

## Chapter 13

# SROs, Marketplaces and Clearing Agencies

---

### 13.1 SROs

#### 13.1.1 IIROC Rules Notice – Request for Comment – Proposed Amendments to Dealer Member Rules and Universal Market Integrity Rules (UMIR) – Consolidation of IIROC Enforcement, Procedural, Examination and Approval Rules

**IIROC RULES NOTICE – REQUEST FOR COMMENT –  
PROPOSED AMENDMENTS TO DEALER MEMBER RULES AND  
UNIVERSAL MARKET INTEGRITY RULES (UMIR) -  
CONSOLIDATION OF IIROC ENFORCEMENT,  
PROCEDURAL, EXAMINATION AND APPROVAL RULES**

The Commission is publishing for comment IIROC's proposed amendments to its Dealer Member Rules and UMIR to consolidate IIROC's enforcement, procedural, examination and approval rules. The proposed rules and IIROC's Rules Notice can be found at [www.osc.gov.on.ca](http://www.osc.gov.on.ca). Comments on the proposed amendments should be in writing and submitted within 90 calendar days following the date of publication of this notice in the Ontario Securities Commission Bulletin.