities regulatory authorities have approved amendments to IIROC Dealer Member Rules, setting out, among other things, requirements for Dealer Members to disclose that they are regulated by IIROC.

The amendments were last published for comment on November 5, 2015 in IIROC Rules [Notice 15-0248](#) - *Re-Publication of Proposed Amendments of Requirement to Disclose Membership in IIROC as a Dealer Member (Notice 15-0248)*. All relevant background information, including the objectives and publication history of the amendments, is set out in Notice 15-0248.

Comments Received

We received nine comment letters in response to Notice 15-0248. Attachment E to this Notice provides a summary of the comments we received and our responses. We have not made any revisions to the amendments, as set out in Notice 15-0248, as a result of these comments.

Final Amendments

Attached are the final amendments and accompanying attachments. There have been no revisions to any of these attachments from those previously published in Notice 15-0248.

- [Attachment A](#) - Amendments to Dealer Member Rules 700, 22, 29.14 and 29.28
- [Attachment B](#) - IIROC Membership Disclosure Policy
- [Attachment C](#) - CIPF Disclosure Policy
- [Attachment D](#) - CIPF Supplemental Guide to the CIPF Disclosure Policy
- [Attachment E](#) - Comments received in response to Notice 12-0258 and IIROC's responses

It should be noted that Attachment B – *IIROC Membership Disclosure Policy* has been updated to include an additional contact telephone number for IIROC.

Implementation

The amendments will be effective on **January 1, 2017**, other than the requirement relating to the inclusion of the IIROC Logo on client account statements, as set out in section 3 of the IIROC Membership Disclosure Policy, which will be effective on **July 1, 2018**.