



Appendix A – Text of the Amendments

The Dealer Member Rules, which are in effect until May 31, 2020, are hereby amended as follows:

1. Row 14 of subsection 2.4(c) of Dealer Member Rule 2800C is amended by:
 - a. Deleting “Institutional Customer”
 - b. Adding “customer supervised as an Institutional Customer” after “The LEI of the”.
2. Row 15 of subsection 2.4(c) of Dealer Member Rule 2800C is amended by:
 - a. Deleting “Retail Customer”
 - b. Adding “customer supervised as a Retail Customer” after “The account number of the”.

The IIROC Rules, which will become effective on June 1, 2020, are hereby amended as follows:

1. Row 14 of subsection 7203(6) is amended by:
 - a. Adding “client supervised as an” before “*institutional client*”.
2. Row 15 of subsection 7203(6) is amended by:
 - a. Adding “client supervised as a” before “*retail client*”.