

# IIROC NOTICE

**Rules Notice**  
**Guidance Note**  
Dealer Member Rules

*Please distribute internally to:*

Credit  
Internal Audit  
Legal and Compliance  
Operations  
Regulatory Accounting  
Retail  
Senior Management  
Trading Desk

*Contact:*  
Mindy Kwok  
Information Analyst, Member Regulation Policy  
416.943.6979  
mkwok@iiroc.ca

**08-0094**  
**September 19, 2008**

## **List of Recognized Exchanges and Associations for the Purposes of Determining Entities that Qualify as Regulated Entities**

Attached is a revised list of recognized exchanges and associations that meet the criteria stipulated in the definition of “regulated entities” in the General Notes and Definitions to the Joint Regulatory Questionnaire and Report (Form 1). This list has been updated to include the following:

- Copenhagen Stock Exchange (Denmark)
- Stockholm Stock Exchange (Sweden)

This list replaces the previous list issued as part of IIROC Rules Notice 08-0055, issued on August 6, 2008 and is effective immediately.

### **IIROC Dealer Member Rules referenced in this Notice:**

- Form 1, General Notes and Definitions, definition of the term “regulated entities”

[List of Exchanges & Associations](#)