

Rule 1

Linkage (Cross-References)

>Bulletins (4)

Bulletin No. 3242 — By-Laws and Regulations — Amendments to By-law 1 Definition of Approved Person (January 28, 2004)

Bulletin No. 3193 — By-Laws and Regulations — By-laws 1 and 7; Policy 6, Parts I and II - Requirement to Appoint a Chief Financial Officer and Introduction of Chief Financial Officer Qualifying Examination (September 15, 2003)

Bulletin No. 3140 — By-Laws and Regulations — Minimum Margin Requirements for Bonds with Embedded Options – By-Law 1 and Regulation 100.2A (April 28, 2003)

Bulletin No. 2683 — By-Laws and Regulations — Elimination of Standby Subordinated Debt for Regulatory Capital purposes and adoption of Provider of Capital Concentration Charge – Form 1 and Bylaws 1, 5.2 and 5.2A (January 24, 2000)

>Notices (4)

Notice No. 16-0122 – Rules Notice - Notice of Approval/Implementation – Implementation of the consolidated IIROC Enforcement, Examination and Approval Rules (June 9, 2016)

Notice No. 09-0268 — Rules Notice – Notice of Approval / Implementation — IIROC Dealer Member Rule Amendments to Implement the CSA’s Registration Reform Project (September 16, 2009)

MR0246 — Availability of CFO Category and Other NRD Changes (October 15, 2003)

MR0006 — Elimination of Standby Subordinated Debt for Regulatory Capital Purposes and Adoption of Provider of Capital Concentration Charge - Form 1 (January 24, 2000)

Rule 1.1

Linkage (Cross-References)

>Bulletins (1)

Bulletin No. 2866 — By-Laws and Regulations — By-law 38 and Amendments to Policy 2 and By-law 1.1 (July 19, 2001)

>Notices (7)

Notice No. 16-0122 – Rules Notice - Notice of Approval/Implementation – Implementation of the consolidated IIROC Enforcement, Examination and Approval Rules (June 9, 2016)

Notice No. 14-0263 — Rules Notice – Notice of Approval / Implementation — Provisions Respecting Order Execution Services as a Form of Third-Party Electronic Access to Marketplaces (November 13, 2014)

Notice No. 09-0268 — Rules Notice – Notice of Approval / Implementation — IIROC Dealer Member Rule Amendments to Implement the CSA’s Registration Reform Project (September 16, 2009)

MR0349 — Officer and Business Titles (May 6, 2005)

MR0308 — Investor Notification and Approval Process (September 14, 2004)

MR0142 — Investor Notification and Approval Process (May 23, 2002)

MR0106 — Estate Freeze Reorganizations of a Member (October 17, 2001)

Rule 1.2

Linkage (Cross-References)

>Notices (1)

Notice No. 09-0268 — Rules Notice – Notice of Approval / Implementation — IIROC Dealer Member Rule Amendments to Implement the CSA’s Registration Reform Project (September 16, 2009)

Rule 1.3

Linkage (Cross-References)

>Notices (1)

Notice No. 09-0268 — Rules Notice – Notice of Approval / Implementation — IIROC Dealer Member Rule Amendments to Implement the CSA’s Registration Reform Project (September 16, 2009)

Rule 1.4

Linkage (Cross-References)

>Notices (1)

Notice No. 09-0268 — Rules Notice – Notice of Approval / Implementation — IIROC Dealer Member Rule Amendments to Implement the CSA’s Registration Reform Project (September 16, 2009)

Rule 1.5

Linkage (Cross-References)

>Notices (1)

Notice No. 09-0268 — Rules Notice – Notice of Approval / Implementation — IIROC Dealer Member Rule Amendments to Implement the CSA’s Registration Reform Project (September 16, 2009)

Rule 1.6

Linkage (Cross-References)

>Notices (1)

Notice No. 09-0268 — Rules Notice – Notice of Approval / Implementation — IIROC Dealer Member Rule Amendments to Implement the CSA’s Registration Reform Project (September 16, 2009)