

IIROC NOTICE

Rule Notice
Guidance Note

Dealer Member Rules

Please distribute internally to:

Operations
Regulatory Accounting

Contact:

Blaize Piacentini
Manager, Financial and Operations Compliance
(416) 865-3028
bpiacentini@iiroc.ca

09-0036
February 3, 2009

Custodial Agreements

Attached is a listing of Custodial Agreements in effect as of January 31, 2009 between the Investment Industry Regulatory Organization of Canada (IIROC), as bare trustee on behalf of Members, and various entities such as mutual fund companies, the Bank of Canada etc., in reference to the Definition in Form #1, paragraph (d) – Acceptable Securities Locations.

In the administration of these custody agreements, IIROC carries out due diligence to ensure that the custodial agreement is in the prescribed form and is duly executed by those in authority. Copies of the agreements on file are available upon request. It remains the responsibility of Member firms to carry out product due diligence and suitability assessment of investment sold to clients.

Please contact IIROC Financial Compliance department directly for future changes, deletions or additions to the monthly published custodial agreement listing.

[Custodial Agreements \(31-01-09\)](#)