

IIROC Rules Notice Reference Numbers for the Original and Previous Publications

TRANCHES	INITIAL PUBLICATION DATE	REPUBLICATION DATE(S)
SERIES 1000		
Rule 1100 – Interpretation	January 6, 2012 (IIROC Notice 12-0005)	<ul style="list-style-type: none"> • Amendments published January 18, 2018 (IIROC Notice 18-0014) • Amendments published March 9, 2017 (IIROC Notice 17-0054) • Amendments published March 10, 2016 (IIROC Notice 16-0052) • Clean-up amendments published March 30, 2012 (IIROC Notice 12-0111)
Rule 1200 – Definitions	January 6, 2012 (IIROC Notice 12-0005)	<ul style="list-style-type: none"> • Amendments published January 18, 2018 (IIROC Notice 18-0014) • Amendments published March 9, 2017 (IIROC Notice 17-0054) • Consolidated Enforcement Rules published June 9, 2016 (IIROC Notice 16-0122) • Amendments published March 10, 2016 (IIROC Notice 16-0052)
Rule 1300 – Exemptive Powers of IIROC	January 6, 2012 (IIROC Notice 12-0005)	<ul style="list-style-type: none"> • Amendments published January 18, 2018 (IIROC Notice 18-0014) • Amendments published March 9, 2017 (IIROC Notice 17-0054) • Amendments published March 10, 2016 (IIROC Notice 16-0052)
Rule 1400 – Standards of Conduct	January 6, 2012 (IIROC Notice 12-0005)	<ul style="list-style-type: none"> • Amendments published January 18, 2018 (IIROC Notice 18-0014) • Amendments published March 9, 2017 (IIROC Notice 17-0054) • Consolidated Enforcement Rules published June 9, 2016 (IIROC Notice 16-0122)

APPENDIX 5

IIROC Notice 19-0144 – Rules Notice –Notice of Approval/Implementation–Implementation of Dealer Member Plain Language Rule Book

		<ul style="list-style-type: none"> • Amendments published March 10, 2016 (IIROC Notice 16-0052)
Rule 1500 – Managing Significant Areas of Risk	N/A	<ul style="list-style-type: none"> • Amendments published January 18, 2018 (IIROC Notice 18-0014) • Amendments published March 9, 2017 (IIROC Notice 17-0054) • Amendments published March 10, 2016 (IIROC Notice 16-0052)
SERIES 2000		
Rules 2100 – Ownership of a Dealer Member’s Securities	February 11, 2011 (IIROC Notice 11-0061)	<ul style="list-style-type: none"> • Amendments published January 18, 2018 (IIROC Notice 18-0014) • Amendments published March 9, 2017 (IIROC Notice 17-0054) • Amendments published March 10, 2016 (IIROC Notice 16-0052) • Clean-up amendments published March 30, 2012 (IIROC Notice 12-0111)
Rule 2200 – Dealer Member Organization (Formerly 2150-2399)	February 11, 2011 (IIROC Notice 11-0061)	<ul style="list-style-type: none"> • Amendments published January 18, 2018 (IIROC Notice 18-0014) • Amendments published March 9, 2017 (IIROC Notice 17-0054) • Amendments published March 10, 2016 (IIROC Notice 16-0052) • Substantive amendment published June 27, 2013 (IIROC Notice 13-0174)
Rule 2300 – Principal and Agent Relationships (Formerly 2400)	February 11, 2011 (IIROC Notice 11-0061)	<ul style="list-style-type: none"> • Amendments published January 18, 2018 (IIROC Notice 18-0014) • Amendments published March 9, 2017 (IIROC Notice 17-0054) • Amendments published March 10, 2016 (IIROC Notice 16-0052)
Rule 2400 – Acceptable Back Office Arrangements (Formerly 2450)	February 11, 2011 (IIROC Notice 11-0061)	<ul style="list-style-type: none"> • Amendments published January 18, 2018 (IIROC Notice 18-0014) • Amendments published March 9, 2017 (IIROC Notice 17-0054)

		<ul style="list-style-type: none"> • Amendments published March 10, 2016 (IIROC Notice 16-0052)
Rule 2500 – Registration of Approved Persons (Formerly 2500 and 2550)	February 11, 2011 (IIROC Notice 11-0061)	<ul style="list-style-type: none"> • Amendments published January 18, 2018 (IIROC Notice 18-0014) • Amendments published March 9, 2017 (IIROC Notice 17-0054) • Amendments published March 10, 2016 (IIROC Notice 16-0052)
Rule 2600 – Proficiency Requirements and Exemptions from Proficiency Categories	February 11, 2011 (IIROC Notice 11-0061)	<ul style="list-style-type: none"> • Amendments published January 18, 2018 (IIROC Notice 18-0014) • Amendments published March 9, 2017 (IIROC Notice 17-0054) • Amendments published March 10, 2016 (IIROC Notice 16-0052)
Rule 2700 – Continuing Education Requirements for Approved Persons (Formerly 2650)	February 11, 2011 (IIROC Notice 11-0061)	<ul style="list-style-type: none"> • Complete published version November 30, 2017 (IIROC Notice 17-0223) • Amendments published March 9, 2017 (IIROC Notice 17-0054) • Amendments published March 10, 2016 (IIROC Notice 16-0052) • Clean-up amendments published March 30, 2012 (IIROC Notice 12-0111)
Rule 2800 – The National Registration Database (Formerly 2700)	February 11, 2011 (IIROC Notice 11-0061)	<ul style="list-style-type: none"> • Amendments published March 9, 2017 (IIROC Notice 17-0054) • Amendments published March 10, 2016 (IIROC Notice 16-0052) • Clean-up amendments published March 30, 2012 (IIROC Notice 12-0111)
SERIES 3000		
Rule 3100 – Dealing With Clients	March 26, 2010 (IIROC Notice 10-0085)	<ul style="list-style-type: none"> • Amendments published January 18, 2018 (IIROC Notice 18-0014) • Amendments published March 9, 2017 (IIROC Notice 17-0054) • Amendments published March 10, 2016 (IIROC Notice 16-0052)

		<ul style="list-style-type: none"> • Clean-up amendments published March 30, 2012 (IIROC Notice 12-0111)
Rule 3200 – Client Accounts	March 26, 2010 (IIROC Notice 10-0085)	<ul style="list-style-type: none"> • Amendments published January 18, 2018 (IIROC Notice 18-0014) • Amendments published March 9, 2017 (IIROC Notice 17-0054) • Amendments published March 10, 2016 (IIROC Notice 16-0052)
Rule 3400 – Suitability	October 8, 2010 (IIROC Notice 10-0266)	<ul style="list-style-type: none"> • Amendments published January 18, 2018 (IIROC Notice 18-0014) • Amendments published March 9, 2017 (IIROC Notice 17-0054) • Amendments published March 10, 2016 (IIROC Notice 16-0052)
Rule 3500 – Sales Practices	October 8, 2010 (IIROC Notice 10-0266)	<ul style="list-style-type: none"> • Amendments published January 18, 2018 (IIROC Notice 18-0014) • Amendments published March 9, 2017 (IIROC Notice 17-0054) • Amendments published March 10, 2016 (IIROC Notice 16-0052) • Clean-up amendments published March 30, 2012 (IIROC Notice 12-0111)
Rule 3600 – Communications with the Public	October 8, 2010 (IIROC Notice 10-0266)	<ul style="list-style-type: none"> • Amendments published January 18, 2018 (IIROC Notice 18-0014) • Amendments published March 9, 2017 (IIROC Notice 17-0054) • Amendments published March 10, 2016 (IIROC Notice 16-0052) • Clean-up amendments published March 30, 2012 (IIROC Notice 12-0111)
Rule 3700 – Reporting and Handling of Complaints, Internal Investigations and Other Reportable Matters	October 8, 2010 (IIROC Notice 10-0266)	<ul style="list-style-type: none"> • Amendments published January 18, 2018 (IIROC Notice 18-0014) • Amendments published March 9, 2017 (IIROC Notice 17-0054) • Amendments published March 10, 2016 (IIROC Notice 16-0052)

Rule 3800 – Dealer Member Records and Clients Communications	October 8, 2010 (IIROC Notice 10-0266)	<ul style="list-style-type: none"> • Amendments published January 18, 2018 (IIROC Notice 18-0014) • Amendments published March 9, 2017 (IIROC Notice 17-0054) • Amendments published March 10, 2016 (IIROC Notice 16-0052)
Rule 3900 – Supervision	October 8, 2010 (IIROC Notice 10-0266)	<ul style="list-style-type: none"> • Amendments published January 18, 2018 (IIROC Notice 18-0014) • Amendments published March 9, 2017 (IIROC Notice 17-0054) • Amendments published March 10, 2016 (IIROC Notice 16-0052)
SERIES 4000		
Rule 4100 -- General Dealer Member Financial Standards – Minimum Capital, Early Warning, Financial Reports and Auditors	October 8, 2010 (IIROC Notice 10-0267)	<ul style="list-style-type: none"> • Amendments published January 18, 2018 (IIROC Notice 18-0014) • Amendments published March 9, 2017 (IIROC Notice 17-0054) • Amendments published March 10, 2016 (IIROC Notice 16-0052) • Clean-up amendments – March 30, 2012 (IIROC Notice 12-0111)
Rule 4200 -- General Dealer Member Financial Standards – Disclosure, Internal Controls, Calculations of Prices and Professional Opinions	October 8, 2010 (IIROC Notice 10-0267)	<ul style="list-style-type: none"> • Amendments published January 18, 2018 (IIROC Notice 18-0014) • Amendments published March 9, 2017 (IIROC Notice 17-0054) • Amendments published March 10, 2016 (IIROC Notice 16-0052) • Clean-up amendments – March 30, 2012 (IIROC Notice 12-0111)
Rule 4300 -- Protection of Client Assets – Segregation, Custody And Client Free Credit Balances	October 8, 2010 (IIROC Notice 10-0267)	<ul style="list-style-type: none"> • Amendments published January 18, 2018 (IIROC Notice 18-0014) • Amendments published March 9, 2017 (IIROC Notice 17-0054) • Amendments published March 10, 2016 (IIROC Notice 16-0052)

		<ul style="list-style-type: none"> • Clean-up amendments – March 30, 2012 (IIROC Notice 12-0111)
Rule 4400 -- Protection of Client Assets – Safekeeping Client Assets, Safeguarding Cash And Securities, and Insurance	October 8, 2010 (IIROC Notice 10-0267)	<ul style="list-style-type: none"> • Amendments published January 18, 2018 (IIROC Notice 18-0014) • Amendments published March 9, 2017 (IIROC Notice 17-0054) • Amendments published March 10, 2016 (IIROC Notice 16-0052) • Clean-up amendments – March 30, 2012 (IIROC Notice 12-0111)
Rule 4500 -- Financing Arrangements - Repurchase Market Trading Practices	October 8, 2010 (IIROC Notice 10-0267)	<ul style="list-style-type: none"> • Amendments published January 18, 2018 (IIROC Notice 18-0014) • Amendments published March 9, 2017 (IIROC Notice 17-0054) • Amendments published March 10, 2016 (IIROC Notice 16-0052)
Rule 4600 -- Financing Arrangements - Cash and Securities Loan, Repurchase Agreement, and Reverse Repurchase Agreement Transactions	October 8, 2010 (IIROC Notice 10-0267)	<ul style="list-style-type: none"> • Amendments published January 18, 2018 (IIROC Notice 18-0014) • Amendments published March 9, 2017 (IIROC Notice 17-0054) • Amendments published March 10, 2016 (IIROC Notice 16-0052)
Rule 4700 -- Operations – Business Continuity And General Trading and Delivery Standards	October 8, 2010 (IIROC Notice 10-0267)	<ul style="list-style-type: none"> • Amendments published January 18, 2018 (IIROC Notice 18-0014) • Amendments published March 9, 2017 (IIROC Notice 17-0054) • Amendments published March 10, 2016 (IIROC Notice 16-0052)
Rule 4800 -- Operations – Trading And Delivery Standards For Non-Centrally Cleared Transactions and Account Transfers	October 8, 2010 (IIROC Notice 10-0267)	<ul style="list-style-type: none"> • Amendments published January 18, 2018 (IIROC Notice 18-0014) • Amendments published March 9, 2017 (IIROC Notice 17-0054) • Amendments published March 10, 2016 (IIROC Notice 16-0052)
Rule 4900 – Other Internal Control Requirements	October 8, 2010 (IIROC Notice 10-0267)	<ul style="list-style-type: none"> • Amendments published March 9, 2017 (IIROC Notice 17-0054)

		<ul style="list-style-type: none"> • Amendments published March 10, 2016 (IIROC Notice 16-0052)
SERIES 5000		
Rule 5100 – Margin Requirements – Application and Definitions	February 3, 2012 (IIROC Notice 12-0042)	<ul style="list-style-type: none"> • Amendments published January 18, 2018 (IIROC Notice 18-0014) • Amendments published March 9, 2017 (IIROC Notice 17-0054) • Amendments published March 10, 2016 (IIROC Notice 16-0052)
Rule 5200 – Margin Requirements for Debt Securities and Mortgages	February 3, 2012 (IIROC Notice 12-0042)	<ul style="list-style-type: none"> • Amendments published March 9, 2017 (IIROC Notice 17-0054) • Amendments published March 10, 2016 (IIROC Notice 16-0052)
Rule 5300 – Margin Requirements for Equity Securities and Index Products	February 3, 2012 (IIROC Notice 12-0042)	<ul style="list-style-type: none"> • Amendments published March 9, 2017 (IIROC Notice 17-0054) • Amendments published March 10, 2016 (IIROC Notice 16-0052) • Clean-up amendments – March 30, 2012 (IIROC Notice 12-0111)
Rule 5400 – Margin Requirements for Other Investment Products	February 3, 2012 (IIROC Notice 12-0042)	<ul style="list-style-type: none"> • Amendments published March 9, 2017 (IIROC Notice 17-0054) • Amendments published March 10, 2016 (IIROC Notice 16-0052)
Rule 5500 – Margin Requirements for Underwriting Commitments and When Issued Trading	February 3, 2012 (IIROC Notice 12-0042)	<ul style="list-style-type: none"> • Amendments published March 9, 2017 (IIROC Notice 17-0054) • Amendments published March 10, 2016 (IIROC Notice 16-0052)
Rule 5600 – Margin Requirements for Offset Strategies Involving Debt and Equity Securities and Related Instruments	February 3, 2012 (IIROC Notice 12-0042)	<ul style="list-style-type: none"> • Amendments published January 18, 2018 (IIROC Notice 18-0014) • Amendments published March 9, 2017 (IIROC Notice 17-0054) • Amendments published March 10, 2016 (IIROC Notice 16-0052)

Rule 5700 – Margin Requirements for Offset Strategies Involving Derivative Products	February 3, 2012 (IIROC Notice 12-0042)	<ul style="list-style-type: none"> • Amendments published January 18, 2018 (IIROC Notice 18-0014) • Amendments published March 9, 2017 (IIROC Notice 17-0054) • Amendments published March 10, 2016 (IIROC Notice 16-0052)
Rule 5800 – Account Related Agreements	February 3, 2012 (IIROC Notice 12-0042)	<ul style="list-style-type: none"> • Amendments published March 9, 2017 (IIROC Notice 17-0054) • Amendments published March 10, 2016 (IIROC Notice 16-0052)
Rule 5900 – Agreement Related Margin Requirement	March 10, 2016 (IIROC Notice 16-0052)	<ul style="list-style-type: none"> • Amendments published March 9, 2017 (IIROC Notice 17-0054)
SERIES 6000		
<i>Reserved</i>		
SERIES 7000		
Rule 7100 – Debt Markets	May 27, 2011 (IIROC Notice 11-0164)	<ul style="list-style-type: none"> • Amendments published January 18, 2018 (IIROC Notice 18-0014) • Amendments published March 9, 2017 (IIROC Notice 17-0054) • Amendments published March 10, 2016 (IIROC Notice 16-0052)
Rule 7200 – Transaction Reporting for Debt Securities	May 27, 2011 (IIROC Notice 11-0164)	<ul style="list-style-type: none"> • Amendments published January 18, 2018 (IIROC Notice 18-0014) • Amendments published March 9, 2017 (IIROC Notice 17-0054) • Amendments published March 10, 2016 (IIROC Notice 16-0052)
Rule 7300 – Inter-Dealer Bond Brokers	May 27, 2011 (IIROC Notice 11-0164)	<ul style="list-style-type: none"> • Amendments published March 9, 2017 (IIROC Notice 17-0054) • Amendments published March 10, 2016 (IIROC Notice 16-0052)

SERIES 8000		
Rule 8100 – Enforcement Investigations	Consolidated Enforcement Rules published June 9, 2016 (IIROC Notice 16-0122)	<ul style="list-style-type: none"> • Amendments published January 18, 2018 (IIROC Notice 18-0014) • Amendments published November 30, 2017 (IIROC Notice 17-0224) • Amendments published March 9, 2017 (IIROC Notice 17-0054)
Rule 8200 – Enforcement Proceedings	Consolidated Enforcement Rules published June 9, 2016 (IIROC Notice 16-0122)	<ul style="list-style-type: none"> • Amendments published January 18, 2018 (IIROC Notice 18-0014) • Amendments published March 9, 2017 (IIROC Notice 17-0054)
Rule 8300 – Hearing Committees	Consolidated Enforcement Rules published June 9, 2016 (IIROC Notice 16-0122)	<ul style="list-style-type: none"> • Amendments published March 9, 2017 (IIROC Notice 17-0054)
Rule 8400 – Rules of Practice and Procedure	Consolidated Enforcement Rules published June 9, 2016 (IIROC Notice 16-0122)	<ul style="list-style-type: none"> • Amendments published November 30, 2017 (IIROC Notice 17-0224) • Amendments published March 9, 2017 (IIROC Notice 17-0054)
SERIES 9000		
Rule 9100 – Compliance Examinations	Consolidated Enforcement Rules published June 9, 2016 (IIROC Notice 16-0122)	<ul style="list-style-type: none"> • Amendments published March 9, 2017 (IIROC Notice 17-0054)
Rule 9200 – Approvals and Regulatory Supervision	Consolidated Enforcement Rules published June 9, 2016 (IIROC Notice 16-0122)	<ul style="list-style-type: none"> • Amendments published January 18, 2018 (IIROC Notice 18-0014) • Amendments published November 30, 2017 (IIROC Notice 17-0224) • Amendments published March 9, 2017 (IIROC Notice 17-0054)
Rule 9300 – Regulatory Review Proceedings	Consolidated Enforcement Rules published June 9, 2016 (IIROC Notice 16-0122)	<ul style="list-style-type: none"> • Amendments published November 30, 2017 (IIROC Notice 17-0224) • Amendments published March 9, 2017 (IIROC Notice 17-0054)
Rule 9400 – Procedures for Opportunities to be Heard	Consolidated Enforcement Rules published June 9, 2016 (IIROC Notice 16-0122)	<ul style="list-style-type: none"> • Amendments published November 30, 2017 (IIROC Notice 17-0224)

		<ul style="list-style-type: none"> • Amendments published March 9, 2017 (IIROC Notice 17-0054)
Rule 9500 – Alternate Dispute Resolution	March 30, 2012 (IIROC Notice 12-0111)	<ul style="list-style-type: none"> • Amendments published March 9, 2017 (IIROC Notice 17-0054) • Amendments published March 10, 2016 (IIROC Notice 16-0052)
Rule 9600 – Compliance Fees	March 30, 2012 (IIROC Notice 12-0111)	<ul style="list-style-type: none"> • Amendments published March 10, 2016 (IIROC Notice 16-0052) • Substantive amendment Revisions published February 20, 2014
Rule 9700 – Canadian Investor Protection Fund	March 30, 2012 (IIROC Notice 12-0111)	<ul style="list-style-type: none"> • Amendments published March 9, 2017 (IIROC Notice 17-0054) • Amendments published March 10, 2016 (IIROC Notice 16-0052)