

IIROC NOTICE

Rule Notice
Technical
Dealer Member Rules

Please distribute internally to:
Operations
Regulatory Accounting

Contact:
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20-0257
December 2, 2020

Custodial Agreements

Attached is a listing of Custodial Agreements in effect as of November 30, 2020 between the Investment Industry Regulatory Organization of Canada (IIROC), as bare trustee on behalf of Dealer Members and various entities which are acceptable securities locations and whose products may include GIC's and various investment 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 monitor the custodian for ongoing compliance as an acceptable securities location and to carry out product due diligence and suitability assessment of investments 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 \(30-11-20\)](#)