

## Chapter 13

# SROs, Marketplaces, Clearing Agencies and Trade Repositories

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### 13.1 SROs

#### 13.1.1 Investment Industry Regulatory Organization of Canada (IIROC) — Amendments Respecting Order Execution Only Service Eligibility and Adviser Identifiers — Notice of Commission Approval

##### NOTICE OF COMMISSION APPROVAL

##### INVESTMENT INDUSTRY REGULATORY ORGANIZATION OF CANADA (IIROC)

##### AMENDMENTS RESPECTING ORDER EXECUTION ONLY SERVICE ELIGIBILITY AND ADVISER IDENTIFIERS

The Ontario Securities Commission has approved IIROC's proposed amendments to the Dealer Member Rules respecting order execution only service eligibility and adviser identifiers ("Amendments").

The Amendments prohibit IIROC Dealer Members which provide order execution only services ("OES Dealers") from providing such services to a client that is acting and registered or exempted from registration as a dealer. In addition, the Amendments expand the requirements for identifiers by requiring OES Dealers to assign unique identifiers to registered advisers and foreign adviser equivalents that have been granted trading authority, direction or control over an order execution only account.

The Amendments come into force on September 6, being three months after the publication of this Notice of Approval. A copy of the IIROC Notice, 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 Legal Registries Division, Department of Justice (Northwest Territories); the Legal Registries Division, Department of Justice (Nunavut); the Manitoba Securities Commission; the Nova Scotia Securities Commission; the Office of the Superintendent of Securities, Service Newfoundland and Labrador; the Office of the Yukon Superintendent of Securities; and the Prince Edward Island Office of the Superintendent of Securities Office have approved or not objected to the Amendments.