

IIROC NOTICE

Education Notice

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20-0148
July 7, 2020

Client Identifiers Workshop for Listed Securities

The Client Identifiers Amendments for Listed Securities (**Amendments**) will come into effect on July 26, 2021.¹

To help you understand the compliance and implementation issues associated with the Amendments, IIROC is pleased to invite you to attend an online workshop, which would be held in two parts:

- Part 1 – Dealer Compliance on July 22, 2020 from 2:00-3:30 pm (EST)
- Part 2 – Technical Compliance on August 26, 2020 from 2:30-4:00 pm (EST).

¹ IIROC Notice [20-0056](#) – Rules Notice - Technical Notice – UMIR and DMR – *Revised Implementation of Client Identifier Amendments for Listed Securities* (March 26, 2020) and IIROC Notice [19-0071](#) - Rule Notice – Notice of Approval - UMIR and DMR – *Amendments Respecting Client Identifiers* (April 18, 2019).



Part 1 – Dealer Compliance

This workshop is geared towards compliance staff at Dealer Members. At this workshop, we will review:

- the new requirements for listed securities
- what to include on an order in various scenarios using tools available on the [Client Identifiers section](#) of the IIROC website, such as the [FIX Specifications](#)
- responsibilities of the originating Dealer Member and the executing Dealer Member
- enhancements to the Regulatory Marker Correction System.

Part 2 – Technical Compliance

This workshop is geared towards technical staff at Dealer Members and their vendors. At this workshop, we will review:

- implementation milestones leading up to the July 26, 2021 date, including schedules for testing and certification
- production rollout details for Dealer Members and marketplaces
- encryption of client LEIs, including
 - technical specifications for encryption
 - enrollment process for Dealer Members
 - encryption key rotation process, including the delivery of encryption keys and the acknowledgement of receipt of keys by Dealer Members
 - sample encryption code.

Your participation in Part 1 of the Workshop will earn you **1.5 hours of IIROC Continuing Education Compliance Credits**.

Registration:

To register, please click <https://event-wizard.com/events/IIROCClientIdentifiers/>.

Registration will close on:

- 5pm EST on Friday July 17, 2020 for Part 1 of the Workshop, and
- 5pm EST on Friday August 21, 2020 for Part 2 of the Workshop.

If you would like to join the event after the registration has closed, please contact Dianne Weatherby, Senior Corporate Events Specialist at dweatherby@iiroc.ca.



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