

Rule 7

Linkage (Cross-References)

>Bulletins (1)

Bulletin No. 3265 — By-Laws and Regulations — Amendments to By-law No. 7 – Partners, Directors and Officers (March 22, 2004)

>Notices (3)

Notice No. 09-0268 — Rules Notice – Notice of Approval / Implementation — IIROC Dealer Member Rule Amendments to Implement the CSA’s Registration Reform Project (September 16, 2009)

MR0349 — Officer and Business Titles (May 6, 2005)

MR0246 — Availability of CFO Category and Other NRD Changes (October 15, 2003)

Rule 7.1

Linkage (Cross-References)

>Notices (1)

Notice No. 09-0268 — Rules Notice – Notice of Approval / Implementation — IIROC Dealer Member Rule Amendments to Implement the CSA’s Registration Reform Project (September 16, 2009)

Rule 7.2

Linkage (Cross-References)

>Notices (1)

Notice No. 09-0268 — Rules Notice – Notice of Approval / Implementation — IIROC Dealer Member Rule Amendments to Implement the CSA’s Registration Reform Project (September 16, 2009)

Rule 7.3

Linkage (Cross-References)

>Notices (1)

Notice No. 09-0268 — Rules Notice – Notice of Approval / Implementation — IIROC Dealer Member Rule Amendments to Implement the CSA’s Registration Reform Project (September 16, 2009)

Rule 7.4

Linkage (Cross-References)

>Notices (2)

Notice No. 14-0280 — Rules Notice – Guidance Note — Part Time Chief Financial Officers (December 1, 2014)

Notice No. 09-0268 — Rules Notice – Notice of Approval / Implementation — IIROC Dealer Member Rule Amendments to Implement the CSA’s Registration Reform Project (September 16, 2009)

Rule 7.5

Linkage (Cross-References)

>Bulletins (1)

Bulletin No. 3193 — By-Laws and Regulations — By-laws 1 and 7; Policy 6, Parts I and II - Requirement to Appoint a Chief Financial Officer and Introduction of Chief Financial Officer Qualifying Examination (September 15, 2003)

>Notices (2)

Notice No. 09-0268 — Rules Notice – Notice of Approval / Implementation — IIROC Dealer Member Rule Amendments to Implement the CSA’s Registration Reform Project (September 16, 2009)

MR0344 — CFO Qualifying Examination – Late Completion Fee (March 29, 2005)

Rule 7.6

Linkage (Cross-References)

>Bulletins (1)

Bulletin No. 2934 — By-Laws and Regulations — Late Filing Fees for Reports – By-laws 4.14, 7.6 and 18.18 (December 17, 2001)

>Notices (2)

Notice No. 09-0268 — Rules Notice – Notice of Approval / Implementation — IIROC Dealer Member Rule Amendments to Implement the CSA’s Registration Reform Project (September 16, 2009)

MR0123 — Late Filing Fee for Supervision Reports (December 21, 2001)

Rule 7.7

Linkage (Cross-References)

>Bulletins (1)

Bulletin No. 2868 — By-Laws and Regulations — Amendments to By-law 7.1(1)(b)(iv) (July 19, 2001)

>Notices (1)

Notice No. 09-0268 — Rules Notice – Notice of Approval / Implementation — IIROC Dealer Member Rule Amendments to Implement the CSA’s Registration Reform Project (September 16, 2009)

Rule 7.8

Linkage (Cross-References)

>Bulletins (1)

Bulletin No. 2999 — By-Laws and Regulations — By-law 7.1(5) and (6) Proficiency requirements for Industry and Non-Industry Shareholders (May 23, 2002)

>Notices (2)

Notice No. 09-0268 — Rules Notice – Notice of Approval / Implementation — IIROC Dealer Member Rule Amendments to Implement the CSA’s Registration Reform Project (September 16, 2009)

MR0308 — Investor Notification and Approval Process (September 14, 2004)

Rule 7.9

Linkage (Cross-References)

>Notices (1)

Notice No. 09-0268 — Rules Notice – Notice of Approval / Implementation — IIROC Dealer Member Rule Amendments to Implement the CSA’s Registration Reform Project (September 16, 2009)