

Rule 2500

Linkage (Cross-References)

>Bulletins (2)

Bulletin No. 2959 — By-Laws and Regulations — Policy No. 2 Minimum Standards for Retail Account Supervision (February 12, 2002)

Bulletin No. 2866 — By-Laws and Regulations — By-law 38 and Amendments to Policy 2 and By-law 1.1 (July 19, 2001)

>Notices (8)

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

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. 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. 09-0172 — Rules Notice – Guidance Note — Sales Practice Obligations Relating to Leveraged and Inverse Exchange-Traded Funds (June 12, 2009)

MR0177 — Electronic Signatures (November 18, 2002)

MR0160 — Strict Supervision Report (September 9, 2002)

Rule 2500, Part VII.E

Linkage (Cross-References)

>Bulletins (1)

Bulletin No. 3269 — By-Laws and Regulations — Amendments to Policy 2 Regarding Supervision of Managed Accounts (April 5, 2004)

Rule 2500 - Introduction

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 2500 - I. Establishing and Maintaining Procedures, Delegation and Education

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 2500 - II. Opening New Accounts

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 2500 - III. Account Supervision Generally

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 2500 - IV. Two-Tier Reviews

Linkage (Cross-References)

>Notices (2)

Notice No. 14-0263 — Rules Notice – Notice of Approval / Implementation — Provisions Respecting Order Execution Services as a Form of Third-Party Electronic Access to Marketplaces (November 13, 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 2500 - V. Option Account Supervision

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 2500 - VI. Future and Futures Options Account Supervision

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 2500 - VII. Discretionary Account Supervision

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 2500 - VIII. Client Complaints

Linkage (Cross-References)

>Notices (2)

Notice No. 09-0363 — Rules Notice – Notice of Approval / Implementation — Client Complaint Handling Rule and Guidance Note; and amendments to Dealer Member Rules 19, 37 and 2500 (December 21, 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)

History: Amended by Notice 09-0363.