

District Council Procedures Registration Sub-Committee Mandate

Mandate

The mandate of the Registration Sub-Committee is to make individual approval decisions (including the granting of proficiency exemptions) under authority which has been delegated to the sub-committee by the District Council under IIROC's rules.

Authorities

The Sub-Committee members shall review and decide on proficiency exemptions and other approval requests on behalf of the District Council and in accordance with authorities delegated to them by the District Council.

Delegation by the Council

Delegated authorities may include any authorities the District Council has with respect to individual approval matters under Dealer Member Rule 20. They can include proficiency exemptions, approvals, setting terms and conditions on the continued approval of individuals, suspend and terminate approvals of individuals, etc.

The delegation of authority to the Sub-Committee will be documented in the minutes of the District Council.

Review of Sub-Committee Decisions

IIROC Staff, an applicant or an approved person may seek a review of a decision of the Sub-Committee before a Panel, according to IIROC Rules.