

## Rule 4

### Linkage (Cross-References)

#### >Bulletins (2)

Bulletin No. 3325 — By-Laws and Regulations — IDA Hearing Processes - Amendments to By-law 20, amendments to corollary By-laws and establishment of Rules of Practice and Procedure (September 2, 2004)

Bulletin No. 3324 — By-Laws and Regulations — By-law 40 – Individual Approvals, Notifications and Related Fees and the National Registration Database (September 2, 2004)

#### >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 4.1

### 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 4.2

### 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 4.3

### 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 4.4

### 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 4.5

### 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 4.6

### Linkage (Cross-References)

#### >Bulletins (1)

Bulletin No. 3527 — By-Laws and Regulations — Amendments to By-laws 4.6 and 4.9 and Policy 6, Part I Non-retail Branch Managers (April 10, 2006)

#### >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 4.7

### Linkage (Cross-References)

#### >Notices (2)

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)

MR0306 — Procedure for Foreign Offices of IDA Members (September 2, 2004)

## Rule 4.7A

### 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 4.9

### Linkage (Cross-References)

#### >Bulletins (1)

Bulletin No. 3527 — By-Laws and Regulations — Amendments to By-laws 4.6 and 4.9 and Policy 6, Part I Non-retail Branch Managers (April 10, 2006)

#### >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 4.9A

### 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 4.12

### 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 4.13

### 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 4.14

### Linkage (Cross-References)

#### >Bulletins (1)

Bulletin No. 2934 — By-Laws and Regulations — Late Filing Fees for Reports – By-laws 4.14, 7.6 and 18.18 (December 17, 2001)

#### >Notices (3)

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)

MR0198 — Late Filing Fees for Uniform Termination Notices (February 20, 2003)

MR0123 — Late Filing Fee for Supervision Reports (December 21, 2001)