

IIROC NOTICE

Rules Notice

Technical

Dealer Member Rules

Please distribute internally to:

Legal and Compliance
Operations
Retail
Senior Management

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16-0272
November 24, 2016

Disclosure of Membership in IIROC – IIROC Official Brochure

As part of IIROC's [Membership Disclosure Policy](#) published on June 16, 2016¹, IIROC Dealer Members will be required to distribute the IIROC Official Brochure to new retail clients at account opening and to existing retail clients upon request. The Policy takes effect on January 1, 2017.

IIROC is currently revising the IIROC Official Brochure, which will be named "*How IIROC protects investors*".

As we transition to the new version of the IIROC Official Brochure – which will be available in December – Dealer Members and their representatives may continue to distribute hard copies of the existing brochure, "*Why IIROC Matters to You, the Investor*", until inventories are depleted.

PDF versions of the IIROC Official Brochure and detailed information on how to order IIROC brochures are available on the [Member Resources](#) and [Membership Disclosure](#) pages of the [IIROC website](#).

¹ See [Rules Notice 16-0133](#) - Amendments Requiring Disclosure of Membership in IIROC.



The IIROC Official Brochure provides important information to investors, such as explanations of the high standards for proficiency and professionalism of IIROC registrants and the benefits and protections of investing through an IIROC-regulated advisor or firm. We trust this information can help your registered representatives build strong, informed relationships with clients.

Another IIROC Notice issued today pertains to additional versions of the [IIROC logo for Disclosure of Membership in IIROC](#).

For questions regarding the Membership Disclosure Policy, please contact Member Regulation Policy. For questions regarding the IIROC Official Brochure, please contact Public Affairs. Contact information is listed above.

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