

Chapter 13

SROs, Marketplaces, Clearing Agencies and Trade Repositories

13.1 SROs

13.1.1 Investment Industry Regulatory Organization of Canada (IIROC) – Housekeeping Amendments to the Universal Market Integrity Rules (UMIR) to Update Reference to IIROC Rules – Notice of Commission Deemed Approval

NOTICE OF COMMISSION DEEMED APPROVAL

HOUSEKEEPING AMENDMENTS TO THE UNIVERSAL MARKET INTEGRITY RULES (UMIR) TO UPDATE REFERENCE TO INVESTMENT INDUSTRY REGULATORY ORGANIZATION OF CANADA (IIROC) RULES

December 16, 2021

The Ontario Securities Commission did not object to IIROC's proposed housekeeping amendments to section 6.2 of UMIR (Amendments). As a result, the Amendments were deemed approved and made editorial changes by replacing a rule reference to the Dealer Member Rules with the corresponding provision of the IIROC Rules. The Amendments will become effective on December 31, 2021.

In addition, the Alberta Securities Commission, the Autorité des marchés financiers, the British Columbia Securities Commission, the Financial and Consumer Affairs Authority of Saskatchewan, the Financial and Consumer Services Commission of New Brunswick, the Manitoba Securities Commission, the Northwest Territories Office of the Superintendent of Securities, the Nova Scotia Securities Commission, the Nunavut Securities Office, the Office of the Superintendent of Securities, Service Newfoundland and Labrador, the Office of the Yukon Superintendent of Securities, and the Prince Edward Island Office of the Superintendent of Securities did not object to the Amendments.

A copy of the IIROC Notice of Approval/Implementation, including text of the approved Amendments, can be found at www.osc.ca.