

## 10.3 Extension of Responsibility - Repealed

<b>Defined Terms:</b>	UMIR section 1.1 – “Access Person”, “employee”, “Market Regulator”, “Participant” and “Requirements” UMIR section 1.2(2) – “person”
<b>Regulatory History:</b>	Effective January 30, 2004, the applicable securities commissions approved an amendment to Rule 10.3 to: <ul style="list-style-type: none"> <li>(a) renumber existing subsection (4) as subsection (5); and</li> <li>(b) insert a new subsection (4).</li> </ul> See Market Integrity Notice <a href="#">2004-005</a> - “ <b>Administrative and Editorial Amendments</b> ” (January 30, 2004). Effective December 9, 2013, the applicable securities commissions approved amendments to the French version of UMIR. See Notice <a href="#">13-0294</a> – Notice of Approval and Implementation – “ <b>Amendments to the French version of UMIR</b> ” (December 9, 2013). Effective September 1, 2016, the applicable securities commissions approved an amendment to repeal Rule 10.3 of UMIR as it will be replaced by consolidated rule 1403. See IIROC Notice <a href="#">16-0122</a> – “ <b>Implementation of the consolidated IIROC Enforcement, Examination and Approval Rules</b> ” (June 9, 2016).
<b>Disciplinary Proceedings:</b>	Rule 10.3(4) was considered <u><b>In the Matter of Zoltan Horcsok (“Horcsok”)</b></u> (July 18, 2005) SA 2005-003. See Disciplinary Proceedings under 7.1.
<b>Disciplinary Proceedings:</b>	Rule 10.3(4) was considered <u><b>In the Matter of Glen Grossmith (“Grossmith”)</b></u> (July 18, 2005) SA 2005-004. See Disciplinary Proceedings under Rule 2.1.
<b>Disciplinary Proceedings:</b>	Rule 10.3(1) and 10.3(4) was considered <u><b>In the Matter of Scotia Capital Inc. (“Scotia”)</b></u> (February 26, 2007) DN 2007-001. See Disciplinary Proceedings under Rule 6.4.
<b>Disciplinary Proceedings:</b>	Rule 10.3(4) was considered <u><b>In the Matter of Steve Horrocks (“Horrocks”)</b></u> (August 5, 2009) DN 09-0229. See Disciplinary Proceedings under Rule 8.1.
<b>Disciplinary Proceedings:</b>	Rule 10.3(4) was considered <u><b>In the Matter of Clark Alexander Squires (“Squires”)</b></u> (October 6, 2010) DN 10-0263. See Disciplinary Proceedings under Rule 2.1.
<b>Disciplinary Proceedings:</b>	Rule 10.3(4) was considered <u><b>In the Matter of National Bank Financial (“NBF”), Paul Clarke (“Clarke”) and Todd O’Reilly (“O’Reilly”)</b></u> (January 21, 2011) DN 11-0029 and DN 11-0030. See Disciplinary Proceedings under Rule 2.1.