

Rule 29

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 29.1

Linkage (Cross-References)

>Notices (9)

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. 14-0073 - 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)

MR0434 - Other Business Activities (November 17, 2006)

MR0418 - Improper Sales Practices (August 21, 2006)

MR0361 - Unilateral Mutual Fund Substitutions (July 20, 2005)

MR0320 - Regulation SHO Under Securities Exchange Act of 1934 (December 2, 2004)

MR0282 - Positive Affirmation Rule (April 13, 2004)

MR0045 - Solicitation Fees (October 23, 2000)

Rule 29.3A

Linkage (Cross-References)

>Notices (2)

MR0279 - Client Priority in TSX Venture Private Placements Suggested Procedures (March 29, 2004)

MR0267 - Client Priority in TSX Venture Private Placements (January 27, 2004)

Rule 29.5

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 29.6

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 29.7

Linkage (Cross-References)

>Bulletins and Notices (7)

Notice No. 14-0073 - Rules Notice - Guidance Note - Use of Business Titles and Financial Designations (March 24, 2014)

Notice No. 11-0349 - Rules Notice - Guidance Note - Guidelines for the review, supervision and retention of advertisements, sales literature and correspondence (December 7, 2011)

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)

Notice No. 09-0172 - Rules Notice - Guidance Note - Sales Practice Obligations Relating to Leveraged and Inverse Exchange-Traded Funds (June 12, 2009)

MR0281 - Guidelines for the Review of Advertisements, Sales Literature and Correspondence (April 12, 2004)

Bulletin No. 3270 - By-Laws and Regulations - By-law 29.7 Advertisements, Sales Literature and Correspondence (April 12, 2004)

MR0248 - Policy No. 11 (October 27, 2003)

Rule 29.7A

Linkage (Cross-References)

>Bulletins and 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)

Bulletin No. 2904 - By-Laws and Regulations - By-Law 29.7A Trade Names (November 13, 2001)

By-law No. 29.7A(3)

Linkage (Cross-References)

>Notices (1)

MR0327 - Trade Names (January 5, 2005)

Rule 29.9

Linkage (Cross-References)

>Notices (3)

Notice No. 16-0113 - Technical Notice - Client Relationship Model (“CRM”) - Frequently Asked Questions (May 30, 2016)

Notice No. 14-0133 - Rules Notice - Notice of Approval / Implementation - Client Relationship Model - Phase 2 Performance Reporting and Fee / Charge Disclosure amendments to Dealer Member Rules 29, 200 and 3500 and to Dealer Member Form 1 (May 29, 2014)

Notice No. 11-0256 - Rules Notice - Notice of Approval / Implementation - Over-the-counter securities fair pricing rule and confirmation disclosure requirements (September 1, 2011)

Rule 29.10

Linkage (Cross-References)

>Notices (1)

Notice No. 11-0256 - Rules Notice - Notice of Approval / Implementation - Over-the-counter securities fair pricing rule and confirmation disclosure requirements (September 1, 2011)

Rule 29.12

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 29.13

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 29.14

Linkage (Cross-References)

>Bulletins and Notices (4)

Notice No. 16-0133 - Rules Notice - Notice of Approval/Implementation - Dealer Member Rules - Amendments Requiring Disclosure of Membership in IIROC (June 16, 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)

MR0281 - Guidelines for the Review of Advertisements, Sales Literature and Correspondence (April 12, 2004)

Bulletin No. 2827 - By-Laws and Regulations - By-law Amendments 29.14 to 29.25: Disclosure Standards for Formal Valuations and Fairness Opinions in Transactions Governed by OSC Rule 61-501 Now in Force (March 5, 2001)

By-law No. 29.14(c)

Linkage (Cross-References)

>Notices (1)

MR0087 - Consolidated Statements (August 2, 2001)

Rule 29.15

Linkage (Cross-References)

>Bulletins (1)

Bulletin No. 2827 - By-Laws and Regulations - By-law Amendments 29.14 to 29.25: Disclosure Standards for Formal Valuations and Fairness Opinions in Transactions Governed by OSC Rule 61-501 Now in Force (March 5, 2001)

Rule 29.16

Linkage (Cross-References)

>Bulletins (1)

Bulletin No. 2827 - By-Laws and Regulations - By-law Amendments 29.14 to 29.25: Disclosure Standards for Formal Valuations and Fairness Opinions in Transactions Governed by OSC Rule 61-501 Now in Force (March 5, 2001)

Rule 29.17

Linkage (Cross-References)

>Bulletins (1)

Bulletin No. 2827 - By-Laws and Regulations - By-law Amendments 29.14 to 29.25: Disclosure Standards for Formal Valuations and Fairness Opinions in Transactions Governed by OSC Rule 61-501 Now in Force (March 5, 2001)

Rule 29.18

Linkage (Cross-References)

>Bulletins (1)

Bulletin No. 2827 - By-Laws and Regulations - By-law Amendments 29.14 to 29.25: Disclosure Standards for Formal Valuations and Fairness Opinions in Transactions Governed by OSC Rule 61-501 Now in Force (March 5, 2001)

Rule 29.19

Linkage (Cross-References)

>Bulletins (1)

Bulletin No. 2827 - By-Laws and Regulations - By-law Amendments 29.14 to 29.25: Disclosure Standards for Formal Valuations and Fairness Opinions in Transactions Governed by OSC Rule 61-501 Now in Force (March 5, 2001)

Rule 29.20

Linkage (Cross-References)

>Bulletins (1)

Bulletin No. 2827 - By-Laws and Regulations - By-law Amendments 29.14 to 29.25: Disclosure Standards for Formal Valuations and Fairness Opinions in Transactions Governed by OSC Rule 61-501 Now in Force (March 5, 2001)

Rule 29.21

Linkage (Cross-References)

>Bulletins (1)

Bulletin No. 2827 - By-Laws and Regulations - By-law Amendments 29.14 to 29.25: Disclosure Standards for Formal Valuations and Fairness Opinions in Transactions Governed by OSC Rule 61-501 Now in Force (March 5, 2001)

Rule 29.22

Linkage (Cross-References)

>Bulletins (1)

Bulletin No. 2827 - By-Laws and Regulations - By-law Amendments 29.14 to 29.25: Disclosure Standards for Formal Valuations and Fairness Opinions in Transactions Governed by OSC Rule 61-501 Now in Force (March 5, 2001)

Rule 29.23

Linkage (Cross-References)

>Bulletins (1)

Bulletin No. 2827 - By-Laws and Regulations - By-law Amendments 29.14 to 29.25: Disclosure Standards for Formal Valuations and Fairness Opinions in Transactions Governed by OSC Rule 61-501 Now in Force (March 5, 2001)

Rule 29.24

Linkage (Cross-References)

>Bulletins (1)

Bulletin No. 2827 - By-Laws and Regulations - By-law Amendments 29.14 to 29.25: Disclosure Standards for Formal Valuations and Fairness Opinions in Transactions Governed by OSC Rule 61-501 Now in Force (March 5, 2001)

Rule 29.25

Linkage (Cross-References)

>Bulletins (1)

Bulletin No. 2827 - By-Laws and Regulations - By-law Amendments 29.14 to 29.25: Disclosure Standards for Formal Valuations and Fairness Opinions in Transactions Governed by OSC Rule 61-501 Now in Force (March 5, 2001)

Rule 29.26

Linkage (Cross-References)

>Bulletins and 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)

Bulletin No. 3009 - By-Laws and Regulations - By-Law 29.26--Leverage Disclosure (June 17, 2002)

Rule 29.27

Linkage (Cross-References)

>Bulletins and Notices (4)

Notice No. 09-0370 - Rules Notice - Guidance Note - Best Practices for Head Office Supervision of Branch Offices (December 22, 2009)

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)

Notice No. 09-0086 - Rules Notice - Request for Comments- Response to comments received on draft guidance notice: “Best practices for product due diligence” (March 23, 2009)

Bulletin No. 2971 - By-Laws and Regulations - By-law 29.27-Supervision and Compliance (March 15, 2002)

Rule 29.28

Linkage (Cross-References)

>Notices (1)

[Notice No. 16-0133 - Rules Notice - Notice of Approval/Implementation - Dealer Member Rules - Amendments Requiring Disclosure of Membership in IIROC \(June 16, 2016\)](#)