

IIROC NOTICE

Rule Notice
Technical
Dealer Member Rules

Please distribute internally to:
Operations
Regulatory Accounting

Contact:
Dennis Dirksen
Manager, Financial & Operations Compliance
416-943-6973
ddirksen@iiroc.ca

19-0170
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Custodial Agreements

Attached is a listing of Custodial Agreements in effect as of September 30, 2019 between the Investment Industry Regulatory Organization of Canada (IIROC), as bare trustee on behalf of Dealer Members, and various entities whose products are GIC's or qualify as mutual funds.

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 executed by those in authority. Copies of the agreements on file are available upon request. It remains the responsibility of Dealer Members to carry out product due diligence and suitability assessment of investment sold to clients.

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

[Custodial Agreements \(30-9-19\)](#)