

Rule 35

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. 2883 — By-Laws and Regulations — Amendments to By-law No. 35 Introducing Broker/Carrying Broker Arrangements (August 31, 2001)

>Notices (4)

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

MR0177 — Electronic Signatures (November 18, 2002)

MR0134 — Financial Considerations for Member firms that are currently a Carrying Broker or are contemplating becoming a Carrying Broker (April 4, 2002)

MR0096 — Introducing Broker/Carrying Broker Arrangements (August 31, 2001)

Rule 35.1

Linkage (Cross-References)

>Notices (2)

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

MR0291 — Consolidation of Back-Office Operations of a Member firm and its Affiliate (May 21, 2004)

By-law No. 35.1(e)(i-iv)

Linkage (Cross-References)

>Bulletins (1)

Bulletin No. 2817 — By-Laws and Regulations — Amendments to By-law 35 Introducing Broker/Carrying Broker Arrangements (January 29, 2001)

Rule 35.2(k)

Linkage (Cross-References)

>Bulletins (1)

Bulletin No. 2817 — By-Laws and Regulations — Amendments to By-law 35 Introducing Broker/Carrying Broker Arrangements (January 29, 2001)

Rule 35.3(k)

Linkage (Cross-References)

>Bulletins (1)

Bulletin No. 2817 — By-Laws and Regulations — Amendments to By-law 35 Introducing Broker/Carrying Broker Arrangements (January 29, 2001)