

Chapter 13

SROs, Marketplaces, Clearing Agencies and Trade Repositories

13.1 SROs

13.1.1 IIROC – OSC Staff Notice of Request for Comment – Proposed amendments to Dealer Member Rules 8.7 and corollary amendments to Dealer Member Rule 8.3A relating to the Requirement to Pay IIROC Membership Fees

OSC STAFF NOTICE OF REQUEST FOR COMMENT

THE INVESTMENT INDUSTRY REGULATORY ORGANIZATION OF CANADA (IIROC)

REQUIREMENT TO PAY IIROC MEMBERSHIP FEES

AMENDMENTS TO DEALER MEMBER RULE 8.7 AND COROLLARY AMENDMENTS TO DEALER MEMBER RULE 8.3A

On March 31, 2015, the Board of Directors (the “Board”) of the Investment Industry Regulatory Organization of Canada (“IIROC”) approved the publication for comment of proposed amendments to Dealer Member Rule 8.7 and 8.3A (“Proposed Amendments”) setting the IIROC Dealer Regulation fees that are payable by a Dealer Member that resigns, is suspended, is terminated or surrenders its membership. The primary objective of the Proposed Amendments is to recognize that a Dealer Member’s share of fees should be based on its usage or consumption of IIROC’s regulatory services.

A copy of the IIROC Notice including the amended documents was also published on our website at <http://www.osc.gov.on.ca>. The comment period ends on May 15, 2015.