

Chapter 13

SROs, Marketplaces, Clearing Agencies and Trade Repositories

13.1 SROs

13.1.1 IIROC – Client Relationship Model – Phase 2 Housekeeping Changes to Dealer Member Rule 200 and Changes to Effective Dates for Amendments to Dealer Member Rule 200 and to Dealer Member Form 1 Relating to the Implementation of CRM2 – OSC Staff Notice of Commission Approval

OSC STAFF NOTICE OF COMMISSION APPROVAL

INVESTMENT INDUSTRY REGULATORY ORGANIZATION OF CANADA (IIROC)

CLIENT RELATIONSHIP MODEL – PHASE 2 HOUSEKEEPING CHANGES TO DEALER MEMBER RULE 200 AND CHANGES TO EFFECTIVE DATES FOR AMENDMENTS TO DEALER MEMBER RULE 200 AND TO DEALER MEMBER FORM 1 RELATING TO THE IMPLEMENTATION OF CRM2

The Ontario Securities Commission approved proposed amendments to IIROC Dealer Member Rule 200 and to IIROC Dealer Member Form 1 that are scheduled to come into effect in 2015 and 2016. The amendments are housekeeping in nature and were necessary to ensure that certain Canadian Securities Administrator decisions with regard to the implementation of Client Relationship Model – Phase 2 were adopted by IIROC.

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 Newfoundland and Labrador Office of the Superintendent of Securities Services, the Nova Scotia Securities Commission, and the Prince Edward Island Office of the Superintendent of Securities did not object to or approved the amendments.

A copy of IIROC's Notice of Approval/Implementation, which includes a clean and blackline copy of IIROC Dealer Member Rule 200, and a copy of the resolution adopted by IIROC's Board of Directors, can be found at <http://www.osc.gov.on.ca>.