

Chapter 13

SROs, Marketplaces and Clearing Agencies

13.1 SROs

13.1.1 OSC Staff Notice of Request for Comment – IIROC – Proposed Personal Financial Dealing Amendments

OSC STAFF NOTICE OF REQUEST FOR COMMENT

THE INVESTMENT INDUSTRY REGULATORY ORGANIZATION OF CANADA (IIROC)

PROPOSED PERSONAL FINANCIAL DEALING AMENDMENTS

On March 26, 2014, the Board of Directors of the Investment Industry Regulatory Organization of Canada (“IIROC”) approved the publication for amendments to the Personal Financial Dealing Rule and proposed amendments to Dealer Member Rule 100.15. IIROC is publishing for public comment proposed amendments to clarify the application of rules relating to personal financial dealing with clients. In light of the proposed amendments, the deadline date for the unwinding of existing trustee, executorship, power of attorney or similar arrangements is extended to June 13, 2015.

A copy of the IIROC Notice including the amended Proposed Rule is published on our website at www.osc.gov.on.ca.