

13.1.3 IIROC – Amendments to Dealer Member Rules 1, 2500, 2700, 3200 and Universal Market Integrity Rule 6.2 – Notice of Commission Approval

NOTICE OF COMMISSION APPROVAL

THE INVESTMENT INDUSTRY REGULATORY ORGANIZATION OF CANADA (IIROC)

AMENDMENTS TO DEALER MEMBER RULE 1, 2500, 2700, 3200 AND UNIVERSAL MARKET INTEGRITY RULE 6.2

The Ontario Securities Commission approved amendments to IIROC Dealer Member Rules 1, 2500, 2700, 3200 and to Universal Market Integrity Rule 6.2. The amendments address supervision and compliance requirements related to Order Execution Only Services and provide that similar activity that occurs through different forms of third-party electronic access is subject to the same degree of supervision and regulatory oversight. The amendments are effective June 1, 2015. A copy of the IIROC Notice was also published on our website at <http://www.osc.gov.on.ca>.

In addition, the British Columbia Securities Commission did not object to, and the Alberta Securities Commission, the Autorité des marchés financiers, the Financial and Consumer Affairs Authority of Saskatchewan, the Financial and Consumer Services Commission of New Brunswick, the Manitoba Securities Commission, the Nova Scotia Securities Commission, and the Office of the Superintendent of Securities, Service Newfoundland and Labrador have approved the amendments.