

10.3 Extension of Responsibility - Repealed

Defined Terms:	UMIR section 1.1 – “Access Person”, “employee”, “Market Regulator”, “Participant” and “Requirements” UMIR section 1.2(2) – “person”
Regulatory History:	<p>Effective January 30, 2004, the applicable securities commissions approved an amendment to Rule 10.3 to:</p> <p>(a) renumber existing subsection (4) as subsection (5); and</p> <p>(b) insert a new subsection (4).</p> <p>See Market Integrity Notice 2004-005 - “Administrative and Editorial Amendments” (January 30, 2004).</p> <p>Effective December 9, 2013, the applicable securities commissions approved amendments to the French version of UMIR. See Notice 13-0294 – Notice of Approval and Implementation – “Amendments to the French version of UMIR” (December 9, 2013).</p> <p>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 16-0122 – “Implementation of the consolidated IIROC Enforcement, Examination and Approval Rules” (June 9, 2016).</p>
Disciplinary Proceedings:	Rule 10.3(4) was considered <u>In the Matter of Zoltan Horcsok (“Horcsok”)</u> (July 18, 2005) SA 2005-003. See Disciplinary Proceedings under 7.1.
Disciplinary Proceedings:	Rule 10.3(4) was considered <u>In the Matter of Glen Grossmith (“Grossmith”)</u> (July 18, 2005) SA 2005-004. See Disciplinary Proceedings under Rule 2.1.
Disciplinary Proceedings:	Rule 10.3(1) and 10.3(4) was considered <u>In the Matter of Scotia Capital Inc. (“Scotia”)</u> (February 26, 2007) DN 2007-001. See Disciplinary Proceedings under Rule 6.4.
Disciplinary Proceedings:	Rule 10.3(4) was considered <u>In the Matter of Steve Horrocks (“Horrocks”)</u> (August 5, 2009) DN 09-0229. See Disciplinary Proceedings under Rule 8.1.
Disciplinary Proceedings:	Rule 10.3(4) was considered <u>In the Matter of Clark Alexander Squires (“Squires”)</u> (October 6, 2010) DN 10-0263. See Disciplinary Proceedings under Rule 2.1.
Disciplinary Proceedings:	Rule 10.3(4) was considered <u>In the Matter of National Bank Financial (“NBF”), Paul Clarke (“Clarke”) and Todd O’Reilly (“O’Reilly”)</u> (January 21, 2011) DN 11-0029 and DN 11-0030. See Disciplinary Proceedings under Rule 2.1.