

IIROC NOTICE

Rules Notice Technical

Dealer Member Rules

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

Attached is a [list of exchanges and associations](#) that qualify as “recognized exchanges and associations” under the definition of “regulated entities” set out in the General Notes and Definitions to the Joint Regulatory Financial Questionnaire and Report (Form 1). This list replaces the previous list, which was issued as part of IIROC Notice 10-0203 and is effective immediately.

The list has been updated by replacing Category A firms regulated under the United Kingdom Financial Services Authority's (FSA) with “full scope BIPRU investment firms”.

IIROC Dealer Member Rules referenced in this Notice:

- Form 1, General Notes and Definitions, definition of the term "regulated entities".