

## Chapter 13

# SROs, Marketplaces and Clearing Agencies

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### 13.1 SROs

#### 13.1.1 IIROC – OSC Staff Notice of Request for Comment – Amendments to Dealer Member Rules 29, 200 and 3500 and to Dealer Member Form 1

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

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

##### AMENDMENTS TO DEALER MEMBER RULES 29, 200 AND 3500 AND TO DEALER MEMBER FORM 1

IIROC is publishing for public comment proposed amendments to Dealer Member Rules 29, 200 and 3500 and to Dealer Member Form 1 (collectively the “IIROC CRM2 Amendments”). The primary objective of the proposed IIROC CRM2 Amendments is to adopt IIROC rule requirements that are substantially the same as rule requirements recently adopted by the Canadian Securities Administrators with respect to the second set of regulatory objectives (annual account performance reporting, pre-trade and trade confirmation disclosures and annual account fee / charge reporting) identified under the Client Relationship Model project. To align with the requirements established under National Instrument 31-103, the proposed implementation dates will be July 15, 2014, July 15, 2015 and July 15, 2016. A copy of the IIROC Notice including the amended documents was also published on our website at <http://www.osc.gov.on.ca>.