

# IIROC NOTICE

## Administrative Notice

General

*Please distribute internally to:*

Institutional  
Legal and Compliance  
Operations  
Senior Management  
Trading Desk  
Retail

### Contact:

*Madeleine A. Cooper*

Policy Counsel

416.646.7203

[mcooper@iiroc.ca](mailto:mcooper@iiroc.ca)

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## Delivery of Documents During a Postal Strike or Lockout

A nationwide postal strike or lockout may occur as early as October 22, 2018. While many clients now receive documents electronically, Dealer Members should take alternative steps for those documents normally delivered by post as IIROC rules do not provide exemptions to the various document delivery requirements.

We remind Dealer Members to review applicable securities legislation, such as [National Policy 11-201 Electronic Delivery of Documents](#), and our Member Regulation Notice [MR-008 Guidelines for the Electronic Delivery of Documents](#) when delivering documents electronically, including by email or fax.

## IIROC Recommendations

If there is a postal strike or lockout, we recommend Dealer Members take the following actions:

1. Advise your clients there could be a delay receiving documents by mail and discuss alternate arrangements with the client if they require the document urgently.
2. Provide your clients with the opportunity to receive confirmations and monthly statements by other means such as email<sup>1</sup> or fax. For clients who do not have these services, where practical consider courier delivery<sup>2</sup> to clients directly or to branch offices for client pickup.

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<sup>1</sup> Email includes an email to a client's personal email address and emails delivered to a client through an electronic document delivery system (which you have appropriately notified IIROC about), provided the practice complies with applicable securities regulations.



3. Remind your Registered Representatives to confirm trades and communicate cash and margin calls by telephone. Provide your Registered Representatives with suggestions for how clients can obtain documents, make payment or deliver securities.
4. New issue offering documents must be delivered as required under the relevant securities legislation. The same applies to risk disclosure documents required to be provided to clients before options and futures trading can be conducted. Arrange alternate means for delivery of those documents.
5. Email or fax copies of client documents which must be signed prior to trading, such as options agreements, are acceptable on an interim basis. You should determine whether originals are necessary and have procedures in place to follow up on any originals that are not received within a reasonable time after postal service resumes.
6. Electronic delivery is the most efficient method of delivering documents to IIROC in the event of a postal strike or lockout; however, where practical you may use courier services instead of mail delivery. When sending information to IIROC, you must continue to meet applicable delivery requirements, including those relating to information privacy. For more information, please consult [IIROC Notice 14-0100 Update Respecting Secure Communications with IIROC](#).

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<sup>2</sup> Courier delivery includes private couriers, such as bike couriers and commercial couriers, such as FedEx, Purolator and UPS. Interoffice mail can also be considered a delivery option when sending documents to branches for client pick-up.