

## Chapter 13

# SROs, Marketplaces and Clearing Agencies

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### 13.1 SROs

#### 13.1.1 Investment Industry Regulatory Organization of Canada Amendments to Correct Registration Reform Related Amendments

**INVESTMENT INDUSTRY REGULATORY ORGANIZATION OF CANADA  
AMENDMENTS TO CORRECT REGISTRATION REFORM RELATED AMENDMENTS**

1. Dealer Member Rule 2900 is amended by:

(a) Repealing A.1(b) and replacing with the following:

“(b) The proficiency requirements for Supervisors of Approved Persons dealing with Institutional Customer accounts only are:

(i) If supervising Registered Representatives or Investment Representatives dealing with institutional customers, successful completion of:

- A. 1. The Branch Managers Course, or  
2. The Partners, Directors and Senior Officers Course;

and

B. The proficiency requirements necessary to conduct or supervise any trading activity carried on by Approved Persons he or she supervises.

(ii) If supervising options trading, successful completion of The Options Supervisor Course.

(iii) If supervising futures contract and futures contract options, successful completion of:

- A. 1. The Derivatives Fundamentals Course and Futures Licensing Course, or  
2. The Futures Licensing Course and the National Commodity Futures Examination administered by the Financial Industry Regulatory Authority;

and

B. the Canadian Commodity Supervisors Examination.