

B.11

CIRO, Marketplaces, Clearing Agencies and Trade Repositories

B.11.1 CIRO

B.11.1.1 Canadian Investment Regulatory Organization (CIRO) – Proposed Clarifying Amendments to Registration and Proficiency Requirements – Request for Comment

REQUEST FOR COMMENT

CANADIAN INVESTMENT REGULATORY ORGANIZATION (CIRO)

PROPOSED CLARIFYING AMENDMENTS TO REGISTRATION AND PROFICIENCY REQUIREMENTS

CIRO is publishing for comment proposed amendments to refine and clarify the registration and proficiency requirements in the Investment Dealer and Partially Consolidated Rules (**Proposed Amendments**). More specifically, through the Proposed Amendments, CIRO has:

- refined the proficiency requirements in Rule 2600,
- clarified redundant and ambiguous language in Rules 2500, 2600, 2700, and 3900, and
- made consequential changes to cross-references and terminology arising from the foregoing changes.

CIRO is publishing the Proposed Amendments for comment to clarify differing views on the interpretation of the requirements impacted by the Proposed Amendments.

A copy of the CIRO Notice including the text of the Proposed Amendments is also published on our website at www.osc.ca. The comment period ends on October 2, 2023.