

# IIROC NOTICE

## Education Notice

*Please distribute internally to:*

Institutional  
Legal and Compliance

Retail  
Senior Management  
Trading Desk  
Training

*Contact:*

Dianne Weatherby  
Corporate Events Specialist, Public Affairs  
416 646 7202  
[dweatherby@iiroc.ca](mailto:dweatherby@iiroc.ca)

**18-0013**  
**January 11, 2018**

## UMIR 7.1 Amendments Workshops

The amendments to UMIR 7.1 will come into effect on March 27, 2018.

To help you understand the compliance issues associated with these changes, the Investment Industry Regulatory Organization of Canada (IIROC) is pleased to invite you to attend either:

- an in-person, interactive training workshop to be held on January 25, 2018, from 2:00-3:00 pm (Eastern), at IIROC's offices at 121 King Street West, 20<sup>th</sup> floor, or
- an online webinar workshop to be presented on January 26, 2018, from 3:00-4:00 pm (Eastern).

IIROC's Lise St-Onge, Manager of Trading Conduct Compliance, Ryan Blachford, Manager of Trading Conduct Compliance and Sonali GuptaBhaya, Director, Market Regulation Policy will:

- review the new requirements
- discuss potential ways to comply with the new rules



- provide further insight into TCC’s approach and expectations when reviewing for compliance with the new requirements.

Your attendance will earn you **1 hour of IIROC Continuing Education Compliance Credits.**

Registration:

For more information and to register click [here](#).

To access all upcoming Member Education Services Events, simply subscribe to IIROC’s ePublications service at [www.iiroc.ca](http://www.iiroc.ca) and select the following categories: “Education Notices” and “Member Events.” ePublications is a free, self-managed system, whereby subscribers can change their selection criteria whenever and as many times as they want, making it a quick and easy way to receive information.