

10.2 Investigations - Repealed

Defined Terms:	<i>UMIR section 1.1 – “Access Person”, “document”, “employee”, “Exchange”, “hearing”, “Hearing Panel”, “Market Regulator”, “Participant”, “QTRS” and “Regulated Person”</i> <i>UMIR section 1.2(2) – “person”</i>
Regulatory History:	<i>Effective March 11, 2005, the applicable securities commissions approved amendments to section 10.2. See Market Integrity Notice 2005-008 – “Provisions Respecting Impeding or Obstructing a Market Regulator” (March 11, 2005).</i> <i>Effective September 1, 2016, the applicable securities commissions approved an amendment to section 1.1 to repeal Rule 10.2 of UMIR concerning investigations as the subject will be covered by the consolidated investigations rule 8100. See IIROC Notice 16-0122 – “Implementation of the consolidated IIROC Enforcement, Examination and Approval Rule” (June 9, 2016).</i>