

# IIROC NOTICE

## Administrative Notice

### General

***Applications Due By: March 16, 2020\*\****

***\*\*Period extended until April 17, 2020***

*Please distribute internally to:*

Education and Training

Institutional

Legal and Compliance

Registration

Retail

Senior Management

Trading Desk

**20-0052**

**March 19, 2020**

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## IIROC District Councils - Call for Nomination – Extension Period

The Nomination Subcommittee of each IIROC District Council in Canada invites Dealer Members to nominate candidates for election to the District Council in each province where the Dealer has offices. Due to the COVID pandemic, the Nomination Subcommittee is extending the applications period until April 17, 2020.

### 1. District Councils

Each District Council acts as a local committee, whose mandate includes both a regulatory role, in relation to regional approval and membership matters, and an advisory role with respect to regional issues, as well as the provision of regional perspective on national issues.

District Councils perform a number of specific regulatory functions related to Dealer Members, most of which relate to registration and membership matters.

The District Councils provide an important opportunity to participate in the self-regulatory process of the securities industry. Along with its regulatory and policy development roles, District Council discusses industry issues among members and with regulators to improve and enhance regulation and oversight of the capital markets in Canada.



Each District Council is comprised of 4 to 20 members, including a Chair and a Vice-Chair. Position terms are held for two years and they are renewable. Chair and Vice-Chair positions are held for generally two-year terms<sup>1</sup>. Each District Council usually meets between 6 to 12 times a year.

District Councils also operate with subcommittees. Each District Council has a Registration and a Nomination Subcommittee. Other standing subcommittees may be established at the initiative of the District Council.

## **2. Nomination and Appointment Process**

A Dealer Member with offices in the District may nominate a candidate for election to the District Council. To qualify as a nominee, a person must be an officer or employee of a Dealer Member in the District. Nominees must be interested in getting involved and contributing to discussions on the investment industry's regulatory aspects.

All nominees are reviewed by the Nomination Subcommittee of the District and approved by the District Council prior to submission for consideration at the Annual General Meeting of the Dealer Members of the District.

## **3. Submissions**

Please consult the list of current District Council members in Canada and the recently revised IIROC District Council Procedures [here](#) before proposing a candidate for a specific District Council.

Each nomination must include the individual's resume and the Nomination form (see [Appendix A](#)) approved by the senior management of the Dealer Member.

Please submit the completed Nomination form to Ms. Croce Cuffaro who acts as a national coordinator for this call of nominations by April 17, 2020.

Mail: Croce Cuffaro  
Investment Industry Regulatory Organization of Canada  
525 Avenue Viger West, Suite 601  
Montreal, Quebec  
H2Z 0B2

Email: [ccuffaro@iroc.ca](mailto:ccuffaro@iroc.ca)

If you have any questions about representation in your region, please reach out to the following contact persons:

Ron Johnston (British Columbia)  
Director, Pacific  
604-331-4788  
[rjohnston@iroc.ca](mailto:rjohnston@iroc.ca)

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<sup>1</sup> In Ontario, the Chair and the Vice-Chair usually serve for a one-year term.



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