

# IIROC NOTICE

## **Administrative Notice Call for Nomination**

***Applications Due By: March 22, 2019***

*Please distribute internally to:*

Education and Training  
Institutional  
Legal and Compliance  
Registration  
Retail  
Senior Management  
Trading Desk

**19-0032**

***February 22, 2019***

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## **IIROC District Councils - Call for Nomination**

The Nomination Subcommittee of each IIROC District Council in Canada invites Dealer Members to nominate candidates for election to the District Council in each province where the Dealer has offices.

### **1. District Councils**

Each District Council acts as a local committee, whose mandate includes both a regulatory role, in relation to regional approval and membership matters, and an advisory role with respect to regional issues, as well as the provision of regional perspective on national issues.

District Councils perform a number of specific regulatory functions related to Dealer Members, most of which relate to registration and membership matters.

The District Councils provide an important opportunity to participate in the self-regulatory process of the securities industry. Along with its regulatory and policy development roles, District Council discusses industry issues among members and with regulators to improve and enhance regulation and oversight of the capital markets in Canada.



Each District Council is comprised of 4 to 20 members, including a Chair and a Vice-Chair. Position terms are held for two years and they are renewable but subject to term limits. Chair and Vice-Chair positions are held for generally two-year terms<sup>1</sup>. Each District Council usually meets between 6 to 12 times a year.

District Councils also operate with subcommittees. Each District Council has a Registration and a Nomination Subcommittee. Other standing subcommittees may be established at the initiative of the District Council.

## **2. Nomination and Appointment Process**

A Dealer Member with offices in the District may nominate a candidate for election to the District Council. To qualify as a nominee, a person must be an officer or employee of a Dealer Member in the District. Nominees must be interested in getting involved and contributing to discussions on the investment industry's regulatory aspects.

All nominees are reviewed by the Nomination Subcommittee of the District and approved by the District Council prior to submission for consideration at the Annual General Meeting of the Dealer Members of the District.

## **3. Submissions**

Please consult the list of current District Council members in Canada [here](#) before proposing a candidate for a specific District Council.

Each nomination must include the individual's resume and the Nomination form (see [Appendix A](#)) approved by the management of the Dealer Member.

Please submit the completed Nomination form by no later than **Friday, March 22, 2019** to Ms. Kateryna Kuchuk who acts as a national coordinator for this call of nominations.

Mail: Kateryna Kuchuk  
Executive Assistant to Ms. France Kingsbury, Regional Director, Regulation  
Investment Industry Regulatory Organization of Canada  
525 Avenue Viger West, Suite 601  
Montreal, Quebec  
H2Z 0B2

Email: [kkuchuk@iiroc.ca](mailto:kkuchuk@iiroc.ca)

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<sup>1</sup> In Ontario, the Chair and the Vice-Chair usually serve for a one-year term.



If you have any questions about representation in your region, please reach out to the following contact persons:

Ron Johnston (British Columbia)

Director, Pacific

604-331-4788

[rjohnston@iroc.ca](mailto:rjohnston@iroc.ca)

France Kingsbury (New Brunswick, Nova Scotia, Newfoundland and Labrador, Prince Edward Island, Quebec)

Regional Director, Regulation

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Levi Sankar (Ontario)

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