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17-0080
April 6, 2017

New Webcast: Proposed Registration Changes

IIROC published for comment the next iteration of the Plain Language Rule Book on March 9, 2017.¹ We also published for comment proposed forms and guidance on investments in a Dealer Member.² The publications contain proposed registration changes. The objectives of these changes include:

- harmonizing IIROC requirements with applicable securities legislation found in National Instrument 31-103 *Registration Requirements, Exemptions and Ongoing Registrant Obligations* and its Companion Policy
- addressing gaps and implementation issues identified in existing Dealer Member Rules following the implementation of Registration Reform rule changes in 2009

¹ IIROC [Notice 17-0054](#) – Rules Notice – Request for Comments – Dealer Member Rules – Republication of Proposed IIROC Dealer Member Plain Language Rule Book.

² IIROC [Notice 17-0055](#) – Rules Notice – Request for Comments – Dealer Member Rules – Investment in a Dealer Member – Proposed Changes to Forms and Guidance.



- ensuring consistency with the requirements we are proposing as part of the Dealer Member Plain Language Rule Book Project
- updating the Investor Application Form and the Investor Notification Form to reflect current practices and increase efficiency in the application process
- Addressing preliminary changes to IIROC's Continuing Education Program while our broader regulatory review is ongoing

This webcast provides helpful information on the following topics contained in the Plain Language Rule Book 2000 Series and related forms and guidance:

- ownership changes and changes to the Investor Application Form and Investor Notification Form
- re-introduction of the Associate Portfolio Manager and Portfolio Manager category of approval and the transition to those categories
- changes to the requirement to appoint an acting Chief Compliance Officer and acting Chief Financial Officer
- Supervisor changes - from a proficiency and experience perspective
- proficiency and exemption related matters
- Continuing Education
- National Registration Database

Our presenters are:

- Marina Ripoché, Director of Registration at IIROC
- Lucy Pacheco, Manager of Registration at IIROC
- Josette Nagel, Manager of Registration at IIROC
- Lindsey Mahoney, Proficiency Specialist at IIROC

Your participation in this webcast will earn you **.5 Education Compliance Credits.**

This webcast will be available in English only for viewing commencing on April 7, 2017 at 7:00 am Eastern time and on a 24/7 basis after that date. A French version will follow in the next few weeks.

Please note that there is no accompanying quiz for this webcast. Upon completion of the webcast, participants will be issued an electronic and personalized Continuing Education credit (.5 CE credit) certificate which can be applied to their **Compliance Requirements.**



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