

Rule 38

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 (3)

Notice No. 12-0379 — Rules Notice – Guidance Note — The Role of Compliance and Supervision (December 17, 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)

MR0089 — Implementation of By-law 38 (August 8, 2001)

Rule 38.1

Linkage (Cross-References)

>Notices (2)

Notices No. 14-0280 — Rules Notice – Guidance Note — Part Time Chief Financial Officers (December 1, 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 38.2

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 38.3

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 38.4

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 38.5

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 38.6

Linkage (Cross-References)

>Bulletins (1)

Bulletin No. 3674 — By-laws and Regulations — By-laws 38; Policy 6, Parts I and II - Chief Compliance Officer Qualifying Examination (September 28, 2007)

>Notices (2)

Notices No. 14-0280 — Rules Notice – Guidance Note — Part Time Chief Financial Officers (December 1, 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)

History: Amended by [Bulletin # 3674](#).

Rule 38.7

Linkage (Cross-References)

>Bulletins (1)

Bulletin No. 3674 — By-laws and Regulations — By-laws 38; Policy 6, Parts I and II - Chief Compliance Officer Qualifying Examination (September 28, 2007)

>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)

History: Amended by Bulletin # 3674.

Rule 38.8

Linkage (Cross-References)

>Bulletins (1)

Bulletin No. 3674 — By-laws and Regulations — By-laws 38; Policy 6, Parts I and II - Chief Compliance Officer Qualifying Examination (September 28, 2007)

>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 38.9

Linkage (Cross-References)

>Bulletins (1)

Bulletin No. 3674 — By-laws and Regulations — By-laws 38; Policy 6, Parts I and II - Chief Compliance Officer Qualifying Examination (September 28, 2007)

>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)