

Chapter 13

SROs, Marketplaces, Clearing Agencies and Trade Repositories

13.1 SROs

13.1.1 IIROC – Proposed Provisions Respecting Trading Supervision Obligations – Notice of Request for Comment

INVESTMENT INDUSTRY REGULATORY ORGANIZATION OF CANADA (IIROC)

PROPOSED PROVISIONS RESPECTING TRADING SUPERVISION OBLIGATIONS

NOTICE OF REQUEST FOR COMMENT

IIROC is publishing for public comment, proposed amendments to the Universal Market Integrity Rules respecting trading supervision obligations.

The proposed amendments would remove the prescriptive provisions in the current trading supervision structure and replace them with a more flexible, principles-based approach to trading compliance and supervision.

A copy of the IIROC Notice, including the proposed amendments, is published on our website at www.osc.gov.on.ca. The comment period ends on March 22, 2017.

IIROC has published a Guidance Notice for comment concurrently with the proposed amendments.