

Chapter 13

SROs, Marketplaces and Clearing Agencies

13.1 SROs

13.1.1 OSC Staff Notice and Request for Comment – IIROC – Proposed Provisions Respecting Order Execution Services as a Form of Third-Party Electronic Access to Marketplaces

OSC STAFF NOTICE AND REQUEST FOR COMMENT

INVESTMENT INDUSTRY REGULATORY ORGANIZATION OF CANADA (IIROC)

PROPOSED PROVISIONS RESPECTING ORDER EXECUTION SERVICES AS A FORM OF THIRD-PARTY ELECTRONIC ACCESS TO MARKETPLACES

IIROC is publishing for public comment proposed amendments to its Dealer Member Rules and Universal Market Integrity Rules to help ensure that activity through order execution services is subject to the same degree of supervision and regulatory oversight as other forms of third-party electronic access to marketplaces.

A copy of the IIROC Notice including the proposed amendments was published on our website at <http://www.osc.gov.on.ca>. The comment period ends on January 14, 2013.