

Chapter 13

SROs, Marketplaces, Clearing Agencies and Trade Repositories

13.1.2 Investment Industry Regulatory Organization of Canada (IIROC) – Amendments to Dealer Member Rule 1200.3 and Notes to Statement D of Form 1 Regarding Free Credit Cash Segregated in Trust for Clients – Notice of Commission Approval

NOTICE OF COMMISSION APPROVAL

INVESTMENT INDUSTRY REGULATORY ORGANIZATION OF CANADA (IIROC)

AMENDMENTS TO DEALER MEMBER RULE 1200.3 AND NOTES TO STATEMENT D OF FORM 1 REGARDING FREE CREDIT CASH SEGREGATED IN TRUST FOR CLIENTS

The Ontario Securities Commission has approved IIROC's proposed amendments to its Dealer Member Rule 1200.3 and Notes to Statement D of Form 1 regarding free credit cash segregated in trust for clients (the Amendments).

IIROC published the proposed amendments for comment on August 29, 2019. There were no comments received. A copy of the IIROC Notice, including the Amendments, can be found at <http://www.osc.gov.on.ca>.

The Amendments will be effective on March 12, 2020.

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.