

# B.11

## SROs, Marketplaces, Clearing Agencies and Trade Repositories

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### B.11.1 SROs

#### B.11.1.1 Investment Industry Regulatory Organization of Canada (IIROC) – Housekeeping Amendments to Form 1, Part II – Report on Compliance for Insurance, Segregation of Securities and Guarantee/Guarantor Relationships – Notice of Commission Deemed Approval

##### NOTICE OF COMMISSION DEEMED APPROVAL

##### HOUSEKEEPING AMENDMENTS TO FORM 1, PART II – REPORT ON COMPLIANCE FOR INSURANCE, SEGREGATION OF SECURITIES AND GUARANTEE/GUARANTOR RELATIONSHIPS

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

The Ontario Securities Commission did not object to the classification of IIROC's proposed housekeeping amendments (**Amendments**) to Form 1, Part II – Report on compliance for insurance, segregation of securities and guarantee/guarantor relationships relied upon to reduce margin requirements during the year (**Report on Compliance**). As a result, the Amendments were deemed approved and the Report on Compliance is amended to comply with the Canadian Standard on Related Services 4400 *Agreed-Upon Procedures Engagements (CSRS 4400)*, which came into effect for agreed-upon procedures engagements for which the terms of engagement were agreed to on or after January 1, 2022. CSRS 4400 was introduced by the Auditing and Assurance Standards Board.

The Amendments will be effective on October 1, 2022.

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](http://www.osc.ca).