

Rule 2700

Linkage (Cross-References)

>Bulletins (1)

Bulletin No. 3510 — By-Laws and Regulations — Policy No. 4 Minimum Standards for Institutional Account Opening, Operation and Supervision (January 31, 2006)

>Notices (3)

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)

MR0384 — Policy No. 4 Minimum Standards for Institutional Account Opening, Operation and Supervision (January 31, 2006)

Rule 2700 - 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 2700 - I. Customer Suitability

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 2700 - II. New Account Documentation and Approval

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 2700 - III. 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 2700 - IV. Supervision of Accounts

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 2700 - V. Client Complaints

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)