

Rule 18

Linkage (Cross-References)

>Bulletins (1)

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 18.1

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 18.2

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 18.3

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 18.4

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 18.5

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 18.6

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)

Rule 18.7

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 18.8

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 18.9

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 18.11

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)

MR0145 — Change to IDA Procedures For Registrants Named In Civil Actions (June 6, 2002)

Rule 18.13

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 18.14

Linkage (Cross-References)

>Notices (3)

Notice No. 13-0162 — Rules Notice – Notice of Approval / Implementation — Personal financial dealing and outside business activities (June 13, 2013)

Notice No. 12-0384 — Rules Notice – Guidance Note — Sale of principal protected notes by Approved Persons of IIROC Dealer Members (December 18, 2012)

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 18.14(d)(ii)

Linkage (Cross-References)

>Bulletins (1)

Bulletin No. 2867 — By-Laws and Regulations — Amendments to By-law 18.14(d)(ii) (July 19, 2001)

By-law No. 18.14(d)(iii)

Linkage (Cross-References)

>Notices (1)

MR0118 — Other Business Activities (November 26, 2001)

>Bulletins (1)

Bulletin No. 3714 — By-Laws and Regulations — Housekeeping Amendment to By-law 18.14(d): Repeal of Subsection 18.14(d)(iii) (April 23, 2008)

Rule 18.15

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 18.16

Linkage (Cross-References)

>Notices (2)

Notice No. 14-0073 — Rules Notice – Guidance Note — Use of Business Titles and Financial Designations (March 24, 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)

Rule 18.17

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 18.18

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)