

# B.11

## CIRO, Marketplaces, Clearing Agencies and Trade Repositories

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### B.11.1 CIRO

#### B.11.1.1 Canadian Investment Regulatory Organization (CIRO) – Rule Consolidation Project – Phase 3 – Request for Comment

##### REQUEST FOR COMMENT

##### CANADIAN INVESTMENT REGULATORY ORGANIZATION (CIRO)

##### RULE CONSOLIDATION PROJECT – PHASE 3

CIRO is publishing for comment Phase 3 of its Rule Consolidation Project rule proposals. The Rule Consolidation Project will bring together the two member regulation rule sets currently applicable to investment dealers (**IDPC Rules**) and to mutual fund dealers (**MFD Rules**) into one set of member regulation rules applicable to both categories of CIRO Dealer Members.

The objective of Phase 3 of the Rule Consolidation Project (**Phase 3 Proposed DC Rules**) is to adopt rules that are common to the IDPC Rules and MFD Rules and have been assessed as not having a material impact on stakeholders.

The Phase 3 Proposed DC Rules involve the adoption of rules relating to:

- membership and member business activity approval matters,
- clearing and settlement of trades and trade delivery standards, and
- examination, investigation, and enforcement rules.

A copy of the CIRO Bulletin, including the text of the Phase 3 Proposed DC Rules, is also available on the Commission's website at [www.osc.ca](http://www.osc.ca). The comment period ends on July 17, 2024.