

IIROC NOTICE

Rules Notice Notice of Approval/Implementation

Dealer Member Rules

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19-0180

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Housekeeping amendments to Form 1 for use in, and consistency, with the Plain Language Dealer Member Rules Rule Book

On March 27, 2019, the Board of Directors (the **Board**) of the Investment Industry Regulatory Organization of Canada (IIROC) approved the housekeeping amendments to Form 1 for use in, and consistency, with the terms and drafting protocol used in the Plain Language Dealer Member Rules (PLR) Rule Book (the **Housekeeping Amendments**).



Summary of Housekeeping Amendments

The Housekeeping Amendments are housekeeping amendments to the amended Form 1 in IIROC Notice [19-0146](#) *Amendments to Form 1 for use in, and consistency, with the Plain Language Dealer Member Rules Rule Book* (“**Notice 19-0146**”) (blacklined in **Appendix A**) and to current Form 1 (blacklined in **Appendix B**).

The Housekeeping Amendments:

- replace the term “Corporation” where it means the Investment Industry Regulatory Organization of Canada with “IIROC”
- italicize all PLR Rule Book and Form 1 defined terms that are used in Form 1
- change each Form 1 defined term to its singular form in its definition
- replace current Dealer Member Rule references with corresponding PLR Rule Book references
- correct the description of the term “Valuation” in the Prescribed IFRS departure table.

We have classified our amendments to Form 1 as “housekeeping” because:

- they make stylistic changes to defined terms by italicizing them
- they make a necessary changes of an editorial nature such as standardization of terminology and correction of a description of a term
- there is no material impact on investors, issuers, Dealer Members or the capital markets in any province or territory of Canada.

The following 10 Form 1 documents did not require any changes regarding the Housekeeping Amendments and have not been included in the Appendices:

- Independent Auditor’s Report for Statements A, E and F (no change to it because it is a standard sample auditor’s report)
- Independent Auditor’s Report for Statements B, C and D (no change to it because it is a standard sample auditor’s report)
- Statement B Supplemental (Statement B – Line 22: Details of Unresolved Differences)
- Statement F (Statement of changes in capital and retained earnings (corporations) or undivided profits (partnerships))



- Notes (Notes to the Form 1 financial statements)
- Schedule 1 (Analysis of loans receivable, securities borrowed and resale agreements)
- Schedule 4 (Analysis of clients' trading accounts long and short)
- Schedule 6 (Income taxes)
- Schedule 7 (Analysis of overdrafts, loans, securities loaned and repurchase agreements)
- Schedule 11 (Unhedged foreign currencies calculation).

Appendices

[Appendix A](#) - Black-line comparison of housekeeping amendments to amended Form 1 in Notice 19-0146

[Appendix B](#) - Black-line comparison of housekeeping amendments to current Form 1

[Appendix C](#) - Clean copy of housekeeping amendments to amended Form 1 in Notice 19-0146

[Appendix D](#) - Clean copy of housekeeping amendments to current Form 1.

Implementation

The Housekeeping Amendments will be effective on June, 1, 2020.