

13.1.2 IIROC – Amendments to Dealer Member Rule 200.2(l)(x)(B) on Trade-Confirmation Suppression Requirements
– Notice of Commission Approval

INVESTMENT INDUSTRY REGULATORY ORGANIZATION OF CANADA (IIROC)

AMENDMENTS TO DEALER MEMBER RULE 200.2(l)(x)(B) ON
TRADE-CONFIRMATION SUPPRESSION REQUIREMENTS

NOTICE OF COMMISSION APPROVAL

The Ontario Securities Commission has approved IIROC's proposed amendments to Dealer Member Rule 200.2(l)(x)(B) on trade-confirmation suppression requirements (the **Amendments**). The Amendments render more practical certain technical conditions that a dealer must meet before it can rely on the customer trade-confirmation exemption.

The Amendments were published for comment on April 20, 2017. Two public comment letters were received, and can be found on the IIROC website. No changes to the Amendments, as set out in IIROC Notice 17-0088, were made.

The Amendments will be effective on September 28, 2017. A copy of the IIROC Notice of Implementation, including the Amendments can be found at <http://www.osc.gov.on.ca>.

In addition, the Alberta Securities Commission, the Autorité des marchés financiers, the British Columbia Securities Commission, the Financial and Consumer Affairs Authority of Saskatchewan, the Financial and Consumer Services Commission of New Brunswick, the Manitoba Securities Commission, the Nova Scotia Securities Commission, the Office of the Superintendent of Securities, Service Newfoundland and Labrador, and the Prince Edward Island Office of the Superintendent of Securities have approved or not objected to the Amendments.