

## Chapter 13

# SROs, Marketplaces, Clearing Agencies and Trade Repositories

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### 13.1 SROs

#### 13.1.1 IIROC – Revised Proposed Amendments Relating to the Requirement to Disclose Membership in IIROC as a Dealer Member – OSC Staff Notice of Request for Comment

##### OSC STAFF NOTICE OF REQUEST FOR COMMENT

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

##### REVISED PROPOSED AMENDMENTS RELATING TO THE REQUIREMENT TO DISCLOSE MEMBERSHIP IN IIROC AS A DEALER MEMBER

On September 10, 2015, the Board of Directors (“Board”) of the Investment Industry Regulatory Organization of Canada (“IIROC”) approved the re-publication for public comment revisions to proposed amendments to IIROC Dealer Member Rules. The proposed amendments are intended to: (a) promote and raise public awareness of IIROC’s regulatory oversight of IIROC-regulated firms and approved investment advisors; (b) educate investors on the benefits and protections of dealing with IIROC-regulated firms and investment advisors; and (c) assist investors to assess the regulatory status of firms and advisors.

The proposed amendments require IIROC Dealer Members to: (a) include the IIROC Logo on client account statements; (b) distribute the IIROC official brochure to new retail clients; and (c) include a link to the IIROC AdvisorReport on the IIROC Dealer Member’s homepage and on any other IIROC Dealer Member webpage that includes a profile of an IIROC-regulated investment advisor.

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 is for 30 days and ends on December 7, 2015.