

Rule 1300.1

Linkage (Cross-References)

>Bulletins and Notices (15)

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

Notice No. 13-0184 - Rules Notice - Notice of Approval / Implementation - Provisions Respecting Third-Party Electronic Access to Marketplaces (July 4, 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. 12-0225 - Rules Notice - Notice of Approval / Implementation - Client Relationship Model – Extension of implementation of the enhanced suitability assessment requirements prescribed by Dealer Member Rule 1300.1 (July 19, 2012)

Notice No. 12-0109 - Rules Notice - Guidance Note - Know your client and suitability - Guidance (March 26, 2012)

Notice No. 12-0108 - Rules Notice - Guidance Note - Client Relationship Model - Guidance (March 26, 2012)

Notice No. 12-0107 - Rules Notice - Notice of Approval / Implementation - Client Relationship Model - Implementation (March 26, 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)

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

MR0418 - Improper Sales Practices (August 21, 2006)

Bulletin No. 3524 - By-Laws and Regulations - Regulation 1300.1 - Suitability and Institutional Accounts (March 24, 2006)

MR0294 - Amendments to Regulation 1300.1 Identification of Beneficial Owners of Non-Individual Accounts (June 7, 2004)

Bulletin No. 3294 - By-Laws and Regulations - Amendments to Regulation 1300 Beneficial Ownership of Non-Individual Accounts (June 7, 2004)

MR0098 - What Constitutes a “Recommendation”? - Is a Suitability Determination Required under Regulation 1300.1 (September 6, 2001)

Bulletin No. 2885 - By-Laws and Regulations - Amendments to Regulation 1300, 1800.5 and 1900.4 Policy 9 (September 6, 2001)

Rule 1300.2

Linkage (Cross-References)

>Bulletins and Notices (4)

Notice No. 12-0109 - Rules Notice - Guidance Note - Know your client and suitability - Guidance (March 26, 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)

Bulletin No. 3241 - By-Laws and Regulations - Amendments to Regulation 1300 regarding Managed Accounts (January 26, 2004)

Bulletin No. 2885 - By-Laws and Regulations - Amendments to Regulation 1300, 1800.5 and 1900.4 Policy 9 (September 6, 2001)

Rule 1300.3

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. 3241 - By-Laws and Regulations - Amendments to Regulation 1300 regarding Managed Accounts (January 26, 2004)

Rule 1300.4

Linkage (Cross-References)

>Bulletins and 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)

Bulletin No. 3241 - By-Laws and Regulations - Amendments to Regulation 1300 regarding Managed Accounts (January 26, 2004)

MR0177 - Electronic Signatures (November 18, 2002)

Rule 1300.5

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. 3241 - By-Laws and Regulations - Amendments to Regulation 1300 regarding Managed Accounts (January 26, 2004)

Rule 1300.6

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. 3241 - By-Laws and Regulations - Amendments to Regulation 1300 regarding Managed Accounts \(January 26, 2004\)](#)

Rule 1300.7

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. 3241 - By-Laws and Regulations - Amendments to Regulation 1300 regarding Managed Accounts \(January 26, 2004\)](#)

Rule 1300.8

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. 3241 - By-Laws and Regulations - Amendments to Regulation 1300 regarding Managed Accounts \(January 26, 2004\)](#)

Rule 1300.9

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. 3241 - By-Laws and Regulations - Amendments to Regulation 1300 regarding Managed Accounts \(January 26, 2004\)](#)

Rule 1300.10

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. 3241 - By-Laws and Regulations - Amendments to Regulation 1300 regarding Managed Accounts (January 26, 2004)

Rule 1300.11

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. 3241 - By-Laws and Regulations - Amendments to Regulation 1300 regarding Managed Accounts (January 26, 2004)

Rule 1300.12

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. 3241 - By-Laws and Regulations - Amendments to Regulation 1300 regarding Managed Accounts (January 26, 2004)

Rule 1300.13

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. 3241 - By-Laws and Regulations - Amendments to Regulation 1300 regarding Managed Accounts (January 26, 2004)

Rule 1300.14

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. 3241 - By-Laws and Regulations - Amendments to Regulation 1300 regarding Managed Accounts (January 26, 2004)

Rule 1300.15

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. 3241 - By-Laws and Regulations - Amendments to Regulation 1300 regarding Managed Accounts \(January 26, 2004\)](#)

Rule 1300.16

Linkage (Cross-References)

>Bulletins and 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 \(September 16, 2009\)](#)

[Bulletin No. 3241 - By-Laws and Regulations - Amendments to Regulation 1300 regarding Managed Accounts \(January 26, 2004\)](#)

[MR0177 — Electronic Signatures \(November 18, 2002\)](#)

Rule 1300.17

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. 3241 - By-Laws and Regulations - Amendments to Regulation 1300 regarding Managed Accounts \(January 26, 2004\)](#)

Rule 1300.18

Linkage (Cross-References)

>Bulletins (1)

[Bulletin No. 3241 - By-Laws and Regulations - Amendments to Regulation 1300 regarding Managed Accounts \(January 26, 2004\)](#)

Rule 1300.19

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. 3241 - By-Laws and Regulations - Amendments to Regulation 1300 regarding Managed Accounts (January 26, 2004)

Rule 1300.20

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. 3241 - By-Laws and Regulations - Amendments to Regulation 1300 regarding Managed Accounts (January 26, 2004)

Rule 1300.21

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. 3241 - By-Laws and Regulations - Amendments to Regulation 1300 regarding Managed Accounts (January 26, 2004)