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Existing Dealer Member Rule Number and Title	Existing Dealer Member Rule Section Reference	Subsection or Similar Reference	PLR Rule Number, Title and Description	Subsection	Originally Published Proposed PLR Rules (2010-2014): Comments and Description Description	March 10, 2016 Publication (Notice 16-0052): Comments and Descriptions	March 9, 2017 Publication (Notice 17-0054): Comments and Descriptions	January 18, 2018 Publication (Notice 18-0014): Comments and Descriptions	Revisions to Previously Published Proposed PLR Rules
Series 1000									
New Provision			R. 1101. Introduction	(1)	New - Non substantive - Introductory section.	Amended - Non substantive - The undefined term “Rule Book” has been replaced with the defined term “Corporation requirements”.	Amended - Non substantive - We clarified that in the event of a conflict between a term defined in a policy and one defined in IIROC requirements, the definition in the policy prevails when interpreting that policy.		
Rule 0001: Interpretation and Effect	1.02		R. 1102. General Interpretation	(1)			Amended - Non substantive - We updated this section for consistency with the defined terms in sub-section 1201(2).		
New Provision			R. 1102. General interpretation	(2)	New - Non substantive - Times referred to within the current rule book are already interpreted to mean Eastern (aka “Toronto”) time. See Dealer Member Rule 3000.	Amended - Non substantive - The undefined term “Rule Book” has been replaced with the defined term “Corporation requirements”.			
Rule 0001: Interpretation and Effect	1.03		R. 1102. General interpretation	(3)(i)		Amendment - Non substantive - For consistency with clause (3)(iii), as well as for greater clarity regarding the underlying intent of this rule, we have replaced “as the context indicates” with “if the context is appropriate”.			

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New Provision			R. 1102. General interpretation	(3)(ii)	New - Non substantive - Entities other than a corporation may be a Dealer Member and, therefore, it is presumed that such non- corporate entities would have a different type of governing body				
New Provision			R. 1102. General interpretation	(3)(iii)	New - Non substantive - As various rules and definitions set out the applicability of the rule to a corporate entity, this provision clarifies that if the context is appropriate, the rule may also apply to other types of entities.	Amended - Non substantive - Minor revision to clarify that the “other types” of entities in question are “unincorporated” entities.			
Rule 0001: Interpretation and Effect	1.01	"Applicable"	R. 1102. General interpretation	(3)(iv)	Amended - Non substantive - This provision was intended to capture the definition of the term “applicable” (from existing Dealer Member Rule 1.1), which was otherwise omitted from the PLR rule book.	Amended - Non substantive - In light of our decision to include a definition for the term “applicable” in the revised PLR rule book, clause 1102(3)(iv) now contains a consequential amendment.	Repealed - Non substantive - We removed previous clause 1102(3)(iv) as its contents are now included in the definition of "applicable District Council" in sub-section 1201(2).		
New Provision			R. 1102. General Interpretation	(3)(iv)	New - Non substantive - This concept is implied through existing Dealer Member Rules.		Amended - Non substantive - Previous clause 1102(3)(v) was renumbered 1102(3)(iv).		
Rule 0001: Interpretation and Effect	1.06		R. 1102. General interpretation	(4)			Repealed – Non substantive – Section deleted as it was duplicative of section 1201(1).		

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Rule 0001: Interpretation and Effect	1.04		R. 1102. General interpretation	(4)			Amended – Non substantive – Sub-section number changed.		
New Provision			R. 1103. Delegation by a Dealer Member	(1)-(2)	New - Substantive - Clarifies that, if a Corporation requirement requires a person at a Dealer Member to perform a function, the task may be delegated but not the responsibility. Expands on similar concept in existing Dealer Member Rule 38.4(b) with respect to Supervisors.	Amended - Non substantive - The provision has been split into two subsections.			
New Provision			R. 1104. Electronic signature	(1)	New - Substantive - Codifies current expectation that an electronic or digital signature may be used where a signature is required. See IDA Member Regulation Notice MR0177.		Amended - Non substantive - We updated this section for consistency with the defined terms in sub-section 1201(2).		
Rule 0020: Corporation Hearing Processes	20.52	(1)	R.1105. Transitional Rule	(1)		New - Non substantive - Existing Dealer Member Rule 20.52	Amended - Non substantive - We made wording changes to improve readability and clarity.	**Amended - Substantive** - We clarified the transition of existing discretionary exemptions.	
Rule 0020: Corporation Hearing Processes	20.52	(2)	R.1105. Transitional Rule	(2)		New - Non substantive - Existing Dealer Member Rule 20.52	Amended - Non substantive - We made wording changes to improve readability and clarity.	**Amended - Substantive** - We clarified the transition of existing discretionary exemptions.	Amended - Non substantive - We made a minor drafting change for consistency.
			R. 1106. – 1199. Reserved		New - Non-substantive - Reserved sections.				

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Rule 0001: Interpretation and Effect	1.06		R. 1201. Definitions	(1)	Amended - Non substantive - Clarifies that all terms not used in subsection 1201(2) will have the same meaning as defined in relevant securities legislation.	Amended - Non substantive - The undefined term “Rule Book” has been replaced with the defined term “IIROC requirements”.	Amended - Non substantive - We updated this section for consistency with the defined terms in sub-section 1201(2).		
Form 1, General Notes and Definitions	Definitions	(a)	R. 1201. Definitions "acceptable clearing corporation"	(2)			New - Non Substantive - We added in the definition of "acceptable clearing corporation" from Form 1.		
Form 1, General Notes and Definitions	Definitions	(b)	R. 1201. Definitions "acceptable counterparty"	(2)			New - Non Substantive - We added in the definition of "acceptable counterparties" from Form 1.		Amended - Non substantive - We changed the term "counterparties" to "counterparty" in response to comments we received on the March 2017 Publication (Notice 17-0054).
	Definitions		R. 1201. Definitions "acceptable exchange"						New - Non substantive - We incorporated the Form 1 definition of "acceptable exchange". See Notice 19-XXXX (Amendments to Form 1 for use in and
Form 1, General Notes and Definitions	Definitions	(c)	R. 1201. Definitions "acceptable institutions"	(2)			New - Non Substantive - We added in the definition of "acceptable institutions" from Form 1.		
New Provision			R. 1201. Definitions "acceptable foreign marketplace"	(2)				**New - Substantive -** We added this definition for clarity to ensure consistent use of the defined term and to include alternative trading systems in the definition.	Amended - Non substantive - We changed the term “acceptable marketplace” to “acceptable foreign marketplace”. We did not change its definition.

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Form 1, General Notes and Definitions	Definitions	(d)	R. 1201. Definitions "acceptable securities locations"	(2)			New - Non Substantive - We added in the definition of "acceptable securities locations" from Form 1.		
Rule 0007: Dealer Member Partners, Directors & Officers	7.01	"actively engaged in the business of a Dealer Member"	R. 1201. Definitions "actively engaged in the business of the Dealer Member"	(2)	Clean up tranche - Definition added.	Amended - Non substantive - The article “a” changed to “the” to reflect actual use in the proposed rules.	Amended - Non Substantive - We removed the phrase "including trading in securities…" to conform the plain language definition more closely with the current Dealer Member Rule definition.		
Rule 0029: Business Conduct	29.07	"	R. 1201. Definitions "advertisement"						Amended - Non substantive - We incorporated the defined term "advertisement" from existing Dealer Member Rule 29.7 in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 3500: Relationship Disclosure	2(1)		R. 1201. Definitions “advisory account”	(2)		Amended - Non substantive - The definition tracks the existing rule (which came into force after the original PLR publication), but deletes its final sentence, which was deemed unnecessary as it did not define the term “advisory account”, but was instead a restatement of obligations that arise under other rules.			

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Rule 3400: Research restrictions and disclosure requirements	Definitions		R. 1201. Definitions “advisory capacity”	(2)					
Rule 0001: Interpretation and Effect	1.01	"Affiliate"	R. 1201. Definitions “affiliate”	(2)					
New Provision			R. 1201. Definitions “agent”	(2)	New - Non substantive - Definition based on current requirements set out in existing Dealer Member Rule 39.				Amended - Non substantive - We made a non-material drafting change for consistency with the structural changes we made to the 2000s series.
Rule 0001: Interpretation and Effect	1.01	"Applicable"	R. 1201. Definitions “applicable District Council”	(2)		Amended - Non substantive - This term was omitted in the original publication of Rule 1000 and has now been restored. In addition, some redrafting was done to clarify the application of	Amended - Non substantive - We changed this defined term from "applicable" to "applicable District Council". We also made changes to clarify this definition.		Amended - Non substantive - We made non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054)
Rule 1.1; codification of existing concept set out in Form 1	1.01		R. 1201. Definitions “applicable exchange”	(2)					Amended - Non substantive - We changed the term “recognized exchange” to “applicable exchange”. -We also updated the defintion to be consistent with Form 1. See Notice 19-XXXX (Amendments to Form 1 for use in and consistency with PLR) for more details. As a result of this change, we also moved the definition's placement within the chart, in order to keep the chart in alphabetical order.

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New Provision			R. 1201. Definitions “applicable laws”	(2)	New - Non substantive - The definition provided is consistent with the general meaning of laws and applicable laws.	Amended - Non substantive - Definition revised to cover laws applicable to all Regulated Persons under IIROC’s jurisdiction.	Amended - Non substantive - We chose to use only the defined term "applicable laws".		Amended - Non substantive - We clarified this defintion and changed its placement in the section, in order to keep the chart in alphabetical order.
Consolidated Enforcement Rules, Rule 1200: Definitions	1201(2)	"approved investor"	R. 1201. Definitions “approved investor”	(2)		Amended - Non substantive - The term “approved investor” is a simpler, more descriptive term to replace the term “investor of a Dealer Member” that was part of the equivalent subsection 1201(2) in the original proposal to consolidate the enforcement rules (IIROC Rules Notice 12- 0104) and was approved for implementation on June 9, 2016 (see IIROC Rules Notice 16-0122). The only amendment here is that we have now included an additional final sentence to make clear that this new defined term will not change the word used within the National Registration Database (“Investor”) for an individual seeking approval from IIROC as an investor in a Dealer Member when required.	Amended - Non substantive - We made changes to clarify this definition.		

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Rule 0001: Interpretation and Effect	1.01	"Approved Lender"	R. 1201. Definitions “approved lender”	(2)			Repealed - Non substantive - We removed the definition of "approved lender" because we do not use this defined term in the proposed PLR Rule Book.		Amended - Non substantive - We removed the grey boxing of Consolidated Enforcement Rule terms because we are implementing these defined terms under the PLR Rule Book.
Rule 0001: Interpretation and Effect	1.01	"Approved Person"	R. 1201. Definitions “Approved Person”	(2)		Amended - Substantive - As part of a collection of amendments being made to harmonize IIROC Rules with provincial securities regulation as it relates to registration of individuals (the Registration Reform Amendments), two new Approved Person categories (“Associate			Amended - Non substantive - We made non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054). We also removed the grey boxing of Consolidated Enforcement Rule terms because we are implementing these defined
General By-Law No. 1, Article 1: Interpretation	1.01	"Associate"	R. 1201. Definitions “associate”	(2)					
New provision			R. 1201. Definitions “Associate Portfolio Manager”	(2)		New - Substantive - Registration Reform Amendment. We have added “Portfolio Manager” as its own category of approval.	Amended – No substantive – Edited to reflect that the defined term "Portfolio Manager" requires IIROC approval.		
New Provision			R. 1201. Definitions “beneficial owner"	(2)					Amended - Non substantive - We split the defined terms "beneficial owner" and "beneficially ownership" into two separate terms. We also made non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-

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Rule 0001: Interpretation and Effect	1.01	"Beneficial Ownership"	R. 1201. Definitions 'beneficial ownership”	(2)		Amended - Non substantive - We have simplified the structure of this definition.	Amended - Non substantive - We made changes to clarify this definition.		Amended - Non substantive - We split the defined terms "beneficial owner" and "beneficially ownership" into two separate terms. We made minor changes to the definition of "beneficial ownership" to support this. We made this change in response to comments we received on the March 2017 Publication (Notice 17-0054).
General By-Law No. 1, Article 1: Interpretation	1.01	"Board"	R. 1201. Definitions “Board”	(2)					
Rule 0001: Interpretation and Effect	1.01	"Board"	R. 1201. Definitions “Board”	(2)					
Rule 3100: Reporting and Recordkeeping Requirements	Definitions	"Business days"	R. 1201. Definitions “business day”	(2)					
Rule 0001: Interpretation and Effect	1.01	"Business Location"	R. 1201. Definitions “business location”	(2)		Amended - Non substantive - Revised definition intended to harmonize with National Instrument 33-109 and the relevant discussion in its Companion Policy.			Amended - Non substantive - We removed the grey boxing of Consolidated Enforcement Rule terms because we are implementing these defined terms under the PLR Rule Book.
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.01	(a)(i)	R. 1201. Definitions “carrying broker”	(2)		Amended - Non substantive - Added the word “accounts” to make clear that a carrying broker is responsible for maintenance of transaction records and accounts.			Amended - Non substantive - We removed the grey boxing of Consolidated Enforcement Rule terms because we are implementing these defined terms under the PLR Rule Book.

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General By-Law No. 1, Article 1: Interpretation	1.01	"CDS"	R. 1201. Definitions “CDS”	(2)		Amended - Non substantive - Replaced the reference to the General By- Laws with the actual name of this organization.	Amended – Non substantive – Section deleted to reflect that CDS is no longer defined in general By-Law No.1.		
Rule 2300: Account Transfers	2300.01	"CDS"	R. 1201. Definitions “CDS”	(2)			Amended – Non substantive – Section amended to reflect current name of organization.		
Rule 0001: Interpretation and Effect	1.01	"Chartered Bank"	R. 1201. Definitions “chartered bank”	(2)					
New Provision			R. 1201. Definitions “Chief Compliance Officer” or “CCO”	(2)	New - Non substantive - Reference to CCO already exists within the rules particularly existing Dealer Member Rule 38.		Amended - Non substantive - We made changes to clarify this definition.		
New Provision			R. 1201. Definitions “Chief Financial Officer” or “CFO”	(2)	New - Non substantive - Reference to CFO already exists within the rules particularly existing Dealer Member Rule 38		Amended - Non substantive - We made changes to clarify this definition.		
General By-Law No. 1, Article 1: Interpretation	1.01	"CIPF"	R. 1201. Definitions CIPF or “Canadian Investor Protection Fund”	(2)					Amended - Non substantive - We included the accronym "CIPF" as part of the defined term "Canadian Investor Protection Fund". We made this change in response to comments we received on the March 2017 Publication (Notice 17-0054).

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New Provision			R. 1201. Definitions “CIPF Disclosure Policy"	(2)			Amended - Non substantive - We added in the defined term "CIPF Disclosure Policy" to reflect the amendments introduced in IIROC Notice 16-0133 (Amendments Requiring Disclosure of Membership		Amended - Non substantive - We removed the reference to IIROC Notice 16-0133.
Rule 0800: Trading and Delivery	800.03		R. 1201. Definitions “clearing day”	(2)	Amended - Non substantive - New definition reflects that CDS may operate on certain single- province statutory holidays.				
Rule 0001: Interpretation and Effect	1.01	"Control or	R. 1201. Definitions “control”	(2)		Amended - Non substantive - Added the words “hearing panel or” immediately before “District Council” to ensure that hearing panels have the same power as District Councils to determine whether a person “controls” a Dealer Member.			Amended - Non substantive - We simplified this defined term in response to comments we received on the March 2017 Publication (Notice 17-0054). We also removed the grey boxing of Consolidated Enforcement Rule terms because we are implementing these defined terms under the PLR Rule Book.
Rule 0029: Business Conduct	29.07	"correspondence"	R. 1201. Definitions "correspondence"	(2)					Amended - Non substantive - We incorporated the defined term "correspondence" from existing Dealer Member Rule 29.7 in this Rule in response to comments we received on the March 2017 Publication (Notice 17-0054).
General By-Law No. 1, Article 1: Interpretation	1.01	"Dealer Member"	R. 1201. Definitions “Dealer Member”	(2)					

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Rule 0001: Interpretation and Effect	1.01	"Dealer Member Corporation"	R. 1201. Definitions “Dealer Member corporation”	(2)					Amended - Repealed - We removed the defined term "Dealer Member corporation" in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0001: Interpretation and Effect	1.01	"Dealer Member related activities"	R. 1201. Definitions “Dealer Member related activities"	(2)					Amended - Non substantive - We changed the term “securities related activities” to “Dealer Member related activities”. We did not change its definition. As a result of this change, we also moved the definition's placement within the chart, in order to keep the chart in alphabetical order.
Rule 0016: Dealer Members' Auditors and Financial Reporting	16.01		R. 1201. Definitions “Dealer Member’s auditor”	(2)	Amended - Non substantive - The definition is provided based on existing Dealer Member Rule 16.1, which provides that a panel of auditors is approved annually by the District Council and that each Dealer Member shall select its own auditor from that panel.		Amended – Non substantive – Section redrafted in plain language.		
Rule 0001: Interpretation and Effect	1.01	"Debt"	R. 1201. Definition “debt security”	(2)					
Rule 2600: Internal Control Policy Statements	Policy statement 8		R. 1201. Definitions “derivative”	(2)		Repealed - Non substantive - This defined term has been deleted here and moved to section 4911.	Amended - Non substantive - We decided to add back into Rule 1200 the definition of "derivative".		Amended - Non substantive - We clarified the language.

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Rule 0001: Interpretation and Effect	1.01	"Designated Supervisor"	R. 1201. Definitions “designated Supervisor”	(2)			Amended – Non substantive – We redrafted this section in plain language and made changes for consistency with Rule 2600.		Amended - Non substantive - We updated the cross-referencing within this definition.
Rule 0001: Interpretation and Effect	1.01	"Director"	R. 1201. Definitions “Director”	(2)		Amended - Non substantive			
Rule 1300: Supervision of Accounts	1300.03	"Discretionary account"	R. 1201. Definitions “discretionary account”	(2)				Amended - Substantive - We added "is subject to the suitability obligation where" for consistency with the drafting of "advisory account" and "managed account".	Amended - Non substantive - We clarified the language.
General By-Law No. 1, Article 1: Interpretation	1.01	"District"	R. 1201. Definitions “District”	(2)					
General By-Law No. 1, Article 1: Interpretation	1.01	"District Council"	R. 1201. Definitions “District Council”	(2)					
Form 1, General Notes and Definitions		"early warning excess"	R. 1201. Definitions "early warning excess"	(2)					Amended - Non substantive - We incorporated the defined term "early warning excess" from Form 1 (which was previously defined in Rule 4100). We made this change in response to comments we received on the March 2017 Publication (Notice 17-0054)
Form 1, General Notes and Definitions		"early warning reserve"	R. 1201. Definitions "early warning reserve"	(2)					Amended - Non substantive - We incorporated the defined term "early warning reserve" from Form 1. We made this change in response to comments we received on the March 2017 Publication (Notice 17-0054).

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Rule 0001: Interpretation and Effect	1.01	"Equity Investment"	R. 1200. Definitions “equity security”	(2)		Amended - Non substantive - This defined term and its definition were simplified and clarified because not all equities, equity investments and equity securities exhibit the same features, nor do all existing IIROC rule requirements apply consistently to all types of equities, equity investments and equity securities. The revised definition reflects the existing rule more closely.			
New Provision			R. 1201. Definitions “employee”	(2)	New - Substantive - Various references to “employee” appear within the existing rules. Definition also based on the concept set out in existing Dealer Member Rule 39.3 with respect to an agent.		Amended – Non substantive – Section redrafted in plain language.		
Rule 0001: Interpretation and Effect	1.01	"Executive"	R. 1201. Definitions “Executive”	(2)		Amended - Substantive - Added specific references to chief operating officer (or person acting in similar capacity) and Ultimate Designated Person.			Amended - Non substantive - We removed the grey boxing of Consolidated Enforcement Rule terms because we are implementing these defined terms under the PLR Rule Book.

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Rule 1200: Clients' Free Credit Balances	1200.01	"Free credit balance"	R. 1201. Definitions "free credit balance"	(2)					Amended - Non substantive - We made a non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054)
Rule 1800: Commodity Futures Contracts and Options	1800.01	"Futures Contract"	R. 1201. Definitions “futures contract”	(2)		Repealed - Non substantive - This defined term has been deleted here and moved to Rule 3200.	Amended - Non substantive - Defined term moved from Rules 3251 & 3903 to the general definitions section of Rule 1200.		
Rule 1800: Commodity Futures Contracts and Options	1800.01	"Futures Contract Option"	R. 1201. Definitions “futures contract option”	(2)	Amended - Non substantive - Definitions moved directly into Rule 3251 from the general definitions section of Rule 1200.		Repealed - Non substantive - We removed this defined term as it is only used once in the proposed PLR Rule Book.		
Rule 1300: Supervision of accounts	1300.03	"Futures contracts managed account"	R. 1201. Definitions “futures contracts managed account”	(2)		Amended - Non substantive - Added the word “contracts” to the defined term for consistency with the defined term “futures contracts”.	Repealed - Non substantive - We removed the defined term "futures contracts managed account" from Rule 1200 because it is only used in one rule.		
Rule 0001: Interpretation and Effect	1.01	"Guaranteeing "	R. 1201. Definitions “guarantee”	(2)					Amended - Non substantive - We made minor drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054).

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Rule 0001: Interpretation and Effect	1.01	"Holding Company"	R. 1201. Definitions “holding company”	(2)		Amended - Non substantive - Small deletion made to conform to a minor corollary amendment being proposed as part of the pending cross-guarantee amendments (IIROC Rules Notice 14-0257).	Amended - Non substantive - We made changes to clarify this definition.		
General By-Law No. 1, Article 1: Interpretation	1.01	"Corporation"	R. 1201. Definitions “IIROC”	(2)		Amended - Non substantive - replaced the term "Corporation" with "IIROC", but maintained the reference to the term "Corporation" as defined within General By-Law No.1.			Amended - Non substantive - We made minor drafting changes for consistency.
New Provision			R. 1201. Definitions “IIROC Membership Disclosure Policy”	(2)			New - Non substantive - We added in the defined term "IIROC Membership Disclosure Policy" for consistency with the amendments we implemented in IIROC Notice 16-0133.		Amended - Non substantive - We removed the reference to IIROC Notice 16-0133.
New Provision	New Provision		R. 1201. Definitions “IIROC requirements”	(2)	New - Non substantive - New defined term used to refer to all rules, by- laws, instruments prescribed or adopted by IIROC.	Amended - Non substantive - use of term "IIROC requirements" instead of "Corporation requirements".			Amended - Non substantive - We removed the grey boxing of Consolidated Enforcement Rule terms because we are implementing these defined terms under the PLR Rule Book.

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Rule 3100: Reporting and Recordkeeping Requirements	Definitions	"legislation" or "law"	R. 1201. Definitions “IIROC requirements”	(2)	New - Non substantive - New defined term used to refer to all rules, by- laws, instruments prescribed or adopted by IIROC.	Amended - Non substantive - use of term "IIROC requirements" instead of "Corporation requirements".			Amended - Non substantive - We removed the grey boxing of Consolidated Enforcement Rule terms because we are implementing these defined terms under the PLR Rule Book.
Rule 0001: Interpretation and Effect	1.01	"Individual"	R. 1201. Definitions “individual”	(2)					
Rule 0001: Interpretation and Effect	1.01	"Institutional Customer"	R. 1201. Definitions “institutional client”	(2)	Amended - Non substantive - The word “customer” was replaced with “client”, as was done throughout the rule book.		Amended - Non substantive - Edits made to clarify the definitions.		Amended - Non substantive - We made minor drafting changes for consistency.
Rule 2600: Internal Control Policy Statements	Policy Statement 1	"internal control"	R. 1201. Definitions “internal controls”	(2)		Amended - Non substantive - We have clarified that “management” refers to “management of the Dealer Member”.			Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
New Provision			R. 1201. Definitions “inter-dealer bond broker”	(2)			Amended - Non substantive - We moved the definition of "inter-dealer bond broker" from previous clause 7302(1)(ii) to here. We also clarified the definition.	Amended - Non-Substantive - We clarified the language.	Amended - Non substantive - We made non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054)
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.01	(a)(ii)	R. 1201. Definitions “introducing broker”	(2)					

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New Provision			R. 1201. Definitions “investment dealer”	(2)	New - Non substantive - Based on references in National Instrument 31-103 Registration requirements and exemptions, references to “securities dealer” were changed to “investment dealer” throughout the rule book.	Amended - Non substantive - Revisions have now been made to the definition to better harmonize it with the most current National Instrument 31-103 and relevant provisions of provincial securities legislation, such as Part XI of the Securities Act (Ontario).	Repealed - Non substantive - We removed the defined term "investment dealer" to avoid confusion with the term "Dealer Member".		
Rule 0001: Interpretation and Effect	1.01	"Investment Representative"	R. 1201. Definitions “Investment Representative” or “IR”	(2)			Amended – Non substantive – Circular reference removed.		
Rule 1300: Supervision of accounts	1300.03	"managed account"	R. 1201. Definitions “managed account”	(2)		Amended - Non substantive - The defined term “Associate Portfolio Manager” has been added at the end of the definition.			
Rule 0001: Interpretation and Effect	1.01	"Manipulative and Deceptive Activities"	R. 1201. Definitions “Manipulative and Deceptive Activities”	(2)		New - Non substantive - This is a new defined term that was implemented after the publication of the 1000 series. The definition is identical to the one that now appears in existing Dealer Member Rule 1.1.	Amended - Non substantive - We made changes to clarify this definition.		
General By-Law No. 1, Article 1: Interpretation	1.01		R. 1201. Definitions “Marketplace”	(2)		New - Non substantive - This term is being added in light of the reference to “Marketplace Member” in the definition of “Trader”.			Amended - Non substantive - We made minor drafting changes for consistency.

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General By-Law No. 1, Article 1: Interpretation	1.01		R. 1201. Definitions “Marketplace Member”	(2)		New - Non substantive - This term is being added in light of the reference to “Marketplace Member” in the definition of “Trader”.			Amended - Non substantive - We made minor drafting changes for consistency.
Form 1, General Notes and Definitions	Definitions	(g)	R. 1201. Definitions "market value"	(2)			New - Non Substantive - We added in the definition of "market value" from Form 1.		
General By-Law No. 1, Article 1: Interpretation	1.01		R. 1201. Definitions “Member”	(2)		New - Non substantive - This term is being added in light of the reference to “Marketplace Member” in the definition of “Trader”.			Amended - Non substantive - We made minor drafting changes for consistency.
Rule 0001: Interpretation and Effect	1.01	"Membership"	R. 1201. Definitions “Membership”	(2)					
Rule 1800: Commodity Futures Contracts and Options	1800.08	Second sentence: reference to “non-customer”	R. 1201. Definitions “non-client accounts” or “non-client orders”	(2)		Amended - Non substantive - The definition was clarified to expressly cover both accounts and orders of non-clients. We have also added back the words “direct or indirect” from the existing rule.			
Rule 0001: Interpretation and Effect	1.01	"Officer"	R. 1201. Definitions “officer”	(2)					
Rule 1900: Options	1900.01	"Option"	R. 1201. Definitions “option”	(2)		Repealed - Non substantive - This defined term has been deleted here and moved to Rule 3200.	Amended - Non substantive - Defined term moved from Rules 3251 & 3903 to the general definitions section of Rule 1200.	Amended - Substantive - We changed the definition to a product-specific definition for clarity.	

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Rule 3200: Minimum Requirements for Dealer Members Seeking Approval Under Rule 1300.1(t) to Offer an Order-Execution Only Service	Introduction		R. 1201. Definitions “order execution only account”	(2)		Amended - Non substantive	Amended - Non substantive - We amended this definition for consistency with the current rule.	Amended - Substantive - We changed the definition for consistency with the drafting of "advisory account", "managed account" and "discretionary account". The language was added to track and confirm with NI 31-103. The change aligns with the disclosure given to clients in sub-clause 3241(2)(i)(b).	
Rule 3500: Relationship Disclosure	3500.2	(2)	R. 1201. Definitions “order execution only account”	(2)					
Rule 0001: Interpretation and Effect	1.01	"Person"	R. 1201. Definitions “person”	(2)					
Rule 1300: Supervision of accounts	1300.03		R. 1201. Definitions “Portfolio Manager”	(2)	Amended - Non substantive - The term is defined in existing Dealer Member Rule 1300 and referred to in existing Dealer Member Rule 2900.	Amended - Substantive - Registration Reform Amendment. We have added “Portfolio Manager” as its own category of approval.			
General By-Law No. 1, Article 1: Interpretation	1.01		R. 1201. Definitions “President”	(2)			Amended - Non substantive - We included the defined term "President" from By-law No. 1.		Amended - Non substantive - We made minor drafting changes for consistency.
Consolidated Enforcement Rules, Rule 1200: Definitions	1201	(2) "public member"	R. 1201. Definitions "public member"	(2)				Amended - Non-Substantive - We corrected a typo.	Amended - Non substantive - We made non-material drafting a change in response to comments we received on the March 2017 Publication (Notice 17-0054)

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Rule 2300: Account Transfers	2300.01	Definitions	R. 1201. Definitions “recognized depository”	(2)		Repealed - Non substantive - This defined term has been deleted here as it only appears in Rule 4800 and is now defined in a similar (but slightly distinctive way) in section 4851.			
Rule 2900: Proficiency and Education		"Recognized Foreign Self-regulatory Organization"	R. 1201. Definitions “recognized foreign self-regulatory organization”	(2)					
Rule 0039: Principal and Agent	Appendix A		R. 1201. Definitions “records”	(2)		Amended - Non substantive - Definition revised to cover records of all Regulated Persons under IIROC’s jurisdiction.			Amended - Non substantive - We made a non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-
Rule 0001: Interpretation and Effect	1.01	"Registered Representative"	R. 1201. Definitions “Registered Representative”	(2)			Amended – Non substantive – Circular reference removed.		Amended - Non substantive - We removed the grey boxing of Consolidated Enforcement Rule terms because we are implementing these defined terms under the PLR Rule Book.
Form 1, General Notes and Definitions	Definitions	(h)	R. 1201. Definitions "regulated entity"	(2)			New - Non Substantive - We added in the definition of "regulated entities" from Form 1.		Amended - Non substantive - We made a non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054)

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General By-Law No. 1, Article 1: Interpretation	1.01		R. 1201. Definitions “Regulated Person”				Amended - Non substantive - We included the defined term "Regulated Person" from By-law No. 1.		Amended - Non substantive - We made minor drafting changes for consistency.
Rule 0001: Interpretation and Effect	1.01	"Related Company"	R. 1201. Definitions “related company”	(2)					
New Provision			R. 1201. Definitions “related issuer”	(2)	New - Non substantive - Adoption of securities legislation term.		Repealed - Non substantive - We removed the defined term "related issuer" from Rule 1200 because it is only used in the 3000s series.		
Rule 3400: Research Restrictions and Disclosure Requirements	Definitions	"remuneration"	R. 1201. Definitions “remuneration”	(2)	Clean up tranche - Definition added.	Amended - Non substantive - To make it appropriate for multiple rules throughout the rule book, the definition has been made more general; it is no longer limited to remuneration received by analysts only (as it is in existing Dealer Member Rule 3400).			
New Provision			R. 1201. Definitions “repurchase agreement”	(2)			New - Non substantive - We added in the defined term "repurchase agreement" for greater clarity.		

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Rule 3400: Research Restrictions and Disclosure Requirements	Definitions	"research report"	R. 1201. Definitions "research report"	(2)					Amended - Non substantive - We incorporated the defined term "research report" from existing Dealer Member Rule 3400. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
New Provision			R. 1201. Definitions “reverse repurchase agreement”	(2)			New - Non substantive - We added in the defined term "reverse repurchase agreement" for greater clarity.		
Rule 0001: Interpretation and Effect	1.01	"Retail Customer"	R. 1201. Definitions “retail client”	(2)					
New Provision			R. 1201. Definitions “risk adjusted capital”	(2)	New - Non substantive - This is based on concepts in current Dealer Member Rules, particularly the calculation method provided in Form 1.				
Rule 0001: Interpretation and Effect	1.01	"Securities Held for Safekeeping"	R. 1201. Definitions “safekeeping”	(2)	Clean up tranche - Definition added.	Amended - Non substantive - Cross - reference added to Rule 4400.			Amended - Non substantive - We clarified this defined term and the language in the definition. We made this non-material drafting change in response to comments we received on the March 2017 Publication

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Rule 0029: Business Conduct	29.07	"sales literature"	R. 1201. Definitions "sales literature"	(2)					Amended - Non substantive - We incorporated the defined term "sales literature" from existing Dealer Member Rule 29.7. This definition was previously in clause 3606(1)(iii).
Rule 0001: Interpretation and Effect	1.01	"Securities Commission"	R. 1201. Definitions “securities commission”	(2)		Repealed - Non substantive - This term is replaced by the new term “securities regulatory authority”.			
New Provision			R. 1201. Definitions “securities laws”	(2)	New - Non substantive - To codify existing understanding of these terms.	Amended - Non substantive - Added the word “distributing” to better reflect the nature of provincial securities regulation.	Amended - Non substantive - We are using the defined term "securities laws" instead of "securities legislation" or "applicable securities legislation". We also made changes to clarify this definition.	Amended - Substantive - We corrected an inadvertent omission from this definition.	Amended - Non substantive - We made minor drafting changes for consistency.
Rule 0001: Interpretation and Effect	1.01	"Securities Commission"	R. 1201. Definitions “securities regulatory authority”	(2)		New - Non substantive - This term replaces the former (now repealed) defined term “securities commission”. This reflects current practice. We have also made some minor revisions to reflect variations in the structure of securities regulatory agencies from province to province.	Amended - Non substantive - We made changes to clarify this definition.	Amended - Substantive - We changed the definition to ensure consistency with the changes to the defined term "securities laws".	Amended - Non substantive - We made minor drafting changes for consistency.

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Rule 0039: Principal and Agent	39.02	"securities related business"	R. 1201. Definitions “securities related business"	(2)	Repealed - Non-substantive - A separate proposal to repeal the definition of “securities related business” is currently awaiting CSA approval. In this publication, the definition was in sub-section 2402(1)	Amended - Non substantive - IIROC has withdrawn its proposal to repeal the definition of “securities related business”. See IIROC Notice 14-0047. In this publication, the definition was in sub-section 2402(1)	Amended - Non substantive - We updated this sub-section for consistency with the defined terms in sub-section 1201(2). In this publication, the definition was in sub-section 2402(1)	Amended - Non-substantive - We moved the definition of "securities related business" from sub-section 2402(1).	
Rule 0001: Interpretation and Effect	1.01	"Segregated Securities"	R. 1201. Definitions “segregated securities”	(2)			Repealed - Non substantive - We removed the defined term "segregated securities" because it is only used in the 4000s series.		
New Provision			R. 1201. Definitions “segregation”	(2)	New - Non substantive - Definition based on principles set out in current Rule 2000.		Amended – Non substantive – We redrafted this definition in plain language.		Amended - Non substantive - We made a non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054)
Rule 2400: Relationships Between Dealer Members and Financial Services Entities: Sharing of Office Premises	Introduction		R. 1201. Definitions “shared office premises”	(2)		New - Non substantive - Definition reflects substance of existing Dealer Member Rule 2400, Introduction.	Amended – Non substantive – We redrafted this definition in plain language.		Amended - Non substantive - We made a non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054)
New Provision			R. 1201. Definitions “significant area of risk”			New - Substantive - Registration reform related amendments - Added key regulatory framework that requires the assignment of an Executive to manage significant areas of risk.	Amended – Non substantive – We redrafted this definition in plain language and moved this defined term from Rule 1502 to sub-section 1200(2). We also made changes to clarify this definition.	Amended - Substantive - We removed "This includes, but is not limited to: …" and the list set out after this phrase to avoid confusion. The list was provided for illustrative purposes only and was not meant to be exhaustive.	Amended - Non substantive - We made a minor drafting change for consistency.

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New Provision			R. 1201. Definitions “SRO”	(2)					New - Non substantive - We added a definition for "SRO", which references the relevant National Instrument (NI 14-101).
Rule 0001: Interpretation and Effect	1.01	"Subordinated Debt"	R. 1201. Definitions “subordinated debt”	(2)					
Rule 0001: Interpretation and Effect	1.01	"Subsidiary"	R. 1201. Definitions “subsidiary”	(2)					
Rule 0001: Interpretation and Effect	1.01	"Supervisor"	R. 1201. Definitions “Supervisor”	(2)		New - Non substantive - Deleted words that were deemed unnecessary.			Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103. We also removed the grey boxing of Consolidated Enforcement Rule terms because we are implementing these defined terms under the PLR Rule Book.
New Provision			R. 1201. Definitions “Trader”	(2)	New- Non substantive - Definition is new. However, the concept is already reflected in existing rules, particularly Dealer Member Rule 2900.				Amended - Non substantive - We removed the grey boxing of Consolidated Enforcement Rule terms because we are implementing these defined terms under the PLR Rule Book.

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New Provision			R. 1201. Definitions “Ultimate Designated Person”	(2)	New - Non substantive - Definition is new. However, the concept is already reflected in existing rules, particularly Dealer Member Rules 38 and 2900.	New - Non substantive - Clarifying language added.			Amended - Non substantive - We removed the grey boxing of Consolidated Enforcement Rule terms because we are implementing these defined terms under the PLR Rule Book.
New Provision			R. 1201. Definitions “written cash and securities loan agreement”	(2)			Amended – Non substantive – We added in a new defined term, “written cash and securities loan agreement”.		Amended - Non substantive - We made non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054)
Rule 0001: Interpretation and Effect	1.01	"Fully Participating Security"			Repealed - Non substantive - The term is no longer used in the plain language rules.				
Rule 0001: Interpretation and Effect	1.01	"Investment"			Repealed - Non substantive - A specific definition of this term is unnecessary as the term is used in a general sense throughout the plain language rules.				
Rule 0001: Interpretation and Effect	1.01	"Investor"			Repealed - Non substantive - The undefined terms “customer” and “client” are used throughout the plain language rules to refer to investors in a general sense.				
Rule 0001: Interpretation and Effect	1.01	"Junior Subordinated Debt"			Repealed - Non substantive - This term is no longer used in the plain language rules.				

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Rule 0001: Interpretation and Effect	1.01	"Limited Participation Security"			Repealed - Non substantive - This term is no longer used in the plain language rules.				
Rule 0001: Interpretation and Effect	1.01	"Non-participating Security"			Repealed - Non substantive - This term is no longer used in the plain language rules.				
Rule 0001: Interpretation and Effect	1.01	"Non-subordinated Debt"			Repealed - Non substantive - This term is no longer used in the plain language rules.				
Rule 0001: Interpretation and Effect	1.01	"Ordinary Course Indebtedness"			Repealed - Non substantive - This term is no longer used in the plain language rules.				
Rule 0001: Interpretation and Effect	1.01	"Predecessor Organization"			Repealed - Non substantive - This term is no longer used in the plain language rules.				
Rule 0001: Interpretation and Effect	1.01	"Restrictive Security"			Repealed - Non substantive - This term is no longer used in the plain language rules.				
Rule 0001: Interpretation and Effect	1.01	"Rules"			Repealed - Non substantive - A new definition of “Corporation requirements” was added to replace this term.				
Rule 0001: Interpretation and Effect	1.01	"Secretary"			Repealed - Non substantive - This term is no longer used in the plain language rules.				
Rule 0001: Interpretation and Effect	1.01	"Securities Dealer"			Repealed - Non substantive - This term is no longer used in the plain language rules as the term “investment dealer” is now used instead.				

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Rule 0001: Interpretation and Effect	1.01	"Self-Regulatory Organization"			Repealed - Non substantive - The term is no longer used in the plain language				
Rule 0001: Interpretation and Effect	1.01	"Voting Securities"			Repealed - Non substantive - This term is defined in securities legislation; it does not need to be defined in the IIROC rules as it has the same meaning as in securities legislation, in accordance with proposed subsection 1201(1).				
Rule 1300: Supervision of accounts	1300.03	"Investment"			Repealed - Non substantive - A specific definition of this term is unnecessary as the term is used in a general sense throughout the plain language rules.				
Rule 1300: Supervision of accounts	1300.03	"Responsible Person"			Repealed - Non substantive - This term is no longer used in the plain language rules.				
Rule 1800: Commodity Futures Contracts and Options	1800.01	"Clearing Corporation or Clearing House"			Repealed - Non substantive - This term is no longer used in the plain language rules.				
Rule 1800: Commodity Futures Contracts and Options	1800.01	"Commodity"			Repealed - Non substantive - Use of the term is generally understood, so this definition is not necessary.				
Rule 1800: Commodity Futures Contracts and Options	1800.01	"Commodity Futures Exchange"			Repealed - Non substantive - Use of the term is generally understood, so this definition is not necessary.				

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Existing Dealer Member Rule Number and Title	Existing Dealer Member Rule Section Reference	Subsection or Similar Reference	PLR Rule Number, Title and Description	Subsection	Originally Published Proposed PLR Rules (2010-2014): Comments and Description Description	March 10, 2016 Publication (Notice 16-0052): Comments and Descriptions	March 9, 2017 Publication (Notice 17-0054): Comments and Descriptions	January 18, 2018 Publication (Notice 18-0014): Comments and Descriptions	Revisions to Previously Published Proposed PLR Rules
Rule 1800: Commodity Futures Contracts and Options	1800.01	"Contract"			Repealed - Non substantive - Use of the term is generally understood, so this definition is not necessary.				
Rule 1800: Commodity Futures Contracts and Options	1800.01	"Omnibus Account"			Repealed - Non substantive - This term is no longer used in the plain language rules.				
Rule 1800: Commodity Futures Contracts and Options	Definitions	"Exchange Contracts"			Repealed - Non substantive - Use of the term is generally understood, so this definition is not necessary.				
Rule 1800: Commodity Futures Contracts and Options	Definitions	"Registrant"			Repealed - Non substantive - The term “Approved Person” is now used throughout the rules.				
			R. 1202. – 1299. Reserved		New - Non-substantive - Reserved sections.				
New Provision			R. 1301. Introduction	(1)	New - Non substantive - Introductory section.		Amended - Non substantive - We updated this section for consistency with the defined terms in sub-section 1201(2).		
Rule 0017: Dealer Member Minimum Capital, Conduct of Business and Insurance	17.15		R. 1302. Exemptions from IIROC requirements	(1)			Amended - Non substantive - We updated this section for consistency with the defined terms in sub-section 1201(2). We made wording changes to improve readability and clarity.	Amended - Substantive - Added "Unless otherwise prescribed by *IIROC requirements"* to clarify that for some requirements, exemptions are granted by bodies other than the Board, such as the District Council.	
			R. 1303. - 1399. Reserved		New - Non-substantive - Reserved sections.				

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New Provision			R. 1401. Introduction	(1)	New - Reserved section - The content of this provision was to be introduced through a separate project to consolidate IIROC's enforcement rules.	Amended - Non substantive - This provision has been conformed to the equivalent provision from the final consolidated enforcement rules, as published in IIROC Rules Notice 16-0122.			
Rule 0029: Business Conduct	29.01		R. 1402. Standards of conduct		New - Reserved section - The content of this provision was to be introduced through a separate project to consolidate IIROC's enforcement rules.	Amended - Non substantive - This provision has been conformed to the equivalent provision from the final consolidated enforcement rules, as published in IIROC Rules Notice 16-0122.			
UMIR Part 2: Abusive Trading	2.01	(1)-(2)	R. 1402. Standards of conduct		New - Reserved section - The content of this provision was to be introduced through a separate project to consolidate IIROC's enforcement rules.	Amended - Non substantive - This provision has been conformed to the equivalent provision from the final consolidated enforcement rules, as published in IIROC Rules Notice 16-0122.			
Rule 0029: Business Conduct	29.01		R. 1403. Applicability		New - Reserved section - The content of this provision was to be introduced through a separate project to consolidate IIROC's enforcement rules.	Amended - Non substantive - This provision has been conformed to the equivalent provision from the final consolidated enforcement rules, as published in IIROC Rules Notice 16-0122.	Amended - Non substantive - We updated this section for consistency with the defined terms in sub-section 1201(2) and to clarify our requirements.		

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UMIR Part 10: Compliance	10.03		R. 1403. Applicability		New - Reserved section - The content of this provision was to be introduced through a separate project to consolidate IIROC's enforcement rules.	Amended - Non substantive - This provision has been conformed to the equivalent provision from the final consolidated enforcement rules, as published in IIROC Rules Notice 16-0122.	Amended - Non substantive - We made wording changes to improve readability and clarity.		Amended - Non substantive - We minor changes to the text to clarify our requirements.
Rule 0038: Compliance and Supervision	38.01	(i)	R. 1404. Policies and Procedures	(1)			New - Non Substantive - We added the requirement from existing Dealer Member Rule 38.01(i) for Dealer Members to establish maintain and enforce business conduct and operations policies and procedures. Amended - Non substantive - We updated this section for consistency with the defined terms in sub-section 1201(2) and to clarify our requirements.		Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
New Provision			R. 1404. Policies and Procedures	(2)	New - Substantive - The requirement for a Dealer Member's policies and procedures to meet the Corporation's objectives, as well as the ability of the		Amended - Non Substantive - We amended this subsection for consistency with the new subsection 1404(1). Previous sub-section	Amended - Substantive - We replaced the word "sufficient" with "designed" for consistency with similar requirements in section 3904.	Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more

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New Provision			R. 1404. Policies and procedures	(3)	New - Substantive - Codification of existing expectations that any guidelines provided through a Guidance Note present an acceptable method of complying with specific rules and that Dealer Members may use alternate methods.		Amended - Non Substantive - Previous sub-section 1404(2) was renumbered 1404(3). We updated terms in this sub-section for greater clarity and consistency.		Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
New Provision			R. 1404. Policies and procedures	(4)	New - Substantive - Codification of current expectations that the Corporation may require a Dealer Member to adopt additional or different policies if the Corporation considers the existing policies and procedures to be insufficient.	Amended - Non substantive - Drafting changes to more accurately reflect the intent of this provision, namely, to ensure that policies and procedures are revised when they are insufficient to comply with a substantive rule.	Amended - Non Substantive - Previous sub-section 1404(3) was renumbered 1404(4).		Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103. We also clarfied the language.
Rule 0038: Compliance and Supervision	38.01		R. 1405. Evidence of compliance with IIROC requirements	(1)	New - Non substantive - Codification and clarification of provisions currently set out in Dealer Member Rules 38, 2500 and 2700, which require a Dealer Member to establish reasonable compliance procedures in a manner that would prevent and detect violations.		Amended - Non substantive - We updated this section for consistency with the defined terms in sub-section 1201(2).		Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.

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Rule 2500: Minimum Standards for Retail Customer Account Supervision	Part VI	(B)	R. 1405. Evidence of compliance with IIROC requirements	(1)	New - Non substantive - Codification and clarification of provisions currently set out in Dealer Member Rules 38, 2500 and 2700, which require a Dealer Member to establish reasonable compliance procedures in a manner that would prevent and detect violations.		Amended - Non substantive - We updated this section for consistency with the defined terms in sub-section 1201(2).		Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 2700: Minimum Standards for Institutional Client Account Opening, Operation and Supervision	Part III	(E)	R. 1405. Evidence of compliance with IIROC requirements	(1)	New - Non substantive - Codification and clarification of provisions currently set out in Dealer Member Rules 38, 2500 and 2700, which require a Dealer Member to establish reasonable compliance procedures in a manner that would prevent and detect violations.		Amended - Non substantive - We updated this section for consistency with the defined terms in sub-section 1201(2).		Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
New Provision			R. 1405. Evidence of compliance with IIROC requirements	(2)	New - Substantive - Clarification of current expectations with regard to obligations of Dealer Members to retain records and evidence of compliance.				
New Provision			R. 1405. Evidence of compliance with IIROC requirements	(3)	New - Substantive - Clarification of existing expectations that Dealer Members may be required to provide the Corporation with evidence of their compliance with the Corporation's requirements.				

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Rule 0017: Dealer Member Minimum Capital, Conduct of Business and Insurance	17.14		R. 1406. Compliance with all applicable rules	(1)-(2)	Amended - Non substantive - Previously published as subsections 3103(1)&(2) - Non substantive revisions.		Amended - Non substantive - We clarified that Dealer Members must comply with all IIROC requirements and applicable laws that are applicable to their activities and not merely those of the organizations previously listed in paragraphs (i)-(iv) of previous Rule 3150(1). We also updated this sub-section for consistency with the defined terms in sub-section 1201(2).		Amended - Non substantive -Previous section 3150 was renumebred 1406. In January 2018, we also made non-material drafting changes to clarify the language.
			R. 1406. - 1499. Reserved		New - Non-substantive - Reserved sections.				Amended - Non substantive - Previous reserve section "1406-1499" was renumbered "1407-1499".
New Provision			R. 1501. Introduction			New - Substantive - Registration reform related amendments - Added key regulatory framework that requires the assignment of an Executive to manage significant areas of risk.	Amended - Non substantive - We made wording changes to improve readability and clarity.		

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New Provision			R. 1502. Responsibility of managing significant areas of risk	(1)		New - Substantive - Registration reform related amendments - Added key regulatory framework that requires the assignment of an Executive to manage significant areas of risk.	Amended - Non-substantive - Section number changed from 1503 to 1502 as previous section 1502 was moved to section 1201(2) "significant area of risk". Current publication – Amended - Non-substantive – We removed the term “manage” to clarify original policy intent: that the responsibility of Executives means the supervision of a significant area of risk. As opposed to overall compliance responsibility, which is assigned to the CCO or CFO in PLR 3912 and 3913 respectively. We also made wording changes to improve readability and clarity.		

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New Provision			R. 1502. Responsibility of managing significant areas of risk	(2)			Amended - Non-substantive - Section number changed from 1503 to 1502 as previous section 1502 was moved to section 1201(2) "significant area of risk". Current publication – Amended - Non-substantive – We removed the term “manage” to clarify original policy intent: that the responsibility of Executives means the supervision of a significant area of risk. As opposed to overall compliance responsibility, which is assigned to the CCO or CFO in PLR 3912 and 3913 respectively. Current publication – Amended – Substantive – We clarified that a list of responsible Executives does not need to be maintained within the firm’s policies and procedures manual.		

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New Provision			R. 1502. Responsibility of managing significant areas of risk	(3)			Amended - Non-substantive - Section number changed from 1503 to 1502 as previous section 1502 was moved to section 1201(2) "significant area of risk". Current publication – Amended - Non-substantive – Removal of term “manage” to clarify original policy intent: that the responsibility of Executives means the supervision of a significant area of risk. As opposed to overall compliance responsibility, which is assigned to the CCO or CFO in PLR 3912 and 3913 respectively. Current publication – Amended – Substantive – Edited to clarify the differences between the supervision and compliance roles within a firm. We note that these distinct roles/functions may not necessarily (and preferably would not) be the responsibility of the same Executive.	Amended - Substantive - We removed the word "compliance" to clarify that the Executive is responsible for the policies and procedures for their area. The CCO is responsible for compliance policies and procedures.	Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.

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			R. 1503. - 1999. Reserved			New - Non substantive - Reserved sections.	Amended - Non-substantive - Section number changed from 1504-1599 to 1503-1999 to reflect previous section number changes and the deletion of the redundant "Rule 1600 - 1900. Reserved".		

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2000 Series										
New Provision			R. 2101. Introduction	(1)	New - Non substantive - Introductory section.					
New Provision			R. 2101. Introduction	(2)	New - Non substantive - Introductory section.				Amended - Substantive - Replaced "financial health" with "the *Dealer Member*" for clarity.	
Rule 0005: Ownership of Dealer Member Securities	5.01				Repealed - Non-substantive - The requirement to inform IIROC of renewable / extendible borrowings is redundant; IIROC already receives monthly financial filings that includes this information.					
Rule 0001: Interpretation and Effect	1.01		R. 2102. Definitions "industry investor"	(1)	Clean up tranche - The definition of "industry investor" placed here; only used in this Rule.	Amended - Substantive - The definition of "industry investor" amended to require IIROC approval.				Amended - Non substantive - We standardized the format of our defined terms sections throughout the PLR. All sections are now in table
Rule 0001: Interpretation and Effect	1.01		R. 2102. Definitions "public ownership of securities"	(1)	Clean up tranche - Definition of "public ownership of securities" placed here; only used in this Rule.	Repealed - Substantive - The term "public ownership of securities" is used in existing Dealer Member 5.11. We have identified existing Dealer Member				Amended - Non substantive - We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we
Rule 0001: Interpretation and Effect	1.01		R. 2102. Definitions "qualified independent underwriter"	(1)	Clean up tranche - The definition of "qualified independent underwriter" placed here; only used in this Rule.					- We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section
Rule 0005: Ownership of Dealer Member Securities	5.04	(2)	R. 2102. Definitions "significant equity interest"	(1)		New - Non substantive - The definition of "significant equity interest" placed here; only used in this Rule.				Amended - Non substantive - We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we
Rule 0005: Ownership of Dealer Member Securities	5.02	(1)(a)	R. 2103. Dealer Member must have IIROC approval to issue subordinated debt							

Rule 0005: Ownership of Dealer Member Securities	5.02	(1)(b) - (c)			Repealed - Substantive - The requirement for IIROC approval of issuance of restrictive and limited participation securities has been removed.					
Rule 0005: Ownership of Dealer Member Securities	5.02	(2)	R. 2103. Dealer Member must have IIROC approval to issue subordinated debt	(2)						
Rule 0005: Ownership of Dealer Member Securities	5.02A		R. 2104. Repayments and additional subordinated debt	(1)						
Rule 0029: Business Conduct	29.11		R. 2105. Agreements with IIROC	(1)						
Rule 0005: Ownership of Dealer Member Securities	5.03		R. 2106. IIROC notification of changes of ownership	(1)-(2)			Amended - Non substantive - We updated this section for consistency with the defined terms in sub-section 1201(2).			
Rule 0017: Dealer Member Minimum Capital, Conduct of Business and Insurance	17.12		R. 2106. IIROC notification of changes of ownership	(1)						
Rule 0005: Ownership of Dealer Member Securities	5.06		R. 2107. Ownership of Another Dealer Member	(1)		Amended - Non substantive - Corporation approval is not required. The amendment captures the language used in existing Dealer Member Rule 5.6.	Amended - Non substantive - We updated this section for consistency with the defined terms in sub-section 1201(2).		Amended - Substantive - We changed sub-clause 2107(1)(iii)(c) to sub-clause 2107(1)(iii)(d). We added the new sub-clause 2107(1)(iii)(c) added to	
Rule 0005: Ownership of Dealer Member Securities	5.04	(1)	R. 2108. Ownership of a significant equity interest and ownership of assets	(1)		New - Substantive - Registration Reform Amendment. Introduces a new process to file a written request for approval with IIROC at least 30 days prior	Amended - Non substantive - We moved language from previous sub-section 2108(7) to a new sub-section 2108(1). Previous sub-section 2108(1) was			
Rule 0005: Ownership of Dealer Member Securities	5.04	(1)	R. 2108. Ownership of a significant equity interest and ownership of assets	(2)		New - Substantive - Registration Reform Amendment. Introduces a new process to file a written request for approval with IIROC at least 30 days prior	Amended - Non substantive - We moved language from previous sub-section 2108(7) to a new sub-section 2108(1). Previous sub-section 2108(1) was		Amended - Substantive - We added "directly or indirectly" to clarify the intent of this requirement.	
Rule 0005: Ownership of Dealer Member Securities	5.04	(1)	R. 2108. Ownership of a significant equity interest and ownership of assets	(3)		New - Substantive - Registration Reform Amendment. Introduces a new process to file a written request for approval with IIROC at least 30 days prior	Amended - Non substantive - We moved language from previous sub-section 2108(7) to a new sub-section 2108(1). Previous sub-section 2108(1) was			

Rule 0005: Ownership of Dealer Member Securities	5.04	(3)	R. 2108. Ownership of a significant equity interest and ownership of assets	(4)		New - Non substantive - Captures existing requirement.	Amended - Non substantive - We updated this sub-section for consistency with the defined terms in sub-section 1201(2). Previous sub-section 2108(3) was			
New Provision			R. 2108. Ownership of a significant equity interest and ownership of assets	(5)	New - Substantive - Allows District Council to delegate its authority under this section.		Amended - Non substantive - Previous sub-section 2108(4) was renumbered 2108(5).			
New Provision			R. 2108. Ownership of a significant equity interest and ownership of assets	(6)-(8)		New - Substantive - Registration Reform Amendment. Introduces new requirements relating to the approval process for acquiring all or a substantial	Amended - Non substantive - We updated sub-section 2108(6) for consistency with the defined terms in sub-section 1201(2). Previous sub-sections 2108(5)			
Rule 0005: Ownership of Dealer Member Securities	5.05		R. 2109. A Dealer Member's ownership of another Dealer Member	(1)						
New Provision			R. 2109. A Dealer Member's ownership of another Dealer Member	(2)	New - Substantive - Allows District Council to delegate its authority under this section.					
Rule 0005: Ownership of Dealer Member Securities	5.07		R. 2110. Public Ownership	(1)-(2)			Amended - Non substantive - We updated terms in sub-section 2110(2) for greater clarity and consistency.			Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more
Rule 0005: Ownership of Dealer Member Securities	5.08		R. 2110. Public Ownership	(3)-(4)			Amended - Non substantive - We updated terms in sub-section 2110(4) for greater clarity and consistency.			
New Provision			R. 2110. Public Ownership	(5)	New - Substantive - Allows District Council to delegate its authority under this section.					
Rule 0005: Ownership of Dealer Member Securities	5.09	(a)			Repealed - Substantive - Duplicative of securities law requirements.					
Rule 0005: Ownership of Dealer Member Securities	5.09	(b)	R. 2111. Public distribution of a Dealer Member's securities	(1)-(3)						Amended - Non substantive - We updated a term in sub-section 2111(3) for greater consistency throughout the PLR.

Rule 0005: Ownership of Dealer Member Securities	5.09	(c)			Repealed - Non-substantive - Unnecessary to state that a Dealer Member may sell its own securities by private sale.						
Rule 0005: Ownership of Dealer Member Securities	5.09	(d)			Repealed - Non-substantive - Unnecessary to state that a Dealer Member may sell its securities through any permissible method.						
Rule 0005: Ownership of Dealer Member Securities	5.10		R. 2111. Public distribution of a Dealer Member's securities	(1)-(3)			Amended - Non substantive - We clarified that the recognized exchange must be in Canada.				Amended - Non substantive - We updated a term in sub-section 2111(3) for greater consistency throughout the PLR.
Rule 0005: Ownership of Dealer Member Securities	5.11				Repealed - Substantive - Duplicative of securities law requirements.						
Rule 0005: Ownership of Dealer Member Securities	5.12	(a)			Repealed - Substantive - These requirements are duplicative of securities law requirements. Clean up tranche: Reference more accurately updated.						
Rule 0005: Ownership of Dealer Member Securities	5.12 first paragraph, last paragraph, and (b)		R. 2112. Take-over Bids or amalgamations	(1)-(3)			Amended - Non substantive - We clarified that the recognized exchange must be in Canada.				Amended - Non substantive - We updated a term in sub-section 2112(3) for greater consistency throughout the PLR.
Rule 0005: Ownership of Dealer Member Securities	5.13		R. 2113. Secondary distribution of securities	(1)							
Rule 0005: Ownership of Dealer Member Securities	5.15		R. 2114. Soliciting trades in a Dealer Member's securities	(1)-(3)			Amended - Non substantive - We updated sub-section 2114(1) for consistency with the defined terms in sub-section 1201(2) and to clarify our requirements.				
Rule 0005: Ownership of Dealer Member Securities	5.15	Last paragraph	R. 2115. Dealer Member's securities in client accounts	(1)			Amended - Non substantive - We added a reference to Schedule 9 of Form 1 for greater clarity.				
Rule 0005: Ownership of Dealer Member Securities	5.14		R. 2115. Dealer Member's securities in client accounts	(2)							

Rule 0005: Ownership of Dealer Member Securities	5.16		R. 2116. Research reports	(1)						
Rule 0005: Ownership of Dealer Member Securities	5.16A				Repealed - Substantive - Duplicative of securities law requirements.					
Rule 0005: Ownership of Dealer Member Securities	5.17		R. 2117. IIROC approvals	(1)-(4)		Amended - Non-substantive - Captures language used in existing Dealer Member Rule 5.17.				
Rule 0005: Ownership of Dealer Member Securities	5.18		R. 2117. IIROC approvals	(5)						
New Provision			R. 2117. IIROC approvals	(6)	New - Substantive - Allows District Council to delegate its authority under this section.					
			R. 2118. - 2199. Reserved		New - Non-substantive - Reserved sections.					Amended - Non-substantive - Previous reserve section "2118. - 2149" was changed to section "2118 - 2199"
New Provision			R. 2201. Introduction	(1)	New - Non substantive - Introductory section.					Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
			R. 2201. Introduction	(2)						New - Non-substantive - We added subsection (2) as table of contents for Rule 2200. We made this change to improve reader navigation within the Rule.
			Part A - Business Locations							
Rule 0004: Business Locations	4.06		R. 2202. Business locations	(1)	Clean up tranche - Reference corrected.					Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),

			R. 2203 - 2204. Reserved							New - Non-substantive - We added reserve sections 2203 - 2204.
Rule 0006: Dealer Member Holding Companies, Related Companies and Diversification	6.02		R. 2205. Holding companies	(1)			Amended - Non substantive - We updated this sub-section for consistency with the defined terms in sub-section 1201(2) and to clarify our requirements.		Amended - Substantive - We removed "Canadian" and added "carrying on business in Canada" to clarify the intent of this requirement.	Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
Rule 0006: Dealer Member Holding Companies, Related Companies and Diversification	6.01		R. 2205. Holding companies	(2)						Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
Rule 0006: Dealer Member Holding Companies, Related Companies and Diversification	6.03		R. 2206. Related companies	(1)	Amended - Substantive - Approval requirement for investment in “associates” removed.					Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
Rule 0006: Dealer Member Holding Companies, Related Companies and Diversification	6.04				Repealed - Non substantive - Related companies that are Dealer Members must comply with the Rules anyway, and those that aren’t Dealer Members are not under IIROC jurisdiction.					Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
Rule 0006: Dealer Member Holding Companies, Related Companies and Diversification	6.05		R. 2206. Related companies	(2)						Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
Rule 0006: Dealer Member Holding Companies, Related Companies and Diversification	6.06	(1)	R. 2206. Related companies	(3)		Amended - Non substantive - Captures the minimum 20% ownership interest used in the definition of “related company”.				Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
Rule 0006: Dealer Member Holding Companies, Related Companies and Diversification	6.06	(4)	R. 2206. Related companies	(4)						Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
Rule 0006: Dealer Member Holding Companies, Related Companies and Diversification	6.06	(2) and (3)	R. 2206. Related companies	(5)			Amended - Non substantive - We made changes to improve readability and clarity.			Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
Rule 0100: Margin Requirements	100.14	1st part				Deleted - Non substantive - Provision has been moved to Section 4119.				Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),

New Provision			R. 2206. Related companies	(6)	New - Substantive - Allows District Council to delegate its authority under this section.					Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
Rule 0100: Margin Requirements	100.14	2nd part			Repealed - Non-substantive - Duplicative of requirements of Statement B.					
Rule 1300: Supervision of Accounts	1300.01	(t) and (w)	R. 2207. Approval as an order execution services provider	(1)-(3)					Amended - Non-Substantive and Substantive - We clarified the use of the term "order execution only account" in 2155(1). We removed the requirements	Amended - Non-substantive -We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes), 2250 (Business
Rule 3200: Minimum Requirements for Dealer Members Seeking Approval Under Rule 1300.1(t) to Offer an Order-Execution Only Service	A	(1)(a)	R. 2207. Approval as an order execution services provider	(1)						Amended - Non-substantive -We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes), 2250 (Business
Rule 3200: Minimum Requirements for Dealer Members Seeking Approval Under Rule 1300.1(t) to Offer an Order-Execution Only Service	A	(2)(a)	R. 2207. Approval as an order execution services provider	(3)			Amended - Non substantive - We made changes to improve readability and clarity.		Amended - Substantive - We removed the requirement to provide IIROC with a copy of policies and procedures to clarify the intent of this	Amended - Non-substantive -We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes), 2250 (Business
Rule 3200: Minimum Requirements for Dealer Members Seeking Approval Under Rule 1300.1(t) to Offer an Order-Execution Only Service	A	(1)(b)	R. 2207. Approval as an order execution services provider	(4)						Amended - Non-substantive -We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes), 2250 (Business
Rule 3200: Minimum Requirements for Dealer Members Seeking Approval Under Rule 1300.1(t) to Offer an Order-Execution Only Service	A	(1)(c)	R. 2207. Approval as an order execution services provider							Amended - Non-substantive -We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes), 2250 (Business
			R. 2208 - 2214. Reserved							New - Non-substantive - We added reserve sections 2208 - 2214.
Rule 0006: Dealer Member Holding Companies, Related Companies and Diversification	6.07		R. 2215. Business other than securities	(1)-(2)	Amended - Non-substantive - Sub-paragraph (3) deleted. Permitting mutual fund and insurance sales is redundant.	Amended - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.				Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
New Provision			R. 2215. Business other than securities	(3)	New - Substantive - Allows District Council to delegate its authority under this section.					Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),

Rule 2400: Relationships Between Dealer Members and Financial Services Entities: Sharing of Office Premises	Confidentiality of Client Info	General	R. 2216. Shared office premises	(1)			Amended - Non substantive - We made changes to improve readability and clarity.			Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes), 2250 (Business Change Notification Requirements), 2300 (Branch Offices of Dealer Members) and 2350 (Trade Names and Disclosures) and renumbered and renamed them Rule 2200 – Dealer Member Organization, as a result, previous section "2157" was renumbered to section "2216". Because of this numbering change, we also updated any cross-referencing within the
Rule 2400: Relationships Between Dealer Members and Financial Services Entities: Sharing of Office Premises	General Principles	(1)	R. 2216. Shared office premises	(1)			Amended - Non substantive - We switched previous sub-sections 2157(1) and 2157(2) to improve readability. We updated this sub-section for consistency			Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
Rule 2400: Relationships Between Dealer Members and Financial Services Entities: Sharing of Office Premises	Introduction		R. 2216. Shared office premises	(2)			Amended - Non substantive - We switched previous sub-sections 2157(1) and 2157(2) to improve readability.			Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
Rule 2400: Relationships Between Dealer Members and Financial Services Entities: Sharing of Office Premises	General Principles	(2)	R. 2216. Shared office premises	(3), (7), and (10)						Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
Rule 2400: Relationships Between Dealer Members and Financial Services Entities: Sharing of Office Premises	Minimum Standards for Shared Premises	(7)(a)(ii)	R. 2216. Shared office premises	(4)-(5)			Amended - Non substantive - We updated terms in these sub-sections for greater clarity and consistency.			Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
Rule 2400: Relationships Between Dealer Members and Financial Services Entities: Sharing of Office Premises	Minimum Standards for Shared Premises	(5)	R. 2216. Shared office premises	(6)	Amended - Non-substantive - Some of the materials have been moved to GN 2200-2 Shared Premises. Not a requirement.		Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency.			Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
Rule 2400: Relationships Between Dealer Members and Financial Services Entities: Sharing of Office Premises	Minimum Standards for Shared Premises	(4)	R. 2216. Shared office premises	(7)-(8)	Amended - Non-substantive - Some of the materials have been moved to GN 2200-2 Shared Premises. Not a requirement.					Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),

Rule 2400: Relationships Between Dealer Members and Financial Services Entities: Sharing of Office Premises	Minimum Standards for Shared Premises	(6)	R. 2216. Shared office premises	(9)					Amended - Substantive - We revised the language to clarify the intent of this requirement.	Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
Rule 2400: Relationships Between Dealer Members and Financial Services Entities: Sharing of Office Premises	General Principles	(2)	R. 2216. Shared office premises	(10)			Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency.			Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
Rule 2400: Relationships Between Dealer Members and Financial Services Entities: Sharing of Office Premises	Minimum Standards for Shared Premises	(3)	R. 2216. Shared office premises	(11)	Amended - Non-substantive - Some of the materials have been moved to GN 2200-2 Shared Premises. Not a requirement.		Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency.			Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
Rule 2400: Relationships Between Dealer Members and Financial Services Entities: Sharing of Office Premises	Disclosure of Securities Related Activities	(1), (2) and (4)	R. 2216. Shared office premises	(12)						Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
Rule 2400: Relationships Between Dealer Members and Financial Services Entities: Sharing of Office Premises	Confidentiality of Client Info, Consent for new clients	(1)-(5)	R. 2216. Shared office premises	(13)	Amended - Substantive - This section is amended so that it does not duplicate privacy legislation. Rather than list privacy considerations, it now refers to privacy legislation.		Amended - Non substantive - We updated the terms in this sub-section for greater clarity and consistency.			Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
Rule 2400: Relationships Between Dealer Members and Financial Services Entities: Sharing of Office Premises	Confidentiality of Client Info, Consent for existing clients	(1)	R. 2216. Shared office premises	(13)	Amended - Substantive - The rewrite does not distinguish between new and existing clients for confidentiality purposes.					Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
Rule 2400: Relationships Between Dealer Members and Financial Services Entities: Sharing of Office Premises	Confidentiality of Client Info	(6)	R. 2157. Shared office premises	(14)						Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
Rule 2400: Relationships Between Dealer Members and Financial Services Entities: Sharing of Office Premises	Minimum Standards for Shared Premises	(9)(a)	R. 2216. Shared office premises	(15)						Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
Rule 2400: Relationships Between Dealer Members and Financial Services Entities: Sharing of Office Premises	Minimum Standards for Shared Premises	(9)(b)	R. 2216. Shared office premises	(16)			Amended - Non substantive - We switched the order of clauses 2157(16)(vii) and 2157(16)(viii) to improve readability.			Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
Rule 2400: Relationships Between Dealer Members and Financial Services Entities: Sharing of Office Premises	Minimum Standards for Shared Premises	(9)(b)(vii)	R. 2216. Shared office premises	(17)					Amended - Substantive - We amended the language in clause 2157(17)(iii) (which was formerly 2157(17)(ii) and inserted a new clause 2157(17)(ii) to	Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), as a result, previous section "2157" was renumbered to

Rule 2400: Relationships Between Dealer Members and Financial Services Entities: Sharing of Office Premises	Minimum Standards for Shared Premises	(10)	R. 2216. Shared office premises	(18)						Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
			R. 2217 - 2219. Reserved		New - Non substantive - Reserved sections.					Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
			Part B – Dealer Member Membership Changes							
New Provision			R. 2220. Introduction	(1)	New – Non -substantive - Introductory provision added.					Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
Rule 0008: Dealer Member Resignations, Amalgamations, Etc.	8.04		R. 2221. Notice of intention to resign	(1)						Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
Rule 0008: Dealer Member Resignations, Amalgamations, Etc.	8.06		R. 2221. Notice of intention to resign	(1)						Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
Rule 0008: Dealer Member Resignations, Amalgamations, Etc.	8.02		R. 2222. Letter of resignation and supporting documents	(1)	Amended - Substantive - requirement for Dealer Member to state reasons for resigning.					Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
Rule 0008: Dealer Member Resignations, Amalgamations, Etc.	8.03		R. 2223. Acquisition and resignation	(1(i))	Amended - Substantive - Removed specific requirement for amalgamated Dealer Member to demonstrate solvency as there is a specific requirement elsewhere that applies to all Dealer Members.		Amended - Non substantive - We removed unnecessary language to improve readability and we updated terms for greater clarity and consistency.			Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
New Provision			R. 2223. Acquisition and resignation	(1(ii))	New – Substantive - Requirement for continuing Dealer Member to provide pro forma financial statements.					Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
Rule 0008: Dealer Member Resignations, Amalgamations, Etc.	8.03	A	R. 2224. Amalgamation of Dealer Members	(1)(i)	Amended - Substantive - Removed specific requirement for amalgamated Dealer Member to demonstrate solvency as there is a specific requirement elsewhere that applies to all Dealer Members.		Amended - Non substantive - We updated this sub-section for consistency with the defined terms in sub-section 1201(2).			Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),

New Provision			R. 2224. Amalgamation of Dealer Members	(1)(ii)	New – Substantive - Requirement for continuing Dealer Member to provide pro forma financial statements.					Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
Rule 0008: Dealer Member Resignations, Amalgamations, Etc.	8.03	AA	R. 2225. Amalgamation with a non-Dealer Member	(1)(i)			Amended - Non substantive - We updated this sub-section for consistency with the defined terms in sub-section 1201(2).			Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
New Provision			R. 2225. Amalgamation with a non-Dealer Member	(1)(ii)	New – Substantive - Requirement for continuing Dealer Member to provide pro forma financial statements.					Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
Rule 0008: Dealer Member Resignations, Amalgamations, Etc.	8.05		R. 2226. Effective date of resignation	(1)	Amended - Substantive - Remove specific requirement that resignation take place at "close of business"	Amended - Substantive - Captures existing IIROC practices in which a Dealer Member requires IIROC Board approval before allowing a resignation to be				Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
Rule 0008: Dealer Member Resignations, Amalgamations, Etc.	8.05		R. 2226. Effective date of resignation	(2)		Amended - Non substantive - Captures existing rule requirement.				Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
Rule 0008: Dealer Member Resignations, Amalgamations, Etc.	8.06		R. 2226. Effective date of resignation	(3)						Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
Rule 0008: Dealer Member Resignations, Amalgamations, Etc.	8.07		R. 2227. Payment of IIROC fees	(1)-(2)		Amended - Non substantive - Captures new requirements pursuant to IIROC Notice 15 - 0196.				Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
Rule 0031: Inactive Status	31.01		R. 2228. Inactive Dealer Members	(1)			Amended - Non substantive - We amended this section for consistency with the current rule, which requires Dealer Members file their applications in writing and			Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
Rule 0031: Inactive Status	31.02		R. 2228. Inactive Dealer Members	(2)	Clean up tranche - Reference updated					Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
Rule 0031: Inactive Status	31.03		R. 2228. Inactive Dealer Members	(3)	Clean up tranche - Reference updated					Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),

Rule 0031: Inactive Status	31.04		R. 2228. Inactive Dealer Members	(4)	Clean up tranche - Reference updated					Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
Rule 0031: Inactive Status	31.05		R. 2228. Inactive Dealer Members	(5)		Amended - Non substantive - Captures existing Dealer Member Rule 31.5.				Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
Rule 0600: Suspended Members	600.01 and 600.02		R. 2210. Suspension of membership	(1)-(2)		Repealed - Non substantive - Repealed to eliminate unnecessary rule provisions and redundancy in the IIROC Rule Book. See IIROC Rules Notice 13-				
Rule 0008: Dealer Member Resignations, Amalgamations, Etc.	8.08		R. 2211. Termination of membership	(1)-(2)		Repealed - Non Substantive - Repealed to eliminate unnecessary rule provisions and redundancy in the IIROC Rule Book. See IIROC Rules Notice 13-				
			R. 2229 - 2244. Reserved		New - Non substantive - Reserved sections.					Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
			Part C – Business Change Notification Requirements							
New Provision			R. 2245. Introduction	(1)	New - Non-substantive - Introductory provision added.					Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
Rule 0017: Dealer Member Minimum Capital, Conduct of Business and Insurance	17.12	1st 3 lines, to end of (i)	R. 2246. Dealer Member's notice of changes to IIROC	(1)(i)-(iii)						Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
Rule 0017: Dealer Member Minimum Capital, Conduct of Business and Insurance	17.12	(ii)	R. 2246. Dealer Member's notice of changes to IIROC	(1)(iv)						Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
New Provision			R. 2246. Dealer Member's notice of changes to IIROC	(2)			New - Non substantive - We added in a requirement for Dealer Members to notify IIROC of any material changes to their business activities. This is consistent			Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),

Rule 0017: Dealer Member Minimum Capital, Conduct of Business and Insurance	17.12	2nd sentence	R. 2247. IIROC informs Dealer Member about review when necessary	`						Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
Rule 0017: Dealer Member Minimum Capital, Conduct of Business and Insurance	17.12	3rd sentence	R. 2248. District Council review of proposed changes	(1)						Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes), 2250 (Business Change Notification Requirements), 2300 (Branch Offices of Dealer Members) and 2350 (Trade Names and Disclosures) and renumbered and renamed them Rule 2200 – Dealer Member Organization, as a result, previous section "2254" was renumbered to section "2248". Because of this numbering change, we also updated any cross-referencing within the section where applicable. We also correncted an error in numbering of the last clause in this provision by changing it from "ii" to "iii".
			R. 2249. - 2264. Reserved		New - Non-substantive - Reserved sections.					Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
			Part D – Branch Offices of Dealer Members							
New Provision			R. 2265. Introduction	(1)	New – Non-substantive - Introductory provision added.					Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
Rule 0004: Business Locations	4.01		R. 2266. Branch Office Members	(1)						Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),

Rule 0004: Business Locations	4.03, 4.04 and 4.05		R. 2267. Branch Office Member's representation	(1)						Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
Rule 0004: Business Locations	4.02		R. 2268. Fees	(1)						Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
			R. 2269. - 2279. Reserved		New - Non-substantive - Reserved sections.					Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
			Part E – Trade Names and Disclosures							
New Provision			R. 2280. Introduction	(1)	New - Non-substantive - Introductory provision added.					Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
New Provision			R. 2281. Trade names	(1)	New - Non-substantive - definition of "trade name" only used for in this section. Therefore, it is just described here instead of defined.		Amended - Non substantive - We made changes to improve readability and clarity.		Amended - Substantive - We clarified the intent of the requirement. Variations of a Dealer Member's name are "trade names".	Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
Rule 0029: Business Conduct	29.07	A(1)	R. 2281. Trade names	(2)						Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
Rule 0029: Business Conduct	29.07	A(2)	R. 2281. Trade names	(3)						Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
Rule 0029: Business Conduct	29.07	A(5)	R. 2281. Trade names	(4)						Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
Rule 0029: Business Conduct	29.07	A(8)	R. 2281. Trade names	(5)						Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),

Rule 0029: Business Conduct	29.07	A(3)	R. 2282. IIROC notification	(1)(i)						Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
Rule 0029: Business Conduct	29.07	A(4)	R. 2282. IIROC notification	(1)(ii)						Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
Rule 0029: Business Conduct	29.07	A(9)	R. 2282. IIROC notification	(2)						Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
Rule 0029: Business Conduct	29.07	A(6)	R. 2283. Displaying the full legal name	(1)						Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
Rule 0029: Business Conduct	29.07	A(7)	R. 2283. Displaying the full legal name	(1)-(2)						Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
Rule 0029: Business Conduct	29.07	A(7)	R. 2283. Displaying the full legal name	(3)		New - Non substantive - Captures existing rule 29.7A(7).				Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
Rule 0029: Business Conduct	29.28		R. 2284. Membership disclosure requirements of the Canadian Investor Protection Fund	(1)		Please refer to IIROC Notice 15-0248 for proposed amendments.	Please refer to IIROC Notice 16-0133 for amendments.			Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
Rule 0700: Use of Name or Logo	700.01	name part	R. 2285. Membership Disclosure of IIROC for Dealer Members	(1)		Please refer to IIROC Notice 15-0248 for proposed amendments.	Please refer to IIROC Notice 16-0133 for amendments.			Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),
Rule 0700: Use of Name or Logo	700.01	last part of 1st paragraph	R. 2285. Membership Disclosure of IIROC for Dealer Members	(2)		Please refer to IIROC Notice 15-0248 for proposed amendments.	Please refer to IIROC Notice 16-0133 for amendments.			
Rule 0700: Use of Name or Logo	700.01	2nd paragraph	R. 2285. Membership Disclosure of IIROC for Dealer Members	(3)		Please refer to IIROC Notice 15-0248 for proposed amendments.	Please refer to IIROC Notice 16-0133 for amendments.			

Rule 0700: Use of Name or Logo	700.01	1st paragraph middle part	R. 2285. Membership Disclosure of IIROC for Dealer Members	(4)		Please refer to IIROC Notice 15-0248 for proposed amendments.	Please refer to IIROC Notice 16-0133 for amendments.			
Rule 0022: Use of Name or Logo: Liabilities: Claims	22.01	beginning and middle part	R. 2286. - 2299. Reserved	(1)		Please refer to IIROC Notice 15-0248 for proposed amendments.	Please refer to IIROC Notice 16-0133 for amendments.			Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes), 2250 (Business Change Notification Requirements), 2300 (Branch Offices of Dealer Members) and 2350 (Trade Names and Disclosures) and renumbered and renamed them Rule 2200 – Dealer Member Organization, as a result, previous reserve section "2357 - 2399" was changed to section "2286-2299".
Rule 0700: Use of Name or Logo	700.01	1st part of 1st paragraph & last paragraph	R. 2286. - 2299. Reserved	(2) and (4)	Amended - Non substantive - provisions regarding use of IIROC name and logo on new issues has been removed and replaced with a general provision prohibiting misleading or confusing use of IIROC name and logo	Please refer to IIROC Notice 15-0248 for proposed amendments.				Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes), 2250 (Business Change Notification Requirements), 2300 (Branch Offices of Dealer Members) and 2350 (Trade Names and Disclosures) and renumbered and renamed them Rule 2200 – Dealer Member Organization, as a result, previous reserve section "2357 - 2399" was changed to section "2286-2299".
Rule 0700: Use of Name or Logo	700.01	last paragraph	R. 2286. - 2299. Reserved	(3)		Please refer to IIROC Notice 15-0248 for proposed amendments.				Amended - Non-substantive - We amalgamated previous Rules 2150 (Dealer Member Structure), 2200 (Dealer Member Membership Changes),

New Provision			R. 2301. Introduction	(1)	New - Non-substantive - Introductory provision added.					Amended - Non-substantive - We renumbered previous Rule 2400 (Principal and Agent Relationships) as Rule 2300 – Principle and Agent Relationships, as a
Rule 0039: Principal and Agent	39.01				Repealed - Non-substantive - The deeming of agents being equivalent to employees for the purposes of the rule is now included in the definitions.					
Rule 0039: Principal and Agent	39.03		R. 2302. Principal and agent relationships	(1)-(2)					Previous section 2403 was renumbered 2402.	Amended - Non-substantive - We renumbered previous Rule 2400 (Principal and Agent Relationships) as Rule 2300 – Principle and Agent Relationships, as a
Rule 0039: Principal and Agent	39.04	(o)	R. 2303. Written agreement between the Dealer Member and IIROC	(1)-(2)			Amended - Non substantive - We updated sub-section 2404(2) for consistency with the defined terms in sub-section 1201(2).		Amended - Substantive and Non- substantive - We clarified the intent of this requirement. We also renumbered this subsection. Previous section 2404 was	Amended - Non-substantive - We renumbered previous Rule 2400 (Principal and Agent Relationships) as Rule 2300 – Principle and Agent Relationships, as a
Rule 0039: Principal and Agent	39.04	(p)	R. 2303. Written agreement between the Dealer Member and IIROC	(3)					Amended - Substantive and Non- substantive - We clarified the intent of this requirement. We also renumbered this subsection. Previous section 2404 was	Amended - Non-substantive - We renumbered previous Rule 2400 (Principal and Agent Relationships) as Rule 2300 – Principle and Agent Relationships, as a
Rule 0039: Principal and Agent	Appendix B	Recitals (A)	R. 2303. Written agreement between the Dealer Member and IIROC	(4)(1.)(i)					Amended - Substantive and Non- substantive - We clarified the intent of this requirement. We also renumbered this subsection. Previous section 2404 was	Amended - Non-substantive - We renumbered previous Rule 2400 (Principal and Agent Relationships) as Rule 2300 – Principle and Agent Relationships, as a
Rule 0039: Principal and Agent	Appendix B	Recitals (B)	R. 2303. Written agreement between the Dealer Member and IIROC	(4)(1. Recitals)(ii)					Amended - Substantive and Non- substantive - We clarified the intent of this requirement. We also renumbered this subsection. Previous section 2404 was	Amended - Non-substantive - We renumbered previous Rule 2400 (Principal and Agent Relationships) as Rule 2300 – Principle and Agent Relationships, as a
Rule 0039: Principal and Agent	Appendix B	Recitals (B)	R. 2303. Written agreement between the Dealer Member and IIROC	(4)(1. Recitals)(iii)					Amended - Substantive and Non- substantive - We clarified the intent of this requirement. We also renumbered this subsection. Previous section 2404 was	Amended - Non-substantive - We renumbered previous Rule 2400 (Principal and Agent Relationships) as Rule 2300 – Principle and Agent Relationships, as a
Rule 0039: Principal and Agent	Appendix B	(2)	R. 2303. Written agreement between the Dealer Member and IIROC	(4)(2. Agreement with the Agent)(i)-(ii)					Amended - Substantive and Non- substantive - We clarified the intent of this requirement. We also renumbered this subsection. Previous section 2404 was	Amended - Non-substantive - We renumbered previous Rule 2400 (Principal and Agent Relationships) as Rule 2300 – Principle and Agent Relationships, as a
Rule 0039: Principal and Agent	Appendix B	(1)	R. 2303. Written agreement between the Dealer Member and IIROC	(4)(3. Supervision of the Agent)					Amended - Substantive and Non- substantive - We clarified the intent of this requirement. We also renumbered this subsection. Previous section 2404 was	Amended - Non-substantive - We renumbered previous Rule 2400 (Principal and Agent Relationships) as Rule 2300 – Principle and Agent Relationships, as a

Rule 0039: Principal and Agent	Appendix B	(3)	R. 2303. Written agreement between the Dealer Member and IIROC	(1)					Amended - Substantive and Non- substantive - We clarified the intent of this requirement. We also renumbered this subsection. Previous section 2404 was	Amended - Non-substantive - We renumbered previous Rule 2400 (Principal and Agent Relationships) as Rule 2300 – Principle and Agent Relationships, as a
Rule 0039: Principal and Agent	Appendix B	(4)	R. 2303. Written agreement between the Dealer Member and IIROC	(4)			Amended - Non substantive - We made changes to the wording of the agreement between the Dealer Member and IIROC to ensure this agreement could be a		Amended - Substantive and Non- substantive - We clarified the intent of this requirement. We also renumbered this subsection. Previous section 2404 was	Amended - Non-substantive - We renumbered previous Rule 2400 (Principal and Agent Relationships) as Rule 2300 – Principle and Agent Relationships, as a
Rule 0039: Principal and Agent	Appendix B	(7)			Repealed - Non-substantive - This grandfathering provision is obsolete.					Amended - Non-substantive - We renumbered previous Rule 2400 (Principal and Agent Relationships) as Rule 2300 – Principle and Agent Relationships, as a
Rule 0039: Principal and Agent	Appendix B	(6)	R. 2303. Written agreement between the Dealer Member and IIROC	(4)(5. Disclosure to Clients)					Amended - Substantive and Non- substantive - We clarified the intent of this requirement. We also renumbered this subsection. Previous section 2404 was	Amended - Non-substantive - We renumbered previous Rule 2400 (Principal and Agent Relationships) as Rule 2300 – Principle and Agent Relationships, as a
Rule 0039: Principal and Agent	Appendix B	(5)	R. 2303. Written agreement between the Dealer Member and IIROC	(4)(6. Disclosure by Agent)					Amended - Substantive and Non- substantive - We clarified the intent of this requirement. We also renumbered this subsection. Previous section 2404 was	Amended - Non-substantive - We renumbered previous Rule 2400 (Principal and Agent Relationships) as Rule 2300 – Principle and Agent Relationships, as a
New Provision			R. 2303. Written agreement between the Dealer Member and IIROC	(4)(7. Regulatory Authority of IIROC)		New - Non substantive - Acknowledges the expectation that IIROC has the authority to regulate and enforce the provisions set out in the Dealer Member			Amended - Substantive and Non- substantive - We clarified the intent of this requirement. We also renumbered this subsection. Previous section 2404 was	Amended - Non-substantive - We renumbered previous Rule 2400 (Principal and Agent Relationships) as Rule 2300 – Principle and Agent Relationships, as a
Rule 0039: Principal and Agent	Appendix B	(8)	R. 2303. Written agreement between the Dealer Member and IIROC	(4)(8. Governing Laws)					Amended - Substantive and Non- substantive - We clarified the intent of this requirement. We also renumbered this subsection. Previous section 2404 was	Amended - Non-substantive - We renumbered previous Rule 2400 (Principal and Agent Relationships) as Rule 2300 – Principle and Agent Relationships, as a
Rule 0039: Principal and Agent	Appendix B	(9)	R. 2303. Written agreement between the Dealer Member and IIROC	(4)(9. Continuing Benefit)					Amended - Substantive and Non- substantive - We clarified the intent of this requirement. We also renumbered this subsection. Previous section 2404 was	Amended - Non-substantive - We renumbered previous Rule 2400 (Principal and Agent Relationships) as Rule 2300 – Principle and Agent Relationships, as a
Rule 0039: Principal and Agent	39.04	(n)	R. 2304. Written agreement between the Dealer Member and its agents	(1)					Amended - Substantive and Non- substantive - We clarified the intent of this requirement. We also renumbered this subsection. Previous section 2405 was	Amended - Non-substantive - We renumbered previous Rule 2400 (Principal and Agent Relationships) as Rule 2300 – Principle and Agent Relationships, as a
Rule 0039: Principal and Agent	39.04	(a)	R. 2304. Written agreement between the Dealer Member and its agents	(2)			Amended - Non substantive - We updated this sub-section for consistency with the defined terms in sub-section 1201(2).		Amended - Non-substantive - We re-numbered this section. Previous section 2405 was renumbered 2404.	Amended - Non-substantive - We renumbered previous Rule 2400 (Principal and Agent Relationships) as Rule 2300 – Principle and Agent Relationships, as a

Rule 0039: Principal and Agent	39.04	(p)	R. 2304. Written agreement between the Dealer Member and its agents	(3)					Amended - Non-substantive - We re-numbered this section. Previous section 2405 was renumbered 2404.	Amended - Non-substantive - We renumbered previous Rule 2400 (Principal and Agent Relationships) as Rule 2300 – Principle and Agent Relationships, as a
Rule 0039: Principal and Agent	39.04	(n)	R. 2304. Written agreement between the Dealer Member and its agents	(4)			Amended - Non substantive - We added language to ensure the written agreement addresses any successor rules.		Amended - Substantive and Non- substantive - We clarified the intent of this requirement. We also renumbered this subsection. Previous section 2405 was	Amended - Non-substantive - We renumbered previous Rule 2400 (Principal and Agent Relationships) as Rule 2300 – Principle and Agent Relationships, as a
Rule 0039: Principal and Agent	39.04	(n)	R. 2304. Written agreement between the Dealer Member and its agents	(5)			Amended - Non substantive - We removed unnecessary language.		Amended - Non-substantive - We re-numbered this section. Previous section 2405 was renumbered 2404.	Amended - Non-substantive - We renumbered previous Rule 2400 (Principal and Agent Relationships) as Rule 2300 – Principle and Agent Relationships, as a
Rule 0039: Principal and Agent	39.04	(q)	R. 2304. Written agreement between the Dealer Member and its agents	(6)					Amended - Non-substantive - We re-numbered this section. Previous section 2405 was renumbered 2404.	Amended - Non-substantive - We renumbered previous Rule 2400 (Principal and Agent Relationships) as Rule 2300 – Principle and Agent Relationships, as a
Rule 0039: Principal and Agent	Appendix A	(1)			Repealed - Non-substantive - These definitions are unnecessary here since the relevant terms are defined in Rule 1200.					
Rule 0039: Principal and Agent	Appendix A	(3)	R. 2304. Written agreement between the Dealer Member and its agents	(7)(i)			Amended - Non substantive - We amended this provision for consistency with original rule.		Amended - Substantive and Non- substantive - We clarified the intent of this requirement. We also renumbered this subsection. Previous section 2405 was	Amended - Non-substantive - We renumbered previous Rule 2400 (Principal and Agent Relationships) as Rule 2300 – Principle and Agent Relationships, as a
Rule 0039: Principal and Agent	Appendix A	(2)	R. 2304. Written agreement between the Dealer Member and its agents	(7)(ii)			Amended - Non substantive - We added language to ensure the written agreement addresses any successor rules.		Amended - Substantive and Non- substantive - We clarified the intent of this requirement. We also renumbered this subsection. Previous section 2405 was	Amended - Non-substantive - We renumbered previous Rule 2400 (Principal and Agent Relationships) as Rule 2300 – Principle and Agent Relationships, as a
Rule 0039: Principal and Agent	39.04	(b)	R. 2304. Written agreement between the Dealer Member and its agents	(7)(iii)(a)					Amended - Non-substantive - We re-numbered this section. Previous section 2405 was renumbered 2404.	Amended - Non-substantive - We renumbered previous Rule 2400 (Principal and Agent Relationships) as Rule 2300 – Principle and Agent Relationships, as a
Rule 0039: Principal and Agent	Appendix A	(3)	R. 2304. Written agreement between the Dealer Member and its agents	(7)(iii)			Amended - Non substantive - We updated this clause for consistency with the defined terms in sub-section 1201(2).		Amended - Non-substantive - We re-numbered this section. Previous section 2405 was renumbered 2404.	Amended - Non-substantive - We renumbered previous Rule 2400 (Principal and Agent Relationships) as Rule 2300 – Principle and Agent Relationships, as a
Rule 0039: Principal and Agent	39.04	(j)	R. 2304. Written agreement between the Dealer Member and its agents	(7)(iv)(a)			Amended - Non substantive - We added language to ensure the written agreement addresses any successor rules.		Amended - Substantive and Non- substantive - We clarified the intent of this requirement. We also renumbered this subsection. Previous section 2405 was	Amended - Non-substantive - We renumbered previous Rule 2400 (Principal and Agent Relationships) as Rule 2300 – Principle and Agent Relationships, as a

Rule 0039: Principal and Agent	Appendix A	(4)	R. 2304. Written agreement between the Dealer Member and its agents	(7)(iv)(a)-(b)					Amended - Substantive and Non- substantive - We clarified the intent of this requirement. We also renumbered this subsection. Previous section 2405 was	Amended - Non-substantive - We renumbered previous Rule 2400 (Principal and Agent Relationships) as Rule 2300 – Principle and Agent Relationships, as a
Rule 0039: Principal and Agent	39.04	(k)	R. 2304. Written agreement between the Dealer Member and its agents	(7)(iv)(b)					Amended - Non-substantive - We re-numbered this section. Previous section 2405 was renumbered 2404.	Amended - Non-substantive - We renumbered previous Rule 2400 (Principal and Agent Relationships) as Rule 2300 – Principle and Agent Relationships, as a
Rule 0039: Principal and Agent	39.04	(c)	R. 2304. Written agreement between the Dealer Member and its agents	(7)(iv)(a)					Amended - Substantive and Non- substantive - We clarified the intent of this requirement. We also renumbered this subsection. Previous section 2405 was	Amended - Non-substantive - We renumbered previous Rule 2400 (Principal and Agent Relationships) as Rule 2300 – Principle and Agent Relationships, as a
Rule 0039: Principal and Agent	39.04	(e)	R. 2304. Written agreement between the Dealer Member and its agents	(7)(iv)(a)					Amended - Substantive and Non- substantive - We clarified the intent of this requirement. We also renumbered this subsection. Previous section 2405 was	Amended - Non-substantive - We renumbered previous Rule 2400 (Principal and Agent Relationships) as Rule 2300 – Principle and Agent Relationships, as a
Rule 0039: Principal and Agent	Appendix A	(5)(a)	R. 2304. Written agreement between the Dealer Member and its agents	(7)(iv)(a)					Amended - Substantive and Non- substantive - We clarified the intent of this requirement. We also renumbered this subsection. Previous section 2405 was	Amended - Non-substantive - We renumbered previous Rule 2400 (Principal and Agent Relationships) as Rule 2300 – Principle and Agent Relationships, as a
Rule 0039: Principal and Agent	39.04	(d)	R. 2304. Written agreement between the Dealer Member and its agents	(7)(iv)(a)					Amended - Substantive and Non- substantive - We clarified the intent of this requirement. We also renumbered this subsection. Previous section 2405 was	Amended - Non-substantive - We renumbered previous Rule 2400 (Principal and Agent Relationships) as Rule 2300 – Principle and Agent Relationships, as a
Rule 0039: Principal and Agent	Appendix A	(5)(e)	R. 2304. Written agreement between the Dealer Member and its agents	(7)(iv)(b)					Amended - Non-substantive - We re-numbered this section. Previous section 2405 was renumbered 2404.	Amended - Non-substantive - We renumbered previous Rule 2400 (Principal and Agent Relationships) as Rule 2300 – Principle and Agent Relationships, as a
Rule 0039: Principal and Agent	Appendix A	(5)(a)	R. 2304. Written agreement between the Dealer Member and its agents	(7)(v)						Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more
Rule 0039: Principal and Agent	Appendix A	(5)(d)	R. 2304. Written agreement between the Dealer Member and its agents	(7)(vi)					Amended - Non-substantive - We re-numbered this section. Previous section 2405 was renumbered 2404.	Amended - Non-substantive - We renumbered previous Rule 2400 (Principal and Agent Relationships) as Rule 2300 – Principle and Agent Relationships, as a
Rule 0039: Principal and Agent	Appendix A	(5)(f)	R. 2304. Written agreement between the Dealer Member and its agents	(7)(vii)			Amended - Non substantive - We updated this sub-section for consistency with the defined terms in sub-section 1201(2).		Amended - Non-substantive - We re-numbered this section. Previous section 2405 was renumbered 2404.	Amended - Non-substantive - We renumbered previous Rule 2400 (Principal and Agent Relationships) as Rule 2300 – Principle and Agent Relationships, as a

Rule 0039: Principal and Agent	39.04	(i)	R. 2304. Written agreement between the Dealer Member and its agents	(7)(vii)(a)					Amended - Non-substantive - We re-numbered this section. Previous section 2405 was renumbered 2404.	Amended - Non-substantive - We renumbered previous Rule 2400 (Principal and Agent Relationships) as Rule 2300 – Principle and Agent Relationships, as a
Rule 0039: Principal and Agent	39.04	(l)	R. 2304. Written agreement between the Dealer Member and its agents	(7)(viii)(a)					Amended - Non-substantive - We re-numbered this section. Previous section 2405 was renumbered 2404.	Amended - Non-substantive - We renumbered previous Rule 2400 (Principal and Agent Relationships) as Rule 2300 – Principle and Agent Relationships, as a
Rule 0039: Principal and Agent	Appendix A	(5)(b)	R. 2304. Written agreement between the Dealer Member and its agents	(7)(viii)(a)					Amended - Non-substantive - We re-numbered this section. Previous section 2405 was renumbered 2404.	Amended - Non-substantive - We renumbered previous Rule 2400 (Principal and Agent Relationships) as Rule 2300 – Principle and Agent Relationships, as a
Rule 0039: Principal and Agent	39.04	(m)	R. 2304. Written agreement between the Dealer Member and its agents	(7)(viii)(b)					Amended - Non-substantive - We re-numbered this section. Previous section 2405 was renumbered 2404.	Amended - Non-substantive - We renumbered previous Rule 2400 (Principal and Agent Relationships) as Rule 2300 – Principle and Agent Relationships, as a
Rule 0039: Principal and Agent	Appendix A	(5)(c)	R. 2304. Written agreement between the Dealer Member and its agents	(7)(viii)(b)					Amended - Non-substantive - We re-numbered this section. Previous section 2405 was renumbered 2404.	Amended - Non-substantive - We renumbered previous Rule 2400 (Principal and Agent Relationships) as Rule 2300 – Principle and Agent Relationships, as a
Rule 0039: Principal and Agent	39.04	(h)	R. 2304. Written agreement between the Dealer Member and its agents	(7)(ix)					Amended - Non-substantive - We re-numbered this section. Previous section 2405 was renumbered 2404.	Amended - Non-substantive - We renumbered previous Rule 2400 (Principal and Agent Relationships) as Rule 2300 – Principle and Agent Relationships, as a
Rule 0039: Principal and Agent	Appendix A	(7)(b)	R. 2304. Written agreement between the Dealer Member and its agents	(7)(ix)					Amended - Non-substantive - We re-numbered this section. Previous section 2405 was renumbered 2404.	Amended - Non-substantive - We renumbered previous Rule 2400 (Principal and Agent Relationships) as Rule 2300 – Principle and Agent Relationships, as a
Rule 0039: Principal and Agent	39.04	(g)	R. 2304. Written agreement between the Dealer Member and its agents	(7)(x)					Amended - Non-substantive - We re-numbered this section. Previous section 2405 was renumbered 2404.	Amended - Non-substantive - We renumbered previous Rule 2400 (Principal and Agent Relationships) as Rule 2300 – Principle and Agent Relationships, as a
Rule 0039: Principal and Agent	Appendix A	(6)(a)	R. 2304. Written agreement between the Dealer Member and its agents	(7)(x)(a)					Amended - Non-substantive - We re-numbered this section. Previous section 2405 was renumbered 2404.	Amended - Non-substantive - We renumbered previous Rule 2400 (Principal and Agent Relationships) as Rule 2300 – Principle and Agent Relationships, as a
Rule 0039: Principal and Agent	Appendix A	(6)(b)	R. 2304. Written agreement between the Dealer Member and its agents	(7)(x)(b), (c) and (d)					Amended - Non-substantive - We re-numbered this section. Previous section 2405 was renumbered 2404.	Amended - Non-substantive - We renumbered previous Rule 2400 (Principal and Agent Relationships) as Rule 2300 – Principle and Agent Relationships, as a

Rule 0039: Principal and Agent	Appendix A	(7)(a)	R. 2304. Written agreement between the Dealer Member and its agents	(7)(x)(c)					Amended - Non-substantive - We re-numbered this section. Previous section 2405 was renumbered 2404.	Amended - Non-substantive - We renumbered previous Rule 2400 (Principal and Agent Relationships) as Rule 2300 – Principle and Agent Relationships, as a
Rule 0039: Principal and Agent	39.04	(f)	R. 2304. Written agreement between the Dealer Member and its agents	(7)(xi)					Amended - Non-substantive - We re-numbered this section. Previous section 2405 was renumbered 2404.	Amended - Non-substantive - We renumbered previous Rule 2400 (Principal and Agent Relationships) as Rule 2300 – Principle and Agent Relationships, as a
Rule 0039: Principal and Agent	Appendix A	(6)(c)	R. 2304. Written agreement between the Dealer Member and its agents	(7)(xi)					Amended - Non-substantive - We re-numbered this section. Previous section 2405 was renumbered 2404.	Amended - Non-substantive - We renumbered previous Rule 2400 (Principal and Agent Relationships) as Rule 2300 – Principle and Agent Relationships, as a
New Provision			R. 2304. Written agreement between the Dealer Member and its agents	(7)(xii)		New - Non substantive - Reflects existing IIROC practices and acknowledges that the Dealer Member has the right to assign to IIROC the right to enforce the			Amended - Non-substantive - We re-numbered this section. Previous section 2405 was renumbered 2404.	Amended - Non-substantive - We renumbered previous Rule 2400 (Principal and Agent Relationships) as Rule 2300 – Principle and Agent Relationships, as a
New Provision			R. 2304. Written agreement between the Dealer Member and its agents	(7)(xiii)	New - Non-substantive - Transition provision		Repealed - Non substantive - We have removed this provision. Transition periods for these agreements will be dealt with separately.			Amended - Non-substantive - We renumbered previous Rule 2400 (Principal and Agent Relationships) as Rule 2300 – Principle and Agent Relationships, as a
			R. 2305. - 2399. Reserved		New - Non substantive - Reserved sections.				Amended - Non-substantive - We updated the sections in this rule. The reserved sections changed from 2406-2449 to 2405-2449.	Amended - Non-substantive - We renumbered previous Rule 2400 (Principal and Agent Relationships) as Rule 2300 – Principle and Agent Relationships, as a
New Provision			R. 2401. Introduction	(1)	New - Non substantive - Introductory provision added.					Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
New Provision			R. 2401. Introduction	(2)			Amended - Non substantive - We updated this sub-section for consistency with the defined terms in sub-section 1201(2).			Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
					New - Non substantive - Reserved sections.					Repealed - Non-substantive - We removed this reserve section because it was not needed.
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.01	(a)(iii)	R. 2402. Definitions - "Canadian financial institution"	(1)	Note: this definition is only used in section 2490. Therefore the reference to 35.01(a)(iii) has moved there.	Repealed - Non substantive - [Note: this definition is not used.]				

New Provision			R. 2402. Definitions "Canadian registered firm"	(1)	New - Substantive - Adoption of term “Canadian registered firm” to accurately describe the population of other domestic firms with which an arrangement could be executed.	Repealed - Non substantive - [Note: this definition is not used.]				
New Provision			R. 2402. Definitions - "clearing arrangement"	(1)	New - Substantive - Adoption of term "clearing arrangement" provides greater clarity as to which services provided in combination comprise a clearing arrangement.	New - Non substantive - Moved from 2452 to 2460.				Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
New Provision			R. 2402. Definitions - "introducing broker / carrying broker arrangement"	(1)	New - Substantive - Adoption of term "introducing broker / carrying broker arrangement" provides greater clarity as to which services provided in combination comprise an introducing broker / carrying broker arrangement.	New - Non substantive - Moved from 2452 to 2460.				Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
New Provision			R. 2402. Definitions	(1)			Amended - Non substantive - We updated terms in this clause for greater clarity.			Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
										Repealed - Non-substantive - We removed this reserve section because it was not needed.
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.01	(e)(ii)	R. 2403. Arrangements between two Dealer Members - Arrangements that may be executed	(1)(i)			Amended - Non substantive - We updated terms in this clause for greater clarity and consistency.			- We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements, as a result, previous section
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.01	(e)(ii)	R. 2403. Arrangements between two Dealer Members - Arrangements that may be executed	(1)(ii)			Amended - Non substantive - We updated terms in this clause for greater clarity and consistency.			- We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements, as a result, previous section
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.01	(e)(v)	R. 2403. Arrangements between two Dealer Members - Arrangements that may be executed	(1)(iii)			Amended - Non substantive - We updated terms in this clause for greater clarity and consistency.			- We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements, as a result, previous section
			Part A – Requirements for acceptable arrangements between two Dealer Members including:							
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.01	(e)(ii)	R. 2404. Arrangements between two Dealer Members – Additional conditions that apply to an introducing broker under a Type 1 Arrangement	(1)(i)			Amended - Non substantive - We updated terms in this clause for greater clarity and consistency.			- We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements, as a result, previous section

Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.01	(e)1st sentence	R. 2404. Arrangements between two Dealer Members – Additional conditions that apply to an introducing broker under a Type 1 Arrangement	(1)(i)			Amended - Non substantive - We updated terms in this clause for greater clarity and consistency.			- We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements, as a result, previous section
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.01	(e)(iii)	R. 2404. Arrangements between two Dealer Members – Additional conditions that apply to an introducing broker under a Type 1 Arrangement	(1)(ii)			Amended - Non substantive - We updated terms in this clause for greater clarity and consistency.			Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.01	(e)(iv)	R. 2404. Arrangements between two Dealer Members – Additional conditions that apply to an introducing broker under a Type 1 Arrangement	(1)(iii)			Amended - Non substantive - We updated terms in this clause for greater clarity and consistency.			Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.01	(e)(ii)	R. 2405 Arrangements between two Dealer Members - Additional conditions that apply to an introducing broker under a Type 2 Arrangement	(1)(i)			Amended - Non substantive - We updated terms in this clause for greater clarity and consistency.			Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.01	(e)1st sentence	R. 2405 Arrangements between two Dealer Members - Additional conditions that apply to an introducing broker under a Type 2 Arrangement	(1)(i)			Amended - Non substantive - We updated terms in this clause for greater clarity and consistency.			Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.01	(e)(iii)	R. 2405 Arrangements between two Dealer Members - Additional conditions that apply to an introducing broker under a Type 2 Arrangement	(1)(ii)			Amended - Non substantive - We updated terms in this clause for greater clarity and consistency. We replaced the term "fully service" with "self-clear".			Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.01	(e)(iv)	R. 2405 Arrangements between two Dealer Members - Additional conditions that apply to an introducing broker under a Type 2 Arrangement	(1)(iii)	Amended - Non-substantive - Implied by Rule 35.1(e)(iv) since only Type 1 Arrangements are mentioned.					Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.01	(e)(iv)	R. 2406. Arrangements between two Dealer Members - Additional conditions that apply to an introducing broker under either a Type 3 or a Type 4 Arrangement	(1)(i)	Amended - Non-substantive - Implied by Rule 35.1(e)(iv) since only Type 1 Arrangements are mentioned.		Amended - Non substantive - We moved previous clause 2473(1)(iii) to clause 2473(1)(i).			Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.01	(e)(v)	R. 2406. Arrangements between two Dealer Members - Additional conditions that apply to an introducing broker under either a Type 3 or a Type 4 Arrangement	(1)(ii)			Amended - Non substantive - We updated terms in this clause for greater clarity and consistency.			Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.01	(e)(v)	R. 2406. Arrangements between two Dealer Members - Additional conditions that apply to an introducing broker under either a Type 3 or a Type 4 Arrangement	(1)(iii)			Amended - Non substantive - We moved previous clause 2473(1)(i) to clause 2473(1)(iii). We replaced the term "self-clear" with "fully service".			Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,

New Provision			R. 2406. Arrangements between two Dealer Members - Additional conditions that apply to an introducing broker under either a Type 3 or a Type 4 Arrangement	(1)(iv)	New - Substantive - Consistent with original rule concept that introduced clients should not be reported on the books of two different brokers.					Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.01	(e)(i)	R. 2407. Arrangements between two Dealer Members - Requirement for an agreement	(1)(i)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.01	(e)2nd sentence	R. 2407. Arrangements between two Dealer Members - Requirement for an agreement	(1)(i)-(iv)			Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency.			Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.01	(f)			Repealed - Non-substantive - Clause is redundant since only IIROC Dealer Members are participating institutions in CIPF.					Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.01	(g)	R. 2407. Arrangements between two Dealer Members - Requirement for an agreement	(1)(ii)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.01	(g)	R. 2407. Arrangements between two Dealer Members - Requirement for an agreement	(1)(iii)			Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency.			Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.01	(h)			Repealed - Non-substantive - Clause to allow general exemption from the requirements of the Rule has been repealed. Ability to obtain exemptions will be dealt with through a general exemptions rule.					
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.01	(b)(i)	R. 2407. Arrangements between two Dealer Members - Requirement for an agreement	(1)(iv)	Amended - Substantive - Rules 35.1(b)(i) and 35.1(e)(i) have been amended to require Corporation approval of an introducing broker / carrying broker arrangement rather than applicable District Council approval.					Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.01	(b)(ii)			Repealed - Non-substantive - Clause is redundant since only IIROC Dealer Members are participating institutions in CIPF.					
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.01	(e)(i)	R. 2407. Arrangements between two Dealer Members - Requirement for an agreement	(1)(iv)	Amended - Substantive - Rules 35.1(b)(i) and 35.1(e)(i) have been amended to require Corporation approval of an introducing broker / carrying broker arrangement rather than applicable District Council approval.					Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,

			R. 2408. - 2409. Reserved							New - Non-substantive - We added reserve sections 2408 - 2409.
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.02	opening paragraph	R. 2410. Type 1 introducing broker / carrying broker arrangement - requirements	opening paragraph						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.02	(a)	R. 2410. Type 1 introducing broker / carrying broker arrangement - requirements	(1)(i)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.02	(b)(ii)	R. 2410. Type 1 introducing broker / carrying broker arrangement - requirements	(2)(i)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.02	(b)(i)	R. 2410. Type 1 introducing broker / carrying broker arrangement - requirements	(3)(i)(a)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.02	(b)(ii)	R. 2410. Type 1 introducing broker / carrying broker arrangement - requirements	(3)(i)(b)	Amended - Substantive - Rule 35.2(b)(ii) has been clarified to specify how carrying broker margin on any settlement date equity deficiency amounts is to be determined. Language has been made consistent for Types 1 through 4.					Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.02	(c)	R. 2410. Type 1 introducing broker / carrying broker arrangement - requirements	(4)(i)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.02	(d)	R. 2410. Type 1 introducing broker / carrying broker arrangement - requirements	(5)(i)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.02	(e)	R. 2410. Type 1 introducing broker / carrying broker arrangement - requirements	(6)(i)			Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency.			Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.02	(f)	R. 2410. Type 1 introducing broker / carrying broker arrangement - requirements	(7)(i)(a)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,

Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.02	(f)	R. 2410. Type 1 introducing broker / carrying broker arrangement - requirements	(7)(i)(b)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
New Provision			R. 2410. Type 1 introducing broker / carrying broker arrangement - requirements	(7)(i)(c)	New - Substantive - Reflects current carrying broker practice for the reporting of deposits received from the introducing broker.					Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.02	(c)	R. 2410. Type 1 introducing broker / carrying broker arrangement - requirements	(7)(ii)(a)(I)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.02	(f)	R. 2410. Type 1 introducing broker / carrying broker arrangement - requirements	(7)(ii)(a)(II)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.02	(f)	R. 2410. Type 1 introducing broker / carrying broker arrangement - requirements	(7)(ii)(b)						Amended - Non substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.02	(g)	R. 2410. Type 1 introducing broker / carrying broker arrangement - requirements	(8)(i)						Amended - Non substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.02	(h)	R. 2410. Type 1 introducing broker / carrying broker arrangement - requirements	(9)(i)						Amended - Non substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.02	(i)	R. 2410. Type 1 introducing broker / carrying broker arrangement - requirements	(10)(i)			Amended - Non substantive - We added a reference to Statement D of Form 1 for greater clarity.			Amended - Non substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
New Provision			R. 2410. Type 1 introducing broker / carrying broker arrangement - requirements	(11)(i)(a)(I)	New - Substantive - To make consistent with current requirements for Type 3 and 4 Arrangements.					Amended - Non substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.02	(j)(iv)	R. 2410. Type 1 introducing broker / carrying broker arrangement - requirements	(11)(i)(a)(II)						Amended - Non substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,

Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.02	(j)(i)	R. 2410. Type 1 introducing broker / carrying broker arrangement - requirements	(11)(i)(b)						Amended - Non substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.02	(j)(ii)	R. 2410. Type 1 introducing broker / carrying broker arrangement - requirements	(11)(i)(b)						Amended - Non substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.02	(j)(iv)	R. 2410. Type 1 introducing broker / carrying broker arrangement - requirements	(11)(i)(c)						Amended - Non substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.02	(j)(iii)	R. 2410. Type 1 introducing broker / carrying broker arrangement - requirements	(12)(i)(a)(I)						Amended - Non substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.02	(j)(iv)	R. 2410. Type 1 introducing broker / carrying broker arrangement - requirements	(12)(i)(a)(II)						Amended - Non substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.02	(j)(i)	R. 2410. Type 1 introducing broker / carrying broker arrangement - requirements	(12)(i)(b)						Amended - Non substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.02	(j)(ii)	R. 2410. Type 1 introducing broker / carrying broker arrangement - requirements	(12)(i)(b)						Amended - Non substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.02	(j)(iv)	R. 2410. Type 1 introducing broker / carrying broker arrangement - requirements	(12)(i)(c)						Amended - Non substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.02	(k)	R. 2410. Type 1 introducing broker / carrying broker arrangement - requirements	(13)(i)(a)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.02	(k)	R. 2410. Type 1 introducing broker / carrying broker arrangement - requirements	(13)(i)(b)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,

Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.02	(l)	R. 2410. Type 1 introducing broker / carrying broker arrangement - requirements	(14)(i)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.02	(l)	R. 2410. Type 1 introducing broker / carrying broker arrangement - requirements	(15)(i)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.02	(m)	R. 2410. Type 1 introducing broker / carrying broker arrangement - requirements	(16)(i)	Amended - Substantive - Existing Rule 35.2(m) language clarified to indicate that introduced clients are considered to be clients of both the introducing broker and the carrying broker since the services provided to the client are split between two					Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.02	(n)	R. 2410. Type 1 introducing broker / carrying broker arrangement - requirements	(17)(i)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.02	(o)	R. 2410. Type 1 introducing broker / carrying broker arrangement - requirements	(18)(i)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.02	(o)	R. 2410. Type 1 introducing broker / carrying broker arrangement - requirements	(18)(ii)			Amended - Non substantive - We clarified when a Type 1 introducing broker must deliver a cheese to their carrying broker.		Amended - Substantive - We added "on the day it is received by the *introducing broker* or the next *business day*" in response to comments noting a number	Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.02	(o)	R. 2410. Type 1 introducing broker / carrying broker arrangement - requirements	(18)(iii)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.02	(p)	R. 2410. Type 1 introducing broker / carrying broker arrangement - requirements	(19)(i)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.02	(p)	R. 2410. Type 1 introducing broker / carrying broker arrangement - requirements	(19)(ii)			Amended - Substantive - We updated the language in this clause to be consistent with existing industry practice.			Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
			R. 2411. - 2414. Reserved							New - Non-substantive - We added reserve sections 2411-2414.

Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.03	opening paragraph	R. 2415. Type 2 introducing broker / carrying broker arrangement - requirements	opening paragraph						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.03	(a)	R. 2415. Type 2 introducing broker / carrying broker arrangement - requirements	(1)(i)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.03	(b)(ii)	R. 2415. Type 2 introducing broker / carrying broker arrangement - requirements	(2)(i)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.03	(b)(i)	R. 2415. Type 2 introducing broker / carrying broker arrangement - requirements	(3)(i)(a)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.03	(b)(ii)	R. 2415. Type 2 introducing broker / carrying broker arrangement - requirements	(3)(i)(b)	Amended - Substantive - Rule 35.3(b)(ii) has been clarified to specify how carrying broker margin on any settlement date equity deficiency amounts is to be determined. Language has been made consistent for Types 1 through 4.					Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.03	(c)	R. 2415. Type 2 introducing broker / carrying broker arrangement - requirements	(4)(i)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.03	(d)	R. 2415. Type 2 introducing broker / carrying broker arrangement - requirements	(5)(i)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.03	(e)	R. 2415. Type 2 introducing broker / carrying broker arrangement - requirements	(6)(i)			Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency.			Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.03	(f)	R. 2415. Type 2 introducing broker / carrying broker arrangement - requirements	(7)(i)(a)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.03	(f)	R. 2415. Type 2 introducing broker / carrying broker arrangement - requirements	(7)(i)(b)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,

New Provision			R. 2415. Type 2 introducing broker / carrying broker arrangement - requirements	(7)(i)(c)	New - Substantive - Reflects current carrying broker practice for the reporting of deposits received from the introducing broker.					Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.03	(c)	R. 2415. Type 2 introducing broker / carrying broker arrangement - requirements	(7)(ii)(a)(I)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.03	(f)	R. 2415. Type 2 introducing broker / carrying broker arrangement - requirements	(7)(ii)(a)(II)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.03	(f)	R. 2415. Type 2 introducing broker / carrying broker arrangement - requirements	(7)(ii)(b)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.03	(g)	R. 2415. Type 2 introducing broker / carrying broker arrangement - requirements	(8)(i)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.03	(h)	R. 2415. Type 2 introducing broker / carrying broker arrangement - requirements	(9)(i)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.03	(i)	R. 2415. Type 2 introducing broker / carrying broker arrangement - requirements	(10)(i)			Amended - Non substantive - We added a reference to Statement D of Form 1 for greater clarity.			Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
New Provision			R. 2415. Type 2 introducing broker / carrying broker arrangement - requirements	(11)(i)(a)(I)	New - Substantive - To make consistent with current requirements for Type 3 and 4 Arrangements.					Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.03	(j)(iv)	R. 2415. Type 2 introducing broker / carrying broker arrangement - requirements	(11)(i)(a)(II)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.03	(j)(i)	R. 2415. Type 2 introducing broker / carrying broker arrangement - requirements	(11)(i)(b)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,

Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.03	(j)(ii)	R. 2415. Type 2 introducing broker / carrying broker arrangement - requirements	(11)(i)(b)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.03	(j)(iv)	R. 2415. Type 2 introducing broker / carrying broker arrangement - requirements	(11)(i)(c)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.04	(j)(iii)	R. 2415. Type 2 introducing broker / carrying broker arrangement - requirements	(12)(i)(a)(I)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.04	(j)(iv)	R. 2415. Type 2 introducing broker / carrying broker arrangement - requirements	(12)(i)(a)(II)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.04	(j)(i)	R. 2415. Type 2 introducing broker / carrying broker arrangement - requirements	(12)(i)(b)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.04	(j)(ii)	R. 2415. Type 2 introducing broker / carrying broker arrangement - requirements	(12)(i)(b)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.04	(j)(iv)	R. 2415. Type 2 introducing broker / carrying broker arrangement - requirements	(12)(i)(c)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.03	(k)	R. 2415. Type 2 introducing broker / carrying broker arrangement - requirements	(13)(i)(a)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.03	(k)	R. 2415. Type 2 introducing broker / carrying broker arrangement - requirements	(13)(i)(b)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.03	(l)	R. 2415. Type 2 introducing broker / carrying broker arrangement - requirements	(14)(i)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,

Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.03	(l)	R. 2415. Type 2 introducing broker / carrying broker arrangement - requirements	(15)(i)(a)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.03	(m)	R. 2415. Type 2 introducing broker / carrying broker arrangement - requirements	(15)(i)(b)(I)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.03	(m)	R. 2415. Type 2 introducing broker / carrying broker arrangement - requirements	(15)(i)(b)(II)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.03	(n)	R. 2415. Type 2 introducing broker / carrying broker arrangement - requirements	(16)(i)	Amended - Substantive - Existing Rule 35.3(n) language clarified to indicate that introduced clients are considered to be clients of both the introducing broker and the carrying broker since the services provided to the client are split between two					Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.03	(o)	R. 2415. Type 2 introducing broker / carrying broker arrangement - requirements	(17)(i)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.03	(p)	R. 2415. Type 2 introducing broker / carrying broker arrangement - requirements	(18)(i) to (ii)	Amended - Substantive - The cash handling requirements have been amended for Type 2 Arrangements to prohibit the introducing broker from handling client cash in the form of money and to require that any cheques provided to the introducing broker be in the		Amended - Non substantive - We clarified when a Type 2 introducing broker must deliver a cheese to their carrying broker.		Amended - Non-Substantive - We clarified the language by adding the phrase: "or next business day".	Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.03	(q)	R. 2415. Type 2 introducing broker / carrying broker arrangement - requirements	(19)(i)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.03	(q)	R. 2415. Type 2 introducing broker / carrying broker arrangement - requirements	(19)(ii)			Amended - Substantive - We updated the language in this clause to be consistent with existing industry practice.			Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
			R. 2416. - 2419. Reserved							New - Non-substantive - We added reserve sections 2416-2419.
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.04	opening paragraph	R. 2420. Type 3 introducing broker / carrying broker arrangement - requirements	opening paragraph						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,

Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.04	(a)	R. 2420. Type 3 introducing broker / carrying broker arrangement - requirements	(1)(i)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.04	(b)	R. 2420. Type 3 introducing broker / carrying broker arrangement - requirements	(2)(i)(a)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
New Provision			R. 2420. Type 3 introducing broker / carrying broker arrangement - requirements	(2)(i)(b)	New – Non-substantive - Clarification of Rule 35.4(b) to specify that introducing broker must provide margin for client accounts.					Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.04	(b)	R. 2420. Type 3 introducing broker / carrying broker arrangement - requirements	(2)(i)(b)	New – Non-substantive - Clarification of Rule 35.4(b) to specify that introducing broker must provide margin for client accounts.					Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
New Provision			R. 2420. Type 3 introducing broker / carrying broker arrangement - requirements	(3)(i)	New - Substantive - Implied by Rule 35.4(b) but clarified to specify how carrying broker margin on any settlement date equity deficiency amounts is to be determined. Language has been made consistent for Types 1 through 4.					Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.04	(b)	R. 2420. Type 3 introducing broker / carrying broker arrangement - requirements	(3)(i)	New - Substantive - Implied by Rule 35.4(b) but clarified to specify how carrying broker margin on any settlement date equity deficiency amounts is to be determined. Language has been made consistent for Types 1 through 4.					Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.04	(c)	R. 2420. Type 3 introducing broker / carrying broker arrangement - requirements	(4)(i)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
New Provision			R. 2420. Type 3 introducing broker / carrying broker arrangement - requirements	(4)(i)	New - Substantive - To introduce requirement that carrying broker notify the introducing broker when a portion of any deposit amount is used. This is consistent with the current requirement for Type 1 and 2 Arrangements.					Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.04	(d)	R. 2420. Type 3 introducing broker / carrying broker arrangement - requirements	(5)(i)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.04	(d)	R. 2420. Type 3 introducing broker / carrying broker arrangement - requirements	(5)(ii)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,

Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.04	(d)	R. 2420. Type 3 introducing broker / carrying broker arrangement - requirements	(5)(iii)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.04	(e)	R. 2420. Type 3 introducing broker / carrying broker arrangement - requirements	(6)(i)			Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency.			Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.04	(f)	R. 2420. Type 3 introducing broker / carrying broker arrangement - requirements	(7)(i)(a)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.04	(f)	R. 2420. Type 3 introducing broker / carrying broker arrangement - requirements	(7)(i)(b)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
New Provision			R. 2420. Type 3 introducing broker / carrying broker arrangement - requirements	(7)(i)(c)	New - Substantive - Reflects current carrying broker practice for the reporting of deposits received from the introducing broker.					Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
New Provision			R. 2420. Type 3 introducing broker / carrying broker arrangement - requirements	(7)(ii)	New - Substantive - To make the deposit reporting requirements for introducing brokers consistent with current requirements for Type 1 and 2 Arrangements.					Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.04	(g)	R. 2420. Type 3 introducing broker / carrying broker arrangement - requirements	(8)(i)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.04	(h)	R. 2420. Type 3 introducing broker / carrying broker arrangement - requirements	(9)(i)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.04	(i)	R. 2420. Type 3 introducing broker / carrying broker arrangement - requirements	(10)(i)			Amended - Non substantive - We added a reference to Statement D of Form 1 for greater clarity.			Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.04	(j)(iii)	R. 2420. Type 3 introducing broker / carrying broker arrangement - requirements	(11)(i)(a)(I)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,

Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.04	(j)(iv)	R. 2420. Type 3 introducing broker / carrying broker arrangement - requirements	(11)(i)(a)(II)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.04	(j)(i)	R. 2420. Type 3 introducing broker / carrying broker arrangement - requirements	(11)(i)(b)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.04	(j)(ii)	R. 2420. Type 3 introducing broker / carrying broker arrangement - requirements	(11)(i)(b)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.04	(j)(iv)	R. 2420. Type 3 introducing broker / carrying broker arrangement - requirements	(11)(i)(c)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.04	(j)(iii)	R. 2420. Type 3 introducing broker / carrying broker arrangement - requirements	(12)(i)(a)(I)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.04	(j)(iv)	R. 2420. Type 3 introducing broker / carrying broker arrangement - requirements	(12)(i)(a)(II)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.04	(j)(i)	R. 2420. Type 3 introducing broker / carrying broker arrangement - requirements	(12)(i)(b)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.04	(j)(ii)	R. 2420. Type 3 introducing broker / carrying broker arrangement - requirements	(12)(i)(b)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.04	(j)(iv)	R. 2420. Type 3 introducing broker / carrying broker arrangement - requirements	(12)(i)(c)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.04	(k)	R. 2420. Type 3 introducing broker / carrying broker arrangement - requirements	(13)(i)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,

Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.04	(l)	R. 2420. Type 3 introducing broker / carrying broker arrangement - requirements	(14)(i)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.04	(l)	R. 2420. Type 3 introducing broker / carrying broker arrangement - requirements	(15)(i)(a)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.04	(m)	R. 2420. Type 3 introducing broker / carrying broker arrangement - requirements	(15)(i)(b)(I)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.04	(m)	R. 2420. Type 3 introducing broker / carrying broker arrangement - requirements	(15)(i)(b)(II)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.04	(n)	R. 2420. Type 3 introducing broker / carrying broker arrangement - requirements	(16)(i)	Amended - Substantive - Existing Rule 35.4(n) language clarified to indicate that introduced clients are considered to be clients of both the introducing broker and the carrying broker since the services provided to the client are split between two					Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.04	(o)	R. 2420. Type 3 introducing broker / carrying broker arrangement - requirements	(17)(i)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
New Provision			R. 2420. Type 3 introducing broker / carrying broker arrangement - requirements	(18)(i)			New - Non substantive - We added in a new clause clarifying that Type 3 introducing brokers can accept and handle client funds in the form of money.			Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.04	(p)	R. 2420. Type 3 introducing broker / carrying broker arrangement - requirements	(18)(ii)			Amended - Non substantive - Previous clause 2477(18)(i) was renumbered 2477(18)(ii).			Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.04	(q)	R. 2420. Type 3 introducing broker / carrying broker arrangement - requirements	(19)(i)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.04	(q)	R. 2420. Type 3 introducing broker / carrying broker arrangement - requirements	(19)(ii)			Amended - Substantive - We updated the language in this clause to be consistent with existing industry practice.			Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,

			R. 2421. - 2424. Reserved							New - Non-substantive - We added reserve sections 2421-2424.
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.05	opening paragraph	R. 2425. Type 4 introducing broker / carrying broker arrangement - requirements	opening paragraph						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.05	(a)	R. 2425. Type 4 introducing broker / carrying broker arrangement - requirements	(1)(i)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.05	(b)	R. 2425. Type 4 introducing broker / carrying broker arrangement - requirements	(2)(i)(a)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
New Provision			R. 2425. Type 4 introducing broker / carrying broker arrangement - requirements	(2)(i)(b)	New - Non-substantive - Clarification of Rule 35.5(b) to specify that introducing broker must provide margin for client accounts.					Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.05	(b)	R. 2425. Type 4 introducing broker / carrying broker arrangement - requirements	(2)(i)(b)	New - Non-substantive - Clarification of Rule 35.5(b) to specify that introducing broker must provide margin for client accounts.					Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
New Provision			R. 2425. Type 4 introducing broker / carrying broker arrangement - requirements	(3)(i)	New - Substantive - Implied by Rule 35.5(b) but clarified to specify how carrying broker margin on any settlement date equity deficiency amounts is to be determined. Language has been made consistent for Types 1 through 4.					Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.05	(b)	R. 2425. Type 4 introducing broker / carrying broker arrangement - requirements	(3)(i)	New - Substantive - Implied by Rule 35.5(b) but clarified to specify how carrying broker margin on any settlement date equity deficiency amounts is to be determined. Language has been made consistent for Types 1 through 4.					Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.05	(c)	R. 2425. Type 4 introducing broker / carrying broker arrangement - requirements	(4)(i)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
New Provision			R. 2425. Type 4 introducing broker / carrying broker arrangement - requirements	(4)(i)	New - Substantive - To introduce requirement that carrying broker notify the introducing broker when a portion of any deposit amount is used. This is consistent with the current requirement for Type 1 and 2 Arrangements.					Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,

Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.05	(d)	R. 2425. Type 4 introducing broker / carrying broker arrangement - requirements	(5)(i)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.05	(d)	R. 2425. Type 4 introducing broker / carrying broker arrangement - requirements	(5)(ii)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.05	(d)	R. 2425. Type 4 introducing broker / carrying broker arrangement - requirements	(5)(iii)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.05	(e)	R. 2425. Type 4 introducing broker / carrying broker arrangement - requirements	(6)(i)			Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency.			Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.05	(f)	R. 2425. Type 4 introducing broker / carrying broker arrangement - requirements	(7)(i)(a)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.05	(f)	R. 2425. Type 4 introducing broker / carrying broker arrangement - requirements	(7)(i)(b)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
New Provision			R. 2425. Type 4 introducing broker / carrying broker arrangement - requirements	(7)(i)(c)	New - Substantive - Reflects current carrying broker practice for the reporting of deposits received from the introducing broker.					Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
New Provision			R. 2425. Type 4 introducing broker / carrying broker arrangement - requirements	(7)(ii)	New - Substantive - To make the deposit reporting requirements for introducing brokers consistent with current requirements for Type 1 and 2 Arrangements.					Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.05	(g)	R. 2425. Type 4 introducing broker / carrying broker arrangement - requirements	(8)(i)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.05	(h)	R. 2425. Type 4 introducing broker / carrying broker arrangement - requirements	(9)(i)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,

Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.05	(i)	R. 2425. Type 4 introducing broker / carrying broker arrangement - requirements	(10)(i)			Amended - Non substantive - We added a reference to Statement D of Form 1 for greater clarity.			Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.05	(j)(iii)	R. 2425. Type 4 introducing broker / carrying broker arrangement - requirements	(11)(i)(a)(I)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.05	(j)(iv)	R. 2425. Type 4 introducing broker / carrying broker arrangement - requirements	(11)(i)(a)(II)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.05	(j)(i)	R. 2425. Type 4 introducing broker / carrying broker arrangement - requirements	(11)(i)(b)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.05	(j)(ii)	R. 2425. Type 4 introducing broker / carrying broker arrangement - requirements	(11)(i)(b)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.05	(j)(iv)	R. 2425. Type 4 introducing broker / carrying broker arrangement - requirements	(11)(i)(c)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.05	(j)(iii)	R. 2425. Type 4 introducing broker / carrying broker arrangement - requirements	(12)(i)(a)(I)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.05	(j)(iv)	R. 2425. Type 4 introducing broker / carrying broker arrangement - requirements	(12)(i)(a)(II)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.05	(j)(i)	R. 2425. Type 4 introducing broker / carrying broker arrangement - requirements	(12)(i)(b)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.05	(j)(ii)	R. 2425. Type 4 introducing broker / carrying broker arrangement - requirements	(12)(i)(b)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,

Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.05	(j)(iv)	R. 2425. Type 4 introducing broker / carrying broker arrangement - requirements	(12)(i)(c)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.05	(k)	R. 2425. Type 4 introducing broker / carrying broker arrangement - requirements	(13)(i)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.05	(l)	R. 2425. Type 4 introducing broker / carrying broker arrangement - requirements	(14)(i)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.05	(l)	R. 2425. Type 4 introducing broker / carrying broker arrangement - requirements	(14)(ii)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.05	(l)	R. 2425. Type 4 introducing broker / carrying broker arrangement - requirements	(15)(i)(a)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.05	(m)	R. 2425. Type 4 introducing broker / carrying broker arrangement - requirements	(15)(i)(b)(I)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.05	(m)	R. 2425. Type 4 introducing broker / carrying broker arrangement - requirements	(15)(i)(b)(II)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.05	(n)	R. 2425. Type 4 introducing broker / carrying broker arrangement - requirements	(16)(i)	Amended - Substantive - Existing Rule 35.5(n) language clarified to indicate that introduced clients are considered to be clients of both the introducing broker and the carrying broker since the services provided to the client are split between two					Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.05	(o)	R. 2425. Type 4 introducing broker / carrying broker arrangement - requirements	(17)(i)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
New Provision			R. 2425. Type 4 introducing broker / carrying broker arrangement - requirements	(18)(i)			New - Non substantive - We added in a new clause clarifying that Type 3 introducing brokers can accept and handle client funds in the form of money.			Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,

Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.05	(p)	R. 2425. Type 4 introducing broker / carrying broker arrangement - requirements	(18)(ii)			Amended - Non substantive - Previous clause 2478(18)(i) was renumbered 2478(18)(ii).			Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.05	(q)	R. 2425. Type 4 introducing broker / carrying broker arrangement - requirements	(19)(i)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.05	(q)	R. 2425. Type 4 introducing broker / carrying broker arrangement - requirements	(19)(ii)			Amended - Substantive - We updated the language in this clause to be consistent with existing industry practice.			Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
			R. 2426. - 2434. Reserved		New - Non substantive - Reserved sections.					Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
			Part B – Requirements for acceptable arrangement between a Dealer Member and a foreign affiliate dealer							
New Provision			R. 2435. Arrangements that may be executed with a foreign affiliate	(1)(i)	New - Substantive - Clarifies existing IIROC expectations that a foreign affiliate introduction arrangement must be an arrangement type that is permitted between two IIROC Dealer Members.					Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
New Provision			R. 2435. Arrangements that may be executed with a foreign affiliate	(1)(ii)	New - Substantive - Codifies existing IIROC expectations that an affiliate agreement should with the applicable IIROC requirements that apply to the type of arrangement.					Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
New Provision			R. 2435. Arrangements that may be executed with a foreign affiliate	(1)(iii)(a)	New - Substantive - Written to be consistent with written agreement requirements set out in 2474(1)(i).					Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
New Provision			R. 2435. Arrangements that may be executed with a foreign affiliate	(1)(iii)(b)	New - Substantive - Written to be consistent with written agreement requirements set out in 2474(1)(ii).		Amended - Non substantive - We updated terms in this sub-clause for greater clarity and consistency.			Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
New Provision			R. 2435. Arrangements that may be executed with a foreign affiliate	(1)(iii)(c)	New - Substantive - Written to be consistent with written agreement requirements set out in 2474(1)(iii).		Amended - Non substantive - We updated terms in this sub-clause for greater clarity and consistency.			Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,

Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.06	opening paragraph	R. 2435. Arrangements that may be executed with a foreign affiliate	(1)(iii)(d)	Amended - Substantive - Rule has been modified to no longer require that the Dealer Member apply for an exemption. The Dealer Member will now require Corporation approval only for the permitted arrangement with a foreign affiliate. Language is					Amended - Non substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.06	(a)			Repealed - Non-substantive - Clause to provide satisfactory evidence to IIROC of the proposed arrangement is redundant since IIROC must approve the arrangement.					
New Provision			R. 2435. Arrangements that may be executed with a foreign affiliate	(1)(iv)	New - Substantive - New requirement that foreign affiliated dealer must be a regulated entity. Codifies existing IIROC expectations that the foreign dealer must be subject to satisfactory regulatory oversight.	Deleted - Substantive - we repealed the proposed requirement that the foreign affiliate dealer qualify as “regulated entities”.				Amended - Non substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
New Provision			R. 2435. Arrangements that may be executed with a foreign affiliate	(1)(iv)	New - Non-substantive - Cross references to other requirements. Not a material change itself.					Amended - Non substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.06	(b)	R. 2436. Additional conditions that apply to an introducing broker / carrying broker arrangement involving a foreign affiliate dealer - Annual disclosure requirement	(1)						Amended - Non-substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.06	(c)	R. 2436. Additional conditions that apply to an introducing broker / carrying broker arrangement involving a foreign affiliate dealer - Foreign jurisdiction approval	(2)						Amended - Non substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.06	(d)	R. 2436. Additional conditions that apply to an introducing broker / carrying broker arrangement involving a foreign affiliate dealer - Foreign jurisdiction approval	(3)						Amended - Non substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.06	(e)	R. 2436. Additional conditions that apply to an introducing broker / carrying broker arrangement involving a foreign affiliate dealer - Foreign jurisdiction approval	(4)						Amended - Non substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.06	(f)	R. 2436. Additional conditions that apply to an introducing broker / carrying broker arrangement involving a foreign affiliate dealer - Foreign jurisdiction approval	(5)						Amended - Non substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.06	(g)	R. 2436. Additional conditions that apply to an introducing broker / carrying broker arrangement involving a foreign affiliate dealer - Foreign jurisdiction approval	(6)						Amended - Non substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,

			R. 2437. - 2459. Reserved		New - Non substantive - Reserved sections.					Amended - Non substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
			Part C - Permitted arrangements that are not considered to be introducing broker / carrying broker arrangements							
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.01	(a)(iii)	R. 2460. Certain arrangements executed with a Canadian financial institution affiliate	(1)(i) through (iii)	Amended - Non-substantive - Definition of "Canadian financial institution" only used for this section. Therefore it is just described here instead of defined. Clean up tranche-reference added.					Amended - Non substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.01	(d)	R. 2460. Certain arrangements executed with a Canadian financial institution affiliate	(1)(i) through (iii)			Amended - Non substantive - We updated this sub-section for consistency with the defined terms in sub-section 1201(2).			Amended - Non substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
New Provision			R. 2461. Certain arrangements with other dealers	-1	New - Substantive - Clarifies that clearing arrangements involving DAP and RAP accounts are not introducing broker / carrying broker arrangements.					Amended - Non substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
			R. 2462. - 2479. Reserved		New - Non substantive - Reserved sections.					Amended - Non substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
			Part D – Prohibited arrangements							
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.01	(c)(i)	R. 2480. Prohibited introducing broker / carrying broker arrangements	(1)	Amended - Substantive - Rule 35.1(c)(i) has been amended to accommodate foreign affiliate dealer arrangements.					Amended - Non substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,
Rule 0035: Introducing Broker/Carrying Broker Arrangements	35.01	(c)(ii)			Repealed - Non-substantive - Clause is redundant since only IIROC Dealer Members are participating institutions in CIPF.					
			R. 2483. - 2499. Reserved		New - Non substantive - Reserved sections.					Amended - Non substantive - We renumbered previous Rule 2450 (Acceptable Back Office Arrangements) as Rule 2400 - Acceptable Back Office Arrangements,

New Provision			R. 2501. Introduction	(1)	New - Non substantive - Introductory provision added.		Amended - Non substantive - We replaced the term "proficiency" with "education".		Amended - Substantive - We conformed the drafting and clarified the IIROC approval process for an individual that a Dealer Member wants to appoint as	
New Provision			R. 2501. Introduction	(2)						New - Non substantive - We added subsection (2) as table of contents for Rule 2500. We made this change to improve reader navigation within the Rule.
			Part A – Dealer Member Directors and Exectutives							
Rule 0007: Dealer Member Partners, Directors & Officers	7.02	(a)	R. 2502. General requirements for Directors	(1)					New - Substantive - We conformed drafting and clarified the IIROC approval process for an individual that a Dealer Member wants to appoint as a Director or	
Rule 0007: Dealer Member Partners, Directors & Officers	7.03	(a)	R. 2502. General requirements for Directors	(2)		Amended - Non substantive - clarify that a lessor period than the mandatory 5 years' experience requirement is acceptable, subject to the acceptance of the	Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency.		Amended - Substantive - We conformed drafting and clarified the IIROC approval process for an individual that a Dealer Member wants to appoint as a Director or	
Rule 0007: Dealer Member Partners, Directors & Officers	7.03	(b)	R. 2502. General requirements for Directors	(3)			Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency.		Amended - Substantive - We conformed drafting and clarified the IIROC approval process for an individual that a Dealer Member wants to appoint as a Director or	
Rule 0007: Dealer Member Partners, Directors & Officers	7.04	(a)	R. 2503. General requirements for Executives	(1)			Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency.		Amended - Substantive - We conformed drafting and clarified the IIROC approval process for an individual that a Dealer member wants to appoint as a	
Rule 0007: Dealer Member Partners, Directors & Officers	7.04	(b)	R. 2503. General requirements for Executives	(2)		Amended - Non substantive - clarify that a lessor period than the mandatory 5 years' experience requirement is acceptable, subject to the acceptance of the				
Rule 0007: Dealer Member Partners, Directors & Officers	7.05		R. 2504. Exemption	(1)			Amended - Non substantive - We updated this sub-section for consistency with the defined terms in sub-section 1201(2).			
Rule 0038: Compliance and Supervision	38.06	(a)	R. 2505. Chief Financial Officer	(1)			Amended - Non substantive - We amended this sub-section to clarify that CFOs must be an Executive. We also updated terms in this sub-section for greater		Amended - Substantive - We clarified IIROC's approval process for CFOs. We clarified that anyone designated as the CFO who is not already designated as	

Rule 0038: Compliance and Supervision	38.06	(a)	R. 2505. Chief Financial Officer	(2)					Amended - Substantive - We renumbered this subsection. This subsection was part of previously published subsection 2505(1).	
Rule 0038: Compliance and Supervision	38.06	(b)	R. 2505. Chief Financial Officer	(3)		Amended - Substantive - amended to replace the word 'leaves' with the word 'ceases' to emphasize that this individual is no longer employed by the firm, not	Amended - Substantive - We amended these requirements to allow an interim CFO to be appointed for 90 days in all cases where the CFO ceases to		Amended - Substantive - We conformed drafting and clarified the IIROC approval process for an individual that a Dealer member wants to appoint as a	
Rule 2900: Proficiency and Education	Part 1	(A)(2A)(3)	R. 2505. Chief Financial Officer	(4)					Amended - Substantive - We conformed drafting and clarified the IIROC approval process for an individual that a Dealer member wants to appoint as a	
Rule 2900: Proficiency and Education	Part 1	(A)(2A)(3)	R. 2505. Chief Financial Officer	(5)			Amended - Non substantive - We added in this section for consistency with the existing rules.		Amended - Substantive - We conformed drafting and clarified the IIROC approval process for an individual that a Dealer member wants to appoint as a	
Rule 0038: Compliance and Supervision	38.06	(c)			– Deleted – Non-substantive					
Rule 0038: Compliance and Supervision	38.07	(a)	R. 2506. Chief Compliance Officer	(1)			Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency.		Amended - Substantive - We clarified IIROC's approval process for CCOs and clarified that anyone designated as a CCO who is not already designated as	
Rule 0038: Compliance and Supervision	38.07	(b)	R. 2506. Chief Compliance Officer	(2)					Amended - Substantive - We renumbered this subsection. This subsection was part of previously published subsection 2506(1).	
Rule 0038: Compliance and Supervision	38.07	(b)	R. 2506. Chief Compliance Officer	(3)					Amended - Substantive - We conformed drafting and clarified the IIROC approval process for an individual that a Dealer member wants to appoint as a	
Rule 0038: Compliance and Supervision	38.07	(c)	R. 2506. Chief Compliance Officer	(4)			Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency.		Amended - Substantive - We conformed drafting and clarified the IIROC approval process for an individual that a Dealer member wants to appoint as a	
Rule 0038: Compliance and Supervision	38.07	(d)	R. 2506. Chief Compliance Officer	(3)					Amended - Substantive - We conformed drafting and clarified the IIROC approval process for an individual that a Dealer member wants to appoint as a	

Rule 0038: Compliance and Supervision	38.07	(e)	R. 2506. Chief Compliance Officer	(1)			Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency.		Amended - Substantive - We clarified IIROC's approval process for CCOs and clarified that anyone designated as a CCO who is not already designated as	
Rule 0038: Compliance and Supervision	38.07	(f)	R. 2506. Chief Compliance Officer	(4)		Amended - Substantive - amended to replace the word 'leaves' with the word 'ceases' to emphasize that this individual is no longer employed by the firm, not	Amended - Substantive - We amended these requirements to allow an interim CCO to be appointed for 90 days in all cases where the CCO		Amended - Substantive - We conformed drafting and clarified the IIROC approval process for an individual that a Dealer member wants to appoint as a	
Rule 2900: Proficiency and Education	Part 1	(A)(2)(B)(3)	R. 2506. Chief Compliance Officer	(6)			Amended - Non substantive - We added in this section for consistency with the existing rules.		Amended - Substantive - We conformed drafting and clarified the IIROC approval process for an individual that a Dealer member wants to appoint as a	
Rule 0038: Compliance and Supervision	38.07	(g)	R. 2506. Chief Compliance Officer	(1)					Amended - Substantive - We clarified IIROC's approval process for CCOs and clarified that anyone designated as a CCO who is not already designated as	
Rule 0038: Compliance and Supervision	38.05	(a)	R. 2507. Ultimate Designated Person	(1)		Amended - Substantive - PLR subsection 2507(1) has been amended to capture existing requirements	Amended - Non substantive - We amended this sub-section to clarify that UDPs must be an Executive.		Amended - Substantive - We clarified IIROC's approval process for UDPs and clarified that anyone designated as a UDP who is not already designated as	
Rule 0038: Compliance and Supervision	38.05	(b)(iii)	R. 2507. Ultimate Designated Person	(1)		Amended - Substantive - PLR subsection 2507(1) has been amended to capture existing requirements	Amended - Non substantive - We amended this sub-section to clarify that UDPs must be an Executive.		Amended - Substantive - We clarified IIROC's approval process for UDPs and clarified that anyone designated as a UDP who is not already designated as	
Rule 0038: Compliance and Supervision	38.05	(b)(ii)	R. 2507. Ultimate Designated Person	(1)		Amended - Substantive - PLR subsection 2507(1) has been amended to capture existing requirements	Amended - Non substantive - We amended this sub-section to clarify that UDPs must be an Executive.		Amended - Substantive - We clarified IIROC's approval process for UDPs and clarified that anyone designated as a UDP who is not already designated as	
Rule 0038: Compliance and Supervision	38.05	(b)(i)	R. 2507. Ultimate Designated Person	(2)					Amended - Non-substantive - We renumbered this subsection. This subsection was previously part of subsection 2507(1),	
Rule 0038: Compliance and Supervision	38.05	(a)(b)	R.2507. Ultimate Designated Person	(3)					Amended - Non-substantive - We renumbered this subsection. This subsection was previously numbered 2507(2).	
	38.05	(a)(b)	R.2507. Ultimate Designated Person	(4)			Amended - Non substantive - We amended this sub-section to clarify that Dealer Members must immediately designate another UDP should their		Amended - Non-substantive - We renumbered this subsection. This subsection was previously numbered 2507(3).	

			R. 2508. - 2549. Reserved		New - Non substantive - Reserved sections.					
			Part B – Approval of individuals							
New Provision			R. 2550. Introduction	(1)	New - Non substantive - Introductory provision added.				Amended - Substantive - We conformed drafting and clarified IIROC's approval process for Approved Persons and investors, and related matters such as	- We amalgamated previous Rules 2500 (Dealer Member Directors and Executives) and 2550 (Approval of Individuals) and renumbered and
New Provision			R. 2550. Introduction	(2)	New - Non substantive - Introductory provision added.					- We amalgamated previous Rules 2500 (Dealer Member Directors and Executives) and 2550 (Approval of Individuals) and renumbered and
Rule 0018: Registered Representatives & Investment Representatives	18.02	(a)	R. 2551. Individual approval	(1)	Amended - Substantive - Expanded obligations to include individuals in addition to Registered Representatives and Investment Representatives.		Amended - Non substantive - We updated this sub-section for consistency with the defined terms in sub-section 1201(2).		Amended - Substantive - The previously published language limited the registration requirement to only those jurisdictions where clients of the *Dealer*	- We amalgamated previous Rules 2500 (Dealer Member Directors and Executives) and 2550 (Approval of Individuals) and renumbered and
Rule 0007: Dealer Member Partners, Directors & Officers	7.02		R. 2551. Individual approval	(1)	Amended - Substantive - Expanded obligations to include individuals in addition to Registered Representatives and Investment Representatives.		Amended - Non substantive - We amended (i) to include the word "and" at the end of the clause (ii) for greater clarity.		Amended - Substantive - The previously published language limited the registration requirement to only those jurisdictions where clients of the *Dealer*	- We amalgamated previous Rules 2500 (Dealer Member Directors and Executives) and 2550 (Approval of Individuals) and renumbered and
New Provision			R. 2551. Individual approval	(2)	New - Non-substantive - Added list of registration categories.	Amended - Substantive - Amendments reflecting the PM and APM categories.			Amended - Non substantive - We removed parts of subsection 2552 to avoid redundancy with other parts of the Rules. This subsection essentially	- We amalgamated previous Rules 2500 (Dealer Member Directors and Executives) and 2550 (Approval of Individuals) and renumbered and
New Provision			R. 2551. Individual approval	(3)	New - Non-substantive - Added clarification that only directors, executives, employees, and agents of Dealer Members can be Approved Persons.				Amended - Non substantive - Previous sub-section 2552(3) was renumbered 2552(2). We also updated terms and clarified the language in this subsection	- We amalgamated previous Rules 2500 (Dealer Member Directors and Executives) and 2550 (Approval of Individuals) and renumbered and
Rule 0018: Registered Representatives & Investment Representatives	18.02	(a)	R. 2551. Individual approval	(4)			Repealed - Non substantive - We removed this sub-section because it was duplicative of 2552(1).		Amended - Non substantive - Previous sub-section 2552(4) was renumbered 2552(3). We also updated terms and clarified the language in this subsection	- We amalgamated previous Rules 2500 (Dealer Member Directors and Executives) and 2550 (Approval of Individuals) and renumbered and
New Provision			R. 2551. Individual approval	(4)	New - Non-substantive - Added clarification that Dealer Member must ensure individuals comply with registration category requirements.		Amended - Non substantive - Previous sub-section 2552(5) was renumbered 2552(4).		Amended - Non substantive - Previous sub-section 2552(4) was renumbered 2552(3). We also updated terms and clarified the language in this subsection	- We amalgamated previous Rules 2500 (Dealer Member Directors and Executives) and 2550 (Approval of Individuals) and renumbered and

Rule 0007: Dealer Member Partners, Directors & Officers	7.08		R. 2551. Individual approval	(5)			Amended - Non substantive - Previous sub-section 2552(6) was renumbered 2552(5).		Amended - Non substantive - Previous sub-section 2552(5) was renumbered 2552(4).	- We amalgamated previous Rules 2500 (Dealer Member Directors and Executives) and 2550 (Approval of Individuals) and renumbered and
Rule 0018: Registered Representatives & Investment Representatives	18.02	(a)	R. 2551. Individual approval	(5)		Amended - Substantive - Amendments reflective of registration reform terminology.	Amended - Non substantive - Previous sub-section 2552(6) was renumbered 2552(5).		Amended - Non substantive - New subsection .	- We amalgamated previous Rules 2500 (Dealer Member Directors and Executives) and 2550 (Approval of Individuals) and renumbered and
Rule 0018: Registered Representatives & Investment Representatives	18.11		R. 2551. Individual approval	(5)	Clean up tranche- Reference added.		Amended - Non substantive - Previous sub-section 2552(6) was renumbered 2552(5).		Amended - Non substantive - We updated terms and clarified the language in this subsection to improve readability and clarify the intent of this subsection.	- We amalgamated previous Rules 2500 (Dealer Member Directors and Executives) and 2550 (Approval of Individuals) and renumbered and
Rule 0007: Dealer Member Partners, Directors & Officers	7.08		R. 2551. Individual approval	(6)			Amended - Non substantive - Previous sub-section 2552(7) was renumbered 2552(6).		Amended - Non substantive - We updated terms and clarified the language in this subsection to improve readability and clarify the intent of this subsection.	- We amalgamated previous Rules 2500 (Dealer Member Directors and Executives) and 2550 (Approval of Individuals) and renumbered and
Rule 0018: Registered Representatives & Investment Representatives	18.11(b)		R. 2551. Individual approval	(6)			Amended - Non substantive - Previous sub-section 2552(7) was renumbered 2552(6).		Amended - Non substantive - We updated terms and clarified the language in this subsection to improve readability and clarify the intent of this subsection.	- We amalgamated previous Rules 2500 (Dealer Member Directors and Executives) and 2550 (Approval of Individuals) and renumbered and
Rule 0007: Dealer Member Partners, Directors & Officers	7.09					Amended - Substantive - Amendments reflecting the PM and APM categories.	Amended - Non substantive - Previous sub-section 2552(8) was renumbered 2552(7).		Amended - Non substantive - Previous sub-section 2552(7) was moved to subsection 2554(4)	
Rule 0018: Registered Representatives & Investment Representatives	18.18						Amended - Non substantive - We amended this sub-section to clarify late filling fee requirements. Previous sub-section 2552(9) was renumbered 2552(8).		Amended - Non substantive - Previous sub-section 2552(8) was moved to subsection 2554(5)	
Rule 0018: Registered Representatives & Investment Representatives	7.07		R. 2551. Individual approval	(7)			Amended - Non substantive - Previous sub-section 2552(10) was renumbered 2552(9).		Amended - Non substantive - Previous sub-section 2552(9) was renumbered 2552(7). We also updated terms and clarified the language in this subsection	- We amalgamated previous Rules 2500 (Dealer Member Directors and Executives) and 2550 (Approval of Individuals) and renumbered and
Rule 0018: Registered Representatives & Investment Representatives	18.15		R. 2551. Individual approval	(7)	Amended - Substantive - We expanded this requirement, which was previously applicable only to RRs and IRs, to all Approved Persons.	Amended - Substantive - Amendments reflecting the PM and APM categories.	Amended - Non substantive - Previous sub-section 2552(10) was renumbered 2552(9).		Amended - Non substantive - Previous sub-section 2552(9) was renumbered 2552(7). We also updated terms and clarified the language in this subsection	substantive - We amalgamated previous Rules 2500 (Dealer Member Directors and Executives) and 2550 (Approval of Individuals) and

Rule 0038: Compliance and Supervision	38.03	(a)					Amended - Non substantive - We amended this section for greater clarity.		Repealed - Non substantive - We removed this subsection because it was redundant. We also incorporated some parts of it in the remaining subsections of section 2553.	
New Provision			R. 2552. Compliance with the proficiency requirements or other conditions	(1)	New - Substantive - Clauses 2552(1)(i) and (ii) are new clauses which link approval to Corporation proficiency requirements		Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency.		Amended - Non substantive - We removed parts of this subsection because they were redundant. We also incorporated some parts of it in the remaining subsections of section 2552.	
Rule 0038: Compliance and Supervision	7.02		R. 2552. Compliance with the proficiency requirements or other conditions	(2)			Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency.		Amended - Non substantive - We removed parts of this subsection because they were redundant. We also incorporated some parts of it in the remaining subsections of section 2552.	
Rule 0007: Dealer Member Partners, Directors & Officers	7.02		R. 2552. Compliance with the proficiency requirements or other conditions	(3)			Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency.		Repealed - Non substantive - We removed this subsection because it was redundant. We also incorporated some parts of it in the remaining	
Rule 0038: Compliance and Supervision	38.06	(a)	R. 2552. Compliance with the proficiency requirements or other conditions	(4)	Amended - Substantive - We expanded certain reporting requirements, which were previously only applicable to RRs and IRs, to all Approved Persons.		Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency.		Amended - Non substantive - We removed parts of this subsection because they were redundant. We also incorporated some parts of it in the remaining	
Rule 0038: Compliance and Supervision	38.07	(a)	R. 2552. Compliance with the proficiency requirements or other conditions	(5)	Amended - Substantive - We expanded certain reporting requirements, which were previously only applicable to RRs and IRs, to all Approved Persons.		Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency.		Amended - Non substantive - We removed parts of this subsection because they were redundant. We also incorporated some parts of it in the remaining	
Rule 0038: Compliance and Supervision	38.07	(b)	R. 2552. Compliance with the proficiency requirements or other conditions	(5)	Amended - Substantive - We expanded certain reporting requirements, which were previously only applicable to RRs and IRs, to all Approved Persons.				Amended - Non substantive - We removed parts of this subsection because they were redundant. We also incorporated some parts of it in the remaining	

Rule 0038: Compliance and Supervision	38.07	(e)	R. 2552. Compliance with the proficiency requirements or other conditions	(5)	Amended - Substantive - We expanded certain reporting requirements, which were previously only applicable to RRs and IRs, to all Approved Persons.				Amended - Non substantive - We removed parts of this subsection because they were redundant. We also incorporated some parts of it in the remaining subsections of section 2552.	
Rule 0038: Compliance and Supervision	38.05	(a)	R. 2552. Compliance with the proficiency requirements or other conditions	(1)			Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency.		Amended - Non substantive - Previous sub-section 2553(6) was renumbered 2553(1). We also updated terms and clarified the language in this subsection to improve readability and clarify this section	Amended - Non substantive - We amalgamated previous Rules 2500 (Dealer Member Directors and Executives) and 2550 (Approval of Individuals) and renumbered and renamed it as Rule 2500 – Registration of Approved Persons. Previous Rule 2550 is now Part B of current Rule 2500, as a result, previous section "2553" was renumbered to section "2552". Because of this numbering change, we also updated any cross-referencing within the section where applicable.
New Provision			R. 2552. Compliance with the proficiency requirements or other conditions	(1)	New - Substantive - Clauses 2553(6)(ii) and (iii) are new clauses which link approval to Corporation proficiency requirements				Amended - Non substantive - Previous sub-section 2553(6) was renumbered 2553(1). We also updated terms and clarified the language in this subsection	- We amalgamated previous Rules 2500 (Dealer Member Directors and Executives) and 2550 (Approval of Individuals) and renumbered and
Rule 0038: Compliance and Supervision	38.03	(b)	R. 2552. Compliance with the proficiency requirements or other conditions	(7)		New - Non substantive - Inadvertent omission of an existing provision.			Amended - Non substantive - Previous clause 2553(7)(i) was renumbered 2553(2), and previous clause clause 2553(7)(ii) was renumbered 2553(3). We also updated	- We amalgamated previous Rules 2500 (Dealer Member Directors and Executives) and 2550 (Approval of Individuals) and renumbered and
Rule 0018: Registered Representatives & Investment Representatives	18.02	(a)	R. 2553. Approval of Registered Representatives, Investment Representatives, Portfolio Managers and Associate Portfolio Managers and their obligations	(1)		Amended - Substantive - amendments codify the proficiency requirements in NI 31-103 and incorporate registration reform terminology.	Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency.		Amended - Non substantive - We removed part of this subsection because it was redundant.	- We amalgamated previous Rules 2500 (Dealer Member Directors and Executives) and 2550 (Approval of Individuals) and renumbered and
Rule 0018: Registered Representatives & Investment Representatives	18.03	(b)	R. 2553. Approval of Registered Representatives, Investment Representatives, Portfolio Managers and Associate Portfolio Managers and their obligations	(1)		Amended - Substantive - amendments codify the proficiency requirements in NI 31-103 and incorporate registration reform terminology.			Amended - Non substantive - We removed part of this subsection because it was redundant.	- We amalgamated previous Rules 2500 (Dealer Member Directors and Executives) and 2550 (Approval of Individuals) and renumbered and

Rule 0018: Registered Representatives & Investment Representatives	18.04		R. 2553. Approval of Registered Representatives, Investment Representatives, Portfolio Managers and Associate Portfolio Managers and their obligations	(2)(i)		Amended - Substantive - amendments codify the proficiency requirements in NI 31-103 and incorporate registration reform terminology.			Amended - Non substantive - We removed this subsection because it was redundant. We also incorporated some parts of it in the remaining	- We amalgamated previous Rules 2500 (Dealer Member Directors and Executives) and 2550 (Approval of Individuals) and renumbered and
Rule 0018: Registered Representatives & Investment Representatives	18.07	(d)	R. 2553. Approval of Registered Representatives, Investment Representatives, Portfolio Managers and Associate Portfolio Managers and their obligations	(2)(ii)		Amended - Substantive - amendments codify the proficiency requirements in NI 31-103 and incorporate registration reform terminology.			Amended - Non substantive - We removed this subsection because it was redundant. We also incorporated some parts of it in the remaining subsections of section 2554.	Amended - Non substantive - We amalgamated previous Rules 2500 (Dealer Member Directors and Executives) and 2550 (Approval of Individuals) and renumbered and renamed it as Rule 2500 – Registration of Approved Persons. Previous Rule 2550 is now Part B of current Rule 2500, as a result, previous section "2554" was renumbered to section "2553". Because of this numbering change, we updated any cross-referencing within the section where applicable. We also clarified the language.

Rule 0018: Registered Representatives & Investment Representatives	18.02	(b)	R. 2553. Approval of Registered Representatives, Investment Representatives, Portfolio Managers and Associate Portfolio Managers and their obligations	(3)		Amended - Substantive - amendments codify the proficiency requirements in NI 31-103 and incorporate registration reform terminology.	Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency.		Amended - Non substantive - We clarified the preamble of this subsection by reorganizing the text and updating terms this was done to improve readability and clarify the intent of the subsection as a whole	Amended - Non substantive - We amalgamated previous Rules 2500 (Dealer Member Directors and Executives) and 2550 (Approval of Individuals) and renumbered and renamed it as Rule 2500 – Registration of Approved Persons. Previous Rule 2550 is now Part B of current Rule 2500, as a result, previous section "2554" was renumbered to section "2553". Because of this numbering change, we also updated any cross-referencing within the section where applicable.
Rule 0018: Registered Representatives & Investment Representatives	18.02	(c)	R. 2553. Approval of Registered Representatives, Investment Representatives, Portfolio Managers and Associate Portfolio Managers and their obligations	(3)		Amended - Substantive - amendments codify the proficiency requirements in NI 31-103 and incorporate registration reform terminology.	Amended - Non substantive - We amended this sub-section to clarify approval/notice requirements.		Amended - Non substantive - We clarified the preamble of this subsection by reorganizing the text and updating terms this was done to improve readability	- We amalgamated previous Rules 2500 (Dealer Member Directors and Executives) and 2550 (Approval of Individuals) and renumbered and
Rule 0018: Registered Representatives & Investment Representatives	18.07	(a)	R. 2553. Approval of Registered Representatives, Investment Representatives, Portfolio Managers and Associate Portfolio Managers and their obligations	(4)		Amended - Substantive - amendments codify the proficiency requirements in NI 31-103 and incorporate registration reform terminology.	Amended - Non substantive - We added in an introductory phrase at the beginning of this sub-section. We also updated terms in for greater clarity		Amended - Non substantive - We clarified the preamble of this subsection by reorganizing the text and updating terms this was done to improve readability	- We amalgamated previous Rules 2500 (Dealer Member Directors and Executives) and 2550 (Approval of Individuals) and renumbered and
Rule 0018: Registered Representatives & Investment Representatives	18.07	(b)	R. 2553. Approval of Registered Representatives, Investment Representatives, Portfolio Managers and Associate Portfolio Managers and their obligations	(4)		Amended - Substantive - amendments codify the proficiency requirements in NI 31-103 and incorporate registration reform terminology.	Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency.		Amended - Non substantive - We clarified the preamble of this subsection by reorganizing the text and updating terms this was done to improve readability	- We amalgamated previous Rules 2500 (Dealer Member Directors and Executives) and 2550 (Approval of Individuals) and renumbered and
Rule 0018: Registered Representatives & Investment Representatives	18.07	(c)	R. 2553. Approval of Registered Representatives, Investment Representatives, Portfolio Managers and Associate Portfolio Managers and their obligations	(4)		Amended - Substantive - amendments codify the proficiency requirements in NI 31-103 and incorporate registration reform terminology.	Amended - Non substantive - We amended this sub-section to clarify approval/notice requirements.		Amended - Non substantive - We clarified the preamble of this subsection by reorganizing the text and updating terms this was done to improve readability	- We amalgamated previous Rules 2500 (Dealer Member Directors and Executives) and 2550 (Approval of Individuals) and renumbered and
Rule 0018: Registered Representatives & Investment Representatives	18.07	(d)	R. 2553. Approval of Registered Representatives, Investment Representatives, Portfolio Managers and Associate Portfolio Managers and their obligations	(4)			Amended - Non substantive - We added in this clause for consistency with the current rule.		Amended - Non substantive - We clarified the preamble of this subsection by reorganizing the text and updating terms this was done to improve readability	- We amalgamated previous Rules 2500 (Dealer Member Directors and Executives) and 2550 (Approval of Individuals) and renumbered and

Rule 0018: Registered Representatives & Investment Representatives	18.16		R. 2553. Approval of Registered Representatives, Investment Representatives, Portfolio Managers and Associate Portfolio Managers and their obligations	(5)		Amended - Substantive - amendments codify the proficiency requirements in NI 31-103 and incorporate registration reform terminology.			Amended - Non substantive - We removed this subsection because it was redundant. We also incorporated some parts of it in the remaining	- We amalgamated previous Rules 2500 (Dealer Member Directors and Executives) and 2550 (Approval of Individuals) and renumbered and
New Provision			R. 2553. Approval of Registered Representatives, Investment Representatives, Portfolio Managers and Associate Portfolio Managers and their obligations	(6)			Amended - Non substantive - We clarified that Associate Portfolio Managers cannot advise on securities without approval of that advice from a Portfolio Manager. This is		Amended - Non substantive - We removed this subsection because it was redundant. We also incorporated some parts of it in the remaining	- We amalgamated previous Rules 2500 (Dealer Member Directors and Executives) and 2550 (Approval of Individuals) and renumbered and
New Provision			R. 2553. Approval of Registered Representatives, Investment Representatives, Portfolio Managers and Associate Portfolio Managers and their obligations	(7)						For greater consistency with NI 31-103, we clarified that Associate Portfolio Managers cannot advise on securities without approval of that advice from a
Rule 0018: Registered Representatives & Investment Representatives	18.14		R. 2554. Business Activities Outside of the Dealer Member	(1) - (3)		New - Substantive - Broadens the application of the rule to capture Approved Persons and not only Registered Representatives and	Amended - Substantive - We amended paragraph 2555(1)(v)(b)(II) for greater consistency with NI 31-103. We now require Approved Persons obtain IIROC		Amended - Non substantive - We reorganized the text of this subsection to improve readability and clarify the intent of the subsection.	Amended - Non substantive - We amalgamated previous Rules 2500 (Dealer Member Directors and Executives) and 2550 (Approval of Individuals)
Rule 0007: Dealer Member Partners, Directors & Officers	7.06	(a)	R. 2555. Approval of Investors	(1)		New - Non substantive - revised title.			Amended - Non substantive - We updated terms used in this clause for consistency.	- We amalgamated previous Rules 2500 (Dealer Member Directors and Executives) and 2550 (Approval of Individuals) and renumbered and
Rule 0007: Dealer Member Partners, Directors & Officers	7.06	(b)	R. 2555. Approval of Investors	(2)					Amended - Non substantive - We updated terms used in this clause for consistency.	- We amalgamated previous Rules 2500 (Dealer Member Directors and Executives) and 2550 (Approval of Individuals) and renumbered and
Rule 0007: Dealer Member Partners, Directors & Officers	7.06	(b)	R. 2555. Approval of Investors	(3)					Amended - Non substantive - We updated terms used in this clause for consistency.	- We amalgamated previous Rules 2500 (Dealer Member Directors and Executives) and 2550 (Approval of Individuals) and renumbered and
Rule 0500: Traders	500.01		R. 2557. Approval of Traders	(1)		New - Non substantive - revised title.	Amended - Non substantive - We updated this sub-section for consistency with the defined terms in sub-section 1201(2).		Repealed - Non substantive - We removed this section because it was redundant.	
Rule 0500: Traders	500.02		R. 2557. Approval of Traders	(1)					Repealed - Non substantive - We removed this section because it was redundant.	

			R. 2556. - 2599. Reserved		New - Non substantive - Reserved sections.				Amended - Non substantive - The reserve section was renumbered 2557-2599	Amended - Non substantive - Previous reserve section "2557 - 2599" was changed to section "2556 - 2599"
Rule 2900: Proficiency and Education	Part I	Introduction	R. 2601. Introduction	(1)		New - Non substantive - Added additional introductory language.	Amended - Non substantive - We made wording changes to improve readability and clarity. We also updated this sub-section for consistency with		Amended - Non substantive - We changed the term "educational and experience" to "proficiency"	
Rule 2900: Proficiency and Education	Part I	Introduction	R. 2601. Introduction	(2)			Repealed - Non substantive - We removed this sub-section because it was redundant.			
Rule 2900: Proficiency and Education	Part I	Introduction	R. 2601. Introduction	(2)						New - Non-substantive - We added subsection (2) as table of contents for Rule 2600. We made this change to improve reader navigation within the Rules.
			Part A – Proficiency requirements							
New Provision			R. 2602. Proficiency requirements for Approved Persons	(1)		New - Substantive - Clarifies Dealer Members' obligation to ensure individuals have the proper education, training and experience.	Amended - Non substantive - We made wording changes to improve readability and clarity. We also updated this sub-section for consistency with		Amended - Non substantive - We clarified the wording in this section by correcting terms, and moving words to improved readability. We also made stylistic changes	
New Provision			R. 2602. Proficiency requirements for Approved Persons	(2)		New - Substantive - Clarifies a Supervisor and Chief Compliance Officer's obligation to ensure they have the proper education, training and experience.			Amended - Non substantive - We clarified the wording in this section by correcting terms, and moving words to improved readability. We also made stylistic changes	Amended - Non substantive - We clarified the language in this section.
New Provision			R. 2602. Proficiency requirements for Approved Persons	(3)		New - Non substantive - Added chart listing Approved Persons types	Amended - Non substantive - We added in the term "approved Investor" for greater clarity. We made wording changes to clarify that we are not requiring the		Amended - Non substantive - We clarified the wording in this section by correcting terms, and moving words to improved readability. We also made stylistic changes	

New Provision			R. 2602. Proficiency requirements for Approved Persons	(3)	New - Non-substantive - Added clarification requiring compliance with education provisions in chart form.		Amended - Non substantive - We updated the chart to improve readability.		Amended - Non substantive - We clarified the wording in this section by correcting terms, and moving words to improved readability. We also made stylistic changes	
Rule 2900: Proficiency and Education	Part I	(A)(3)(b)	R. 2602. Proficiency requirements for Approved Persons	(3)					Amended - Non substantive - We clarified the wording in this section by correcting terms, and moving words to improved readability. We also made stylistic changes	
Rule 0018: Registered Representatives & Investment Representatives	18.03	(a)	R. 2602. Proficiency requirements for Approved Persons	(3)			Amended - Non substantive - We made wording changes to the terms used in the first chart for greater clarity and consistency.		Amended - Non substantive - We clarified the wording in this section by correcting terms, and moving words to improved readability. We also made stylistic changes	
Rule 2900: Proficiency and Education	Part I	(A)(3)	R. 2602. Proficiency requirements for Approved Persons	(3)(i)					Amended - Non substantive - We clarified the wording in this section by correcting terms, and moving words to improved readability. We also made stylistic changes	
Rule 2900: Proficiency and Education	18.06		R. 2602. Proficiency requirements for Approved Persons	(3)(i)			Amended - Non substantive - We made wording changes to clarify our requirements.		Amended - Non substantive - We clarified the wording in this section by correcting terms, and moving words to improved readability. We also made stylistic changes	
Rule 2900: Proficiency and Education	Part I	(A)(3)(a)	R. 2602. Proficiency requirements for Approved Persons	(3)(ii)			Amended - Non substantive - We made wording changes to clarify our requirements.		Amended - Non substantive - We clarified the wording in this section by correcting terms, and moving words to improved readability. We also made stylistic changes	
Rule 2900: Proficiency and Education	Part I	(A)(8)	R. 2602. Proficiency requirements for Approved Persons	(3)(iii)			Amended - Non substantive - We amended the wording of this section to reflect current practices and to ensure this provision includes any successor		Amended - Non substantive - We clarified the wording in this section by correcting terms, and moving words to improved readability. We also made stylistic changes	
Rule 2900: Proficiency and Education	Part I	(A)(8)	R. 2602. Proficiency requirements for Approved Persons	(3)(iv)			Amended - Non substantive - We amended the wording of this section to reflect current practices and to ensure this provision includes any successor		Amended - Non substantive - We clarified the wording in this section by correcting terms, and moving words to improved readability. We also made stylistic changes	
Rule 2900: Proficiency and Education	Part I	(A)(7)	R. 2602. Proficiency requirements for Approved Persons	(3)(v)			Amended - Non substantive - We made wording changes to clarify our requirements and to ensure this provision includes any successor courses.		Amended - Non substantive - We clarified the wording in this section by correcting terms, and moving words to improved readability. We also made stylistic changes	
Rule 2900: Proficiency and Education	Part I	(A)(4)	R. 2602. Proficiency requirements for Approved Persons	(3)(vi)			Amended - Non substantive - We removed CFA Level 1 from the list of "Courses completed before approval" for clarity. We also made changes for consistency		Amended - Non substantive - We clarified the wording in this section by correcting terms, and moving words to improved readability. We also made stylistic changes	

Rule 2900: Proficiency and Education	Part I	(A)(7)	R. 2602. Proficiency requirements for Approved Persons	(3)(vii)			Amended - Substantive - To be approved as an Investment Representatives dealing with retail clients, applicants who completed the New Entrants Course		Amended - Non substantive - We clarified the wording in this section by correcting terms, and moving words to improved readability. We also made stylistic changes	
Rule 2900: Proficiency and Education	Part I	(A)(3)(a)	R. 2602. Proficiency requirements for Approved Persons	(3)(viii)			Amended - Non substantive - We made wording changes to clarify our requirements.		Amended - Non substantive - We clarified the wording in this section by correcting terms, and moving words to improved readability. We also made stylistic changes	
Rule 2900: Proficiency and Education	Part I	(A)(8)	R. 2602. Proficiency requirements for Approved Persons	(3)(ix)			Amended - Non substantive - We amended the wording of this section to reflect current practices and to ensure this provision includes any successor		Amended - Non substantive - We clarified the wording in this section by correcting terms, and moving words to improved readability. We also made stylistic changes	
Rule 2900: Proficiency and Education	Part I	(A)(8)	R. 2602. Proficiency requirements for Approved Persons	(3)(x)			Amended - Non substantive - We amended the wording of this section to reflect current practices and to ensure this provision includes any successor		Amended - Non substantive - We clarified the wording in this section by correcting terms, and moving words to improved readability. We also made stylistic changes	
Rule 2900: Proficiency and Education	Part I	(A)(7)	R. 2602. Proficiency requirements for Approved Persons	(3)(xi)			Amended - Non substantive - We amended the wording of this section to reflect current practices and to ensure this provision includes any successor		Amended - Non substantive - We clarified the wording in this section by correcting terms, and moving words to improved readability. We also made stylistic changes	
Rule 2900: Proficiency and Education	Part I	(A)(4)	R. 2602. Proficiency requirements for Approved Persons	(3)(xii)			Amended - Non substantive - We removed CFA Level 1 from the list of "Courses completed before approval" for clarity. We also made changes for consistency		Amended - Non substantive - We clarified the wording in this section by correcting terms, and moving words to improved readability. We also made stylistic changes	
Rule 2900: Proficiency and Education	Part I	(A)(6)(6.01)	R. 2602. Proficiency requirements for Approved Persons	(3)(xiii)			Amended - Non substantive - For consistency with our existing rule and practices, we added the Conduct and Practices Handbook course to the list of required		Amended - Non substantive - We clarified the wording in this section by correcting terms, and moving words to improved readability. We also made stylistic changes	
Rule 2900: Proficiency and Education	Part I	(A)(6)(6.02)	R. 2602. Proficiency requirements for Approved Persons	(3)(xiv)			Amended - Non substantive - For consistency with our existing rule and practices, we added the Conduct and Practices Handbook course to the list of required		Amended - Non substantive - We clarified the wording in this section by correcting terms, and moving words to improved readability. We also made stylistic changes	
Rule 2900: Proficiency and Education	Part I	(A)(5)(a)	R. 2602. Proficiency requirements for Approved Persons	(3)(xv)					Amended - Non substantive - We clarified the wording in this section by correcting terms, and moving words to improved readability. We also made stylistic changes	
Rule 2900: Proficiency and Education	Part I	(A)(5)(b)	R. 2602. Proficiency requirements for Approved Persons	(3)(xvi)					Amended - Non substantive - We clarified the wording in this section by correcting terms, and moving words to improved readability. We also made stylistic changes	

Rule 2900: Proficiency and Education	Part I	(A)(1)(a)(ii)-(iii)	R. 2602. Proficiency requirements for Approved Persons	(3)(xvii)			Amended - Non substantive - We made wording changes to clarify our requirements.		Amended - Non substantive - We clarified the wording in this section by correcting terms, and moving words to improved readability. We also made stylistic changes	
Rule 2900: Proficiency and Education	Part I	(A)(1)(a)(iv)	R. 2602. Proficiency requirements for Approved Persons	(3)(xviii)			Amended - Non substantive - We amended the wording of this section to reflect current practices and to ensure this provision includes any successor		Amended - Non substantive - We clarified the wording in this section by correcting terms, and moving words to improved readability. We also made stylistic changes	
Rule 2900: Proficiency and Education	Part I	(A)(1)(a)(v)	R. 2602. Proficiency requirements for Approved Persons	(3)(xix)			Amended - Non substantive - We amended the wording of this section to reflect current practices and to ensure this provision includes any successor		Amended - Non substantive - We clarified the wording in this section by correcting terms, and moving words to improved readability. We also made stylistic changes	
New Provision			R. 2602. Proficiency requirements for Approved Persons	(3)(xx)-(xxvi)		New - Substantive - Established proficiency requirements for Designated Supervisors - Registration Reform Related Amendments.	Amended - Non substantive - We amended the wording of some of these sections to reflect current practices and to ensure this provision includes any successor		Amended - Non substantive - We clarified the wording in this section by correcting terms, and moving words to improved readability. We also made stylistic changes	
Rule 2900: Proficiency and Education	Part I	(A)(2)	R. 2602. Proficiency requirements for Approved Persons	(3)(xxvii)			Amended - Non substantive - We made wording changes to improve readability and clarity.		Amended - Non substantive - We clarified the wording in this section by correcting terms, and moving words to improved readability. We also made stylistic changes	
Rule 2900: Proficiency and Education	7.03		R. 2602. Proficiency requirements for Approved Persons	(3)(xxvii)					Amended - Non substantive - We clarified the wording in this section by correcting terms, and moving words to improved readability. We also made stylistic changes	
Rule 2900: Proficiency and Education	Part I	(A)(2)	R. 2602. Proficiency requirements for Approved Persons	(3)(xxviii)			Amended - Non substantive - We made wording changes to improve readability and clarity.		Amended - Non substantive - We clarified the wording in this section by correcting terms, and moving words to improved readability. We also made stylistic changes	
Rule 2900: Proficiency and Education	7.02		R. 2602. Proficiency requirements for Approved Persons	(3)(xxviii)			Amended - Non substantive - We made wording changes to improve readability and clarity.		Amended - Non substantive - We clarified the wording in this section by correcting terms, and moving words to improved readability. We also made stylistic changes	
Rule 2900: Proficiency and Education	Part I	(A)(2)(A)	R. 2602. Proficiency requirements for Approved Persons	(3)(xxix)			Amended - Non substantive - We made wording changes to improve readability and clarity.		Amended - Non substantive - We clarified the wording in this section by correcting terms, and moving words to improved readability. We also made stylistic changes	
Rule 2900: Proficiency and Education	Part I	(A)(2B)	R. 2602. Proficiency requirements for approved persons	(3)(xxx)					Amended - Non substantive - We clarified the wording in this section by correcting terms, and moving words to improved readability. We also made stylistic changes	

Rule 0007: Dealer Member Partners, Directors & Officers	7.06	(b)	R. 2602. Proficiency requirements for Approved Persons				Amended - Non substantive - We made wording changes to improve readability and clarity.		Amended - Non substantive - We clarified the wording in this section by correcting terms, and moving words to improved readability. We also made stylistic changes	
Rule 2900: Proficiency and Education	Part I	(A)(2)	R. 2602. Proficiency requirements for Approved Persons	(3)(xxxi)			Amended - Non substantive - We used the term "Approved Investor" for this category for consistency with the defined terms in sub-section 1201(2).		Amended - Non substantive - We clarified the wording in this section by correcting terms, and moving words to improved readability. We also made stylistic changes	
			R. 2603. - 2624. Reserved							New - Non substantive - We added reserve sections 2603-2624.
			Part B – Exemptions from proficiency requirements							
Rule 2900: Proficiency and Education	Part I	(A)(1)(c)	R. 2625. Specific Exemptions	(1)	Clean up tranche - updated references		Amended - Non substantive - We made wording changes to improve readability and clarity.			Amended - Non substantive - Previous section "2603" was changed to section "2625".
Rule 2900: Proficiency and Education	Part I	(A)(1)(d)	R. 2625. Specific Exemptions	(2)	Clean up tranche - updated references				Repealed - Non-substantive - This subsection was repealed because it was redundant.	
Rule 2900: Proficiency and Education	Part I	(A)(1)(f)	R. 2625. Specific Exemptions	(3)	Clean up tranche - updated references		Amended - Non substantive - We made wording changes to improve readability. We also updated this sub-section for consistency with the defined		Amended - Non-substantive - Previous subsection "2603(3)" was changed to subsection "2603(2)".	Amended - Non substantive - Previous section "2603" was changed to section "2625".
Rule 2900: Proficiency and Education	Part I	(B)(1)	R. 2626. General and discretionary exemptions	(1)			Amended - Non substantive - We made wording changes to reflect current practices. We also updated this sub-section for consistency with the defined			Amended - Non substantive - Previous section "2604" was changed to section "2626".
Rule 2900: Proficiency and Education	Part I	(B)(1)-(2)	R. 2626. General and discretionary exemptions	(2)						Amended - Non substantive - Previous section "2604" was changed to section "2626".
Rule 0020: Corporation Hearing Processes	20.24		R. 2626. General and discretionary exemptions	(2)						Amended - Non substantive - Previous section "2604" was changed to section "2626".

Rule 2900: Proficiency and Education	Part II	(C)(a)(b)	R. 2626. General and discretionary exemptions	(2)	Clean up tranche - updated references					Amended - Non substantive - Previous section "2604" was changed to section "2626". We also made a non-material drafting change in response to
Rule 0020: Corporation Hearing Processes	20.27	(1)	R. 2626. General and discretionary exemptions	(3)						Amended - Non substantive - Previous section "2604" was changed to section "2626". We also made a non-material drafting change in response to
Rule 0020: Corporation Hearing Processes	20.27	(2)					Repealed - Non substantive - We removed previous sub-section 2604(4) as it was duplicative of the Consolidated Enforcement Rules.			
Rule 2900: Proficiency and Education	Part II	Introduction	R. 2627. Exemptions from writing the required courses	(1)			Repealed - Non substantive - We removed previous sub-section 2605(1) as its content is now covered by the validity provisions in section 2606.			Amended - Non substantive - Previous section "2605" was changed to section "2627". We also made a non-material drafting change in response to
Rule 2900: Proficiency and Education	Part II	(B)(1)	R. 2627. Exemptions from writing the required courses	(1)			Repealed - Non substantive - We removed previous sub-section 2605(1) as its content is now covered by the validity provisions in section 2606.			Amended - Non substantive - Previous section "2605" was changed to section "2627". We also made a non-material drafting change in response to
New Provision			R. 2627. Exemptions from writing the required courses	(1)	New - Non-substantive - Added clarification requiring compliance with education exemption provisions in chart form.		Amended - Non substantive - We made wording changes to improve readability. Previous sub-section 2605(2) was renumbered 2605(1).			Amended - Non substantive - Previous section "2605" was changed to section "2627". We also made a non-material drafting change in response to
Rule 2900: Proficiency and Education	Part II	(B)(5)	R. 2627. Exemptions from writing the required courses	(1)			Amended - Non substantive - We made wording changes to improve readability. Previous clause 2605(2)(iii) was renumbered 2605(1).			Amended - Non substantive - Previous section "2605" was changed to section "2627". We also made a non-material drafting change in response to
Rule 2900: Proficiency and Education	Part II	(B)(6)	R. 2627. Exemptions from writing the required courses	(1)			Amended - Non substantive - We made wording changes to improve readability. Previous clause 2605(2) was renumbered 2605(1)(iv).			Amended - Non substantive - Previous section "2605" was changed to section "2627". We also made a non-material drafting change in response to
Rule 2900: Proficiency and Education	Part II	(B)(2)	R. 2627. Exemptions from writing the required courses	(2)(i)			Repealed - Non substantive - We removed this clause as its content is now covered in section 2602(3).			
Rule 2900: Proficiency and Education	Part II	(B)(4)	R. 2627. Exemptions from writing the required courses	(2)(ii)			Repealed - Substantive - We removed this clause because the Financial Planning I and II courses and the Advanced Investment Strategies			

Rule 2900: Proficiency and Education	Part II	Introduction	R. 2628. Course validity and exemptions from rewriting courses	(1)			Amended - Non substantive - We made changes to improve readability.			Amended - Non substantive - Previous section "2606" was changed to section "2628".
Rule 2900: Proficiency and Education	Part II	(A)(1)-(2)	R. 2628. Course validity and exemptions from rewriting courses	(2)-(5)			Amended - Non substantive - We made wording changes to improve readability and removed certain previous sub-sections as a result.			Amended - Non substantive - Previous section "2606" was changed to section "2628".
				(3)					Added - Non substantive - We Added subsection 2606(3) to clarify the intent of this section.	
			R. 2628. Course validity and exemptions from rewriting courses	(4)					Amended - Non-substantive - Previous subsection "2606(3)" was changed to subsection "2606(4)".	Amended - Non substantive - Previous section "2606" was changed to section "2628".
New Provision			R. 2628. Course validity and exemptions from rewriting courses	(5)		New - Substantive - Registration Reform Related Amendment.	Amended - Non substantive - Previous sub-section 2606(6) was renumbered 2606(5).		Amended - Non-substantive - Previous subsection "2606(4)" was changed to subsection "2606(5)".	Amended - Non substantive - Previous section "2606" was changed to section "2628".
Rule 2900: Proficiency and Education	Part II	(A)(4)	R. 2628. Course validity and exemptions from rewriting courses	(5)			Amended - Non substantive - Previous sub-section 2606(6) was renumbered 2606(5).		Amended - Non-substantive - Previous subsection "2606(4)" was changed to subsection "2606(5)".	Amended - Non substantive - Previous section "2606" was changed to section "2628".
Rule 2900: Proficiency and Education	Part II	(A)(5)(a)	R. 2628. Course validity and exemptions from rewriting courses	(5)			Amended - Non substantive - Previous sub-section 2606(6) was renumbered 2606(5).		Amended - Non-substantive - Previous subsection "2606(4)" was changed to subsection "2606(5)".	Amended - Non substantive - Previous section "2606" was changed to section "2628".
Rule 2900: Proficiency and Education	Part II	(A)(5)(b)	R. 2628. Course validity and exemptions from rewriting courses	(5)			Amended - Non substantive - We removed criteria which were duplicative of section 2602. Previous sub-section 2606(6) was renumbered 2606(5).		Amended - Non-substantive - Previous subsection "2606(4)" was changed to subsection "2606(5)".	Amended - Non substantive - Previous section "2606" was changed to section "2628".
Rule 2900: Proficiency and Education	Part II	(A)(7)	R. 2628. Course validity and exemptions from rewriting courses	(5)			Amended - Substantive - We amended this clause because the Financial Planning I and II courses and the Advanced Investment Strategies		Amended - Non-substantive - Previous subsection "2606(4)" was changed to subsection "2606(5)".	Amended - Non substantive - Previous section "2606" was changed to section "2628".
Rule 2900: Proficiency and Education	Part II	(A)(9)	R. 2628. Course validity and exemptions from rewriting courses	(5)			Amended - Non substantive - We removed criteria which were duplicative of section 2602. Previous sub-section 2606(6) was renumbered 2606(5).		Amended - Non-substantive - Previous subsection "2606(4)" was changed to subsection "2606(5)".	Amended - Non substantive - Previous section "2606" was changed to section "2628".

Rule 2900: Proficiency and Education	Part II	(A)(8)	R. 2628. Course validity and exemptions from rewriting courses	(5)			Amended - Non substantive - We removed criteria which were duplicative of section 2602. Previous sub-section 2606(6) was renumbered 2606(5).		Amended - Non-substantive - Previous subsection "2606(4)" was changed to subsection "2606(5)".	Amended - Non substantive - Previous section "2606" was changed to section "2628".
Rule 2900: Proficiency and Education	Part II	(A)(3)(a)-(b)	R. 2628. Course validity and exemptions from rewriting courses	(6)(i)			Repealed - Substantive - We repealed previous clause 2606(6)(i) for several reasons. We removed an exemption which was intended to be transitional:		Amended - Non substantive - Previous subsection "2606(5)" was changed to subsection "2606(6)". We also made wording changes to this sub section for	Amended - Non substantive - Previous section "2606" was changed to section "2628".
Rule 2900: Proficiency and Education	Part II	(A)(6)	R. 2628. Course validity and exemptions from rewriting courses	(6)(vi)			Repealed - Substantive - We removed this clause because the Canadian Commodity Supervisor Exam does not have content equivalent to the		Amended - Non substantive - We made wording changes to this section for consistency, and to improve readability	Amended - Non substantive - Previous section "2606" was changed to section "2628".
New Provision			R. 2628. Course validity and exemptions from rewriting courses	(6)(vii)		New - Substantive - Registration Reform Related Amendment.	Repealed - Substantive - We removed this clause because the Options Supervisor Course does not have content equivalent to the Options Licensing		Amended - Non substantive - We made wording changes to this section for consistency, and to improve readability	Amended - Non substantive - Previous section "2606" was changed to section "2628".
New Provision			R. 2628. Course validity and exemptions from rewriting courses	(7)			Repealed - Non substantive - We made wording changes to section 2606 to improve readability and removed certain previous sub-sections as a result.			
New Provision			R. 2628. Course validity and exemptions from rewriting courses	(8)			Repealed - Non substantive - We made wording changes to section 2606 to improve readability and removed certain previous sub-sections as a result.			
Rule 2900: Proficiency and Education	New		R. 2629. Transition of Registered Representatives (with a business type of portfolio management) into the new registration regime	(1)		New - Substantive - The provision under plain language rule subsection 2603(4) is intended to provide guidance to those Dealer Members who	Amended - Non substantive - We moved previous sub-section 2603(4) to sub-sections 2607(1) and 2607(2). We also made wording changes to clarify			Amended - Non substantive - Previous section "2607" was changed to section "2629". As a result of this numbering change we also updated cross-references
Rule 2900: Proficiency and Education	New		R. 2629. Transition of Registered Representatives (with a business type of portfolio management) into the new registration regime	(2)		New - Substantive - The provision under plain language rule subsection 2603(4) is intended to provide guidance to those Dealer Members who	Amended - Non substantive - We moved previous sub-section 2603(4) to sub-sections 2607(1) and 2607(2). We also made wording changes to clarify			Amended - Non substantive - Previous section "2607" was changed to section "2629". As a result of this numbering change we also updated cross-references
			R. 2629. Transition of Registered Representatives (with a business type of portfolio management) into the new registration regime	(3)					New - substantive - Subsection 2607(3) has been added which allows IIROC to impose fees for failure to meet the transition timeline sect out in	Amended - Non substantive - Previous section "2607" was changed to section "2629". As a result of this numbering change we also updated cross-references
			R. 2630. Transition of Advising Representatives and Associate Advising Representatives into the Portfolio Manager and Associate Portfolio Manager approval category						New - substantive - We added a transition provision for Advising Representatives and Associate Advising Representatives in the	Amended - Non substantive - Previous section "2608" was changed to section "2630". As a result of this numbering change we also updated cross-references

			R. 2631. - 2699. Reserved		New - Non-substantive - Reserved sections.				Amended - Non-substantive - We renumbered the reserve section from 2608-2349 to 2609-2649.	Amended - Non substantive - Previous reserve section "2609-2649" was changed to section "2631-2699".
Rule 2900: Proficiency and Education	Part III	(B) first paragraph	R. 2701. Introduction	(1)			Amended - Substantive - We broadened the continuing education requirements for Approved Persons.			Amended - Non substantive -We renumbered previous Rule 2650 (Continuing Education Requirements for Approved Persons) as Rule 2700 - Continuing Education
			R. 2701. Introduction	(2)						New - Non substantive -We renumbered previous Rule 2650 (Continuing Education Requirements for Approved Persons) as Rule 2700 - Continuing Education
Rule 2900: Proficiency and Education	Part III	(H)(3)					Amended - Substantive - We provided parameters for Dealer Member compliance manual training.	Amended - Non-substantive - Previous sub-section 2651 (2) moved to sub-section 2655(2).		
Rule 2900: Proficiency and Education	Part III	(K)(3)					Amended - Non substantive - Previous sub-section 2556(4) was moved to sub-section 2651(3).	Amended - Non-substantive - Previous sub-section 2651 (3) moved to sub-section 2657(1)(vi).		
Rule 2900: Proficiency and Education	Part III	Guidelines for the Continuing Education Program, The Compliance Course (C)(4)					Amended - Non substantive - Previous sub-section 2555(6) was moved to sub-section 2651(4).	Amended - Non-substantive - Previous sub-section 2651 (4) moved to sub-section 2653(4).		
Rule 2900: Proficiency and Education	Part III	(A)	R. 2702. Definitions "continuing education course"	(1)	Clean up tranche - definition of “continuing education course” added; only used in this Rule.					Amended - Non substantive -We renumbered previous Rule 2650 (Continuing Education Requirements for Approved Persons) as Rule 2700 - Continuing Education
Rule 2900: Proficiency and Education	Part III	(A)	R. 2702. Definitions	(1)	Clean-up tranche - definition of “continuing education participant” added; only used in this Rule.		Amended - Non substantive - We amended this section for consistent with existing rules.	Amended - Non-substantive - We made changes for clarity.		Amended - Non substantive -We renumbered previous Rule 2650 (Continuing Education Requirements for Approved Persons) as Rule 2700 - Continuing Education
New Provision			R. 2702. Definitions	(1)	Clean up tranche - definition of “continuing education program” added; only used in this Rule.		Amended - Non substantive - We made wording changes to clarify our requirements.			Amended - Non substantive -We renumbered previous Rule 2650 (Continuing Education Requirements for Approved Persons) as Rule 2700 - Continuing Education
			R. 2702. Definitions	(1)				Moved-Non-Substantive- We moved definitions to this section. The definitions were previously included in the March 9, 2017 PLR Rulebook publication. We		

			Part A – The continuing education program and continuing education requirements							
New Provision			R. 2703. The continuing education program	(1)	New - Non-substantive - Added general description of compliance and professional development components to CE.		Amended - Substantive - We updated this sub-section for consistency with the broader scope of Approved Person continuing education.	Amended - Non-substantive - We changed the heading.		Amended - Non substantive -We renumbered previous Rule 2650 (Continuing Education Requirements for Approved Persons) as Rule 2700 - Continuing Education
Rule 2900: Proficiency and Education	Part III	Introduction	R. 2703. The continuing education program	(2)		New - Non substantive - Dates were amended to provide Dealer Members and their registrants sufficient notice of the changes to the continuing		Amended - Non-substantive - We made minor wording changes for clarity.		Amended - Non substantive -We renumbered previous Rule 2650 (Continuing Education Requirements for Approved Persons) as Rule 2700 - Continuing Education
Rule 2900: Proficiency and Education	Part III	J(1)-(2), K(1)-(2), Guidelines for the Continuing Education Program, The	R. 2703. The continuing education program	(3)			New - Substantive - We added in this sub-section as a transitional provision for current continuing education participants. Participants will be able to carry forward 20	Moved - Non-substantive - Previous sub-section 2653(3) moved to sub-section 2664(1). This sub-section contains content from previous duplicative		Amended - Non substantive -We renumbered previous Rule 2650 (Continuing Education Requirements for Approved Persons) as Rule 2700 - Continuing Education
Rule 2900: Proficiency and Education	Part III	J(3), K(3)	R. 2703. The continuing education program	(4)				Amended - Non-substantive - This sub-section was previously sub-section 2651(4). We moved it here for clarity and to eliminate inconsistencies. We also		Amended - Non substantive -We renumbered previous Rule 2650 (Continuing Education Requirements for Approved Persons) as Rule 2700 - Continuing Education
Rule 2900: Proficiency and Education	Part III	(C)(2)	R. 2703. The continuing education program	(5)				Amended-Non-substantive-This sub-section was previously sub-section 2653(4). We also clarified the language in this section.		Amended - Non substantive -We renumbered previous Rule 2650 (Continuing Education Requirements for Approved Persons) as Rule 2700 - Continuing Education
Rule 2900: Proficiency and Education	Part III	(B) in the March 2017 Publication, (B) and Schedule I	R. 2704. Continuing education requirements	(1)		New - Substantive - New continuing education requirements for portfolio managers, associate portfolio managers and supervisors of registered	Amended - Non substantive - We updated this sub-section for consistency with the defined terms in sub-section 1201(2).	Amended - Non-substantive - We redrafted this sub-section in plain language. We corrected the titles and tracked these corrections throughout the chart.		Amended - Non substantive -We renumbered previous Rule 2650 (Continuing Education Requirements for Approved Persons) as Rule 2700 - Continuing Education
Rule 2900: Proficiency and Education	Part III	Guidelines for the Continuing Education Program, The Compliance Course (A)(1)	R. 2704. Continuing education requirements	(2)			Amended - Non substantive - Previous subsection 2655(2) was moved to 2564(2).	Amended - Non-substantive - Section 2654 was redrafted for clarity and to eliminate inconsistencies. Part of it was moved to sub-section 2654(3) and another		Amended - Non substantive -We renumbered previous Rule 2650 (Continuing Education Requirements for Approved Persons) as Rule 2700 - Continuing Education
Rule 2900: Proficiency and Education	Part III	Guidelines for the Continuing Education Program, The Compliance Course (B)(1)	R. 2704. Continuing education requirements	(2)			Amended - Non substantive - Previous subsection 2655(2) was moved to 2564(2).	Amended - Non-substantive - Section 2654 was redrafted for clarity and to eliminate inconsistencies. Part of it was moved to sub-section 2654(3) and another		Amended - Non substantive -We renumbered previous Rule 2650 (Continuing Education Requirements for Approved Persons) as Rule 2700 - Continuing Education
Rule 2900: Proficiency and Education	Part III	Guidelines for the Continuing Education Program, The Compliance Course (B)(2)	R. 2704. Continuing education requirements	(2)			Amended - Non substantive - Previous subsection 2655(2) was moved to 2564(2).	Amended - Non-substantive - Section 2654 was redrafted for clarity and to eliminate inconsistencies. Part of it was moved to sub-section 2654(3) and another		Amended - Non substantive -We renumbered previous Rule 2650 (Continuing Education Requirements for Approved Persons) as Rule 2700 - Continuing Education

Rule 2900: Proficiency and Education	Part III	(J)(1) Guidelines for the Continuing Education Program, The Compliance	R. 2704. Continuing education requirements	(3)			Amended - Substantive - We made changes to the number of course hours required to align with the 2-year continuing education cycle.	Amended - Non-substantive - We amended the language for consistency. This sub-section includes content of previous sub-section 2655(4).		Amended - Non substantive -We renumbered previous Rule 2650 (Continuing Education Requirements for Approved Persons) as Rule 2700 - Continuing Education
Rule 2900: Proficiency and Education	Part III	(K)(1) Guidelines for the Continuing Education Program, The Professional	R. 2704. Continuing education requirements	(4)	New - Non-substantive - Added clarification that registrants in multiple categories must comply with CE requirements of the most demanding category.		Amended - Non substantive - We made wording changes to clarify our expectations. Previous sub-section 2654(2) was renumbered 2654(4).	Amended - Non-substantive - The introductory paragraph of previous sub-section 2654(1) was redrafted in plain language. Parts of previous sub-		Amended - Non substantive -We renumbered previous Rule 2650 (Continuing Education Requirements for Approved Persons) as Rule 2700 - Continuing Education
Rule 2900: Proficiency and Education	Part III	(C) in the March 2017 Publication, not in Final Publication	R. 2704. Continuing education requirements	(5)			Amended - Non substantive - We made wording changes to clarify our expectations. Previous sub-section 2654(3) was renumbered 2654(5).	Amended - Non-substantive - All of previous sub-section 2654(5) was moved into other parts of the current section 2654 and therefore removed from this		
			R. 2705. - 2714. Reserved							New - Non substantive - We added reserve sections 2705 - 2714.
			Part B – Continuing eduction program courses and administration							
Rule 2900: Proficiency and Education	Part III	(L)(1)	R. 2715. The compliance course	(1) (i)				Amended - Non-substantive - We moved previous duplicative sub-sections 2655(1)(i) and 2656(1)(i) to section 2653. Previous sub-section 2655(2) forms part		Amended - Non substantive -We renumbered previous Rule 2650 (Continuing Education Requirements for Approved Persons) as Rule 2700 - Continuing Education
Rule 2900: Proficiency and Education	Part III	Guidelines for the Continuing Education Program, The Compliance Course (A) (6)	R. 2715. The compliance course	(1) (ii)			Amended - Non substantive - We amended the language for consistency with other sections in this rule.	Amended - Non-substantive - The content of previous sub-section 2655(1)(ii) was removed. Previous sub-section 2655(3) was redrafted in plain language		Amended - Non substantive -We renumbered previous Rule 2650 (Continuing Education Requirements for Approved Persons) as Rule 2700 - Continuing Education
Rule 2900: Proficiency and Education	Part III	Guidelines for the Continuing Education Program, The Compliance Course (A)(9)	R. 2715. The compliance course	(1) (iii)			Amended - Non substantive - We removed language which was duplicative of clause 2653(1)(i). We also updated this sub-section for consistency with the defined	Amended - Non-substantive - We moved duplicative provisions of previous sections 2655 and 2656 to section 2657. Previous sub-section 2655(4)(i) was		Amended - Non substantive -We renumbered previous Rule 2650 (Continuing Education Requirements for Approved Persons) as Rule 2700 - Continuing Education
New Provision			R. 2715. The compliance course	(2)			Amended - Substantive - We provided parameters for Dealer Member compliance manual training.	Amended - Non-substantive - Some content of previous sub-section 2651(2) was moved to this sub-section to provide additional context.		Amended - Non substantive -We renumbered previous Rule 2650 (Continuing Education Requirements for Approved Persons) as Rule 2700 - Continuing Education
			R. 2715. The compliance course	(3)				Amended - Non-substantive - Previous sub-section 2655(3) was moved to clause 2655(1)(ii). This sub-section includes some content of previous sub-		Amended - Non substantive -We renumbered previous Rule 2650 (Continuing Education Requirements for Approved Persons) as Rule 2700 - Continuing Education

Rule 2900: Proficiency and Education	Part III							Amended - Substantive - Previous sub-section 2566(4)(ii) was erroneous and deleted.		
Rule 2900: Proficiency and Education	Part III	Guidelines for the Continuing Education Program, The Compliance Course (C)(4)				New - Non substantive - ethics courses now permitted to be repeated in each CE cycle.	Amended - Substantive - We updated this sub-section for consistency with the new scope of Approved Person continuing education.	Amended - Non-substantive - The contents of previous sub-section 2655(5) were moved to sub-section 2655(3).		
Rule 2900: Proficiency and Education	Part III	(L)(2)	R. 2716. The professional development course	(1)(i)	Clean up tranche - reference updated			Amended - Substantive - Previous sub-sections 2655(1)(i) and 2656(1)(i) were duplicative and moved to section 2653. This sub-section contains content		Amended - Non substantive -We renumbered previous Rule 2650 (Continuing Education Requirements for Approved Persons) as Rule 2700 - Continuing Education
			R. 2716. The professional development course	(1)(ii)	Clean up tranche - reference updated		Amended - Substantive - We updated this sub-section for consistency with the new scope of Approved Person continuing education.	Amended - Non-substantive - Previous sub-section 2656(1)(ii) was moved to sub-section 2657(1)(iii). This sub-section contains content from former		Amended - Non substantive -We renumbered previous Rule 2650 (Continuing Education Requirements for Approved Persons) as Rule 2700 - Continuing Education
Rule 2900: Proficiency and Education	Part III	Guidelines for the Continuing Education Program, The Compliance Course (A)(7)	R. 2716. The professional development course	(1)(iii)-(iv)	Clean up tranche - reference updated		Amended - Non substantive - We made changes to clarify our requirements and align with the current rule.	Amended - Non-substantive - Previous sub-sections 2656(1)(iii) and (iv) were moved to section 2657. Parts of previous sub-sections 2656(2)(iii) and		Amended - Non substantive -We renumbered previous Rule 2650 (Continuing Education Requirements for Approved Persons) as Rule 2700 - Continuing Education
Rule 2900: Proficiency and Education	Part III	(K)(1)	R. 2716. The professional development course	(2) in March 2017 publication, then moved in November 30, 2017				Amended - Non-substantive - This section was renumbered as section 2656.		
Rule 2900: Proficiency and Education	Part III	(L)(2)	R. 2716. The professional development course	(2) in March 2017 publication, then moved in November 30, 2017			Amended - Substantive - We changed the number of hours an Approved Person can carry forward from one cycle to the next.	Amended - Non-substantive - This sub-section was renumbered as sub-section 2656(1)(i).		
Rule 2900: Proficiency and Education	Part III	(L)(4)	R. 2716. The professional development course	(2) in March 2017 publication, then moved in November 30, 2017			Amended - Non substantive - We made changes to clarify our requirements.	Amended - Non-substantive - This sub-section was renumbered as sub-section 2656(1)(ii).		
Rule 2900: Proficiency and Education	Part III	Guidelines for the Continuing Education Program, The Professional Development	R. 2716. The professional development course	(2) in March 2017 publication, then moved in November 30, 2017				Amended - Non-substantive - This sub-section was renumbered as sub-section 2656(1)(iii).		
Rule 2900: Proficiency and Education	Part III	Guidelines for the Continuing Education Program, The Professional Development	R. 2716. The professional development course	(3)in March 2017 publication, then moved in November 30, 2017			Amended - Non substantive - We made minor changes to align with the compliance course requirements.	Amended - Substantive - Previous sub-section 2656(3)(iii) was erroneous and therefore deleted. Previous sub-section 2656(3)(i) was deleted		

Rule 2900: Proficiency and Education	Part III	Guidelines for the Continuing Education Program, The Professional Development	R. 2716. The professional development course	(3) in March 2017 Publication, not in Final publication.				Amended - Substantive - Previous sub-section 2656(3)(iii) was erroneous and therefore deleted. Previous sub-section 2656(3)(i) was deleted		
Rule 2900: Proficiency and Education	Part III	Guidelines for the Continuing Education Program, The Professional Development	R. 2716. The professional development course	(3) in March 2017 publication, then moved in November 30, 2017			Amended - Substantive - We updated this sub-section for consistency with the new scope of Approved Person continuing education. We increased	Amended - Substantive - Previous sub-section 2656(3)(iii) was erroneous and therefore deleted. Previous sub-section 2656(3)(i) was deleted		
Rule 2900: Proficiency and Education	Part III	Guidelines for the Continuing Education Program, The Professional Development	R. 2716. The professional development course	(3) in March 2017 publication, then moved in November 30, 2017				Amended - Substantive - Previous sub-section 2656(3)(iii) was erroneous and therefore deleted. Previous sub-section 2656(3)(i) was deleted		
Rule 2900: Proficiency and Education	Part III	L(5)	R. 2716. The professional development course	(3) in March 2017 publication, then moved in November 30, 2017				Amended - Substantive - Previous sub-section 2656(3)(iii) was erroneous and therefore deleted. Previous sub-section 2656(3)(i) was deleted		
Rule 2900: Proficiency and Education	Part III	(H)(1)	R. 2717. Dealer Member administration of continuing education program	(1)(i)			Amended - Non substantive - Previous subsection 2655(2) was moved to 2657(1)(i). We updated terms in this sub-section for greater clarity and	Amended - Non-substantive - Sub-section 2657(1)(i) was redrafted in plain language.		Amended - Non substantive -We renumbered previous Rule 2650 (Continuing Education Requirements for Approved Persons) as Rule 2700 - Continuing Education
Rule 2900: Proficiency and Education	Part III	Guidelines for the Continuing Education Program, The Compliance Course, (A)(4)	R. 2717. Dealer Member administration of continuing education program	(1)(i)			Amended - Non substantive - Previous subsection 2655(2) was moved to 2657(1)(i). We updated terms in this sub-section for greater clarity and	Amended - Non-substantive - Sub-section 2657(1)(i) was redrafted in plain language.		Amended - Non substantive -We renumbered previous Rule 2650 (Continuing Education Requirements for Approved Persons) as Rule 2700 - Continuing Education
Rule 2900: Proficiency and Education	Part III	(H)(3)	R. 2717. Dealer Member administration of continuing education program	(1)(ii)			Amended - Non substantive - Previous subsection 2655(2) was moved to 2657(1)(i). We updated terms in this sub-section for greater clarity and	Amended - Substantive - We corrected the length of the program cycle to align with National Instrument 31-103.		Amended - Non substantive -We renumbered previous Rule 2650 (Continuing Education Requirements for Approved Persons) as Rule 2700 - Continuing Education
Rule 2900: Proficiency and Education	Part III	(K)(2)	R. 2717. Dealer Member administration of continuing education program	(1)(iii)				Moved-Non-Substantive- This sub-section contains content from former 2656(1)(ii).		Amended - Non substantive -We renumbered previous Rule 2650 (Continuing Education Requirements for Approved Persons) as Rule 2700 - Continuing Education
Rule 2900: Proficiency and Education	Part III	(I)(2), (J)(4)(b), (K)(4)(b), and Guidelines for the Continuing Education	R. 2717. Dealer Member administration of continuing education program	1(iv)-(vii)			Amended - Non substantive - Previous sub-section 2556(4) was moved to sub-section 2651(3).	Amended - Non-substantive - Parts of Previous sections 2655 and 2656 were moved to this section.		Amended - Non substantive -We renumbered previous Rule 2650 (Continuing Education Requirements for Approved Persons) as Rule 2700 - Continuing Education
Rule 2900: Proficiency and Education	Part III	(H)(2)	R. 2717. Dealer Member administration of continuing education program	(2)			Repealed - Substantive - We made changes to align with current industry practices. Dealer Members are now required to update the continuing education	Amended - Non-substantive - Previous sub-section 2657(2) was moved to sub-section 2657(1)(vii). This sub-section contains content from former 2657(3)		Amended - Non substantive -We renumbered previous Rule 2650 (Continuing Education Requirements for Approved Persons) as Rule 2700 - Continuing Education

Rule 2900: Proficiency and Education	Part III	(E)(2)	R. 2717. Dealer Member administration of continuing education program	(3)		New - Substantive - clarification with intent of existing Dealer Member Rules that continuing education credits earned through courses or	Amended - Non substantive - We made changes to improve section clarity.	Amended - Non-substantive - This sub-section contains content from previous section 2660.		Amended - Non substantive -We renumbered previous Rule 2650 (Continuing Education Requirements for Approved Persons) as Rule 2700 - Continuing Education
			R. 2718. - 2724. Reserved							New - Non substantive - We added reserve sections 2718 - 2724.
			Part C – Participation in the continuing education program							
New Provision			R. 2725. Participation of recently Approved Persons	(1)			Amended - Non substantive - We added in a new sub-section 2658(1) to clarify our requirement.	Amended - Non-substantive - We revised the wording for clarity.		Amended - Non substantive -We renumbered previous Rule 2650 (Continuing Education Requirements for Approved Persons) as Rule 2700 - Continuing Education
New Provision			R. 2725. Participation of recently Approved Persons	(2)			Amended - Non substantive - Previous sub-section 2658(1) was renumbered 2658(2). We also updated this clause for consistency with the defined terms in	Amended - Non-substantive - We amended the language for consistency with other sections and redrafted it in plain language.		Amended - Non substantive -We renumbered previous Rule 2650 (Continuing Education Requirements for Approved Persons) as Rule 2700 - Continuing Education
Rule 2900: Proficiency and Education	Part III	(L)(3)	R. 2725. Participation of recently Approved Persons	(3)			Amended - Non substantive - Previous sub-section 2658(2) was renumbered 2658(3).	Repealed - Non-substantive - We deleted this sub-section to eliminate inconsistencies and consolidated it with sub-section 2656(1)(i).		
Rule 2900: Proficiency and Education	Part III	(G)(1)-(4)	R. 2726. Voluntary participation in the continuing education program	(1)	Clean up tranche - reference added.		Amended - Substantive - Individuals who complete the voluntary continuing education program will no longer be exempt from the Conduct and Practices	Amended - Substantive - We corrected a drafting error regarding the length of the program cycle.		Amended - Non substantive -We renumbered previous Rule 2650 (Continuing Education Requirements for Approved Persons) as Rule 2700 - Continuing Education
Rule 2900: Proficiency and Education	Part III	(G)(6)	R. 2726. Voluntary participation in the continuing education program	(1)	Clean up tranche - reference added.		Amended - Substantive - Individuals who complete the voluntary continuing education program will no longer be exempt from the Conduct and Practices	Amended - Substantive - We corrected a drafting error regarding the length of the program cycle.		Amended - Non substantive -We renumbered previous Rule 2650 (Continuing Education Requirements for Approved Persons) as Rule 2700 - Continuing Education
			R. 2726. Voluntary participation in the continuing education program	(2)	Clean up tranche - reference added.		Amended - Substantive We clarified which courses can be taken as part of the voluntary compliance program.	Amended- Non-substantive - We redrafted this sub-section in plain language.		Amended - Non substantive -We renumbered previous Rule 2650 (Continuing Education Requirements for Approved Persons) as Rule 2700 - Continuing Education
			R. 2726. Voluntary participation in the continuing education program	(3)			Amended - Substantive - We changed which courses can be taken as part of the voluntary compliance program.	Amended - Non-substantive - We revised the wording for clarity and consistency.		Amended - Non substantive -We renumbered previous Rule 2650 (Continuing Education Requirements for Approved Persons) as Rule 2700 - Continuing Education

Rule 2900: Proficiency and Education	Part III	(G)(7)	R. 2726. Voluntary participation in the continuing education program	(4)			Amended - Non substantive - We clarified which courses are eligible for the voluntary compliance program.	Repealed - Non-substantive - This previous sub-section was redundant and therefore removed.		Amended - Non substantive -We renumbered previous Rule 2650 (Continuing Education Requirements for Approved Persons) as Rule 2700 - Continuing Education
			R. 2727. - 2734. Reserved							New - Non substantive - We added reserve sections 2715 - 2734.
			Part D – Changes during a continuing education program cycle							
Rule 2900: Proficiency and Education	Part III	(E)(1)	R. 2735. Former Approved Persons	(1)			Repealed - Non-substantive - We removed former sub-section 2660(1) as it was duplicative of 2606(2).	Repealed - Non-substantive - Previous sub-section 2660(1) was moved to 2657(3).		Amended - Non substantive -We renumbered previous Rule 2650 (Continuing Education Requirements for Approved Persons) as Rule 2700 - Continuing Education
Rule 2900: Proficiency and Education	Part III	(E)(2)	R. 2735. Former Approved Persons	(1)			Amended - Substantive - We changed the number of hours an Approved Person can use from the Canadian Securities Course and the Conduct and Practices	Repealed - Non-substantive - Previous sub-section 2660(1) was moved to 2657(3).		
Rule 2900: Proficiency and Education	Part III	(E)(3)	R. 2735. Former Approved Persons	(2)			Amended - Non substantive - We made changes to clarify our requirements.	Repealed - Substantive - Previous sub-section 2660(2) was unnecessary and deleted. It was duplicative of the grandfathering rule under		Amended - Non substantive -We renumbered previous Rule 2650 (Continuing Education Requirements for Approved Persons) as Rule 2700 - Continuing Education
Rule 2900: Proficiency and Education	Part III	(F)(1)-(3)	R. 2735. Former Approved Persons	(1)		New - Substantive - Registration Reform Related Amendments.	Amended - Non substantive - We made changes to clarify our requirements. Previous sub-section 2661(2) was renumbered 2661(1)(i).	Amended - Non-substantive - We redrafted this section in plain language.		Amended - Non substantive -We renumbered previous Rule 2650 (Continuing Education Requirements for Approved Persons) as Rule 2700 - Continuing Education
			R. 2735. Former Approved Persons	(2)				Amended - Non-substantive - We redrafted this section in plain language.		Amended - Non substantive -We renumbered previous Rule 2650 (Continuing Education Requirements for Approved Persons) as Rule 2700 - Continuing Education
Rule 2900: Proficiency and Education	Part III	(F)(1)	R. 2735. Former Approved Persons	(3)				Amended - Non-substantive - We redrafted this section in plain language.		Amended - Non substantive -We renumbered previous Rule 2650 (Continuing Education Requirements for Approved Persons) as Rule 2700 - Continuing Education
Rule 2900: Proficiency and Education	Part III	(F)(5)	R. 2735. Former Approved Persons	(3)				Amended - Non-substantive - We redrafted this section in plain language.		Amended - Non substantive -We renumbered previous Rule 2650 (Continuing Education Requirements for Approved Persons) as Rule 2700 - Continuing Education

New Provision			R. 2735. Former Approved Persons	(3)				Amended - Non-substantive - We redrafted this section in plain language.		Amended - Non substantive -We renumbered previous Rule 2650 (Continuing Education Requirements for Approved Persons) as Rule 2700 - Continuing Education
			R. 2736. - 2744. Reserved							New - Non substantive - We added reserve sections 2736 - 2744.
			Part E – Discretionary relief							
Rule 2900: Proficiency and Education	Part III	(N)(1)	R. 2745. Discretionary Relief	(1)			Amended - Non substantive - We changed this section to align with the current rule and to clarify our requirements.	Amended - Non-substantive - We revised the wording for clarity.		Amended - Non substantive -We renumbered previous Rule 2650 (Continuing Education Requirements for Approved Persons) as Rule 2700 - Continuing Education
Rule 2900: Proficiency and Education	Part III	(N)(2) in March 2017 Publication, not in Final Publication	R. 2745. Discretionary Relief	(2)				Repealed - Substantive - Previous sub-section 2661(2) was no longer necessary under the current continuing education regime. This sub-section		Amended - Non substantive -We renumbered previous Rule 2650 (Continuing Education Requirements for Approved Persons) as Rule 2700 - Continuing Education
Rule 2900: Proficiency and Education	Part III	(N)(3)(a)-(b)	R. 2745. Discretionary Relief	(2)				Amended - Non-substantive - This sub-section contains content from former 2662(3). We redrafted this sub-section in plain language.		Amended - Non-substantive -We renumbered previous Rule 2650 (Continuing Education Requirements for Approved Persons) as Rule 2700 - Continuing Education
Rule 2900: Proficiency and Education	Part III	(N)(3)(c)	R. 2745. Discretionary Relief	(3)			Amended - Non substantive - We amended this section to align with existing practices.	Amended - Non-substantive - This sub-section contains content from former 2662(4). We redrafted this sub-section in plain language.		Amended - Non substantive -We renumbered previous Rule 2650 (Continuing Education Requirements for Approved Persons) as Rule 2700 - Continuing Education
			R. 2746. - 2754. Reserved							New - Non-substantive - We added reserve sections 2746 - 2754.
			Part F – Penalties for not completing continuing education requirements							
Rule 2900: Proficiency and Education	Part III	(M)(1)	R. 2755. Penalties for not completing continuing education requirements in a continuing education program cycle.	(1)				Amended - Non-substantive - This sub-section contains content from former 2663(1). We redrafted the section in plain language.		Amended - Non-substantive -We renumbered previous Rule 2650 (Continuing Education Requirements for Approved Persons) as Rule 2700 - Continuing Education

Rule 2900: Proficiency and Education	Part III	(M)(2)	R. 2755. Penalties for not completing continuing education requirements in a continuing education program cycle.	(1)				Amended - Non-substantive - This sub-section contains content from former 2663(1). We redrafted the section in plain language.		Amended - Non-substantive -We renumbered previous Rule 2650 (Continuing Education Requirements for Approved Persons) as Rule 2700 - Continuing Education
Rule 2900: Proficiency and Education	Part III	(M)(3) in March 2017 Publication, (M)(2) in Final Publication	R. 2755. Penalties for not completing continuing education requirements in a continuing education program cycle.	(2)				Amended - Non-substantive - This sub-section contains content from former 2663(2). We redrafted the section in plain language.		Amended - Non-substantive -We renumbered previous Rule 2650 (Continuing Education Requirements for Approved Persons) as Rule 2700 - Continuing Education
Rule 2900: Proficiency and Education		(M)(4)	R. 2755. Penalties for not completing continuing education requirements in a continuing education program cycle.	(3)			Amended - Substantive - We made changes to align with our current fee processing procedures.	Amended - Non-substantive - This sub-section contains content from former 2663(3). We redrafted the section in plain language.		Amended - Non-substantive -We renumbered previous Rule 2650 (Continuing Education Requirements for Approved Persons) as Rule 2700 - Continuing Education
			R. 2756. - 2764. Reserved							New - Non-substantive - We added reserve sections 2756 - 2764.
			Part G – Transition							
Rule 2900: Proficiency and Education	Part III	(M)(4)	R. 2765. Penalties for not completing the program requirements in a cycle (as numbered in March 2017 publication)	(4)			Repealed - Substantive - We removed this sub-section to align with our current fee processing procedures.			
New Provision	Part III	(M)(1) and (2)	R. 2765. Penalties for not completing the program requirements in a cycle (as numbered in March 2017 publication)	(1)-(3)	New - Non-substantive - Reserved sections.			Amended - Non-substantive - We note that CE participants in the January 1, 2015 to December 31, 2017 cycle should be subject to the current		Amended - Non-substantive -We renumbered previous Rule 2650 (Continuing Education Requirements for Approved Persons) as Rule 2700 - Continuing Education
New Provision			R.2766. Transition - Carry Forward of professional development courses	(1)			New - Substantive - We added in this sub-section as a transitional provision for current continuing education participants. Participants will be able to carry forward 20	Amended - Non-substantive - This sub-section contains content from former 2653(3). We redrafted the section in plain language.		Amended - Non-substantive -We renumbered previous Rule 2650 (Continuing Education Requirements for Approved Persons) as Rule 2700 - Continuing Education
			R.2767.-2799. Reserved							Amended - Non-substantive -We renumbered previous Rule 2650 (Continuing Education Requirements for Approved Persons) as Rule 2700 - Continuing Education
New Provision			R. 2801. Introduction	(1)-(2)	New - Non-substantive - Introductory provision added.					Amended - Non substantive -We renumbered previous Rule 2700 (The National Registration Database) as Rule 2800 – The National Registration Database, as a

Rule 0040: Individual Approvals, Notifications and Fees and the National Registration Database	40.01	(1)-(2) Definitions of "authorized firm representative" and "chief	R. 2802. Definitions	(1)	Clean up tranche - terms "authorized firm representative" and "chief authorized firm representative" are only used in section 2702. Therefore they are just described there rather than defined.					Amended - Non substantive -We renumbered previous Rule 2700 (The National Registration Database) as Rule 2800 – The National Registration Database, as a
Rule 0040: Individual Approvals, Notifications and Fees and the National Registration Database	40.01		R. 2802. Definitions	(1)			Amended - Non substantive - We added in additional definitions for consistency with the existing rule and we made wording changes for greater consistency.			Amended - Non substantive -We renumbered previous Rule 2700 (The National Registration Database) as Rule 2800 – The National Registration Database, as a
Rule 0040: Individual Approvals, Notifications and Fees and the National Registration Database	40.02		R. 2803. Dealer Member obligations for the National Registration Database	(1)			Amended - Non substantive - We updated this sub-section for consistency with the defined terms in sub-section 1201(2) and in subsection 2702(1).			Amended - Non substantive -We renumbered previous Rule 2700 (The National Registration Database) as Rule 2800 – The National Registration Database, as a
New Provision			R. 2803. Dealer Member obligations for the National Registration Database	(2)			Amended - Non substantive - We added in an introductory phrase at the beginning of this sub-section.			Amended - Non substantive -We renumbered previous Rule 2700 (The National Registration Database) as Rule 2800 – The National Registration Database, as a
Rule 0040: Individual Approvals, Notifications and Fees and the National Registration Database	40.03	(1)	R. 2803. Dealer Member obligations for the National Registration Database	(2)(i)(a)						Amended - Non substantive -We renumbered previous Rule 2700 (The National Registration Database) as Rule 2800 – The National Registration Database, as a
Rule 0040: Individual Approvals, Notifications and Fees and the National Registration Database	40.04	(1) and (4)	R. 2803. Dealer Member obligations for the National Registration Database	(2)(i)(b)-(c)						Amended - Non substantive -We renumbered previous Rule 2700 (The National Registration Database) as Rule 2800 – The National Registration Database, as a
Rule 0040: Individual Approvals, Notifications and Fees and the National Registration Database	40.05		R. 2803. Dealer Member obligations for the National Registration Database	(2)(i)(d)						Amended - Non substantive -We renumbered previous Rule 2700 (The National Registration Database) as Rule 2800 – The National Registration Database, as a
Rule 0040: Individual Approvals, Notifications and Fees and the National Registration Database	40.06	(1)	R. 2803. Dealer Member obligations for the National Registration Database	(2)(i)(e)						Amended - Non substantive -We renumbered previous Rule 2700 (The National Registration Database) as Rule 2800 – The National Registration Database, as a
Rule 0040: Individual Approvals, Notifications and Fees and the National Registration Database	40.07	(1)	R. 2803. Dealer Member obligations for the National Registration Database	(2)(i)(f)						Amended - Non-substantive -We renumbered previous Rule 2700 (The National Registration Database) as Rule 2800 – The National Registration Database, as a
Rule 0040: Individual Approvals, Notifications and Fees and the National Registration Database	40.08	(1)-(2)	R. 2803. Dealer Member obligations for the National Registration Database	(2)(i)(g)-(h)						Amended - Non substantive -We renumbered previous Rule 2700 (The National Registration Database) as Rule 2800 – The National Registration Database, as a

Rule 0040: Individual Approvals, Notifications and Fees and the National Registration Database	40.04	(5)	R. 2803. Dealer Member obligations for the National Registration Database	(2)(ii)			Amended Publication Amended - Non substantive - We simplified the number sequencing.			Amended - Non substantive -We renumbered previous Rule 2700 (The National Registration Database) as Rule 2800 – The National Registration Database, as a
Rule 0040: Individual Approvals, Notifications and Fees and the National Registration Database	40.11	(1)-(2)	R. 2804. Temporary hardship exemption	(1)						Amended - Non substantive -We renumbered previous Rule 2700 (The National Registration Database) as Rule 2800 – The National Registration Database, as a
Rule 0040: Individual Approvals, Notifications and Fees and the National Registration Database	40.11	(3)	R. 2804. Temporary hardship exemption	(2)						Amended - Non substantive -We renumbered previous Rule 2700 (The National Registration Database) as Rule 2800 – The National Registration Database, as a
Rule 0040: Individual Approvals, Notifications and Fees and the National Registration Database	40.11	(4)	R. 2804. Temporary hardship exemption	(3)						Amended - Non substantive -We renumbered previous Rule 2700 (The National Registration Database) as Rule 2800 – The National Registration Database, as a
Rule 0040: Individual Approvals, Notifications and Fees and the National Registration Database	40.12	(1)	R. 2805. Due diligence and record keeping	(1)						Amended - Non substantive -We renumbered previous Rule 2700 (The National Registration Database) as Rule 2800 – The National Registration Database, as a
Rule 0040: Individual Approvals, Notifications and Fees and the National Registration Database	40.12	(2)	R. 2805. Due diligence and record keeping	(2)						Amended - Non substantive -We renumbered previous Rule 2700 (The National Registration Database) as Rule 2800 – The National Registration Database, as a
Rule 0040: Individual Approvals, Notifications and Fees and the National Registration Database	40.12	(3)	R. 2805. Due diligence and record keeping	(3)						Amended - Non substantive -We renumbered previous Rule 2700 (The National Registration Database) as Rule 2800 – The National Registration Database, as a
Rule 0040: Individual Approvals, Notifications and Fees and the National Registration Database	40.12	(4)	R. 2805. Due diligence and record keeping	(4)						Amended - Non substantive -We renumbered previous Rule 2700 (The National Registration Database) as Rule 2800 – The National Registration Database, as a
Rule 0040: Individual Approvals, Notifications and Fees and the National Registration Database	40.09	(1)	R. 2806. Fees	(1)						Amended - Non substantive -We renumbered previous Rule 2700 (The National Registration Database) as Rule 2800 – The National Registration Database, as a
Rule 0040: Individual Approvals, Notifications and Fees and the National Registration Database	40.06	(2)-(3)	R. 2806. Fees	(1)-(2)						Amended - Non substantive -We renumbered previous Rule 2700 (The National Registration Database) as Rule 2800 – The National Registration Database, as a

New Provision			R. 2806. Fees	(2)			Amended - Non substantive - We added in an introductory phrase at the beginning of this sub-section.			Amended - Non substantive -We renumbered previous Rule 2700 (The National Registration Database) as Rule 2800 – The National Registration Database, as a result, previous section "2706" was changed to section "2806". As a result of this numbering change we updated cross-references where applicable. We also clarified the language.
Rule 0040: Individual Approvals, Notifications and Fees and the National Registration Database	40.03	(2)-(3)	R. 2806. Fees	(2)						Amended - Non substantive -We renumbered previous Rule 2700 (The National Registration Database) as Rule 2800 – The National Registration Database, as a result, previous section "2706" was changed to section "2806". As a result of this numbering change we ~~also~~ updated cross-references where
Rule 0040: Individual Approvals, Notifications and Fees and the National Registration Database	40.04	(2)-(3)	R. 2806. Fees	(2)						Amended - Non substantive -We renumbered previous Rule 2700 (The National Registration Database) as Rule 2800 – The National Registration Database, as a
Rule 0040: Individual Approvals, Notifications and Fees and the National Registration Database	40.07	(4)-(5)	R. 2806. Fees	(2)						Amended - Non substantive -We renumbered previous Rule 2700 (The National Registration Database) as Rule 2800 – The National Registration Database, as a
Rule 0040: Individual Approvals, Notifications and Fees and the National Registration Database	40.09	(1)-(2)	R. 2806. Fees	(2)						Amended - Non substantive -We renumbered previous Rule 2700 (The National Registration Database) as Rule 2800 – The National Registration Database, as a
Rule 0040: Individual Approvals, Notifications and Fees and the National Registration Database	40.06	(2)	R. 2806. Fees	(3)						Amended - Non substantive -We renumbered previous Rule 2700 (The National Registration Database) as Rule 2800 – The National Registration Database, as a
Rule 0040: Individual Approvals, Notifications and Fees and the National Registration Database	40.07	(1)	R. 2807. Termination	(1)						Amended - Non substantive -We renumbered previous Rule 2700 (The National Registration Database) as Rule 2800 – The National Registration Database, as a

Rule 0040: Individual Approvals, Notifications and Fees and the National Registration Database	40.07	(2)	R. 2807. Termination	(2)						Amended - Non substantive -We renumbered previous Rule 2700 (The National Registration Database) as Rule 2800 – The National Registration Database, as a
New Provision			R. 2807. Termination	(3)-(4)		New - Non substantive - Clarifies expectations by Dealer Member to provide the Notice of Termination upon request by the individual as set out in NI 33-				Amended - Non substantive -We renumbered previous Rule 2700 (The National Registration Database) as Rule 2800 – The National Registration Database, as a
Rule 0040: Individual Approvals, Notifications and Fees and the National Registration Database	40.07	(3)	R. 2808. Reinstatement of suspended of Approved Persons	(1)			Amended Publication - Amended - Non substantive - We updated this sub-section for consistency with the defined terms in sub-section 1201(2). We also			Amended - Non substantive -We renumbered previous Rule 2700 (The National Registration Database) as Rule 2800 – The National Registration Database, as a
			R. 2809. - 2999. Reserved		New - Non substantive - Reserved sections.					- We renumbered previous Rule 2700 (The National Registration Database) as Rule 2800 – The National Registration Database, as a result, previous reserve

Appendix 3
IIROC Dealer Member Plain Language Rule Book Rewrite Project
Table of Concordance - 3000 Series

Existing Dealer Member Rule Number and Title	Existing Dealer Member Rule Section	Subsection or Similar Reference	PLR Rule Number, Title and Description	Subsection	Originally Published Proposed PLR Rules (2010-2014): Comments and	March 10, 2016 Publication (Notice 16-0052): Comments and Descriptions	March 9, 2017 Publication (Notice 17-0054): Comments and Descriptions	January 18, 2018 Publication (Notice 18-0014): Comments and Descriptions	Revisions to Previously Published Proposed PLR Rules
3000 Series									
New Provision			R. 3101. Introduction	(1)	New - Non substantive - Introductory section.		Amended - Non substantive - We updated this sub-section for consistency with the defined terms in sub-section 1201(2).		
New Provision			R. 3101. Introduction	(2)	New - Non substantive - Introductory section.				New - Non substantive - We added subsection (2) as a table of contents for Rule 3100. We made this change to improve reader navigation within the Rule.
Rule 0029: Business Conduct	29.01	2nd paragraph	R. 3102. Business conduct	(1)		Repealed - Non substantive - Amendments to existing Dealer Member Rule 29.1 were published and included in the Consolidated Enforcement Rules in Consolidated Rule 1400 (Standards of Conduct). The provisions of existing Dealer Member Rule 1300 being carried forward in former PLR subsection 3102(1) are now subsumed within Rule 1400 and, therefore, this subsection has been deleted.			
Rule 1300: Supervision of Accounts	1300.02	(a)	R. 3102. Business conduct	(1)		Amended - Non substantive revisions.			
Rule 1300: Supervision of Accounts	1300.01	(o)	R. 3102. Business conduct	(2)	Amended - Substantive - Section now clarifies that Dealer Member due diligence obligation applies to both orders and trade recommendations.				

Rule 1300: Supervision of Accounts	1300.01	(a)	R. 3103. Know-your-client	(1)		New - Non substantive - Moved from previously published subsection 3102(3) - Non substantive revision.	Amended - Non substantive - We updated this sub-section for consistency with the defined terms in sub-section 1201(2).		
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500	Introduction on (c)	R. 3103. Know-your-client	(2)		Amended - Substantive - Addition of Registration Reform categories of registration and conformance to Existing Dealer Member Rule.			
New Provision			R. 3103. Know-your-client	(3)		New - Substantive - Clarification that KYC obligations must not be delegated - Addition of Registration Reform categories of registration.			
			R. 3104. - 3109. Reserved			New - Non substantive - Reserved sections.			
Rule 0042: Conflicts of Interest	42.01	(1)	R. 3110. Responsibility to identify conflicts of interest	(1)		New - Non substantive - Existing Dealer Member Rule.			
Rule 0042: Conflicts of Interest	42.01	(2)	R. 3110. Responsibility to identify conflicts of interest	(2)		New - Non substantive - Existing Dealer Member Rule.			
Rule 0042: Conflicts of Interest	42.02	(1)	R. 3111. Approved Person responsibility to address conflicts of interest	(1)		New - Non substantive - Existing Dealer Member Rule.			
Rule 0042: Conflicts of Interest	42.02	(2)	R. 3111. Approved Person responsibility to address conflicts of interest	(2)		New - Non substantive - Existing Dealer Member Rule.			
Rule 0042: Conflicts of Interest	42.02	(3)	R. 3111. Approved Person responsibility to address conflicts of interest	(3)		New - Non substantive - Existing Dealer Member Rule.			
Rule 0042: Conflicts of Interest	42.03	(1)	R. 3112. Dealer Member responsibility to address conflicts of interest	(1)		New - Non substantive - Existing Dealer Member Rule.			
Rule 0042: Conflicts of Interest	42.03	(2)	R. 3112. Dealer Member responsibility to address conflicts of interest	(2)		New - Non substantive - Existing Dealer Member Rule.			
Rule 0042: Conflicts of Interest	42.03	(3)	R. 3112 Dealer Member responsibility to address conflicts of interest	(3)		New - Non substantive - Existing Dealer Member Rule.			
Rule 0042: Conflicts of Interest	42.03	(4)	R. 3112. Dealer Member responsibility to address conflicts of interest	(4)		New - Non substantive - Existing Dealer Member Rule.			
Rule 0042: Conflicts of Interest	42.04	(1)	R. 3113. Responsibility to disclose conflicts of interest	(1)		New - Non substantive - Existing Dealer Member Rule.			

Rule 0042: Conflicts of Interest	42.05	(1)	R. 3114. Conflicts of interest policies and procedures	(1)		New - Non substantive - Existing Dealer Member Rule.			Amended - Non substantive - We removed the reference to IIROC Notice 13-0162 because we implemented this requirement. We also made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 0043: Personal financial dealings rules	43		R. 3115. Personal financial dealing rules			New - Non substantive - This section incorporates the proposed personal financial dealing rules.	Amended – Substantive – We applied firm approval requirements to Related Person lending, borrowing and control arrangements involving APMs and PMs. Amended –Non substantive – Addition of grey shaded box to reflect existing Dealer Member Rule implementation timeframe. We also updated this sub-section for consistency with the defined terms in sub-section 1201(2).	Amended - Non substantive - We clarified the intent of sub clause 3115(2)(v)(b).	Amended - Non substantive - We made minor drafting changes to this section to clarify the requirement. We also made a non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0029: Business Conduct	29.06		R. 3116. Offering Gratuity	(1)-(2)		Amended - Non substantive - Non substantive revisions and defined term “Approved Person” used for clarity.			
Rule 0029: Business Conduct	29.12	(a) & (b)	R. 3117. Mutual Fund Sales Incentives	(1)	Clean up tranche - Provision added as Rule 29.12 was missing from Rule 3100 as previously published.	Amended - Non substantive - Existing Dealer Member Rule - Defined term “Approved Person” used for clarity.			
Rule 0029: Business Conduct	29.12	(d)	R. 3117. Mutual Fund Sales Incentives	(2)	Clean up tranche - Provision added as Rule 29.12 was missing from Rule 3100 as previously published.	Amended - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.			

Rule 0029: Business Conduct	29.12	(c)	R. 3117. Mutual Fund Sales Incentives	(3)	Clean up tranche - Provision added as Rule 29.12 was missing from Rule 3100 as previously published.	Amended - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.			
Rule 2400: Relationships Between Dealer Members and Financial Services Entities: Sharing of Office Premises	2400 Tied Selling	(1) & (2)	R. 3118. Tied Selling	(1)	Clean up tranche - Provision added as it was missing from Rule 3100 as previously published.	Amended - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.			
Rule 2400: Relationships Between Dealer Members and Financial Services Entities: Sharing of Office Premises	2400 Tied Selling	(3)	R. 3118. Tied Selling	(2)	Clean up tranche - Provision added as it was missing from Rule 3100 as previously published.	Amended - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.			
Rule 3300: Fair Pricing of Over-The-Counter Securities	3300.02		R. 3119. Definitions	(1)		New - Non substantive - Existing Dealer Member Rule.	Amended - Non substantive - We added in information on the proposed amendments to current Dealer Member Rule 3300 which may impact this proposed section.	Amended - Substantive - As part of the plain language drafting of amendments replacing Dealer Member Rule 3300, additional terms were defined in this section. Previously published definition "over the-counter-securities" was incorporated into 3119(1)(vii). Amendments were implemented with IIROC Notice 17-0137 and became effective January 2, 2018.	Amended - Non substantive - The title of this section was changed from "Best Execution of client orders" to "Definitions". Further, we standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 3300: Fair Pricing of Over-The-Counter Securities	3300.03		R. 3119. Definitions	(1)		New - Non substantive - Existing Dealer Member Rule.		Amended - Substantive - As part of the plain language drafting of amendments replacing Dealer Member Rule 3300, we replaced this section. Amendments implemented with IIROC Notice 17-0137 and became effective January 2, 2018.	Amended - Non substantive - The title of this section was changed from "Best Execution of client orders" to "Definitions". Further, we standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a

Rule 3300: Fair Pricing of Over-The-Counter Securities	3300.01		R. 3119. Definitions	(1)		New - Non substantive - Existing Dealer Member Rule.		Amended - Substantive - As part of the plain language drafting of amendments replacing Dealer Member Rule 3300, we incorporated this section into 3125(1). Amendments implemented with IIROC Notice 17-0137 and became effective January 2, 2018.	Amended - Non substantive - The title of this section was changed from "Best Execution of client orders" to "Definitions". Further, we standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 3300.: Best Execution of Client Orders	3300.02		R. 3120. Best execution obligation	(1)				Amended - Substantive - Part of the plain language drafting of amendments replacing Dealer Member Rule 3300. Amendments implemented with IIROC Notice 17-0137 and became effective January 2, 2018.	Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 3300.: Best Execution of Client Orders	3300.03	(a)-(c)	R. 3121. Best execution factors	(1)-(3)				Amended - Substantive - Part of the plain language drafting of amendments replacing Dealer Member Rule 3300. Amendments implemented with IIROC Notice 17-0137 and became effective January 2, 2018.	Amended - Non substantive - We made minor drafting changes to clarify our language. We also made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 3300.: Best Execution of Client Orders	3300.04	(a)-(b)	R. 3122 Best execution process	(1)				Amended - Substantive - Part of the plain language drafting of amendments replacing Dealer Member Rule 3300. Amendments implemented with IIROC Notice 17-0137 and became effective January 2, 2018.	Amended - Non substantive - We made minor drafting changes to clarify our language.

Rule 3300.: Best Execution of Client Orders	3300.05	(a)-(c)	R. 3123 Non-executing Dealer Member best execution policies and procedures	(1)				Amended - Substantive - Part of the plain language drafting of amendments replacing Dealer Member Rule 3300. Amendments implemented with IIROC Notice 17-0137 and became effective January 2, 2018.	Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 3300.: Best Execution of Client Orders	3300.06		R. 3124 Sending orders in bulk to foreign intermediaries	(1)				Amended - Substantive - Part of the plain language drafting of amendments replacing Dealer Member Rule 3300. Amendments implemented with IIROC Notice 17-0137 and became effective January 2, 2018.	Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 3300.: Best Execution of Client Orders	3300.07	(a)-(b)	R. 3125 Fair pricing of -over-the-counter securities	(1)				Amended - Substantive - Part of the plain language drafting of amendments replacing Dealer Member Rule 3300. Amendments implemented with IIROC Notice 17-0137 and became effective January 2, 2018.	Amended - Non substantive - We made minor drafting changes to clarify our language.
Rule 3300.: Best Execution of Client Orders	3300.08		R. 3126 Review of best execution policies and procedures	(1)-(4)				Amended - Substantive - Part of the plain language drafting of amendments replacing Dealer Member Rule 3300. Amendments implemented with IIROC Notice 17-0137 and became effective January 2, 2018.	Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 3300.: Best Execution of Client Orders	3300.09		R. 3127 Training	(1)				Amended - Substantive - Part of the plain language drafting of amendments replacing Dealer Member Rule 3300. Amendments implemented with IIROC Notice 17-0137 and became effective January 2, 2018.	Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.

Rule 3300.: Best Execution of Client Orders	3300.10		R. 3128 Compliance with the Order Protection Rule	(1)				Amended - Substantive - Part of the plain language drafting of amendments replacing Dealer Member Rule 3300. Amendments implemented with IIROC Notice 17-0137 and became effective January 2, 2018.	
Rule 3300.: Best Execution of Client Orders	3300.11		R. 3129 Disclosure of best execution policies	(1)-(6)				Amended - Substantive - Part of the plain language drafting of amendments replacing Dealer Member Rule 3300. Amendments implemented with IIROC Notice 17-0137 and became effective January 2, 2018.	Amended - Non substantive - We removed the transition provision from this requiremention as it is no longer relevant. We also made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
			R. 3130. - 3199. Reserved			New - Non substantive - Reserved sections.		Amended - Non-substantive - Due to incorporation of best execution amendments (see Notice 17-0137), we changed the reserved section numbering from .	Amended - Non-substantive - Previous reserved section "3130-3149" was renumbered "3130-3199".
Rule 1500: Conduct and Practices Handbook	1500.01	(a) (b) & (c)	R. 3150. Conduct and Practices Handbook	(1)(i) & (ii)		Repealed - Substantive - We removed the requirement for all Approved Persons to have a copy of the Conduct and Practices Handbook in their possession, and to have read and understood it. This requirement is no longer relevant given the online availability of Dealer Members Rules and IIROC's regulatory email alert service.			
New Provision			R. 3201. Introduction	(1)	New - Non substantive - Introductory section.		Amended - Non substantive - We included a list and summary of all parts in Rule 3200.		Amended - Non substantive - We added cross-references to this section for greater consistency and clarity.

New Provision			R. 3201. Introduction	(2)			Amended - Non substantive - We clarified that the Rule 3200 requirements are in addition to all other IIROC requirements and that no part of Rule 3200 constitutes an exemption from other IIROC requirements unless specified.		
1300: Supervision of Accounts	1300.01	(a)	R. 3201. Introduction	(1)-(2)	Clean up tranche - Amended - Non substantive - Reference updated - Rule 1300.1(a) is also captured in PLR 3102(2).	Amended - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.			Amended - Non substantive - We added cross-references to this section for greater consistency and clarity. We also made a non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 1300: Supervision of Accounts	1300.01	(a)	R. 3202. Identifying all new clients	(1)			Amended - Non substantive - We revised this section to conform to the existing rule.		See IIROC Notice 19-XXXX (Amendments to Client Identification and Verification Requirements) for details.
Rule 1300: Supervision of Accounts	1300.01	(a) and NI 31-103 13.2(2)(a)	R. 3202. Identifying all new clients	(1)(i)	Amended - Substantive - Section now conforms with NI 31-103 requirement to make inquiries if there is a concern as to client reputation.	Amended - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.			
Rule 1300: Supervision of Accounts	1300.02	See Form 2 and NI 31-103 13.2(2)(b)	R. 3202. Identifying all new clients	(1)(ii)	Amended - Substantive - Section now conforms with NI 31-103 requirement to use due diligence to determine whether client is an insider.				
		New	R. 3202. Identifying all new clients	(1)(iii)					See IIROC Notice 19-XXXX (Amendments to Client Identification and Verification Requirements) for details.

Rule 1300: Supervision of Accounts	1300.02	(a)	R. 3202. Identifying all new clients	(2)		Amended - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.			See IIROC Notice 19-XXXX (Amendments to Client Identification and Verification Requirements) for details.
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part II	(A)(1)	R. 3202. Identifying all new clients	(2)		Amended - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.	Amended - Non substantive - We made wording changes to improve readability.		See IIROC Notice 19-XXXX (Amendments to Client Identification and Verification Requirements) for details.
Rule 2700: Minimum Standards for Institutional Client Account Opening, Operation and Supervision	2700 Part II	(1)	R. 3202. Identifying all new clients	(2)		Amended - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.			See IIROC Notice 19-XXXX (Amendments to Client Identification and Verification Requirements) for details.
		New	R. 3202. Identifying all new clients	(3)					See IIROC Notice 19-XXXX (Amendments to Client Identification and Verification Requirements) for details.
Rule 1300: Supervision of Accounts	1300.01	(e)(i)	R. 3203. Identifying partnerships or trusts	(1)(i)		Amended - Non substantive - Non substantive revisions.			See IIROC Notice 19-XXXX (Amendments to Client Identification and Verification Requirements) for details.
		New	R. 3203. Identifying partnerships or trusts	(1)(ii)					See IIROC Notice 19-XXXX (Amendments to Client Identification and Verification Requirements) for details.
Rule 1300: Supervision of Accounts	1300.01	(e)(ii)	R. 3203. Identifying partnerships or trusts	(1)(iii)		Amended - Non substantive - Non substantive revisions.	Amended - Non substantive - We made wording changes to improve readability.		See IIROC Notice 19-XXXX (Amendments to Client Identification and Verification Requirements) for details.
Rule 1300: Supervision of Accounts	1300.01	(g)	R. 3203. Identifying partnerships or trusts	(1)(iv)		New - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.			See IIROC Notice 19-XXXX (Amendments to Client Identification and Verification Requirements) for details.

Rule 1300: Supervision of Accounts	1300.01	(f)	R. 3203. Identifying partnerships or trusts	(2)					See IIROC Notice 19-XXXX (Amendments to Client Identification and Verification Requirements) for details.
		New	R. 3204. Identifying corporations	(1)(i) and (ii)					See IIROC Notice 19-XXXX (Amendments to Client Identification and Verification Requirements) for details.
Rule 1300: Supervision of Accounts	1300.01	(b)(i) and (ii)	R. 3204. Identifying corporations	(1)(ii) and (iii)		New - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.	Amended - Non substantive - We made wording changes to improve readability.		See IIROC Notice 19-XXXX (Amendments to Client Identification and Verification Requirements) for details.
Rule 1300: Supervision of Accounts	1300.01	(g)	R. 3204. Identifying corporations	(1)(iv)		New - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.			See IIROC Notice 19-XXXX (Amendments to Client Identification and Verification Requirements) for details.
Rule 1300: Supervision of Accounts	1300.01	(c)(i)	R. 3204. Identifying corporations	(2)(i)					See IIROC Notice 19-XXXX (Amendments to Client Identification and Verification Requirements) for details.
Rule 1300: Supervision of Accounts	1300.01	(c)(ii)	R. 3204. Identifying corporations	(2)(ii)					See IIROC Notice 19-XXXX (Amendments to Client Identification and Verification Requirements) for details.
Rule 1300: Supervision of Accounts	1300.01	(c)(i)	R. 3204. Identifying corporations	(3)	Amended - Substantive - Clarifies application of 1300.01 (c)(i) relating to exemption of identification of owners of a corporate entity if the entity is a financial institution.				See IIROC Notice 19-XXXX (Amendments to Client Identification and Verification Requirements) for details.
Rule 1300: Supervision of Accounts	1300.01	(d)	R. 3204. Identifying corporations	(4)	Amended - Substantive - Clarifies existing provision relating to identification of owners of a corporate entity if the entity is a financial institution.	Amended - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.			See IIROC Notice 19-XXXX (Amendments to Client Identification and Verification Requirements) for details.

Rule 1300: Supervision of Accounts	1300.01	(i)	R. 3205. Prohibtion on shell banks	(1)			Amended - Non substantive - We revised this section to conform to the existing rule.		See IIROC Notice 19-XXXX (Amendments to Client Identification and Verification Requirements) for details.
Rule 1300: Supervision of Accounts	1300.01	(j)	R. 3205. Prohibtion on shell banks	(2)					See IIROC Notice 19-XXXX (Amendments to Client Identification and Verification Requirements) for details.
Rule 1300: Supervision of Accounts	1300.01	(k)	R. 3205. Prohibtion on shell banks	(2)					See IIROC Notice 19-XXXX (Amendments to Client Identification and Verification Requirements) for details.
Rule 1300: Supervision of Accounts	1300.01	(l)			Repealed - Non-substantive - Transitional provision providing for time frame of implementing corporate identification requirements is no longer required. Section now redundant.				
Rule 1300: Supervision of Accounts	1300.01	(b)(ii)	R. 3206. Establishing identity	(1)		New - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.			See IIROC Notice 19-XXXX (Amendments to Client Identification and Verification Requirements) for details.
Rule 1300: Supervision of Accounts	1300.01	(e)(ii)	R. 3206. Establishing identity	(1)		New - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.			See IIROC Notice 19-XXXX (Amendments to Client Identification and Verification Requirements) for details.
New			R. 3206. Establishing identity	(2)					See IIROC Notice 19-XXXX (Amendments to Client Identification and Verification Requirements) for details.
Rule 1300: Supervision of Accounts	1300.01	(b)(ii)	R. 3206. Establishing identity	(3)		New - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.			See IIROC Notice 19-XXXX (Amendments to Client Identification and Verification Requirements) for details.

Rule 1300: Supervision of Accounts	1300.01	(e)(ii)	R. 3206. Establishing identity	(3)		New - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.			See IIROC Notice 19-XXXX (Amendments to Client Identification and Verification Requirements) for details.
Rule 1300: Supervision of Accounts	1300.01	(h)	R. 3206. Establishing identity	(4)		New - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.			See IIROC Notice 19-XXXX (Amendments to Client Identification and Verification Requirements) for details.
Rule 1300: Supervision of Accounts	1300.01	(m)	R. 3206. Establishing identity	(4)		New - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.			See IIROC Notice 19-XXXX (Amendments to Client Identification and Verification Requirements) for details.
Rule 1300: Supervision of Accounts	1300.01	(c)	R. 3207. Identification exceptions	(1)-(2)					See IIROC Notice 19-XXXX (Amendments to Client Identification and Verification Requirements) for details.
Rule 1300: Supervision of Accounts	1300.01	(d)	R. 3207. Identification exceptions	(1)-(2)					See IIROC Notice 19-XXXX (Amendments to Client Identification and Verification Requirements) for details.
Rule 1300: Supervision of Accounts	1300.01	(f)	R. 3207. Identification exceptions	(1)-(2)					See IIROC Notice 19-XXXX (Amendments to Client Identification and Verification Requirements) for details.
			R. 3208. - 3209. Reserved		New - Non substantive - Reserved section.		Amended - Non substantive - Reserved sections.		Amended- Non substantive - Previous reserve section 3206-3209, was renumbered 3208-3209

New Provision			R. 3210. Definitions	(1)			New - Substantive - We created a new defined term "client account records" based on terms used in current Dealer Member Rules 1300 and 2500.		Amended - Non substantive - We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable. We also amended the definition to clarify our policy intent. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
New Provision			R. 3211. Account appropriateness	(1)	New - Substantive - A new provision has been added to specifically set out the steps a Dealer Member must take in deciding whether to allow a client to trade on margin.		Amended - Substantive - We expanded the proposed requirement to assess whether a margin account was appropriate for a client to all account and product types. Amended - Non-substantive	Amended - Substantive and Non-Substantive - We clarified that the account appropriateness determination is conducted prior to opening an account and is not an ongoing obligation. We also made	Amended - Non substantive - We made a minor drafting change for consistency.
New Provision			R. 3211 Account appropriateness	(2)				New - Substantive - We confirmed that OEO firms are only subject to the requirement to determine the account is appropriate for the potential client and not the requirement to determine that products and account types within the client's account are appropriate.	

New Provision			R. 3211 Account appropriateness	(3)				New - Substantive - We added a new exemption from the account appropriateness requirement for certain Dealer Members (e.g., carrying brokers) on the basis that another registered entity is responsible for the account appropriateness determination.	Amended - Non substantive - We corrected an erroneous cross-reference.
Rule 1300: Supervision of Accounts	1300.02	(a) and (b)	R. 3212. Account information	(1)			Amended - Non substantive - We made non-substantive changes to incorporate the new "client account records" defined term. Previous section 3207 was renumbered 3212.		Amended - Non substantive - We clarified the intent of this subsection by removing the reference to "new" accounts. We made this change in response to comments we received on the March 2017 Publication (Notice 17-0054).
New Provision			R. 3212. Account information	(2)	New - Substantive - Requirement to verify that the client qualifies as an Institutional Client.	Amended - Non substantive - Non substantive text formatting change to capture defined term “institutional client”.	Amended - Non substantive - Previous section 3207 was renumbered 3212.		
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part II	(A)(7)	R. 3212. Account information	(3)			Amended - Non substantive - Previous section 3207 was renumbered 3212.		
New Provision			R. 3212. Account information	(4)	New - Substantive - Requirement to verify that client records maintained meet all other relevant legislative requirements.	Amended - Non substantive - Non substantive change to include defined term “IIROC”.	Repealed - Non substantive - We repealed previous sub-section 3207(4) as the new "client account records" defined term made it redundant.		
New Provision			R. 3213. Account opening procedures				Amended - Substantive - Account opening procedures requirements are now applicable to both institutional clients and retail clients.		

Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part II	Introduction	R. 3213. Account opening procedures	(1)(i) and (ii)		Amended - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule that information about each client is to be updated when there has been a material change to such information.	Amended - Non substantive - We made non-substantive changes to incorporate the new "client account records" defined term. Previous section 3221 was renumbered 3213.		Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part II	(A)(2)	R. 3213. Account opening procedures	(1)(i) and (ii)		Amended - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule that information about each client is to be updated when there has been a material change to such information.	Amended - Non substantive - Previous section 3221 was renumbered 3213.		Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part II	(B)(1)	R. 3213. Account opening procedures	(2)(i)			Amended - Non substantive - Previous section 3221 was renumbered 3213.		Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part II	(B)(3)	R. 3213. Account opening procedures	(2)(ii)		Amended - Non substantive - Non substantive revisions.	Amended - Non substantive - Previous section 3221 was renumbered 3213.		
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part II	(B)(4)	R. 3213. Account opening procedures	(2)(iii)		Amended - Non substantive - Revision made in response to the following comment received: “The words “…within 25 or more business days…” should be changed to “…within 25 business days…”, since the inclusion of “or more” obviates the need for imposing a time frame for action on documents required for account opening.	Amended - Non substantive - Previous section 3221 was renumbered 3213.		

Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part II	(A)(5)	R. 3213. Account opening procedures	(2)(iv)		Amended - Non substantive - Non substantive revisions.	Amended - Non substantive - Previous section 3221 was renumbered 3213.		
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part I	(F)(1)	R. 3213. Account opening procedures	(2)(v)		Amended - Non substantive - Non substantive revisions.	Amended - Non substantive - Previous section 3221 was renumbered 3213.		
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part II	(A)(7)	R. 3214. Opening new client accounts	(1)		Amended - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.	Amended - Non substantive - Previous section 3222 was renumbered 3214.		
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part II	(A)(2)	R. 3214. Opening new client accounts	(2)		Amended - Non substantive - Non substantive revisions.	New - Non substantive - We revised this section to conform to the existing rule. We made non-substantive revisions to incorporate the new "client account records" defined term. Previous section 3222 was renumbered 3214.		
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part II	(A)(2)	R. 3214. Opening new client accounts	(2), (3) and (4)		Amended - Non substantive - Non substantive revisions.	Amended - Non substantive - Previous section 3222 was renumbered 3214.		
Rule 1300: Supervision of Accounts	1300.02	(c)	R. 3214. Opening new client accounts	(3)		New - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.	Amended - Non substantive - Previous section 3222 was renumbered 3214.		
Rule 2700: Minimum Standards for Institutional Client Account Opening, Operation and Supervision	2700 Part II	(3)	R. 3214. Opening new client accounts	(3) and (4)		New - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.	Amended - Non substantive - Previous section 3222 was renumbered 3214.		

Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part II	(A)(2)	R. 3214. Opening new client accounts	(5)		New - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.	Amended - Non substantive - Previous sub-section 3221(3) was moved to current sub-section 3214(5) to clarify our expectations. Dealer Members are required to collect all client account records before opening an account and placing a trade. If an account is inadvertently opened and a trade is made before a Supervisor discovers that not all client account records have been collected, the Dealer Member must place the specified restrictions on the account.		
Rule 0800: Trading and Delivery	800.11		R. 3214. Opening new client accounts	(6)		Amended - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.	Amended - Non substantive - Previous section 3222(5) was renumbered 3214(6).		
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part II	(A)(3)	R. 3214. Opening new client accounts	(6)		Amended - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.	Amended - Non substantive - Previous section 3222(5) was renumbered 3214(6).		
Rule 2700: Minimum Standards for Institutional Client Account Opening, Operation and Supervision	2700 Part II	(4)	R. 3215. Updating client accounts	(1)		Amended - Substantive - Addition of Registration Reform categories of registration - Non substantive revisions.	Amended - Non substantive - Previous section 3229 was renumbered 3215.		
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part II	(A)(5)	R. 3215. Updating client accounts	(2)		Amended - Non substantive - Further to comment received, non substantive revisions conforming to existing Dealer Member Rule - inclusion of “material” qualifier to rule.	Amended - Non substantive - Previous section 3229 was renumbered 3215.		Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part II	(A)(6)	R. 3215. Updating client accounts	(3)		Amended - Substantive - Addition of Registration Reform categories of registration - Non substantive revisions.	Amended - Non substantive - Previous section 3229 was renumbered 3215.		

Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part II	(A)(6)	R. 3215. Updating client accounts	(4)		Amended - Substantive - Addition of Registration Reform categories of registration - Non substantive revisions.	Amended - Non substantive - Previous section 3229 was renumbered 3215.		
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part II	(A)(5)	R. 3215. Updating client accounts	(5)		Amended - Substantive - Addition of Registration Reform categories	Amended - Non substantive - Previous section 3229 was renumbered 3215.		
Rule 3500: Relationship Disclosure	3500.01	(1)	R. 3216. Relationship Disclosure	(1)		New - Non substantive - Inclusion of Relationship Disclosure rules under existing Dealer Member Rule 3500.	Amended - Non substantive - We made non-substantive wording changes for greater clarity. Previous section 3223 was renumbered 3216.		
Rule 3500: Relationship Disclosure	3500.05	(1)	R. 3216. Relationship Disclosure	(1)		New - Non substantive - Inclusion of Relationship Disclosure rules under existing Dealer Member Rule 3500.	Amended - Non substantive - Previous section 3223 was renumbered 3216.		
Rule 3500: Relationship Disclosure	3500.01	(1)	R. 3216. Relationship Disclosure	(2)		New - Non substantive - Inclusion of Relationship Disclosure rules under existing Dealer Member Rule 3500.	Amended - Non substantive - Previous section 3223 was renumbered 3216.		Amended - Non substantive - We corrected a grammatical error by inserting the word "the". We made this change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 3500: Relationship Disclosure	3500.02	(1), (2), & (3)	R. 3216. Relationship Disclosure	(2)		New - Non substantive - Inclusion of Relationship Disclosure rules under existing Dealer Member Rule 3500.	Amended - Non substantive - Previous section 3223 was renumbered 3216.		Amended - Non substantive - We corrected a grammatical error by inserting the word "the". We made this change in response to comments we received on the March 2017 Publication (Notice 17-0054)
Rule 3500: Relationship Disclosure	3500.04	(2)	R. 3216. Relationship Disclosure	(3)		New - Non substantive - Inclusion of Relationship Disclosure rules under existing Dealer Member Rule 3500.	Amended - Non substantive - Previous section 3223 was renumbered 3216.		

Rule 3500: Relationship Disclosure	3500.03	(2) & (3)	R. 3216. Relationship Disclosure	(3)(ii) & (iii)		New - Non substantive - Inclusion of Relationship Disclosure rules under existing Dealer Member Rule 3500.	Amended - Non substantive - Previous section 3223 was renumbered 3216. We also made non-substantive wording changes for greater clarity.		
Rule 3500: Relationship Disclosure	3500.03	(1) & (2)	R. 3216. Relationship Disclosure	(4)(i) & (ii)		New - Non substantive - Inclusion of Relationship Disclosure rules under existing Dealer Member Rule 3500.	Amended - Non substantive - We made non-substantive wording changes for greater clarity. Previous section 3223 was renumbered 3216.		
Rule 3500: Relationship Disclosure	3500.03	(2) & (3)	R. 3216. Relationship Disclosure	(4)(ii) & (iii)		New - Non substantive - Inclusion of Relationship Disclosure rules under existing Dealer Member Rule 3500.	Amended - Non substantive - Previous section 3223 was renumbered 3216.		
Rule 3500: Relationship Disclosure	3500.05	(1)(a)	R. 3216. Relationship Disclosure	(5)(i)		New - Non substantive - Inclusion of Relationship Disclosure rules under existing Dealer Member Rule 3500.	Amended - Non substantive - Previous section 3223 was renumbered 3216.		
Rule 3500: Relationship Disclosure	3500.04	(1)(b)	R. 3216. Relationship Disclosure	(5)(ii)		New - Non substantive - Inclusion of Relationship Disclosure rules under existing Dealer Member Rule 3500.	Amended - Non substantive - Previous section 3223 was renumbered 3216.		
Rule 3500: Relationship Disclosure	3500.05	(3)	R. 3216. Relationship Disclosure	(5)(iii)		New - Non substantive - Inclusion of Relationship Disclosure rules under existing Dealer Member Rule 3500.	Amended - Non substantive - Previous section 3223 was renumbered 3216.		
Rule 3500: Relationship Disclosure	3500.05	(2)(a)	R. 3216. Relationship Disclosure	(5)(ii)(a)		New - Non substantive - Inclusion of Relationship Disclosure rules under existing Dealer Member Rule 3500.	Amended - Non substantive - Previous section 3223 was renumbered 3216.		
Rule 3500: Relationship Disclosure	3500.05	(2)(b)	R. 3216. Relationship Disclosure	(5)(ii)(b)		New - Non substantive - Inclusion of Relationship Disclosure rules under existing Dealer Member Rule 3500.	Amended - Non substantive - Previous section 3223 was renumbered 3216.		

Rule 3500: Relationship Disclosure	3500.05	(2)(c)(i)-(iii) & (ii)	R. 3216. Relationship Disclosure	(5)(ii)(c)		New - Non substantive - Inclusion of Relationship Disclosure rules under existing Dealer Member Rule 3500.	New - Non substantive - We clarified that a suitability assessment must occur before a trade is accepted and before a recommendation is made. Previous section 3223 was renumbered 3216.		
Rule 3500: Relationship Disclosure	3500.05	(2)(d)	R. 3216. Relationship Disclosure	(5)(ii)(d)		New - Non substantive - Inclusion of Relationship Disclosure rules under existing Dealer Member Rule 3500.	Amended - Non substantive - Previous section 3223 was renumbered 3216.		
Rule 3500: Relationship Disclosure	3500.05	(2)(e)	R. 3216. Relationship Disclosure	(5)(ii)(e)		New - Non substantive - Inclusion of Relationship Disclosure rules under existing Dealer Member Rule 3500.	Amended - Non substantive - Previous section 3223 was renumbered 3216.		
Rule 3500: Relationship Disclosure	3500.05	(2)(f)	R. 3216. Relationship Disclosure	(5)(ii)(f)		New - Non substantive - Inclusion of Relationship Disclosure rules under existing Dealer Member Rule 3500.	Amended - Non substantive - Previous section 3223 was renumbered 3216.		
Rule 3500: Relationship Disclosure	3500.05	(2)(g)	R. 3216. Relationship Disclosure	(5)(ii)(g)		New - Non substantive - Inclusion of Relationship Disclosure rules under existing Dealer Member Rule 3500.	Amended - Non substantive - Previous section 3223 was renumbered 3216.		
Rule 3500: Relationship Disclosure	3500.05	(2)(h)	R. 3216. Relationship Disclosure	(5)(ii)(h)		New - Non substantive - Inclusion of Relationship Disclosure rules under existing Dealer Member Rule 3500.	Amended - Non substantive - Previous section 3223 was renumbered 3216.		
Rule 3500: Relationship Disclosure	3500.05	(2)(i)	R. 3216. Relationship Disclosure	(5)(ii)(i)		New - Non substantive - Inclusion of Relationship Disclosure rules under existing Dealer Member Rule 3500.	Amended - Non substantive - Previous section 3223 was renumbered 3216.		
Rule 3500: Relationship Disclosure	3500.05	(2)(j)	R. 3216. Relationship Disclosure	(5)(ii)(j)		New - Non substantive - Inclusion of Relationship Disclosure rules under existing Dealer Member Rule 3500.	Amended - Non substantive - Previous section 3223 was renumbered 3216.		
Rule 3500: Relationship Disclosure	3500.06	(1)	R. 3216. Relationship Disclosure	(6)		New - Non substantive - Inclusion of Relationship Disclosure rules under existing Dealer Member Rule 3500.	Amended - Non substantive - Previous section 3223 was renumbered 3216.		

Rule 3500: Relationship Disclosure	3500.07	(1)-(2)	R. 3216. Relationship Disclosure	(7)		New - Non substantive - Inclusion of Relationship Disclosure rules under existing Dealer Member Rule 3500.	Amended - Non substantive - Previous section 3223 was renumbered 3216.		
Rule 0029: Business Conduct	29.26	(1)(a) and (b)	R. 3217. Leverage Risk Disclosure Statement	(1)	Amended - Substantive - Clarification that Leverage Risk Disclosure Statement must be provided to retail clients rather than all clients. Have also added requirement to obtain client's written acknowledgement of the statement.	New - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.	Amended - Non substantive - Previous section 3209 was renumbered 3217.		Amended - Non substantive - We made a non-material change to clarify the requirement
Rule 0029: Business Conduct	29.26	(1)(b)	R. 3217. Leverage Risk Disclosure Statement	(2)		New - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.	Amended - Non substantive - Previous section 3209 was renumbered 3217.	Repealed - Substantive - We removed the exception for margin accounts in the leverage risk disclosure requirements.	
Rule 0029: Business Conduct	29.26	(2)	R. 3217. Leverage Risk Disclosure Statement	(2)		New - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.	Amended - Non substantive - Previous section 3209 was renumbered 3217.	Repealed - Substantive - We removed the exception for margin accounts in the leverage risk disclosure requirements.	
Rule 0029: Business Conduct	29.26	(1)(c)	R. 3217. Leverage Risk Disclosure Statement	(3)			Amended - Non substantive - Previous section 3209 was renumbered 3217.		
Rule 0029: Business Conduct	29.09	(1)	R. 3218. Pre-trade disclosure of charges	(1)		New - Non substantive - Inadvertent omission or existing provision.	Amended - Non substantive - Previous section 3846 was renumbered 3218.		
Rule 0029: Business Conduct	29.09	(2)	R. 3218. Pre-trade disclosure of charges	(2)		New - Non substantive - Inadvertent omission or existing provision.	Amended - Non substantive - Previous section 3846 was renumbered 3218.		
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part II	(C)(1)	R. 3219. Client mail	(1)	Amended - Substantive - Added a time limit to a client authorized hold mail order.		Amended - Non substantive - We clarified that these requirements apply only to retail clients. Previous section 3210 was renumbered 3219.		

Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part II	(C)(1)	R. 3219. Client mail	(2)(i)(ii) and (iii)	Amended - Substantive - Clarified that the time limit can only be extended in limited circumstances.	Amended - Non substantive - Non substantive revisions.	Amended - Non substantive - Previous section 3210 was renumbered 3219.		Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part II	(C)(2)	R. 3219. Client mail	(3)		Amended - Non substantive - Non substantive revisions.	Amended - Non substantive - We clarified that these requirements apply only to retail clients. Previous section 3210 was renumbered 3219.		
Rule 1300: Supervision of Accounts	1300.01	(n)	R. 3220. Record keeping	(1)(i)		Amended - Non substantive – Non substantive revisions.	Amended - Non substantive - We made non-substantive amendments to incorporate the new "client account records" definition.		
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part II	(A)(4)	R. 3220. Record keeping	(1)(i)		Amended - Non substantive - Non substantive revisions.			
Rule 0200: Minimum Records	200.02	(m)(i)	R. 3220. Record keeping	(1)(ii)					
Rule 0200: Minimum Records	200.02	(m)(iii)	R. 3220. Record keeping	(1)(iii)		Amended - Non substantive - Non substantive revisions.			
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part II	(A)(4)	R. 3220. Record keeping	(2)		Amended - Substantive - Addition of Registration Reform categories of registration and non substantive revisions.			
Rule 1300: Supervision of Accounts	1300.01	(n)	R. 3220. Record keeping	(3)		Amended - Non substantive - Non substantive revisions.	Amended - Non substantive - We made non-substantive amendments to incorporate the new "client account records" definition.		

New Provision			R. 3220. Record keeping	(4)		New - Substantive - Provision requires Dealer Members to be able to identify individuals with trading authority over more than one account or client – Purpose of rule is to allow Dealer Members to identify anyone who may be carrying out registerable activities without being appropriately registered.			
New Provision			R. 3221. Prohibition against discretionary trading.	(1)	New - Substantive - Under current rules the restriction of discretionary trading to discretionary and managed accounts is implied (Rule 1300.03). A specific restriction is being proposed.	Amended - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.	Amended - Non substantive - Previous section 3271 was renumbered 3231.		Amended - Non substantive - Previous section 3231 was renumbered 3221.
New Provision	1300.03		R. 3221. Prohibition against discretionary trading	(2)		New - Non substantive - Revisions made in response to comments received and conforming to existing Dealer Member Rule.	Amended - Non substantive - Previous section 327` was renumbered 3231.		Amended - Non substantive - Previous section 3231 was renumbered 3221.
			R. 3222. - 3299. Reserved		New - Non-substantive - Reserved sections.				
New Provision			R. 3230. Rules applicable to advisory accounts	(1)			New - Non substantive - We have created a new section to clarify which sections of Rule 3200 are applicable to advisory accounts for retail clients.		Amended - Non substantive - We made a minor drafting change for consistency. We also amended the language for greater clarity.
Rule 2700: Minimum Standards for Institutional Client Account Opening, Operation and Supervision	2700 Introduction	Introduction	R. 3230. Rules applicable to advisory accounts	(2)		Amended - Non substantive - Non substantive revisions.	Amended - Non substantive - We removed previous sub-section 3230(1) and specified in the first section of each Part of Rule 3200 which rules applied to institutional clients.		Amended - Non substantive - We made a minor drafting change for consistency. We also amended the language for greater clarity.

Rule 2500: Minimum Standards for Retail Customer Account Supervision	2700 Part II	(2)	R. 3230. Rules applicable to advisory accounts	(2)		Amended - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.	Amended - Non substantive - We removed previous sub-section 3230(2) and included the requirements for sub-account files for institutional clients in the first section of each Part of Rule 3200.		Amended - Non substantive - We amended the language for greater clarity.
			R. 3231. - 3239. Reserved		New - Non-substantive - Reserved sections.				
New Provision			R. 3240. Rules applicable to order execution only accounts	(1)			New - Non substantive - We have created a new section to clarify which sections of Rule 3200 are applicable to order execution only accounts for retail clients.		Amended - Non substantive - As a result of numbering changes in other sections, we corrected the cross-sectional referencing in this section. We amended the language for greater clarity.
Rule 2700: Minimum Standards for Institutional Client Account Opening, Operation and Supervision	2700 Introduction	Introduction	R. 3240. Rules applicable to order execution only accounts	(2)		Amended - Non substantive - Non substantive revisions.	Amended - Non substantive - We removed previous sub-sections 3230(1) and specified in the first section of each Part of Rule 3200 which rules applied to Institutional clients.		Amended - Non substantive - We made a minor drafting change for consistency. We amended the language for greater clarity.
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2700 Part II	(2)	R. 3240. Rules applicable to order execution only accounts	(2)		Amended - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.	Amended - Non substantive - We removed previous sub-sections 3230(2) and included the requirements for sub-account files for institutional clients in the first section of each Part of Rule 3200.		Amended - Non substantive - We amended the language for greater clarity.
Rule 1300: Supervision of Accounts	1300.01	(t)	R. 3241. Order execution only account services	(1)		Amended - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.			

Rule 3200: Minimum Requirements for Dealer Members Seeking Approval Under Rule 1300.1(t) to Offer an Order-Execution Only Service	3200A	1(a)	R. 3241. Order execution only account services	(1)		Amended - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.	Amended - Non substantive - Consistent with Rule 3150, clarifies that Dealer Members must comply with all applicable laws, rules, requirements and policies applicable to their activities and not merely those of Rule 3200. Previous section 3240 was renumbered 3241		
Rule 3200: Minimum Requirements for Dealer Members Seeking Approval Under Rule 1300.1(t) to Offer an Order-Execution Only Service	3200A	1(b)	R. 3241. Order execution only account services	(1)(ii)		Amended - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.	Amended - Non substantive - We updated this sub-section for consistency with the defined terms in sub-section 1201(2). Previous section 3240 was renumbered 3241.		
Rule 3200: Minimum Requirements for Dealer Members Seeking Approval Under Rule 1300.1(t) to Offer an Order-Execution Only Service	3200A	(3)(c)	R. 3241. Order execution only account services	(2)		Amended - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.	Amended - Non substantive - Previous section 3240 was renumbered 3241.		
Rule 3200: Minimum Requirements for Dealer Members Seeking Approval Under Rule 1300.1(t) to Offer an Order-Execution Only Service	3200A	(3)(a)	R. 3241. Order execution only account services	(2)(i)		Amended - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.	Amended - Non substantive - Previous section 3240 was renumbered 3241.	Amended and New - Substantive - We clarified the intent of the requirement and made consequential amendments reflecting changes in 3211(2).	
Rule 3200: Minimum Requirements for Dealer Members Seeking Approval Under Rule 1300.1(t) to Offer an Order-Execution Only Service	3200A	(3)(b)	R. 3241. Order execution only account services	(2)(ii)		Amended - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.	Amended - Non substantive - Previous section 3240 was renumbered 3241.		
Rule 3200: Minimum Requirements for Dealer Members Seeking Approval Under Rule 1300.1(t) to Offer an Order-Execution Only Service	3200B		R. 3241. Order execution only account services			Repealed - Substantive - Repeal of previously published subsection 3240(4) - There are no Dealer Members approved under existing Rule 3200B and we do not expect it to be used in the future - References to Rule 3200B have been removed from PLR.	Amended - Non substantive - Previous section 3240 was renumbered 3241.		

Rule 3200: Minimum Requirements for Dealer Members Seeking Approval Under Rule 1300.1(t) to Offer an Order-Execution Only Service	3200A	(3)(d)	R. 3241. Order execution only account services	(3)		Amended - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.	Amended - Non substantive - Previous section 3240 was renumbered 3241.		
Rule 3200: Minimum Requirements for Dealer Members Seeking Approval Under Rule 1300.1(t) to Offer an Order-Execution Only Service	3200A	(5)(a)	R. 3241. Order execution only account services	(4)		New - Non substantive - New PLR rule conforming to section A.5 of existing Rule 3200 (as set out in Rules Notice 14-063, which became effective on June 1, 2015).	Amended - Non substantive - We also updated this sub-section for consistency with the defined terms in sub-section 1201(2). Previous section 3240 was renumbered 3241.		
Rule 3200: Minimum Requirements for Dealer Members Seeking Approval Under Rule 1300.1(t) to Offer an Order-Execution Only Service	3200A	(5)(b)	R. 3241. Order execution only account services	(5)		New - Non substantive - New PLR rule conforming to section A.5 of existing Rule 3200 (as set out in Rules Notice 14-063, which became effective on June 1, 2015).	Amended - Non substantive - Previous section 3240 was renumbered 3241.		
Rule 3200: Minimum Requirements for Dealer Members Seeking Approval Under Rule 1300.1(t) to Offer an Order-Execution Only Service	3200A	(5)(c)	R. 3241. Order execution only account services	(6)		New - Non substantive - New PLR rule conforming to section A.5 of existing Rule 3200 (as set out in Rules Notice 14-063, which became effective on June 1, 2015).	Amended - Non substantive - Previous section 3240 was renumbered 3241.		
Rule 3200: Minimum Requirements for Dealer Members Seeking Approval Under Rule 1300.1(t) to Offer an Order-Execution Only Service	3200A	(6)	R. 3241. Order execution only account services	(7)		New - Non substantive - Carries forward a provision in the existing Rule 3200(A)(6) that had been inadvertently omitted.	Amended - Non substantive - Previously published Rule 3405 (Order execution only account services) was duplicative of Rule 3241(7). We have deleted Rule 3405 and made minor revisions to Rule 3241(7) as a result of the combination of these two Rules.		
			R. 3242. - 3244. Reserved		New - Non-substantive - Reserved sections.		New - Non substantive - Reserved sections.		
New Provision			R. 3245. Rules applicable to margin accounts	(1)			New - Non substantive - We have created a new section to clarify which sections of Rule 3200 are applicable to margin accounts for retail clients.		Amended - Non substantive - We amended the language for greater clarity.

Rule 2700: Minimum Standards for Institutional Client Account Opening, Operation and Supervision	2700 Introduction	Introduction	R. 3245. Rules applicable to margin accounts	(2)		Amended - Non substantive - Non substantive revisions.	Amended - Non substantive - We removed previous sub-sections 3230(1) and specified in the first section of each Part of Rule 3200 which rules applied to institutional clients.		Amended - Non substantive - We made a minor drafting change for consistency. We also amended the language for greater clarity.
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2700 Part II	(2)	R. 3245. Rules applicable to margin accounts	(2)		Amended - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.	Amended - Non substantive - We removed previous sub-sections 3230(2) and included the requirements for sub-account files for institutional clients in the first section of each Part of Rule 3200.		Amended - Non substantive - We made a minor drafting change for consistency. We also amended the language for greater clarity.
New Provision			R. 3246. Margin requirements - went to extend margin to clients	(1)	New - Substantive - A new provision has been added to specifically set out the steps a Dealer Member must take in deciding whether to allow a client to trade on margin.		Amended - Non-substantive - Previous clause 5111(1)(ii) was moved to 3246(1).		
Rule 0200: Minimum Records	200.02		R. 3247. Margin Account Agreement	(1)	New - Substantive - Requirement to include a guarantor signature (if any) on the margin account agreement removed for consistency with existing rules on guarantor agreements for margin accounts.	New - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.	Amended - Non-substantive - Previous section 3208 was renumbered 3247.		
Rule 0200: Minimum Records	200.02	Guide to interpretation (m)	R. 3247. Margin Account Agreement	(2)		New - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.	Amended - Non substantive - We revised clause 3247(2)(iv) to conform to language used in clause 3258(1)(vii). Previous section 3208 was renumbered 3247.		Amended - Non substantive - We corrected a grammatical error by replacing the word "that" with the word "the" in clause 3247(2)(ix). We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
			R. 3248. - 3249. Reserved				New - Non substantive - Reserved sections.		

New Provision			R. 3250. Introduction	(1)	New - Non substantive - Introductory section.		Repealed - Non substantive - We removed the introductory section as its contents were moved to section 3201.		
New Provision			R. 3250. Rules applicable to options, futures and futures options contract trading accounts	(1)	Amended - Non substantive - Definitions of "futures contract", "futures contract option" and "options" moved directly into Rule 3251 from the general definitions section of Rule 1200.		Amended - Non substantive - Defined terms moved from Rules 3251 & 3903 to the general definitions section of Rule 1200. We replaced previous sub-section 3251(1) with a new sub-section which clarifies which sections of Rule 3200 are applicable to options, futures and futures options contract trading accounts for retail clients. Previous section 3251 was renumbered 3250.		Amended - Non substantive - We made a non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054). We also amended the language for greater clarity.
Rule 2700: Minimum Standards for Institutional Client Account Opening, Operation and Supervision	2700 Introduction	Introduction	R. 3250. Rules applicable to options, futures and futures options contract trading accounts	(2)		Amended - Non substantive - Non substantive revisions.	Amended - Non substantive - We removed previous sub-sections 3230(1) and specified in the first section of each Part of Rule 3200 which rules applied to institutional clients. Previous section 3251 was renumbered 3250.		Amended - Non substantive - We made a minor drafting change for consistency. We also amended the language for greater clarity.
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2700 Part II	(2)	R. 3250. Rules applicable to options, futures and futures options contract trading accounts	(2)		Amended - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.	Amended - Non substantive - We removed previous sub-section 3230(2) and included the requirements for sub-account files for institutional clients in the first section of each Part of Rule 3200. Previous section 3251 was renumbered 3250.		Amended - Non substantive - We amended the language for greater clarity.

Rule 2900: Proficiency and Education	2900		R. 3250. Rules applicable to options, futures and futures options contract trading accounts	(3)			Amended - Non-substantive - Previous sub-section 3250(2) was renumbered 3251(3). Previous section 3251 was renumbered 3250.		
New Provision			R. 3251. Reserved		Amended - Non substantive - Definitions of "futures contract", "futures contract option" and "options" moved directly into Rule 3251 from the general definitions section of Rule 1200.		Amended - Non substantive - We moved the defined terms to sub-section 1201(2).		
Rule 1800: Commodity Futures Contracts and Options	2500 Part V	(A)(1)	R. 3252. Additional requirements when opening an options account	(1)(i)	Amended - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.		Amended - Non substantive - Previous section 3252 "Opening an options account" was renamed "Additional requirements when opening an options account".		
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part V	(A)(2)	R. 3252. Additional requirements when opening an options account	(1)(ii)	Amended - Non substantive.		Amended - Non substantive - Previous section 3252 "Opening an options account" was renamed "Additional requirements when opening an options account".		
Rule 1900: Options	1900.02	(b)	R. 3252. Additional requirements when opening an options account	(1)(ii)	Amended - Non substantive.		Amended - Non substantive - Previous section 3252 "Opening an options account" was renamed "Additional requirements when opening an options account".		
Rule 1900: Options	1900.02	(d)(i)	R. 3252. Additional requirements when opening an options account	(1)(iii)	Amended - Non substantive.		Amended - Non substantive - Previous section 3252 "Opening an options account" was renamed "Additional requirements when opening an options account".		

Rule 1900: Options	1900.02	(c)	R. 3252. Additional requirements when opening an options account	(1)(iv)	Amended - Non substantive - Non substantive changes conforming to Existing Rule.		Amended - Non substantive - Previous section 3252 "Opening an options account" was renamed "Additional requirements when opening an options account". We removed the word "appropriate" before "designated Supervisor" for consistency with other proposed rules.		
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part V	(A)(3)	R. 3252. Additional requirements when opening an options account	(1)(iv)	Amended - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.		Amended - Non substantive - We removed the word "appropriate" before "designated Supervisor" for consistency with other proposed rules. Previous section 3252 "Opening an options account" was renamed "Additional requirements when opening an options account".		
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part V	(A)(4)	R. 3252. Additional requirements when opening an options account	(2)		Amended - Substantive - Addition of Registration Reform categories of registration.	Amended - Non substantive - Previous section 3252 "Opening an options account" was renamed "Additional requirements when opening an options account".		
Rule 1900: Options	1900.06	(a)	R. 3253. Options Trading Agreement	(1)		Amended – Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.			
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part V	(A)(2)	R. 3253. Options Trading Agreement	(1)		Amended – Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.			
Rule 1900: Options	1900.06	(a)(ii)	R. 3253. Options Trading Agreement	(1)(i)	Amended - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.				
Rule 1900: Options	1900.06	(a)(i)	R. 3253. Options Trading Agreement	(1)(ii)					
Rule 1900: Options	1900.06	(a)(iii)	R. 3253. Options Trading Agreement	(1)(iii)					
Rule 1900: Options	1900.06	(a)(iii)	R. 3253. Options Trading Agreement	(1)(iv)					

Rule 1900: Options	1900.06	(a)(viii)	R. 3253. Options Trading Agreement	(1)(v)					
Rule 1900: Options	1900.06	(a)(iv)	R. 3253. Options Trading Agreement	(1)(vi)					
Rule 1900: Options	1900.06	(a)(v)	R. 3253. Options Trading Agreement	(1)(vii)					
Rule 1900: Options	1900.06	(a)(vi)	R. 3253. Options Trading Agreement	(1)(viii)		Amended - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.			
Rule 1900: Options	1900.06	(a)(vii)	R. 3253. Options Trading Agreement	(1)(ix)		Amended - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.			
Rule 1900: Options	1900.06	(a)(ix)	R. 3253. Options Trading Agreement	(1)(x)		Amended - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.			
Rule 1900: Options	1900.06	(b)	R. 3254. Letter of undertaking	(1)-(2)	Amended - Substantive - Clarified to allow letter of undertaking to be obtained from a "regulated entity" (a defined category of dealer) rather than a "dealer".	Amended - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.			
Rule 1900: Options	1900.02	(d)(i)	R. 3255. Options disclosure statement	(1)(i) and (ii)		Amended - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.			Amended - Non substantive - We corrected a grammatical error in 3255(1)(ii) by inserting the word "described". We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 1900: Options	1900.02	(d)(ii)	R. 3255. Options disclosure statement	(1)(iii)		Amended - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.			
Rule 1900: Options	1900.02	(d)(iii)	R. 3255. Options disclosure statement	(1)(iv)		Amended - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.			

Rule 1900: Options	1900.02	(e)	R. 3256. Position and exercise limits	(1)-(2)		Amended - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.			
Rule 1900: Options	1900.05	(a) and (b)			Repealed - Substantive - Requirement to file option contract open position reports with IIROC has been repealed.				
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part VI	(A)(1)	R. 3257. Additional requirements when opening a futures contract or futures contract option account	(1)(i) and (ii)		Amended - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.			
Rule 1800: Commodity Futures Contracts and Options	1800.02	(b)	R. 3257. Additional requirements when opening a futures contract or futures contract option account	(1)(ii)		Amended - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.			
Rule 1800: Commodity Futures Contracts and Options	1800.02	(d)(i)	R. 3257. Additional requirements when opening a futures contract or futures contract option account	(1)(iii)		Amended - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.			
Rule 1800: Commodity Futures Contracts and Options	1800.02	(c)	R. 3257. Additional requirements when opening a futures contract or futures contract option account	(1)(iv)		Amended - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.			
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part VI	(A)(2)	R. 3257. Additional requirements when opening a futures contract or futures contract option account	(1)(iv)			Amended - Non substantive - We removed the word "appropriate" before "designated Supervisor" for consistency with other proposed rules.		
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part VI	(A)(4)	R. 3257. Additional requirements when opening a futures contract or futures contract option account	(2)		Amended - Substantive - Addition of Registration Reform category of registration.	Amended - Non substantive - We removed the word "appropriate" before "designated Supervisor" for consistency with other proposed rules. We also amended this sub-section for consistency with the current rule.		

Rule 1800: Commodity Futures Contracts and Options	1800.09		R. 3258. Futures contract and futures contract option trading agreement	(1)		Amended - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.			
Rule 1800: Commodity Futures Contracts and Options	1800.09	(b)	R. 3258. Futures contract and futures contract option trading agreement	(1)(i)		Amended - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.			
Rule 1800: Commodity Futures Contracts and Options	1800.09	(a)	R. 3258. Futures contract and futures contract option trading agreement	(1)(ii)					
Rule 1800: Commodity Futures Contracts and Options	1800.09	(b)	R. 3258. Futures contract and futures contract option trading agreement	(1)(iii)					
New Provision			R. 3258. Futures contract and futures contract option trading agreement	(1)(iv)			New - Non substantive - We added in this clause for consistency with section 3253.		
New Provision			R. 3258. Futures contract and futures contract option trading agreement	(1)(v)			New - Non substantive - We added in this clause for consistency with section 3253.		
Rule 1800: Commodity Futures Contracts and Options	1800.09	(l)	R. 3258. Futures contract and futures contract option trading agreement	(1)(vi)			Amended - Non substantive - Previous clause 3258(1)(iv) was renumbered 3258(1)(vi)		
Rule 1800: Commodity Futures Contracts and Options	1800.09	(n)	R. 3258. Futures contract and futures contract option trading agreement	(1)(vii)			Amended - Non substantive - Previous clause 3258(1)(v) was renumbered 3258(1)(vii)		
Rule 1800: Commodity Futures Contracts and Options	1800.09	(c)	R. 3258. Futures contract and futures contract option trading agreement	(1)(viii) and (xvi)		Amended - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.	Amended - Non substantive - Previous clause 3258(1)(vi) was renumbered 3258(1)(vii) and previous clause 3258(1)(xii) was renumbered 3258(1)(xiv).		
Rule 1800: Commodity Futures Contracts and Options	1800.09	(f)	R. 3258. Futures contract and futures contract option trading agreement	(1)(xi) and (x)		Amended - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.	Amended - Non substantive - Previous clause 3258(1)(ix) was renumbered 3258(1)(xi) and previous clause 3258(1)(viii) was renumbered (x).		
Rule 1800: Commodity Futures Contracts and Options	1800.09	(g)	R. 3258. Futures contract and futures contract option trading agreement	(1)(xi)			Amended - Non substantive - Previous clause 3258(1)(ix) was renumbered 3258(1)(xi)		

Rule 1800: Commodity Futures Contracts and Options	1800.09	(h)	R. 3258. Futures contract and futures contract option trading agreement	(1)(xii)			Amended - Non substantive - Previous clause 3258(1)(x) was renumbered 3258(1)(xii)		
Rule 1800: Commodity Futures Contracts and Options	1800.09	(j)	R. 3258. Futures contract and futures contract option trading agreement	(1)(xiii)		Amended - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.	Amended - Non substantive - Previous clause 3258(1)(xi) was renumbered 3258(1)(xiii)		
Rule 1800: Commodity Futures Contracts and Options	1800.09	(i)	R. 3258. Futures contract and futures contract option trading agreement	(1)(xiv)		Amended - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.	Amended - Non substantive - We updated terms in this clause for greater clarity and consistency. Previous clause 3258(1)(xii) was renumbered 3258(1)(xiv)		Amended - Non substantive - We changed “applicable futures exchange” to “relevant futures exchange”.
Rule 1800: Commodity Futures Contracts and Options	1800.09	(m)	R. 3258. Futures contract and futures contract option trading agreement	(1)(xv)		Amended - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.	Amended - Non substantive - We updated terms in this clause for greater clarity and consistency. Previous clause 3258(1)(xiii) was renumbered 3258(1)(xv)		
Rule 1800: Commodity Futures Contracts and Options	1800.09	(d)	R. 3258. Futures contract and futures contract option trading agreement	(1)(xviii)			Amended - Non substantive - Previous clause 3258(1)(xvi) was renumbered 3258(1)(xviii)		
Rule 1800: Commodity Futures Contracts and Options	1800.09	(e)	R. 3258. Futures contract and futures contract option trading agreement	(1)(xix)			Amended - Non substantive - Previous clause 3258(1)(xvii) was renumbered 3258(1)(xix)		
Rule 1800: Commodity Futures Contracts and Options	1800.09	(o)	R. 3258. Futures contract and futures contract option trading agreement	(1)(xx)		Amended - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.	Amended - Non substantive - Previous clause 3258(1)(xviii) was renumbered 3258(1)(xx). We also made a minor change to reflect organizational changes.		
Rule 1800: Commodity Futures Contracts and Options	1800.09	(k)	R. 3258. Futures contract and futures contract option trading agreement	(1)(xxi)		Amended - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.	Amended - Non substantive - Previous clause 3258(1)(xix) was renumbered 3258(1)(xxi)		
Rule 1800: Commodity Futures Contracts and Options	2500 Part VI	(A)(5)	R. 3258. Futures contract and futures contract option trading agreement	(1)(xxii)			Amended - Non substantive - Previous clause 3258(1)(xx) was renumbered 3258(1)(xxii)		

Rule 1800: Commodity Futures Contracts and Options	1800.10		R. 3259. Letters of undertaking	(1)	Amended - Substantive - Clarified to allow letters of undertaking to be obtained from a "regulated entity" (a defined category of dealers) rather than a "dealer".	Amended - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.	Amended - Non substantive - We updated this sub-section for consistency with the defined terms in sub-section 1201(2).		
Rule 1800: Commodity Futures Contracts and Options	1800.10	(a) and (b)	R. 3259. Letters of undertaking	(2)		Amended - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.	Amended - Non substantive - We made wording changes to improve readability.		
Rule 1800: Commodity Futures Contracts and Options	2500VI	(A)(3)			Repealed - Non substantive - Removed this section since we do not regulate hedger accounts any differently than other accounts.				
Rule 1800: Commodity Futures Contracts and Options	1800.02	(d)(i)	R. 3260. Futures disclosure statement	(1)(i) and (ii)		Amended - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.			Amended - Non substantive - We corrected a grammatical error in 3260(1)(ii) by inserting the word "described". We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 1800: Commodity Futures Contracts and Options	1800.02	(d)(ii)	R. 3260. Futures disclosure statement	(1)(iii)		Amended - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.			
Rule 1800: Commodity Futures Contracts and Options	1800.02	(d)(iii)	R. 3260. Futures disclosure statement	(1)(iv)		Amended - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.			
Rule 1800: Commodity Futures Contracts and Options	1800.07				Repealed - Substantive - Requirement to file futures contract open position reports with IIROC has been repealed.				
			R. 3261. - 3269. Reserved		New - Non substantive - Reserved sections.				

Rule 1800: Commodity Futures Contracts and Options			R. 3270. Introduction	(1)	New - Non substantive - Introductory section.	Amended - Non substantive.	Repealed - Non substantive - We removed the introductory section as its contents were moved to section 3201.		
Rule 1300: Supervision of Accounts	1300.03		R. 3270. Definitions	(1)			New - Non substantive - Changes to conform with existing rules . We had removed the "responsible person" concept in previous publications and we chose to bring it back. Previous section 3271 was renumbered 3270.		Amended - Non substantive - We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
New Provision			R. 3271. Rules applicable to discretionary accounts and managed accounts	(1)	Amended - Non substantive - Definitions of "futures contract", "futures contract option" and "options" moved directly into Rule 3251 from the general definitions section of Rule 1200.		Amended - Non substantive - Defined terms moved from Rules 3251 & 3903 to the general definitions section of Rule 1200. We replaced previous sub-section 3251(1) with a new sub-section which clarifies which sections of Rule 3200 are applicable to options, futures and futures options contract trading accounts for retail clients. Previous section 3270 was renumbered 3271.		Amended - Non substantive - We amended the language for greater clarity.
Rule 2700: Minimum Standards for Institutional Client Account Opening, Operation and Supervision	2700 Introduction	Introduction	R. 3271. Rules applicable to discretionary accounts and managed accounts	(2)		Amended - Non substantive - Non substantive revisions.	Amended - Non substantive - We removed previous sub-section 3230(1) and specified in the first section of each Part of Rule 3200 which rules applied to institutional clients. Previous section 3270 was renumbered 3271.		Amended - Non substantive - We made a minor drafting change for consistency. We also amended the language for greater clarity.

Rule 2700: Minimum Standards for Institutional Client Account Opening, Operation and Supervision	2700 Part II	(2)	R. 3271. Rules applicable to discretionary accounts and managed accounts	(2)		Amended - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.	Amended - Non substantive - We removed previous sub-section 3230(2) and included the requirements for sub-account files for institutional clients in the first section of each Part of Rule 3200. Previous section 3270 was renumbered 3271.		Amended - Non substantive - We made a minor drafting change for consistency. We also amended the language for greater clarity.
Rule 1800: Commodity Futures Contracts and Options			R. 3271. Rules applicable to discretionary accounts and managed accounts	(3)			Amended - Non substantive - Previous sub-section 3270(2) was renumbered 3271(3).		
			R. 3272. Reserved.						
Rule 1300: Supervision of Accounts	1300.03	Discretionary Account	R. 3273. Accepting a discretionary account	(1)	Clean up tranche - reference added.		Amended - Non substantive - Previous section 3272 was renumbered 3273.		
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part VII	Introduction	R. 3273. Accepting a discretionary account	(1)(i) and (ii)			Amended - Non substantive - Previous section 3272 was renumbered 3273.		Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
New Provision			R. 3273. Accepting a discretionary account	(1)(iii)		New - Substantive - New provision restricting the renewal of discretionary authority - Provision is complementary to previously published provision restricting discretionary accounts to a twelve month time period (see comments with respect to sub-clause 3272(1)(iv) below).	Amended - Non substantive - Previous section 3272 was renumbered 3273.		

Rule 1300: Supervision of Accounts	1300.05	(b)	R. 3273. Accepting a discretionary account	(1)(iv)	Amended - Substantive - Provision has been amended to restrict discretionary accounts to a twelve month period - The revised provision will not provide for any conditions under which the term may be extended.		Amended - Non substantive - Previous section 3272 was renumbered 3273.		
Rule 1300: Supervision of Accounts	1300.04	(a)	R. 3273. Accepting a discretionary account	(2)(i)	Amended - Non substantive - Provision clarifies that a supervisor designated to supervise discretionary accounts must meet the requisite proficiency requirements applicable to supervisors. Interpretation consistent with current interpretation of 1300.4(a). See notice # 09-0227.		Amended - Non substantive - Previous section 3272 was renumbered 3273.		
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part VII	(A)(1)	R. 3273. Accepting a discretionary account	(2)(i)			Amended - Non substantive - Previous section 3272 was renumbered 3273.		
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part VII	Introduction	R. 3273. Accepting a discretionary account	(2)(ii)		Amended - Non Substantive - Non substantive revisions conforming to existing Dealer Member Rule.	Amended - Non substantive - Previous section 3272 was renumbered 3273.		
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part VII	(A)(3)	R. 3273. Accepting a discretionary account	(2)(i)			Amended - Non substantive - Previous section 3272 was renumbered 3273.		
Rule 1300: Supervision of Accounts	1300.04	(b)	R. 3273. Accepting a discretionary account	(2)(iv)			Amended - Non substantive - Previous section 3272 was renumbered 3273.		
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part VII	(A)(2)	R. 3273. Accepting a discretionary account	(2)(iv)			Amended - Non substantive - Previous section 3272 was renumbered 3273.		
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part VII	(A)(1) and (A)(2)	R. 3273. Accepting a discretionary account	(2)(v)		Amended - Non Substantive - Non substantive revisions conforming to existing Dealer Member Rule.	Amended - Non substantive - Previous section 3272 was renumbered 3273.		

Rule 1300: Supervision of Accounts	1300.04	(c)	R. 3273. Accepting a discretionary account	(2)(vi)		Amended - Non Substantive - Non substantive revisions conforming to existing Dealer Member Rule.	Amended - Non substantive - Previous section 3272 was renumbered 3273.		
Rule 1300: Supervision of Accounts	1300.05	(a)	R. 3274. Discretionary account agreement	(1)(i)		Amended - Non Substantive - Non substantive revisions conforming to existing Dealer Member Rule.	Amended - Non substantive - Previous section 3273 was renumbered 3274.		
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part VII	(A)(2)	R. 3274. Discretionary account agreement	(1)(i) and (ii)		Amended - Non Substantive - Non substantive revisions conforming to existing Dealer Member Rule.	Amended - Non substantive - Previous section 3273 was renumbered 3274.		
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part VII	(A)(2)	R. 3274. Discretionary account agreement	(1)(ii) and (2)		Amended - Non Substantive - Non substantive revisions conforming to existing Dealer Member Rule.	Amended - Non substantive - Previous section 3273 was renumbered 3274.		
Rule 1300: Supervision of Accounts	1300.05	(b)	R. 3274. Discretionary account agreement	(1)(iii)	Amended - Substantive - Section has been amended to reflect the 12 month time restriction in 3272(1)(iii).	Amended - Non Substantive - Non substantive revisions conforming to existing Dealer Member Rule.	Amended - Non substantive - Previous section 3273 was renumbered 3274.		
Rule 1300: Supervision of Accounts	1300.05	(c)	R. 3274. Discretionary account agreement		Repealed - Substantive - Section has been repealed to reflect the 12 month time restriction in previously published 3272(1)(iii).		Amended - Non substantive - Previous section 3273 was renumbered 3274.		
New Provision			R. 3274. Discretionary account agreement	(1)(iv)		New - Substantive - New provision restricting the renewal of discretionary authority – Provision is complementary to previously published provision restricting discretionary accounts to a twelve month time period.	Amended - Non substantive - Previous section 3273 was renumbered 3274.		
Rule 1300: Supervision of Accounts	1300.05	(d)	R. 3274. Discretionary account agreement	(1)(iv) and (2)			Amended - Non substantive - Previous section 3273 was renumbered 3274.		
Rule 1300: Supervision of Accounts	1300.05	(e)	R. 3274. Discretionary account agreement	(1)(v) and (2)		Amended - Non Substantive - Non substantive revisions conforming to existing Dealer Member Rule.	Amended - Non substantive - Previous section 3273 was renumbered 3274.		

Rule 1300: Supervision of Accounts	1300.04	(d)	R. 3275. Persons authorized to effect discretionary trades	(1)(i)		Amended - Substantive - Addition of Registration Reform categories of registration and non substantive revision.	Amended - Non substantive - Previous section 3274 was renumbered 3275.		
Rule 1300: Supervision of Accounts	1300.04	(e)	R. 3275. Persons authorized to effect discretionary trades	(1)(ii)		Amended - Substantive - Addition of Registration Reform categories of registration and non substantive revisions conforming to existing Dealer Member Rule.	Amended - Non substantive - Previous section 3274 was renumbered 3275.		
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part VII	B.2	R. 3276. Conflicts of interest	(1)	Amended - Substantive - Section has been amended to prohibit the acquisition of publicly traded securities of the Dealer Member or affiliates - Current requirement prohibits the holding of the same.	Amended - Substantive - Addition of Registration Reform categories of registration and non substantive revisions conforming to existing Dealer Member Rule.	Amended - Non substantive - Previous section 3275 was renumbered 3276. We also made wording changes to clarify our requirement.		Amended - Non substantive - We amended this section for consistency with our existing requirements. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 1300: Supervision of Accounts	1300.18		R. 3276. Conflicts of interest	(2)		Amended - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.	Amended - Non substantive - Changes to conform with existing rules. We had removed the "responsible person" concept in previous publications and we chose to bring it back. Previous section 3275 was renumbered 3276.		
New Provision			R. 3276 Conflicts of interest	(3)				New - Substantive - We added a section for consistency with section 3280 - Conflicts of interest (managed accounts).	
New Provision			R. 3276 Conflicts of interest	(3)(i) and (ii)				New - Substantive - We changed reference to "derivative of an issuer" to "derivative of a security of an issuer" for clarity.	Amended - Non substantive - We clarified the language.
			R. 3276 Conflicts of interest	(3)(iv)				New - Substantive - We made changes to make section consistent with similar requirements in NI 31-103.	Amended - Non substantive - We removed clause (iv) and incorporated it in new subsection 3276(4).

New Provision			R. 3276 Conflicts of interest	(4)					New - Non substantive - We added this section to clarify the intent of the section.
Rule 1300: Supervision of Accounts	1300.03	Definition "Managed Account"	R. 3277. Opening a managed account	(1)(i) and (ii)		Amended - Non substantive - Non substantive change conforming to existing Dealer Member Rule.	Amended - Non substantive - Consistent with Rule 3150, clarifies that Dealer Members must comply with all applicable laws, rules, requirements and policies applicable to their activities and not merely those of Rule 3900. Previous section 3281 was renumbered 3277.		Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 1300: Supervision of Accounts	1300.15	(b)	R. 3277. Opening a managed account	(2)(i)			Amended - Non substantive - Previous section 3281 was renumbered 3277.		
Rule 1300: Supervision of Accounts	1300.15	Introduction	R. 3277. Opening a managed account	(2)(ii)		Amended - Non substantive - Non substantive change conforming to existing Dealer Member Rule and PLR clause 3272(2)(ii).	Amended - Non substantive - Previous section 3281 was renumbered 3277.		
Rule 1300: Supervision of Accounts	1300.07	(b)	R. 3277. Opening a managed account	(2)(iii)		Amended - Non substantive - Non substantive change conforming to existing Dealer Member Rule.	Amended - Non substantive - Previous section 3281 was renumbered 3277.		
Rule 1300: Supervision of Accounts	1300.07	(c)	R. 3277. Opening a managed account	(2)(iv) and (v)		Amended - Non substantive - Non substantive change conforming to existing Dealer Member Rule.	Amended - Non substantive - Previous section 3281 was renumbered 3277.		
Rule 1300: Supervision of Accounts	1300.07	(d)	R. 3277. Opening a managed account	(2)(vi)			Amended - Non substantive - Previous section 3281 was renumbered 3277.		

Rule 1300: Supervision of Accounts	1300.08	(a)	R. 3278. Managed account agreement	(1)(i)	Amended - Substantive - Section has been amended to allow that investment objective and risk tolerance information may be incorporated by reference.		Amended - Substantive - We amended this section to include the same “know-your-client” and account portfolio information as must be considered for suitability assessment purposes. Amended - Non substantive - Previous section 3282 was renumbered 3276.		
Rule 1300: Supervision of Accounts	1300.08	(b)	R. 3278. Managed account agreement	(1)(i)		Amended - Non substantive - Non substantive change conforming to existing Dealer Member Rule.	Amended - Non substantive - Previous section 3282 was renumbered 3278.		Amended - Non substantive - We made a minor drafting change for consistency.
Rule 1300: Supervision of Accounts	1300.08	(d)	R. 3278. Managed account agreement	(1)(iii)		Amended - Non substantive - Non substantive change conforming to existing Dealer Member Rule.	Amended - Non substantive - Previous section 3282 was renumbered 3278.		
Rule 1300: Supervision of Accounts	1300.08	(c)	R. 3278. Managed account agreement	(2)(i)			Amended - Non substantive - Previous section 3282 was renumbered 3278.		
Rule 1300: Supervision of Accounts	1300.08	(d)	R. 3278. Managed account agreement	(2)(ii)		Amended - Non Substantive - Non substantive change conforming to existing Dealer Member Rule.	Amended - Non substantive - Previous section 3282 was renumbered 3278.		
Rule 1300: Supervision of Accounts	1300.07	(a)(i)	R. 3279. Persons authorized to deal with managed accounts	(1)(i)		Amended - Non substantive - Non substantive change conforming to existing Dealer Member Rule.	Amended - Non substantive - Previous section 3283 was renumbered 3279.		
New Provision			R. 3279. Persons authorized to deal with managed accounts	(1)(ii)		Amended - Substantive - Addition of Registration Reform category of registration.	Amended - Non substantive - We added the word "licensed" as some foreign jurisdictions use this terminology rather than registered. Also, we removed the words "or company" as the definition of "person" in Rule 1200 includes a corporation. Previous section 3283 was renumbered 3279.		

Rule 1300: Supervision of Accounts	1300.07	(a)(ii)	R. 3279. Persons authorized to deal with managed accounts	(1)(ii) and (2)			Amended - Non substantive - We changed the wording of this clause to make it consistent with the equivalent section in NI 31-103. Previous section 3283 was renumbered 3279.		
Rule 1300: Supervision of Accounts	1300.18		R. 3280. Conflicts of interest	(1)	Amended - Substantive - Clarified that conflict of interest requirements also apply to sub-advisors.	Amended - Substantive - Addition of Registration Reform categories.	New - Non substantive - Changes to conform with existing rules. We had removed the "responsible person" concept in previous publications and we chose to bring it back. Previous section 3284 was renumbered 3280.		
Rule 1300: Supervision of Accounts	1300.19	(a)	R. 3280. Conflicts of interest	(2)(i)	Amended - Substantive - Clarified that conflict of interest requirements also apply to sub-advisors.	Amended - Substantive - Addition of Registration Reform categories.	New - Non substantive - Changes to conform with existing rules. We had removed the "responsible person" concept in previous publications and we chose to bring it back. Previous section 3284 was renumbered 3280.	Amended - Substantive - We changed reference to "derivative of an issuer" to "derivative of a security of an issuer" for clarity. We added "a responsible person" to clarify the intent of the requirement to capture investment funds. We added "prior" before written consent of the client" for consistency with NI 31-103.	
Rule 1300: Supervision of Accounts	1300.19	(b)	R. 3280. Conflicts of interest	(2)(i)	Amended - Substantive - Clarified that conflict of interest requirements also apply to sub-advisors.	Amended - Substantive - Addition of Registration Reform categories.	Amended - Non substantive - Previous section 3284 was renumbered 3280.	Amended - Substantive - We changed reference to "derivative of an issuer" to "derivative of a security of an issuer" for clarity. Also added "a responsible person" to clarify the intent of the requirement to capture investment funds. We added "prior" before written consent of the client" for consistency with NI 31-103.	
Rule 1300: Supervision of Accounts	1300.19	(c)	R. 3280. Conflicts of interest	(2)(iii)	Amended - Substantive - Clarified that conflict of interest requirements also apply to sub-advisors.	Amended - Substantive - Addition of Registration Reform categories.	Amended - Non substantive - Previous section 3284 was renumbered 3280.	Amended - Substantive - We added "prior" before written consent of the client" for consistency with NI 31-103.	

New Provision			R. 3280. Conflicts of interest	(2)(iv)				New - Substantive - We added this sub-section for consistency with NI 31-103 s.13.5(2)(c). We also added "prior" before written consent of the client" for consistency with NI 31-103.	Amended - Non substantive - We removed clause 3280(2)(iv) and incorporated it into clause 3280(3)(iii).
Rule 1300: Supervision of Accounts	1300.19	(d)	R. 3280. Conflicts of interest	(3)	Amended - Substantive - Clarified that conflict of interest requirements also apply to sub-advisors.	New - Substantive - Addition of Registration Reform categories and harmonization with NI 31-103 - Transactions between a client's managed account and a PM/APM or an associate of a PM/APM are permitted currently if client consent at the time of account opening is obtained. The amendments will require client consent be obtained on a transaction by transaction basis.	Amended - Substantive - To be consistent with NI 31-103, transactions between a client's managed account and a responsible person are no longer permitted. Amended - Non substantive - Previous section 3284 was renumbered 3280.	Amended - Non substantive - We clarified the language in this subsection for consistency.	Amended - Non substantive - We made non-material drafting changes for consistency and to clarify our requirement.
New Provision			R. 3280. Conflicts of interest	(4)				New - Substantive - We added this sub-section for consistency with the supervision of managed account requirements in 3970(2)(ii).	
Rule 1300: Supervision of Accounts	1300.19	(e)			Repealed - Substantive - Section allowing a "responsible person" to borrow money from a managed account will be repealed.				
Rule 1300: Supervision of Accounts	1300.16		R. 3281. Fees and remuneration	(1)(i) and (ii)			Amended – Non-substantive – Previous section 3285 was renumbered 3281.		
Rule 1300: Supervision of Accounts	1300.21		R. 3281. Fees and remuneration	(1)(ii)			Amended – Non-substantive – Previous section 3285 was renumbered 3281.		
Rule 1300: Supervision of Accounts	1300.17		R. 3281. Fees and remuneration	(2)		Amended - Non substantive - Non substantive change conforming to existing Dealer Member Rule.	Amended – Non-substantive – Previous section 3285 was renumbered 3281.		
			R. 3282. – 3399. Reserved		New - Non substantive - Reserved sections.				

New Provision			R. 3401. Introduction	(1)	New - Non substantive - Introductory section.				
Rule 1300: Supervision of Accounts	1300.01	(p)	R. 3402. Retail client suitability requirements	(1)(i)		Amended - Non substantive - Non substantive change conforming to existing Dealer Member Rule.			
Rule 1300: Supervision of Accounts	1300.01	(q)	R. 3402. Retail client suitability requirements	(1)(ii)		Amended - Non substantive - Non substantive change conforming to existing Dealer Member Rule.			
Rule 1300: Supervision of Accounts	1300.01	(r)	R. 3402. Retail client suitability requirements	(1)(iii)		New - Non substantive - Non substantive change conforming to existing Dealer Member Rule.		Amended - Substantive - We added withdrawal of securities from an account to the suitability triggering events.	
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Introduction	Introduction, Principal (c)	R. 3402. Retail client suitability requirements	(1)(iii)		Amended - Substantive - Addition of Registration Reform category of registration.	Amended - Substantive - We amended sub-clause 3402(1)(iii)(a) to require a suitability determination be made when a client's securities are transferred out of their account (in addition to received into the client's account).	Amended - Substantive - We added withdrawal of securities from an account to the suitability triggering events.	
Rule 1300: Supervision of Accounts	1300.01	(s)	R. 3402. Retail client suitability requirements	(2)		New - Non substantive - Non substantive change conforming to existing Dealer Member Rule.			
Rule 2500: Minimum Standards for Retail Customer Account Supervision			R. 3402. Retail client suitability requirements	(3)	New - Substantive - Codifying existing IIROC expectation.				
New Provision			R. 3402. Retail client suitability requirements	(3)		New - Substantive - Conforms to section 13.3(2) of NI 31-103.	Amended - Non substantive - We made non substantive changes to further conform to section 13.3(2) of NI 31-103.		
Rule 2700: Minimum Standards for Institutional Client Account Opening, Operation and Supervision	2700 Part I	(1)	R. 3403. Institutional client suitability requirements	(1)		New - Non substantive - Non substantive change conforming to existing Dealer Member Rule.			
Rule 2700: Minimum Standards for Institutional Client Account Opening, Operation and Supervision	2700 Part I	(2)	R. 3403. Institutional client suitability requirements	(2)		New - Non substantive - Non substantive change conforming to existing Dealer Member Rule.			

Rule 2700: Minimum Standards for Institutional Client Account Opening, Operation and Supervision	2700 Part I	(1)	R. 3403. Institutional client suitability requirements	(3)		New - Non substantive - Non substantive change conforming to existing Dealer Member Rule.			
Rule 1300: Supervision of Accounts	1300.01	(t)	R. 3404. Exemptions from and exceptions to suitability requirements	(1)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.	Amended - Non substantive - We made a small change to this sub-section to clarify that institutional OEO clients are also exempt from suitability relating to orders.	Amended - Substantive - We conformed the words of the suitability exemption for OEO firms to IIROC's regulatory expectation and to the exemption for general advice in NI 31-103. This change is also consistent with current practice and client expectations. We also changed 3404(1)(ii) to "provides no recommendation to purchase, sell, hold or exchange any security, including any class of security or the security of a class of issuer" to conform with NI 31-103.	
Rule 2700: Minimum Standards for Institutional Client Account Opening, Operation and Supervision	2700 Part I	(3)	R. 3404. Exemptions from and exceptions to suitability requirements	(2)(i)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.			
Rule 1300: Supervision of Accounts	1300.01	(u)	R. 3404. Exemptions from and exceptions to suitability requirements	(2)(i)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.			Amended - Non substantive - We amended this clause to clarify our existing requirements.
Rule 2700: Minimum Standards for Institutional Client Account Opening, Operation and Supervision	2700 Part I	(4)	R. 3404. Exemptions from and exceptions to suitability requirements	(2)(ii)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.			
Rule 1300: Supervision of Accounts	1300.01	(v)	R. 3404. Exemptions from and exceptions to suitability requirements	(3)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.			

			R. 3405. Reserved			New - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.	Repealed - Non substantive - Previously published Rule 3405 ("Order execution only account services") was duplicative of Rule 3241(7). We deleted Rule 3405 and made minor revisions to Rule 3241(7) as a result of the combination of these two Rules.		
New Provision			R. 3406. Delegation	(1)			Amended - Substantive - We added in a new sub-clause (1) clarifying that suitability is primarily the responsibility of the Registered Representative, Portfolio Manager or Associate Portfolio Manager assigned to the client account. Amended - Non substantive - We updated this sub-section for consistency with the defined terms in sub-section 1201(2).		
New Provision			R. 3406. Delegation	(2)		New - Substantive - Registration Reform categories of registration added. Suitability assessment obligations must not be delegated.	Amended - Non substantive - Sub-section number changed from (1) to (2) because we added in a new sub-section (1). We also updated terms in this clause for greater clarity and consistency.		
			R. 3407. - 3499. Reserved		New - Non-substantive - Reserved sections.				
Rule 0029: Business Conduct	29.13	(1)	R. 3501. Introduction	(1)(i)	New - Non substantive - Introductory section.				Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.

Rule 0029: Business Conduct	29.13	(a) Premarketing definitions	R. 3502. Definitions	(1)	Clean up tranche - Definition added.				Amended - Non substantive - We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0029: Business Conduct	29.13	(a) Premarketing definitions	R. 3502. Definitions	(1)	Amended- Non substantive- Definition refers to securities legislation. Clean up tranche - Definition added.		Amended - Non substantive - We made changes to improve readability.		Amended - Non substantive - We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0029: Business Conduct	29.13	(a) Premarketing definitions	R. 3502. Definitions	(1)	Clean up tranche - Definition added.				Amended - Non substantive - We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0029: Business Conduct	29.13	(a) Premarketing definitions		(1)	Repealed- Non substantive - Term “Bought Deal” not used in the definition of distribution or throughout the rule. Clean up tranche - Definition not added.				

Rule 0029: Business Conduct	29.03	A	R. 3503. Client priority	(1)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.			
Rule 1300: Supervision of Accounts	1300.20		R. 3503. Client priority	(3)	Amended - Substantive - Clarification of application of client priority rule as it relates to partners, directors and employees of Dealer Members who participate in a managed account program.	Amended - Non substantive - Non substantive change conforming to existing Dealer Member Rule.	Amended – Non substantive – We removed the carve out for those involved in decisions, which effectively conforms to the current Dealer Member Rule. Amended - Non substantive - Previous section 3285 (“Application of client priority”) was moved to within Rule 3503.		
New Provision			R. 3504. Commission fees, service fees and other account related fees	(1)-(2)	New - Substantive - New provision introduced for consistency with previous section 3506.				Amended - Non substantive - We clarified the language.
Rule 0029: Business Conduct	29.08		R. 3504. Commission fees, service fees and other account related fees	(1)-(2)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.	Amended - Non substantive - We made a minor change to improve readability.		Amended - Non substantive - We clarified the language.
New Provision			R. 3504. Commission fees, service fees and other account related fees	(3)		Amended - Non substantive - Reserved subsection.			Amended - Non substantive - We removed this reserved subsection as it was redundant.
New Provision			R. 3504. Commission fees, service fees and other account related fees	(4)	New - Substantive - Provision provides an exemption for institutional clients.				Amended - Non substantive - Previous subsection 3504(4) was renumbered 3504(3).
Rule 0029: Business Conduct	29.08		R. 3504. Commission fees, service fees and other account related fees	(5)		New - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.			Amended - Non substantive - Previous subsection 3504(5) was renumbered 3504(4).
Rule 1300: Supervision of Accounts	1300.21		R. 3504. Commission fees, service fees and other account related fees	(6)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.			Amended - Non substantive - Previous subsection 3504(6) was renumbered 3504(5).
Rule 0900: Service Charge on Rights	900.01				Repealed - Substantive - The provision is no longer relevant. IIROC does not mandate the amount of commission fees.				

Rule 0900: Service Charge on Rights	900.02		R. 3505. Payment of commission fees	(1)	Amended - Substantive - The condition set out in Dealer Member 900.2 is equally applicable to all trades. Consistent with current interpretation of IIROC Dealer Member rules and securities legislation, the provision applies to all trades. Previously published – Clean up tranche - Provision not previously accounted for.	Amended - Substantive - Addition of Registration Reform categories of registration.			Amended - Non substantive - We clarified the requirement.
Rule 0029: Business Conduct	29.02		R. 3506. During the period of distributions	(1)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.			
Rule 0029: Business Conduct	29.04		R. 3506. During the period of distributions	(2)					
Rule 0029: Business Conduct	29.03		R. 3507. New issues	(1), (2) and (3)			Amended - Non substantive - We re-ordered the sub-sections in this section.		
Rule 0029: Business Conduct	29.05		R. 3508. Inside information	(1), (2), (3), (4) and (5)	Amended - Substantive - Section now refers to: special relationship rather than fiduciary relationship, material non-public information rather than privileged information, in the necessary course of business rather than anyone not authorized to receive the information.	Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.	Amended - Non substantive - We made a minor wording change. We also updated sub-section 3508(4) for consistency with the defined terms in sub-section 1201(2).		Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 0029: Business Conduct	29.13	(b)(iii)A	R. 3509. Premarketing	(1)(i)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.			
Rule 0029: Business Conduct	29.13	(b)(iii)B	R. 3509. Premarketing	(1)(ii)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.			
Rule 0029: Business Conduct	29.13	(b)(i)	R. 3509. Premarketing	(2)(i)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.			

Rule 0029: Business Conduct	29.13	(b)(ii)	R. 3509. Premarketing	(2)(ii)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.	Amended - Non substantive - We updated this sub-section for consistency with the defined terms in sub-section 1201(2).		
Rule 0029: Business Conduct	29.13	(b)(iii)	R. 3509. Premarketing	(2)(iii)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.			
Rule 0029: Business Conduct	29.13	(b)(iii) last paragraph	R. 3509. Premarketing	(3)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.	Amended - Non substantive - We updated this sub-section for consistency with the defined terms in sub-section 1201(2).		
Rule 0029: Business Conduct	29.13	(d)	R. 3509. Premarketing	(4)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.			
Rule 0029: Business Conduct	29.13	(c)	R. 3509. Premarketing	(5)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.			
Rule 0029: Business Conduct	29.13	(e)	R. 3509. Premarketing	(6)			Repealed- Substantive - We removed a requirement for Dealer Members, when acting as underwriters, to file a premarketing certificate. We instead require them to maintain records verifying their compliance with proposed section 3509.	Amended - Substantive - We changed the requirements to be consistent with obligations under 3601(1).	Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 0029: Business Conduct	29.13	(e)	R. 3509. Premarketing	(7)			Repealed- Substantive - We removed a requirement for Dealer Members, when acting as underwriters, to file a premarketing certificate. We instead require them to maintain records verifying their compliance with proposed section 3509.		
			R. 3510. - 3599. Reserved		New - Non substantive - Reserved sections.				

New Provision			R. 3601. Introduction	(1)	New - Non substantive - Introductory section.				Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
New Provision			R. 3601. Introduction	(2)					New - Non-substantive - We added subsection 3601(2) as a table of contents for Rule 3600. We made this change to improve reader navigation within the Rule.
Rule 0029: Business Conduct	29.07	"advertisement(s)" or "advertising"	R. 3602. Definitions	(1)	Clean up tranche - Definition added.		Amended – Non-substantive – We edited this clause to conform more closely with current definition.		Amended - Non substantive - We moved this definition to subsection 1201(2). We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0029: Business Conduct	29.07	"correspondence"	R. 3602. Definitions	(1)	Clean up tranche - Definition added.		Amended – Non substantive – We amended the scope of the definition to conform with current definition.		Amended - Non substantive - We moved this definition to subsection 1201(2). We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0029: Business Conduct	29.07	"sales literature"	R. 3602. Definitions	(1)	Clean up tranche - Definition added.				Amended - Non substantive - We moved this definition to subsection 1201(2). We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).

Rule 0029: Business Conduct	29.07	"trading strategy"	R. 3602. Definitions	(1)	Clean up tranche - Definition added.				Amended - Non substantive - We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0029: Business Conduct	29.07	(1)	R. 3603. Advertising	(1)					
Rule 0029: Business Conduct	29.07	(2) first sentence	R. 3603. Advertising	(2)					Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 0029: Business Conduct	29.07	(2) second sentence			Repealed - Substantive - Deleted Requirement for policies And procedures to be Approved by IIROC.				
Rule 0029: Business Conduct	29.07	(3)	R. 3603. Advertising	(3)	Clean up tranche - Reference added.		Amended – Non substantive – We deleted previous sub-section 3603(3) to conform with the existing rule and related guidance (MR0281), which does not require that a Supervisor conduct “post use reviews” or “post use sampling”. Previous sub-section (4) was re-numbered (3).		Amended - Non substantive - We removed the unneeded cross-reference in this subsection to another subsection. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0029: Business Conduct	29.07	(3)	R. 3603. Advertising	(4)			Amended – Non substantive – Previous sub-section (5) was re-numbered (4).		

Rule 0029: Business Conduct	29.07	(4)	R. 3603. Advertising	(5)			Current publication- Amended – Non substantive – Previous sub-section (6) was re-numbered (5).		Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 0029: Business Conduct	29.07	(5)	R. 3603. Advertising	(6)	Amended - Substantive - Change in the Record Retention period.		Amended – Non substantive – We changed the record retention provision to reference to 3803 for specificity. Previous sub-section (7) was re-numbered (6).		
			R. 3604. - 3605. Reserved		New - Non-substantive - Reserved sections.				
Rule 0029: Business Conduct	Definitions	"analyst"	R. 3606. Definitions	(1)	Clean up tranche - Definition added.		Amended - Non substantive - We made changes to the wording of this section to improve readability.		Amended - Non substantive - We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0029: Business Conduct	Definitions	"equity related security"	R. 3606. Definitions	(1)	Clean up tranche - Definitions added - the term Equity Related Security was not used in the previously submitted PLR 3600. The term will be used where appropriate.				Amended - Non substantive - We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.

Rule 3400: Research Restrictions and Disclosure Requirements		"investment banking service"	R. 3606. Definitions	(1)	Clean up tranche - Definition added.				Amended - Non substantive - We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 3400: Research Restrictions and Disclosure Requirements		"research report"	R. 3606. Definitions	(1)	Clean up tranche - Definition added.				Amended - Non substantive - We moved the definition of "research report" to subsection 1201(2).
Rule 3400: Research Restrictions and Disclosure Requirements	Introduction		R. 3607. Policies and procedures and minimum disclosures	(1)			Amended – Non-substantive - We removed the separate requirement to disclose conflicts of interest as this is captured in section 3114.		Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 0029: Business Conduct	29.07	(3)	R. 3607. Policies and procedures and minimum disclosures			Amended – Substantive – clarification that this was a substantive change: The current requirement is that a “supervisory analyst” or the head of research is responsible for approving all research reports. The proposed plain language provision only requires that a “designated Supervisor”, who is not necessarily an officer, approve each research report.			
Rule 3400: Research Restrictions and Disclosure Requirements	Requirement 1				Repealed - Substantive - Deleted requirement for policies and procedure to be approved by IIROC.				

Rule 3400: Research Restrictions and Disclosure Requirements	Requirement 2	(a)(i)-(vi)	R. 3608. Research report disclosure of potential conflicts of interest	(1)-(2)			Amended – Substantive - We clarified that disclosure is not required in specific instances. We also made a substantive change to clause 3608(2)(ii) to ensure all indirect positions are disclosed. We made a substantive change to clause 3608(2)(iv) to mirror remuneration requirement in clause 3602(2)(iii). We reverted to current requirements in clauses 3608(2)(iii) and 3608(2)(vi).		
Rule 3400: Research Restrictions and Disclosure Requirements	Requirement 2	(b),(c) and last paragraph	R. 3609. Additional disclosures	(1)-(2)					
Rule 3400: Research Restrictions and Disclosure Requirements	Requirement 6		R. 3609. Additional disclosures	(1)(ii)					Amended - Non substantive - We clarified the language for consistency by adding the word "reports" after the word research. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 3400: Research Restrictions and Disclosure Requirements	Introduction	(second last sentence in first paragraph)	R. 3610. Quality of disclosures in a research report	(1)					
Rule 3400: Research Restrictions and Disclosure Requirements	Introduction	(second last sentence in first paragraph)	R. 3610. Quality of disclosures in a research report	(2)		New - Non substantive - Amendment to clarify current interpretation with respect to boilerplate disclosures reference in the introduction section of existing Dealer Member Rule 3400.			
Rule 3400: Research Restrictions and Disclosure Requirements	Requirement 2		R. 3610. Quality of disclosures in a research report	(1)			Amended - Non substantive - We made changes to the wording of this section to improve readability.		

Rule 3400: Research Restrictions and Disclosure Requirements	Requirement 4		R. 3611. Independent third party research	(1)-(2)			Amended - Non substantive - We updated sub-section 3611(2) for consistency with the defined terms in sub-section 1201(2).		Amended - Non substantive - We clarified the language for consistency by adding the word "reports" after the word research. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054). We also made newer non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 3400: Research Restrictions and Disclosure Requirements	Requirement 4		R. 3611. Independent third party research	(2)				Amended - Substantive - We clarified the intent of this requirement.	Amended - Non substantive - We deleted reference to “Financial Conduct Authority” to be consistent with existing DMR 3400, Requirement 4.
Rule 3400: Research Restrictions and Disclosure Requirements	Requirement 15		R. 3612. Directing the reader to disclosures	(1)		Amended - Non substantive - to incorporate amendments to existing Dealer Member Rule 3400 that were implemented in 2013.	Amended – Substantive - We included price target disclosures under section 3616 in the compendium reporting provision.		
Rule 3400: Research Restrictions and Disclosure Requirements	Requirement 13		R. 3613. Visiting an issuer	(1)				Amended - Substantive - We clarified the intent of this requirement.	
Rule 3400: Research Restrictions and Disclosure Requirements	Requirement 5		R. 3614. Relationship with the issuer	(1)			Amended – Non-substantive - We clarified that a Dealer Member may not issue a report if the analyst who prepared the report is an officer, director, employee of or advisor to the issuer.		
Rule 3400: Research Restrictions and Disclosure Requirements	Requirement 18		R. 3614. Relationship with the issuer	(2)					
Rule 3400: Research Restrictions and Disclosure Requirements	Requirement 16		R. 3615. Notice to discontinue coverage	(1)					

Rule 3400: Research Restrictions and Disclosure Requirements	Requirement 20		R. 3616. Setting price targets	(1)					
Rule 3400: Research Restrictions and Disclosure Requirements	Requirement 12		R. 3617. Prohibited Inducements	(1)					Amended - Non substantive - We clarified the language for consistency by adding the word "reports" after the word research. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 3400: Research Restrictions and Disclosure Requirements	Requirement 3		R. 3618. Public comments	(1)					
Rule 3400: Research Restrictions and Disclosure Requirements	Requirement 7		R. 3619. Policies and procedures on trading	(1)					Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 3400: Research Restrictions and Disclosure Requirements	Requirement 8		R. 3619. Policies and procedures on trading	(2), (3) and (4)		Amended - Non substantive - for consistency with other existing Dealer Member Rules and PLR rules changed “partners, directors and officer” in 3619(3) to “Executive”			
Rule 3400: Research Restrictions and Disclosure Requirements	Requirement 9		R. 3620. Prohibition on investment banking compensation	(1)					
Rule 3400: Research Restrictions and Disclosure Requirements	Requirement 10		R. 3620. Prohibition on investment banking compensation	(2)			Amended – Non-substantive - We included the word “directly” in this sub-section to conform to the existing Dealer Member Rule.		

Rule 3400: Research Restrictions and Disclosure Requirements	Requirement 11		R. 3621. Relationship with investment banking	(1)-(2)					Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 3400: Research Restrictions and Disclosure Requirements	Requirement 14		R. 3622. Quiet periods	(1)-(2)		Amended - Non substantive - for consistency with existing Dealer Member Rule changes in Notice 15-0216, effective September 25, 2015.			
Rule 3400: Research Restrictions and Disclosure Requirements	Requirement 14.1		R. 3622. Quiet periods	(3)			Amended - Non substantive - We updated this sub-section for consistency with the defined terms in sub-section 1201(2).		
Rule 3400: Research Restrictions and Disclosure Requirements	Requirement 19		R. 3623. Outside business activities	(1)					
Rule 3400: Research Restrictions and Disclosure Requirements	Requirement 17		R. 3624. Annual certification	(1)			Repealed - Substantive - We removed the annual certification requirement.		
			R. 3624. - 3699. Reserved		New - Non substantive - Reserved sections.				
Rule 3400: Research Restrictions and Disclosure Requirements	Guidelines 1 to 9				Repealed - Non-substantive - Guidelines as to best practices in developing policies and procedures on Research Reports have been moved to Guidance Note 3600-3.				
New Provision			R. 3701. Introduction	(1)	New - Non substantive - Introduction section.				
Rule 3100: Reporting and Recordkeeping Requirements	Introduction		R. 3701. Introduction	(2)	New - Non substantive - Introduction section.				
New Provision			R. 3701. Introduction	(4)					New - Non-substantive - We added subsection (4) as a table of contents for Rule 3700. We made this change to improve reader navigation within the Rule.
Rule 3100: Reporting and Recordkeeping Requirements	Definitions	“civil claim”			Repealed-Non substantive - Definition unnecessary				

Rule 3100: Reporting and Recordkeeping Requirements	Definitions	"Compensation"			Repealed-Non- substantive - Term not used in the Rule.				
Rule 3100: Reporting and Recordkeeping Requirements	3100I	(A)(1)(a)	R. 3702. Reporting by an Approved Person to the Dealer Member	(1)(i)					
Rule 3100: Reporting and Recordkeeping Requirements	3100I	(A)(1)(b)	R. 3702. Reporting by an Approved Person to the Dealer Member	(1)(ii)			Amended - Non substantive - We updated this clause for consistency with the defined terms in sub-section 1201(2).		
Rule 3100: Reporting and Recordkeeping Requirements	3100I	(A)(1)(c)	R. 3702. Reporting by an Approved Person to the Dealer Member	(1)(iii)					
Rule 3100: Reporting and Recordkeeping Requirements	3100I	(A)(1)(d)	R. 3702. Reporting by an Approved Person to the Dealer Member	(1)(iv)					
Rule 2500B: Client Complaint Handling	2500B	(4)	R. 3702. Reporting by an Approved Person to the Dealer Member	(2)					
Rule 2700: Minimum Standards for Institutional Client Account Opening, Operation and Supervision	Part V	(2)	R. 3702. Reporting by an Approved Person to the Dealer Member	(2)					
Rule 3100: Reporting and Recordkeeping Requirements	3100I	(A)(2)	R. 3702. Reporting by an Approved Person to the Dealer Member	(3)					
Rule 3100: Reporting and Recordkeeping Requirements	3100I	(B)(1)(a)	R. 3703. Reporting by a Dealer Member to IIROC	(1)(i)			Amended - Non substantive - We removed previous clause 3703(1)(i) as it was duplicative of clause 2703(2)(i). We also included content from previous sub-section 3703(2). Previous clause 3703(1)(ii) was renumbered 3703(1)(i).		
Rule 3100: Reporting and Recordkeeping Requirements	3100I	(B)(1)(d)	R. 3703. Reporting by a Dealer Member to IIROC	(1)(ii)			Amended - Non substantive - Previous clause 3703(1)(iii) was renumbered 3703(1)(ii).		
Rule 3100: Reporting and Recordkeeping Requirements	3100I	(B)(1)(h)	R. 3703. Reporting by a Dealer Member to IIROC	(1)(iii)			Amended - Non substantive - Previous clause 3703(1)(iv) was renumbered 3703(1)(iii).		
Rule 3100: Reporting and Recordkeeping Requirements	3100I	(B)(1)(h)	R. 3703. Reporting by a Dealer Member to IIROC	(1)(iv)(a)			Amended - Non substantive - Previous clause 3703(1)(v) was renumbered 3703(1)(iv).		

Rule 3100: Reporting and Recordkeeping Requirements	3100I	(B)(1)(c)(i)	R. 3703. Reporting by a Dealer Member to IIROC	(1)(iv)(b)			Amended - Non substantive - Previous clause 3703(1)(v) was renumbered 3703(1)(iv). We updated this sub-clause for consistency with the defined terms in sub-section 1201(2).		
Rule 3100: Reporting and Recordkeeping Requirements	3100I	(B)(1)(c)(ii)	R. 3703. Reporting by a Dealer Member to IIROC	(1)(iv)(c)			Amended - Non substantive - Previous clause 3703(1)(v) was renumbered 3703(1)(iv).		
Rule 3100: Reporting and Recordkeeping Requirements	3100I	(B)(1)(c)(iii)	R. 3703. Reporting by a Dealer Member to IIROC	(1)(iv)(d)			Amended - Non substantive - Previous clause 3703(1)(v) was renumbered 3703(1)(iv).		
Rule 3100: Reporting and Recordkeeping Requirements	3100I	(B)(1)(e)	R. 3703. Reporting by a Dealer Member to IIROC	(1)(iv)(e)			Amended - Non substantive - Previous clause 3703(1)(v) was renumbered 3703(1)(iv).		
Rule 3100: Reporting and Recordkeeping Requirements	3100I	(B)(1)(f)	R. 3703. Reporting by a Dealer Member to IIROC	(1)(v)			Amended - Non substantive - Previous clause 3703(1)(vi) was renumbered 3703(1)(v).		New - Non-substantive - We made a non-material drafting change for consistency.
Rule 3100: Reporting and Recordkeeping Requirements	3100I	(B)(1)(g)(i)	R. 3703. Reporting by a Dealer Member to IIROC	(1)(vi)(a)			Amended - Non substantive - Previous clause 3703(1)(vii) was renumbered 3703(1)(vi).		
Rule 3100: Reporting and Recordkeeping Requirements	3100I	(B)(1)(g)(ii)	R. 3703. Reporting by a Dealer Member to IIROC	(1)(vi)(b)			Amended - Non substantive - Previous clause 3703(1)(vii) was renumbered 3703(1)(vi). We also updated this sub-clause for consistency with the defined terms in sub-section 1201(2).		
Rule 3100: Reporting and Recordkeeping Requirements	3100I	(B)(1)(g)(iii)	R. 3703. Reporting by a Dealer Member to IIROC	(1)(vi)(c)			Amended - Non substantive - Previous clause 3703(1)(vii) was renumbered 3703(1)(vi).		
Rule 3100: Reporting and Recordkeeping Requirements	3100I	(B)(1)(g)(iv)	R. 3703. Reporting by a Dealer Member to IIROC	(1)(vi)(d)			Amended - Non substantive - Previous clause 3703(1)(vii) was renumbered 3703(1)(vi).		
Rule 3100: Reporting and Recordkeeping Requirements	3100I	(B)(1)(g)(v)	R. 3703. Reporting by a Dealer Member to IIROC	(1)(vi)(e)			Amended - Non substantive - Previous clause 3703(1)(vii) was renumbered 3703(1)(vi).		
Rule 3100: Reporting and Recordkeeping Requirements	3100I	Definitions	R. 3703. Reporting by a Dealer Member to IIROC	(2)			Repealed - Non substantive - We moved content from this sub-section to 3703(1).		

Rule 3100: Reporting and Recordkeeping Requirements	3100I	(B)(2) and (3)	R. 3704. Failure to report	(1)					
			R. 3705. Reserved		New - Non-substantive - Reserved sections.				
Rule 3100: Reporting and Recordkeeping Requirements	3100II	(1)	R. 3706. Requirement to commence an internal investigation	(1)					
Rule 3100: Reporting and Recordkeeping Requirements	3100	Definitions	R. 3706. Requirement to commence an internal investigation	(2)					
Rule 3100: Reporting and Recordkeeping Requirements	3100II	(2)(a)	R. 3707. Records of an internal investigation	(1)					
Rule 2500B: Client Complaint Handling	2500B	(7)	R. 3708. Internal Discipline	(1)			Amended - Non substantive - We updated this sub-section for consistency with the defined terms in sub-section 1201(2).		Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 2700: Minimum Standards for Institutional Client Account Opening, Operation and Supervision	Part V	(5)	R. 3708. Internal Discipline	(1)					
			R. 3709. Reserved		New - Non-substantive - Reserved sections.				
Rule 3100: Reporting and recordkeeping requirements	3100III	(1) and (2)	R. 3710. Entering into settlement agreements	(1)-(2)					
Rule 2500B: Client Complaint Handling	2500B	(5)	R. 3711. Release						Amended - Non substantive - We replaced the term "self-regulatory organization" with the defined term "SRO".
			R. 3712. - 3714. Reserved		New - Non-substantive - Reserved sections.				
Rule 2700: Minimum Standards for Institutional Client Account Opening, Operation and Supervision	Part V	(1)	R. 3715. Policies and Procedures	(1)					Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.

Rule 2700: Minimum Standards for Institutional Client Account Opening, Operation and Supervision	Part V	(1)	R. 3715. Policies and Procedures	(2)					Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 2700: Minimum Standards for Institutional Client Account Opening, Operation and Supervision	Part V	(1)(a)	R. 3715. Policies and Procedures	(2)(i)			Amended - Substantive - Consistent with Rule 3721(1), we amended this section to include both written and verbal complaints.		
Rule 2700: Minimum Standards for Institutional Client Account Opening, Operation and Supervision	Part V	(1)(b)	R. 3715. Policies and Procedures	(2)(ii)					
Rule 2700: Minimum Standards for Institutional Client Account Opening, Operation and Supervision	Part V	(1)(d)	R. 3715. Policies and Procedures	(2)(iii)					
Rule 2700: Minimum Standards for Institutional Client Account Opening, Operation and Supervision	Part V	(3)	R. 3715. Policies and Procedures	(2)(iv)		Amended - Non substantive - changed “senior management” to “appropriate Executive” for consistency with other PLR rule changes and terminology used in the existing Dealer Member Rules.			
Rule 2700: Minimum Standards for Institutional Client Account Opening, Operation and Supervision	Part V	(1)(c)	R. 3715. Policies and Procedures	(2)(v)		Amended - Substantive - changed reference to “sales supervisor or compliance staff” to “Supervisor” for consistency with other PLR rule changes and terminology used in the existing Dealer Member Rules.			
Rule 2700: Minimum Standards for Institutional Client Account Opening, Operation and Supervision	Part V	(6)	R. 3715. Policies and Procedures	(3)			Amended - Non substantive - We amended this section to be consistent with the current rule that recommendations to remedy a serious problem should be submitted to "appropriate management level”.		

			R. 3716. - 3719. Reserved		New - Non substantive - Reserved sections.				
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part VIII		R. 3720. Retail Client Complaints						
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500B	Introduction	R. 3720. Retail Client Complaints		Clean up tranche - Reference added.				
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500B	(2)	R. 3721. Application	(1) through (3)			Amended - Non substantive - We made changes to the wording of this section to improve readability.		Amended - Non substantive - We made drafting changes to incorporate the "Dealer Member related activities" defined term. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 2500B: Client Complaint Handling	2500B	(2)	R. 3722. Handling client complaints	(1)		Amended - Substantive - changed reference to “sales supervisor or compliance staff” to “Supervisor” for consistency with other PLR rule changes and terminology used in the existing Dealer Member Rules.			Amended - Non substantive - We made non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 2500B: Client Complaint Handling	2500B	(3)	R. 3722. Handling client complaints	(2)		Amended - Substantive - Introduction of the term “Supervisor” for consistency with other PLR rule changes and terminology used in the existing Dealer Member Rules.			
Rule 2500B: Client Complaint Handling	2500B	(4)	R. 3723. Complaint policies and procedures	(1) through (3)		Amended - Non substantive - changed “appropriate management level” to “UDP or other Executive” for consistency with other PLR rule terminology changes.	Amended - Non substantive - We amended this section to be consistent with the current rule that recommendations to remedy a serious problem should be submitted to “appropriate management level”.		Amended - Non substantive - We made a non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).

Rule 2500B: Client Complaint Handling	2500B	(4)	R. 3724. Client access	(1)-(2)					
Rule 2500B: Client Complaint Handling	2500B	(4)	R. 3725. Client acknowledgement letter	(1)-(2)					Amended - Non substantive- We made a non-material drafting changes to clarify our requirements.
Rule 2500B: Client Complaint Handling	2500B	(4)	R. 3726. Response to client complaints	(1) through (4)				Amended - Substantive - We clarified the intent of the requirement in 3726(3)(iv)(c).	Amended - Non substantive- We made a non-material drafting change in clause 3726(4)(ii) in order to clarify our requirements
Rule 2500B: Client Complaint Handling	2500B	(4)	R. 3727. Duty to assist in client complaint resolution	(1)-(2)					
Rule 2500B: Client Complaint Handling	2500B	(6)	R. 3728. Client complaint file	(1)					
			R. 3729. - 3779. Reserved		New - Non substantive - Reserved sections.				
Rule 2500B: Client Complaint Handling	2500B	(4)	R. 3780. Reporting legal actions	(1)	Amended - Substantive - We changed the recipient of the report to the "appropriate Executive", rather than "senior management".				
Rule 2700: Minimum Standards for Institutional Client Account Opening, Operation and Supervision	Part V	(3)	R. 3780. Reporting legal actions	(1)	Amended - Substantive - We changed the recipient of the report to the "appropriate Executive", rather than "senior management".				
			R. 3781. - 3784. Reserved		New - Non substantive - Reserved sections.				
Rule 3100: Reporting and recordkeeping requirements	3100I	(B)(2)	R. 3785. Matters reported to IIROC	(1)					
Rule 2500B: Client Complaint Handling	2500B	(6)	R. 3786. Client Complaints	(1)					
Rule 2700: Minimum Standards for Institutional Client Account Opening, Operation and Supervision	Part V	(4)	R. 3786. Client Complaints	(2)					
			R. 3787. - 3799. - Reserved		New - Non substantive - Reserved sections.				
Rule 0200: Minimum records	200.2	Guide to interpretation	Guidance Note 3800-1			Amended - Non substantive - Moved the guide to interpretation into a guidance note because majority of the information provided is redundant of the rule.			

Member Regulation Notice	IDA MR-0087	Consolidated Statements			New - Substantive - Added new section to incorporate the information set out in a guidance notice on consolidated statements to clients.	Deleted - Non substantive - Given that three new client reports have been introduced under CRM2 since the issuance of IDA MR-0087 in 2001, it is now not relevant to codify the guidance in the rule.			
Rule 3100: Reporting and Recordkeeping Requirements	3100II	(2)(b)	R. 3800. Dealer Member records and client communications		Repealed- Non-substantive - General record retention requirements set out in Rule 3800.				
Rule 0200: Minimum records			R. 3800. Dealer Member records and client communications		Amended - Non substantive - Renamed title from "Minimum Records" to "Business records and client communications"	Amended - Non substantive - Clean up tranche - Renamed title from "Business records and client communications" to " Dealer Member records and client communications" to reflect the definition of "records" in Rule 1200.			
Rule 0017: Dealer Member Minimum Capital, Conduct of Business and Insurance	17.02		R. 3801. Introduction	(1)	Clean up tranche - Reference updated.				
New Provision			R. 3801. Introduction	(2)	New - Non substantive - Introduction section added.	Deleted - Non substantive - Part A, Part B, and Part C (Subsection 3801(2)) has been removed because they are no longer relevant.			

Rule 0200: Minimum records	200.1	(a)-(h)	R. 3802. Definitions	(1)		New - Non substantive - Definitions has been added as a result of the expected implementation of CRM on December 31, 2015 and July 15, 2016 (IIROC Notices 15-0013 and 15-0128).	Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency.		Amended - Non substantive - We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable. We also added and defined the terms "connected issuer" and "related issuer" to clarify our requirements.
New Provision			Part A - Record Retention		New - Non substantive - Part A section added.	Deleted - Non substantive - Removed because it is no longer relevant.			
New Provision			R. 3803. General requirements for record retention periods		New - Substantive - The provision is drafted to conform with NI 31-103 which requires records to be kept for a period of seven years from the date the record is created.	Amended - Non substantive - Revisions made to wording and this section has been renumbered (formerly section 3802).			
New Provision			Part B - Business records		New - Non substantive - Part B section added.	Deleted - Non substantive - Removed because it is no longer relevant.			
Rule 0017: Dealer Member Minimum Capital, Conduct of Business and Insurance	17.2		R. 3804. General requirements to maintain records	(1)-(3)		Amended - Non substantive - This section has been renumbered (formerly section 3805).			Amended - Non substantive - We clarified the language in this section for consistency. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).

Rule 0200: Minimum records	200.2	Introduction	R. 3804. General requirements to maintain records	(1)		Amended - Non substantive - This section has been renumbered (formerly section 3805).	Amended - Substantive - We amended this sub-section to be consistent with sections 11.5 and 11.6 of NI 31-103.		Amended - Non substantive - We clarified the language in this section for consistency. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
New Provision			R. 3804. General requirements to maintain records	(2)			Amended - Substantive - We added in this sub-section to be consistent with section 11.5 of NI 31-103.		Amended - Non substantive - We clarified the language in this section for consistency. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0200: Minimum records	200.2	Introduction	R. 3804. General requirements to maintain records	(3)			Amended - Non-substantive - Previous sub-section 3804(2) was renumbered 3804(3).		
Rule 0200: Minimum records	200.2	Introduction	R. 3804. General requirements to maintain records	(4)			Amended - Non-substantive - Previous sub-section 3804(3) was renumbered 3804(4).		
Rule 0017: Dealer Member Minimum Capital, Conduct of Business and Insurance	17.13		R. 3804. General requirements to maintain records	(5)	New - Substantive - The proposed Rule relating to statistical information provided by Dealer Members has been rewritten to eliminate the approval of the Board of Directors. IIROC will retain the ability to require Dealer Members to provide statistical information.	Amended - Non substantive - This section has been renumbered (formerly section 3805).	Amended - Non-substantive - Previous sub-section 3804(4) was renumbered 3804(5).		
Rule 0200: Minimum records	200.2	(a)	R. 3805. Trade Blotters (records of original entry)			Amended - Non substantive - Renamed to "Trade blotters (records of original entry) and this section has been renumbered (formerly section 3806).			

Rule 0200: Minimum records	200.2	(a)(Introductio n)	R. 3805. Trade Blotters (records of original entry)	(1)(iii)		Amended - Non substantive - Conforming to existing Dealer Member Rule and inadvertently omitted.	Amended - Non substantive - We updated terms in this clause for greater clarity and consistency.		
Rule 0200: Minimum records	200.2	(a)(Introductio n)	R. 3805. Trade Blotters (records of original entry)	(1)(iv)		Amended - Non substantive - Conforming to existing Dealer Member Rule and inadvertently omitted.			
Rule 0200: Minimum records	200.2	(a)	R. 3805. Trade Blotters (records of original entry)	(2)		Amended - Non substantive - A prescription of the requirements are added back and to conform to existing Dealer Member Rule. Amendments to have equivalent additional requirements for other derivative-specific products will potentially be part of a future IIROC project.			Amended - Non substantive - We removed an incorrectly placed word.
Rule 0200: Minimum records	200.2	(a)	R. 3805. Trade Blotters (records of original entry)	(2)(i)(a)		Amended - Non substantive - Conforming to existing Dealer Member Rule and inadvertently omitted the word "class".			
Rule 0200: Minimum records	200.2	(a)	R. 3805. Trade Blotters (records of original entry)	(2)(ii)-(iii)	New - Substantive - The proposed Rule will specifically require opening or closing transactions (where required by the marketplace) to be shown on blotters. Transactions that do not identify whether it is an opening or closing transaction can significantly complicate the risk management process of the clearing house since it becomes difficult to identify and match up positions.		Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency.		Amended - Non substantive - We moved an incorrectly placed word. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).

Rule 0200: Minimum records	200.2	(b)	R. 3806. General ledger of accounts			Amended - Non substantive - Revisions made to title and this section has been renumbered (formerly section 3807).			
Rule 0200: Minimum records	200.2	(c)	R. 3807. Itemized client ledger accounts			Amended - Non substantive - Revisions made to title and this section has been renumbered (formerly section 3808).	Amended - Non substantive - We updated this section for consistency with the defined terms in sub-section 1201(2).		
Rule 0200: Minimum records	200.2	(c)(Introduction)	R. 3807. Itemized client ledger accounts	(1)		Amended - Non substantive - Revisions made to wording and to conform with existing Dealer Member Rule.	Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency.		
Rule 0200: Minimum records	200.2	(d)(i)(A)	R. 3808. Client account statements	(1)-(2)		Amended - Non substantive - This section has been amended to conform with the expected implementation of CRM on December 31, 2015 and July 15, 2016 (IIROC Notices 15-0013 and 15-0128).			
Rule 0200: Minimum records	200.2	(d)(ii)(F)	R. 3808. Client account statements	(3)		New - Non substantive - This section has been added to conform with the expected implementation of CRM on December 31, 2015 and July 15, 2016 (IIROC Notices 15-0013 and 15-0128).			Amended - Non substantive - We updated cross-references.

Rule 0200: Minimum records	200.2	(d)(ii)(H)	R. 3808. Client account statements	(3)		New - Non substantive - This section has been added to conform with the expected implementation of CRM on December 31, 2015 and July 15, 2016 (IIROC Notices 15-0013 and 15-0128).			Amended - Non substantive - We updated cross-references. We also removed duplicative language.
Rule 0200: Minimum records	200.2	(d)(iii)	R. 3808. Client account statements	(4)		New - Non substantive - This section has been added to conform with the expected implementation of CRM on December 31, 2015 and July 15, 2016 (IIROC Notices 15-0013 and 15-0128).			
Rule 0200: Minimum records	200.2	(d)(iv)	R. 3808. Client account statements	(5)			Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency.		Amended - Non substantive - We clarified the language.
Rule 0200: Minimum records	200.2	(d)(v)	R. 3808. Client account statements	(6)			Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency.		Amended - Non substantive - We clarified the language.
Rule 0200: Minimum records	200.2	(d)(vi)	R. 3808. Client account statements	(7)			Amended - Non substantive - We updated this section for consistency with the defined terms in sub-section 1201(2).		Amended - Non substantive - We made minor drafting changes to improve readabitlity.
Rule 1200: Clients' Free Credit Balances	1200.02		R. 3808. Client account statements	(8)					
Rule 0200: Minimum records	200.2	(e)	R. 3809. Report on client position held outside of the Dealer Member			New - Non substantive - This section has been added to conform with the expected implementation of CRM on December 31, 2015 and July 15, 2016 (IIROC Notices 15-0013 and 15-0128).	Amended - Non substantive - We updated this section for consistency with the defined terms in sub-section 1201(2).		Amended - Non substantive - We updated terms in this section for greater clarity and consistency. We clarified the language in this section. We also corrected cross-referencing in this section as a result of renumbering in other sections.

Rule 0200: Minimum records	200.2	(f)	R. 3810. Performance report			New - Non substantive - This section has been added to conform with the expected implementation of CRM on December 31, 2015 and July 15, 2016 (IIROC Notices 15-0013 and 15-0128).			Amended - Non substantive - We clarified the language in this section. We also corrected cross-referencing in this section as a result of renumbering in other sections.
Rule 0200: Minimum records	200.2	(g)	R. 3811. Fee/charge report			New - Non substantive - This section has been added to conform with the expected implementation of CRM on December 31, 2015 and July 15, 2016 (IIROC Notices 15-0013 and 15-0128).			Amended - Non substantive - We updated terms in this section for greater clarity and consistency.
Rule 0200: Minimum records	200.2	(h)	R. 3812. Secondary or subsidiary records				Amended - Non substantive - We updated this section for consistency with the defined terms in sub-section 1201(2).		
Rule 0200: Minimum records	200.2	(i)	R. 3813. Securities record	(1)-(2)		Amended - Non substantive - Revisions made to wording to conform with existing Dealer Member Rule.			
Rule 0200: Minimum records	200.2	(j)	R. 3814. Commodity record			Amended - Non substantive - Revisions made to wording and title to conform with existing Dealer Member Rule. This section has been renumbered (formerly section 3811).	Amended - Non substantive - We updated terms in this section for greater clarity and consistency.		
Rule 0200: Minimum records	200.2	(k)	R. 3815. Memoranda of orders	(1)-(2)		Amended - Non substantive - Revisions made to wording and title to conform with existing Dealer Member Rule. This section has been renumbered (formerly section 3812).	Amended - Non substantive - We merged previous sub-sections 3815(1) and 3815(2), and previous sub-section 3815(3) was renumbered 3815(2). We updated terms in sub-section 3815(1) for greater clarity and consistency.		Amended - Non substantive - We made a minor drafting change for consistency.

Rule 0200: Minimum records	200.2	(k)	R. 3815. Memoranda of orders	(1)(iv)		Amended - Non substantive - Conforming to existing Dealer Member Rule and inadvertently omitted.			
Rule 0200: Minimum records	200.2	(l)(Introduction)	R. 3816. Trade confirmations	(1)-(2)		Amended - Non substantive - This section has been amended to conform with the expected implementation of CRM on December 31, 2015 and July 15, 2016 (IIROC Notices 15-0013 and 15-0128).	Amended - Non substantive - We updated terms in this section for greater clarity and consistency.	Amended - Substantive - We clarified the intent of the requirement in 3816(2)(i)(d).	Amended - Non substantive - See Notice 17-0133 for details.
Rule 0200: Minimum records	200.2	(l)(v) -(l)(x)	R. 3816. Trade confirmations	(2)(v) - (x)		Amended - Non substantive - This section has been amended to conform with the expected implementation of CRM on December 31, 2015 and July 15, 2016 (IIROC Notices 15-0013 and 15-0128).	Amended - Non substantive - We updated this section for consistency with the defined terms in sub-section 1201(2).	Amended - Substantive - We clarified the intent of the requirement in 3816(2)(x)(a)(IV)(B)(ii)(e).	Amended - Non substantive - We made non-material drafting changes for consistency with the defined terms in section 3802. We also made non-material changes to clarify our requirements.
Rule 0200: Minimum records	200.2	(l)(vi)(B)-(l)(vi)(C)	R. 3816. Trade confirmations	(2)(vi)(b) - (c)		New - Non substantive - Added implemented amendments from existing Dealer Member Rule (IIROC Notice #11-0256 - OTC securities fair pricing rule and confirmation disclosure requirements. Further, this section has been renumbered.)			
Rule 0200: Minimum records	200.2	(l)(x)(B)	R. 3816. Trade confirmations	(2)(x)(b)		New - Non substantive - Added implemented amendments from existing Dealer Member Rule (IIROC Notice #13-0231 - Trade confirmation and matching requirement. Further, this section has been renumbered.)			
Rule 0200: Minimum records	200.2	(m)				Deleted - Non substantive - This section has been removed as it is captured in the 4000 series.			

Rule 0200: Minimum records	200.2	(n)	R. 3817. Puts, calls and other options						
Rule 0200: Minimum records	200.2	(o)				Deleted - Non substantive - This section has been removed as it is captured in the 4000 series.			
Rule 0200: Minimum records	200.2	(p)	R. 3818. Margin call records						
Rule 0200: Minimum records	200.2	(q)				Deleted - Non substantive - This section has been removed as it is captured in the 4000 series.			
Rule 0200: Minimum records	200.2	(r)	R. 3819. Account transfer records						Amended - Non substantive - We corrected cross-referencing in this section as a result of renumbering in other sections.
			R. 3820. - 3834. Reserved.			New - Non substantive - Reserved sections added.			
Rule 0200: Minimum records	200.3		R. 3835. Option of earlier date			New - Non substantive - This section has been added to conform with the expected implementation of CRM on December 31, 2015 and July 15, 2016 (IIROC Notices 15-0013 and 15-0128).			Amended - Non substantive - We corrected cross-referencing in this section as a result of renumbering in other sections.
			R. 3836-3844. Reserved.			New - Non substantive - Add reserved sections.			
Rule 0200: Minimum records	200.4		R. 3845. Timing of the sending of documents to clients			New - Non substantive - This section has been added to conform with the expected implementation of CRM on December 31, 2015 and July 15, 2016 (IIROC Notices 15-0013 and 15-0128).			Amended - Non substantive - We corrected cross-referencing in this section as a result of renumbering in other sections.
			R. 3846.-3899. Reserved.			New - Non substantive - Add reserved sections.			

New Provision			R. 3901. Introduction	(1) through (3)	New - Non-substantive - Introduction section.	Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.	Amended – Non substantive –We removed the words "fully and properly" for consistency with other introductory sections. We also included the table of contents from previous sub-section 3902(1).		Amended - Non substantive - We updated the language and terms in this introductory section to reflect changes made in Rule 3900. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054). We also made other non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
			R. 3902. Reserved.	(1)	New - Non substantive- Added table of contents for clarity within the rule.	Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.	Amended - Non substantive - We moved the content from previous sub-section 3902(1) to sub-section 3901(1). Section 3902 is now reserved.		
			R. 3903. Reserved.						Repealed - Non substantive - We removed this reserve section.
Rule 2700: Minimum Standards for Institutional Client Account Opening, Operation and Supervision	2700 Part III	(D)	R. 3904. Policies and procedures		Clean up tranche - Reference added.				
Rule 0038: Compliance and Supervision	38.01	Introduction	R. 3904. Policies and procedures	(1)-(2)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.	Amended - Non substantive - We updated this section for consistency with the defined terms in sub-section 1201(2).		
Rule 0038: Compliance and Supervision	38.01	(i)	R. 3904. Policies and procedures	(1)-(2)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.	Amended - Non substantive - We moved previous clause 3904(2)(i) to section 1404(1).		Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.

Rule 2700: Minimum Standards for Institutional Client Account Opening, Operation and Supervision	2700 Part III	(E)	R. 3904. Policies and procedures	(1)-(2)					Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 3200: Minimum Requirements for Dealer Members Seeking Approval Under Rule 1300.1(t) to Offer an Order-Execution Only Service	3200 Part A	(2)(a)	R. 3904. Policies and procedures	(1), (2) and (3)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.			Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 0038: Compliance and Supervision	38.01	(ii)	R. 3904. Policies and procedures	(2)(iii)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.	Amended - Non substantive - We clarified our expectation that Dealer Members' policies and procedures be designed to achieve compliance all laws, rules and regulations applicable to the Dealer Members' business and not merely securities legislation.		
Rule 0038: Compliance and Supervision	38.01	(iv)	R. 3904. Policies and procedures	(2)(iv)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.			Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 3200: Minimum Requirements for Dealer Members Seeking Approval Under Rule 1300.1(t) to Offer an Order-Execution Only Service	3200 Part B	(2)(a)	R. 3904. Policies and procedures	(1), (2) and (3)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.	Amended - Non substantive - We updated this section for consistency with the defined terms in sub-section 1201(2).		Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.

Rule 3200: Minimum Requirements for Dealer Members Seeking Approval Under Rule 1300.1(t) to Offer an Order-Execution Only Service	3200 Part A	(2)(b)	R. 3904. Policies and procedures	(3)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.			Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 0038: Compliance and Supervision	38.01	(iv)	R. 3904. Policies and procedures	(3)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.			Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 0038: Compliance and Supervision	38.01	(iii)	R. 3904. Policies and procedures	2(v)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.			
Rule 3200: Minimum Requirements for Dealer Members Seeking Approval Under Rule 1300.1(t) to Offer an Order-Execution Only Service	3200 Part A	(4)	R. 3904. Policies and procedures	(1)-(6)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.			Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part I	(E)	R. 3904. Policies and procedures	(1)-(3)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.			Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 0038: Compliance and Supervision	38.01	(iv)	R. 3905. Supervisory personnel and resources	(1)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.			Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.

Rule 0038: Compliance and Supervision	38.02		R. 3905. Supervisory personnel and resources	(1)-(2)					Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 0038: Compliance and Supervision	38.01	(v)	R. 3905. Supervisory personnel and resources	(2)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.			
Rule 0038: Compliance and Supervision	38.02	(a)	R. 3905. Supervisory personnel and resources	(2)		Amended - Non substantive - Reference Added - Non substantive changes conforming to existing Dealer Member Rule.			
Rule 0038: Compliance and Supervision	38.03				Repealed - Non-substantive - Redundant within registration provisions.				
Rule 2700: Minimum Standards for Institutional Client Account Opening, Operation and Supervision	2700 Part III	(A)	R. 3905. Supervisory personnel and resources		Clean up tranche - Reference added.				
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part I	(A)(1)(a)	R. 3905. Supervisory personnel and resources	(1)-(2)	Clean up tranche - Reference added.				

Rule 2500: Minimum Standards for Retail Customer Account Supervision			R. 3905. Supervisory personnel and resources	(3)		New - Substantive - Registration Reform related amendment - Clarifies that the Dealer Member must appoint as many Executives as necessary to ensure compliance with the Corporation requirements - Creates consistency between the Dealer Member's responsibility to appoint as many Supervisors as necessary - Codifies the existing expectation of the role of Executives within an IIROC Dealer Member, as noted in The Role of Compliance and Supervision Guidance Notice (Notice 12-0379).			Amended - Non substantive - We made a non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0038: Compliance and Supervision	38.01	(vi)	R. 3905. Supervisory personnel and resources	(4)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.			
Rule 0038: Compliance and Supervision	38.02	(b)	R. 3905. Supervisory personnel and resources	(4)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.			
Rule 0038: Compliance and Supervision			R. 3905. Supervisory personnel and resources	(4) and (5)		New - Substantive - Registration Reform related amendment - Clarifies that a Dealer Member's Executives, like Supervisors, must have the appropriate qualifications, authority and proficiency to ensure compliance with the Corporation requirements - Codifies the existing expectation of the role of Executives within an IIROC Dealer Member, as noted in the Role of Compliance and Supervision notice.			

Rule 0038: Compliance and Supervision	38.01	(vi)	R. 3905. Supervisory personnel and resources	(5)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.	Amended – non-substantive – We made changes to ensure our use of the terms "employees" and "Approved Persons" were consistent with other provisions in this section.		
Rule 0038: Compliance and Supervision	38.01	(ii)	R. 3905. Supervisory personnel and resources	(6)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.			
Rule 0038: Compliance and Supervision	38.04	(a)	R. 3906. Responsibilities of the Supervisor	(1)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule - Use of term “other applicable laws” from Previously published has been changed to “applicable securities legislation” for consistence with existing Dealer Member Rule - Change of title of section 3906 for consistency with other sections of Rule 3900.	Amended - Non substantive - We updated this section for consistency with the defined terms in sub-section 1201(2).		
Rule 2700: Minimum Standards for Institutional Client Account Opening, Operation and Supervision	2700 Part III	(C)	R. 3907. Delegation of supervisory tasks		Clean up tranche - Reference added.				
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part I	(D)(1)	R. 3907. Delegation of supervisory tasks	(1)					
Rule 2700: Minimum Standards for Institutional Client Account Opening, Operation and Supervision	2700 Part III	(C)(1)	R. 3907. Delegation of supervisory tasks	(1)					Amended - Non substantive - We made a non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0038: Compliance and Supervision	38.04	(b)	R. 3907. Delegation of supervisory tasks	(1)					

Rule 0038: Compliance and Supervision	38.04	(b)(i)	R. 3907. Delegation of supervisory tasks	(2)			Amended - Non substantive - We updated this section for consistency with the defined terms in sub-section 1201(2).		
Rule 0038: Compliance and Supervision	38.04	(b)(i)	R. 3907. Delegation of supervisory tasks	(3)					
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part I	D(4)	R. 3907. Delegation of supervisory tasks	(3)					
Rule 0038: Compliance and Supervision	38.04	(b)(iv)	R. 3907. Delegation of supervisory tasks	(4)(i)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.			
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part I	(D)(2)	R. 3907. Delegation of supervisory tasks	(4)(i)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.			
Rule 0038: Compliance and Supervision	38.04	(b)(iii)	R. 3907. Delegation of supervisory tasks	(4)(ii)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.			
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part I	(D)(3)	R. 3907. Delegation of supervisory tasks	(4)(ii)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.			
Rule 0038: Compliance and Supervision	2500 Part I	(D)(3)	R. 3907. Delegation of supervisory tasks	(4)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.			
Rule 0038: Compliance and Supervision	38.04	(b)(iv)	R. 3907. Delegation of supervisory tasks	(5)		Amended - Non substantive - Inclusion of existing Dealer Member Rule.			
Rule 0038: Compliance and Supervision	2500 Part I	(D)(2)	R. 3907. Delegation of supervisory tasks	(6)		Amended - Non substantive - Inclusion of existing Dealer Member Rule.			
Rule 0038: Compliance and Supervision	38.01	(v)	R. 3908. Supervision records	(1)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.			

Rule 0038: Compliance and Supervision	38.01	(vii)	R. 3908. Supervision records	(2)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.			
Rule 0038: Compliance and Supervision	38.01	(vii)	R. 3908. Supervision records	(3)					
Rule 0038: Compliance and Supervision	38.01	(vi)	R. 3908. Supervision records	(4)					
Rule 0038: Compliance and Supervision	38.01	(v)	R. 3908. Supervision records	(5)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.			
New Provision			R. 3909. Responsibility of the Executive	(1)		New - Substantive - Registration Reform related amendment - As set out in The Role of Compliance and Supervision Guidance Notice (Notice 12-0379), Executives must supervise and direct the actions of the Dealer Member's employees and Approved Persons to ensure compliance with the Corporation requirements.	Amended - Non substantive - We updated this section for consistency with the defined terms in sub-section 1201(2).		
Rule 0038: Compliance and Supervision	38.05	(c)(ii)	R. 3909. Responsibility of the Executive	(1)					Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 0038: Compliance and Supervision	38.07					New - Non substantive - Moved previously published sections 3908 and 3909 to section 2506.			
New Provision			R. 3910. Responsibilities of the Ultimate Designated Person (UDP)	(1)-(2)		New - Substantive - Registration Reform related amendments to section setting out the responsibilities of the UDP.			
Rule 0038: Compliance and Supervision	38.05	(a)	R. 3910. Responsibilities of the Ultimate Designated Person (UDP)	(1)					

Rule 0038: Compliance and Supervision	38.05	(c)(i)	R. 3910. Responsibilities of the Ultimate Designated Person (UDP)	(2)(i)			Amended - Non substantive - We updated this clause for consistency with the defined terms in sub-section 1201(2).		
Rule 0038: Compliance and Supervision	38.05	(c)(ii)	R. 3910. Responsibilities of the Ultimate Designated Person (UDP)	(2)(ii)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.	Amended - Non substantive - We updated this clause for consistency with the defined terms in sub-section 1201(2).		
			R. 3911. Reserved.			New - Non substantive - Reserved section.			
Rule 0038: Compliance and Supervision	38.07	(h)(i)	R. 3912. Responsibilities of the Chief Compliance Officer	(1)(i)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.	Amended - Substantive – We clarified the requirements to ensure CFO and CCO responsibilities are clearly delineated. Amended - Non substantive - We updated this clause for consistency with the defined terms in sub-section 1201(2).	Amended - Substantive - We clarified the intent of this requirement.	
Rule 0038: Compliance and Supervision	38.07	(h)(ii)	R. 3912. Responsibilities of the Chief Compliance Officer	(1)(ii)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.	Amended - Substantive – We clarified the requirements to ensure CFO and CCO responsibilities are clearly delineated. Amended - Non substantive - We updated this clause for consistency with the defined terms in sub-section 1201(2).		
Rule 0038: Compliance and Supervision	38.07	(h)(iii)	R. 3912. Responsibilities of the Chief Compliance Officer	(1)(iii)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.	Amended - Substantive – We clarified the requirements to ensure CFO and CCO responsibilities are clearly delineated. Amended - Non substantive - We updated this clause for consistency with the defined terms in sub-section 1201(2).		

Rule 0038: Compliance and Supervision	38.07	(i)	R. 3912. Responsibilities of the Chief Compliance Officer	(2)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.			
Rule 0038: Compliance and Supervision	38.06	(c)	R. 3913. Responsibilities of the Chief Financial office	(1)-(2)		New - Substantive - Registration Reform related amendment - Consistent with The Role of Compliance and Supervision Guidance Notice (Notice 12-0379) and with existing Dealer Member Rule 38.6 - Clarifies the responsibilities of the CFO in a manner that is consistent to the responsibilities allocated to the CCO.	Amended – Substantive – We clarified the requirements to ensure CFO and CCO responsibilities are clearly delineated, and to provide the CFO with responsibility for reporting of financial matters and access to the UDP and Board as far as the CFO is responsible for compliance with IIROC's financial requirements. Amended - Non substantive - We added a reference to section 4116 which covers other CFO responsibilities. We updated this section for consistency with the defined terms in sub-section 1201(2).		Amended - Non substantive - We clarified the language in clause 3913(1)(ii). We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
New Provision			R. 3914. Responsibilities of the Chief Operating Officer	(1)		New - Substantive - Registration Reform related amendments - Sets out the responsibilities of the COO, or equivalent - Requires that the COO, or equivalent, be required to establish policies and procedures relating to the operational requirements of the Dealer Member.	Repealed - Substantive - We removed the separate COO responsibilities, in recognition that there is not a COO approval category.		
			R. 3914. Reserved.						

Rule 0038: Compliance and Supervision	38.07	(h)(iv)	R. 3915. Report to Dealer Member's Board of Directors	(1)		Amended - Substantive - Registration Reform related amendments requiring the CCO to provide an annual report to the Dealer Member's board of directors with respect to the Dealer Member's compliance with the rules of the Corporation.	Amended - Non substantive - We updated this sub-section for consistency with the defined terms in sub-section 1201(2).		
New Provision			R. 3915. Report to Dealer Member's Board of Directors	(2)		Amended - Substantive - Registration Reform related amendments requiring the CFO to provide an annual report to the Dealer Member's board of directors with respect to the Dealer Member's compliance with the rules of the Corporation.	Amended - Non substantive - We updated this sub-section for consistency with the defined terms in sub-section 1201(2).		
Rule 0038: Compliance and Supervision	38.08		R. 3915. Report to Dealer Member's Board of Directors	(3)		Amended - Substantive - Registration Reform related amendments - Requirement for Board to determine appropriate action be taken in response to reports provided by under subsection 3915(1) - (3) - Consistent with existing Dealer Member Rule 38.8.	Repealed - Substantive – We repealed previous sub-section 3915(3) (which required COOs to provide an annual report to the Dealer Member's board of directors with respect to the Dealer Member's compliance with the operational rules of the Corporation) to align with changes to the underlying requirements contained in 3914. Amended – Non-substantive – Previous sub-section (4) was re-numbered (3).		
Rule 0038: Compliance and Supervision	38.08		R. 3915. Report to Dealer Member's Board of Directors	(4)		Amended - Substantive - Registration Reform related amendments - Requirement for Board to maintain records of actions taken under subsection 3915(4) Consistent with existing Dealer Member Rule 38.8.	Amended – Non-substantive – Previous sub-section (5) was re-numbered (4).		
Rule 0038: Compliance and Supervision	38.09	(a)-(b)	R. 3916. Governance Document	(1)					

Rule 0038: Compliance and Supervision	38.07	(f)	R. 3917. Replacing a Chief Compliance Officer	(1)-(2)			Repealed - Non substantive - We removed previous section 3917 because it was duplicative of section 2506.		
Rule 0038: Compliance and Supervision	38.06	(b)	R. 3918. Replacing a Chief Financial Officer	(1)-(2)			Repealed - Non substantive - We removed previous section 3918 because it was duplicative of section 2505.		
Rule 2600: Internal Control Policy Statements	2600 Statement 1 General Matters	(v) last paragraph	R. 3917. Annual supervisory review of financial and operational policies and procedures	(1)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.	Amended - Non substantive - Previous section 3919 was renumbered 3917.		
Rule 2600: Internal Control Policy Statements	2600 Statement 4	Procedure (10)	R. 3917. Annual supervisory review of financial and operational policies and procedures	(1)	Clean up tranche - Reference added.		Amended - Non substantive - Previous section 3919 was renumbered 3917.		
Rule 2400: Relationships Between Dealer Members and Financial Services Entities: Sharing of Office Premises	2400 Minimum Standards for Shared Premises	7(b)	R. 3918. Supervision of shared office premises	(1)-(2)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.	Amended - Non substantive - Previous section 3920 was renumbered 3918.		Amended - Non substantive - We corrected cross-referencing in this section as a result of renumbering in other sections. We also made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 2400: Relationships Between Dealer Members and Financial Services Entities: Sharing of Office Premises	2400 Minimum Standards for Shared Premises	7(b)	R. 3918. Supervision of shared office premises			Amended - Substantive - Addition of Registration Reform category of registration.	Amended - Non substantive - Previous section 3920 was renumbered 3918.		
			R. 3919. - 3924. Reserved		New - Non substantive - Reserved sections.		Amended - Non substantive - Previous section 3920 was renumbered 3918.		
Rule 0038: Compliance and Supervision	38.01	(i)	R. 3925. Supervision by designated persons	(1)-(2)					Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.

Rule 0038: Compliance and Supervision	38.01	(i)	R. 3925. Supervision by designated persons	(2)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.			Amended - Non substantive - We clarified the language in this subsection. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 1300: Supervision of Accounts	1300.02	(a)	R. 3925. Supervision by designated persons	(1) (2) and (3)			Amended - Non substantive - We updated this section for consistency with the defined terms in sub-section 1201(2).		Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 2700: Minimum Standards for Institutional Client Account Opening, Operation and Supervision	2700 Part II	(3)	R. 3925. Supervision by designated persons	(2) and (4)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.	Amended - Non substantive - We amended this sentence for greater clarity.		
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part I	(A)(1)(b)	R. 3926. Account supervision policies and procedures	(1)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.			
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Establishing and Maintaining Procedures, Delegation and Education Part I	(A)(2)	R. 3926. Account supervision policies and procedures	(1)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.			
Rule 2700: Minimum Standards for Institutional Client Account Opening, Operation and Supervision	2500 Part I	(c)(2)	R. 3926. Account supervision policies and procedures	(1)	Clean up tranche - Reference added.				Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.

Rule 2700: Minimum Standards for Institutional Client Account Opening, Operation and Supervision	2700 Introduction	4th paragraph	R. 3926. Account supervision policies and procedures	(1)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.			Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 2700: Minimum Standards for Institutional Client Account Opening, Operation and Supervision	2700 Part IV	(A)	R. 3926. Account supervision policies and procedures	(1)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.			Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part I	(C)(1)	R. 3926. Account supervision policies and procedures	(2)					Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part I	(C)(3)	R. 3926. Account supervision policies and procedures	(2)					Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part II	Intro – last sentence	R. 3926. Account supervision policies and procedures	(2)(iii)			Amended - Non substantive - We updated terms in this clause for greater clarity and consistency.	Amended - Non-Substantive - We clarified the language.	

Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part I	(A)(2)	R. 3926. Account supervision policies and procedures	(3)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.	Amended - Non substantive - We clarified that only substantive amendments to the supervisory related policies and procedures require CCO approval. We also amended the language to clarify that the section relates to all accounts held at the Dealer Member and not merely the Dealer Member's own accounts.	Amended - Substantive - In Dealer Member Rule 2500I(A)(2), we require policies and procedures be approved by "senior management". We now add term "appropriate Executive" for consistency with other areas where we replaced "senior management" with "appropriate Executive" and to recognize that all Supervision can fall under either the CCO or another Executive (such as the COO).	
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part I	(A)(1)(c)	R. 3926. Account supervision policies and procedures	(4)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.			
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part VI	(C)	R. 3926. Account supervision policies and procedures	(4)	Clean up tranche - Reference added.				
New Provision			R. 3926. Account supervision policies and procedures	(5)	New - Non substantive - Clarifies that recordkeeping and access to records must be supervised and controlled - Implied under existing Dealer Member Rules.				Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part I	(B)	R. 3926. Account supervision policies and procedures	(6)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.			Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.

Rule 2700: Minimum Standards for Institutional Client Account Opening, Operation and Supervision	2700 Part III	(B)(2)	R. 3926. Account supervision policies and procedures	(6)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.	Amended - Non substantive - We updated this section for consistency with the defined terms in sub-section 1201(2).		Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 0038: Compliance and Supervision	38.01	Introduction	R. 3927. Reviews of account activity	(1)			Amended - Non substantive - We updated this section for consistency with the defined terms in sub-section 1201(2).		Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 2500: Minimum Standards for Retail Customer Account Supervision	Part I	(B) first part	R. 3927. Reviews of account activity	(1)					Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 0038: Compliance and Supervision	2700 Introduction		R. 3927. Reviews of account activity	(1)					Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 0038: Compliance and Supervision	38.01	(vii)	R. 3927. Reviews of account activity	(2)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.			
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part I	(F)	R. 3927. Reviews of account activity	(2)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.			
Rule 2700: Minimum Standards for Institutional Client Account Opening, Operation and Supervision	2700 Part III	(B)(1)	R. 3927. Reviews of account activity	(2)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.			

Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part I	(C)(4)	R. 3927. Reviews of account activity	(3)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.			
			R. 3928. - 3944. Reserved		New - Non substantive - Reserved sections.			Amended - Non-Substantive - Due to reorganization of section, changed Reserved sections from 3933-3944 to 3928-3944.	
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part IV	Two-Tier Reviews	R. 3945. Daily and monthly trade supervision	(1)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.			Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part IV	(A)	R. 3945. Daily and monthly trade supervision	(2)		Amended - Substantive - Addition of Registration Reform category of registration and non substantive revisions.			Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part III	(B)(2)	R. 3945. Daily and monthly trade supervision	(3)			Amended - Non substantive - We updated this section for consistency with the defined terms in sub-section 1201(2).		Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part II	(C)	R. 3945. Daily and monthly trade supervision	(4)					
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part IV	(E)	R. 3946. Additional supervisory responsibilities	(1)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.	Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.		Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.

Rule 0018: Registered Representatives & Investment Representatives	18.06		R. 3947. Supervision of New Registered Representatives and Investment Representatives	(1)-(3)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.			Amended - Non sustantive - We replaced the term "self-regulatory organization" with the new defined term "SRO".
Rule 1300: Supervision of Accounts	1300.01	(p)	R. 3948. Supervision of suitability obligations	(1)		Amended - Substantive - Addition of Registration Reform category of registration and non substantive revisions.			
			R. 3949. Reserved						
			R. 3969. Reserved		New - Non substantive - Reserved sections.			Amended - Non-Substantive - As a result of re-numbering of this section, the reserved sections changed from 3954-3959 to 3969.	
Rule 2700: Minimum Standards for Institutional Client Account Opening, Operation and Supervision	2700 Part IV	(A)	R. 3950. Supervisory policies and procedures for institutional client accounts	(1)		Amended - Non Substantive - Non substantive changes conforming to existing Dealer Member Rule.		Moved - Non-Substantive - Re-numbered this section to clarify and ensure consistency in the drafting of the supervisory requirements. This section was formerly 3960.	Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 2700: Minimum Standards for Institutional Client Account Opening, Operation and Supervision	2700 Part IV	(B)	R. 3950. Supervisory policies and procedures for institutional client accounts	(2)		Amended - Non Substantive - Non substantive changes conforming to existing Dealer Member Rule.		Moved - Non-Substantive - Re-numbered this section to clarify and ensure consistency in the drafting of the supervisory requirements. This section was formerly 3960.	Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 1300: Supervision of Accounts	1300.01	(p)	R. 3951. Supervision of suitability obligations	(1)		Amended - Substantive - Addition of Registration Reform categories of registration and non substantive revisions consistent with IIROC expectations.	Amended - Non substantive - We changed the title of this section for greater clarity.	Moved - Non-Substantive - Re-numbered this section to clarify and ensure consistency in the drafting of the supervisory requirements. This section was formerly 3961.	
			R. 3952. - 3954. Reserved		New - Non substantive - Reserved sections.			Amended - Non-Substantive - As a result of re-numbering of this section, the reserved sections changed.	

Rule 3200: Minimum Requirements for Dealer Members Seeking Approval Under Rule 1300.1(t) to Offer an Order-Execution Only Service	3200 Part A	(2)(a)	R. 3955. Supervision of order execution only accounts	(1)				Moved - Non-Substantive - Re-numbered this section to clarify and ensure consistency in the drafting of the supervisory requirements. This section was formerly 3980.	Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
New Provision			R. 3955. Supervision of Execution Only Trades in Advisory Accounts	(1)(i)	New - Non substantive - General provision requiring compliance by order execution only firms – Implied under existing Dealer Member Rules.			Moved - Non-Substantive - Re-numbered this section to clarify and ensure consistency in the drafting of the supervisory requirements. This section was formerly 3980.	
Rule 3200: Minimum Requirements for Dealer Members Seeking Approval Under Rule 1300.1(t) to Offer an Order-Execution Only Service	3200 Part A	(4)(a)	R. 3955. Supervision of Execution Only Trades in Advisory Accounts	(1)(ii)				Moved - Non-Substantive - Re-numbered this section to clarify and ensure consistency in the drafting of the supervisory requirements. This section was formerly 3980.	
Rule 3200: Minimum Requirements for Dealer Members Seeking Approval Under Rule 1300.1(t) to Offer an Order-Execution Only Service	3200 Part A	(4)(b)	R. 3955. Supervision of Execution Only Trades in Advisory Accounts	(1)(iii)			Amended - Non substantive - We made changes for consistency with Rule 3404(1) and existing Rule 1300.1(t). Namely, the suitability exemption for order execution only firms is limited to "when accepting orders".	Moved - Non-Substantive - Re-numbered this section to clarify and ensure consistency in the drafting of the supervisory requirements. This section was formerly 3980.	
Rule 3200: Minimum Requirements for Dealer Members Seeking Approval Under Rule 1300.1(t) to Offer an Order-Execution Only Service	3200 Part A	(4)(c)	R. 3955. Supervision of Execution Only Trades in Advisory Accounts	(2)				Moved - Non-Substantive - Re-numbered this section to clarify and ensure consistency in the drafting of the supervisory requirements. This section was formerly 3980.	Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.

Rule 3200: Minimum Requirements for Dealer Members Seeking Approval Under Rule 1300.1(t) to Offer an Order-Execution Only Service	3200 Part A	(4)(d)	R. 3955. Supervision of Execution Only Trades in Advisory Accounts	(3)				Moved - Non-Substantive - Re-numbered this section to clarify and ensure consistency in the drafting of the supervisory requirements. This section was formerly 3980.	
Rule 3200: Minimum Requirements for Dealer Members Seeking Approval Under Rule 1300.1(t) to Offer an Order-Execution Only Service	3200 Part A	(4)(e)	R. 3955. Supervision of Execution Only Trades in Advisory Accounts	(4)				Moved - Non-Substantive - Re-numbered this section to clarify and ensure consistency in the drafting of the supervisory requirements. This section was formerly 3980.	
			R. 3956. - 3959. Reserved		New - Non substantive - Reserved sections.			Amended - Non-Substantive - As a result of re-numbering of this section, the reserved sections changed.	
Rule 1900: Options	1900.02	(a)	R. 3960. Supervision of Options Accounts	(1)-(4)				Moved - Non-Substantive - Re-numbered this section to clarify and ensure consistency in the drafting of the supervisory requirements. This section is was formerly 3928.	
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part V	Introduction	R. 3960. Supervision of Options Accounts	(1)-(4)				Moved - Non-Substantive - Re-numbered this section to clarify and ensure consistency in the drafting of the supervisory requirements. This section is was formerly 3928.	

Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part V	Introduction	R. 3961. Responsibility of designated Supervisor for Options Accounts	(1)				Moved - Non-Substantive - Re-numbered this section to clarify and ensure consistency in the drafting of the supervisory requirements. This section was formerly 3929.	
Rule 1900: Options	1900.02	(c)	R. 3961. Responsibility of designated Supervisor for Options Accounts	(1) (i)				Moved - Non-Substantive - Re-numbered this section to clarify and ensure consistency in the drafting of the supervisory requirements. This section was formerly 3929.	
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part V	(A)(3)	R. 3961. Responsibility of designated Supervisor for Options Accounts	(1) (i)				Moved - Non-Substantive - Re-numbered this section to clarify and ensure consistency in the drafting of the supervisory requirements. This section was formerly 3929.	
Rule 1900: Options	1900.02	(a)	R. 3961. Responsibility of designated Supervisor for Options Accounts	(1)(i) and (ii)			Amended - Non substantive - We updated terms in this section for greater clarity and consistency.	Moved - Non-Substantive - Re-numbered this section to clarify and ensure consistency in the drafting of the supervisory requirements. This section was formerly 3929.	
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part V	Introduction	R. 3962. Supervision of retail options accounts	(1)				Moved - Non-substantive - Re-numbered this section. This section was formerly 3950.	Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 1300: Supervision of Accounts	1300.01	(p)	R. 3962. Supervision of retail options accounts	(1)				Moved - Non-substantive - Re-numbered this section. This section was formerly 3950.	

Rule 1300: Supervision of Accounts	1300.01	(q)	R. 3962. Supervision of retail options accounts	(1)				Moved - Non-substantive - Re-numbered this section. This section was formerly 3950.	
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part V	(D)(5)	R. 3962. Supervision of retail options accounts	(2)		Amended - Substantive - Addition of Registration Reform category of registration and non substantive revisions.	Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency.	Moved - Non-substantive - Re-numbered this section. This section was formerly 3950.	
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part V	(C)	R. 3962. Supervision of retail options accounts	(3)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.		Moved - Non-substantive - Re-numbered this section. This section was formerly 3950.	
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part V	(D)(1)	R. 3962. Supervision of retail options accounts	(3)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.	Amended - Non substantive - We made wording changes to clarify our requirements.	Moved - Non-substantive - Re-numbered this section. This section was formerly 3950.	
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part V	(D)(2)	R. 3962. Supervision of retail options accounts	(4)(i)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.		Moved - Non-substantive - Re-numbered this section. This section was formerly 3950.	Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part V	(D)(4)	R. 3962. Supervision of retail options accounts	(4)(ii)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.	Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency.	Moved - Non-substantive - Re-numbered this section. This section was formerly 3950.	Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part V	(D)(3)	R. 3962. Supervision of retail options accounts	(4) (iii) and (iv)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.	Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency.	Moved - Non-substantive - Re-numbered this section. This section was formerly 3950.	Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.

Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part V	(D)(7)	R. 3962. Supervision of retail options accounts	(5)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.	Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency.	Moved - Non-substantive - Re-numbered this section. This section was formerly 3950.	Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part V	(B)	R. 3963. Supervision of retail options account trading activity	(1) and (2)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.		Moved - Non-substantive - Re-numbered this section. This section was formerly 3951.	Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part V	(C)	R. 3963. Supervision of retail options account trading activity	(1) and (2)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.		Moved - Non-substantive - Re-numbered this section. This section was formerly 3951.	Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part VI	Introduction	R. 3964. Supervision of Futures Contracts and Futures Contract Options Accounts	(1)-(4)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.	Amended - Non substantive - We amended clause 3930(1)(ii) for greater clarity.	Moved - Non-Substantive - Re-numbered this section to clarify and ensure consistency in the drafting of the supervisory requirements. This section was formerly 3930.	
Rule 1800: Commodity Futures Contracts and Options	1800.02	(a)	R. 3964. Supervision of Futures Contracts and Futures Contract Options Accounts	(1)-(4)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.		Moved - Non-Substantive - Re-numbered this section to clarify and ensure consistency in the drafting of the supervisory requirements. This section was formerly 3930.	

Rule 1800: Commodity Futures Contracts and Options	1800.02	(a)	R. 3965. Responsibility of designated Supervisors for Futures Contract and Futures Contract Options Accounts	(1) (i)- (ii)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.	Amended - Non substantive - We updated terms in this section for greater clarity and consistency.	Moved - Non-Substantive - Re-numbered this section to clarify and ensure consistency in the drafting of the supervisory requirements. This section was formerly 3931.	
Rule 1800: Commodity Futures Contracts and Options	1800.02	(c)	R. 3965. Responsibility of designated Supervisors for Futures Contract and Futures Contract Options Accounts	(1)(i)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.		Moved - Non-Substantive - Re-numbered this section to clarify and ensure consistency in the drafting of the supervisory requirements. This section was formerly 3931.	
Rule 1800: Commodity Futures Contracts and Options	1800.02	(e)	R. 3966. Access to Approved Persons Qualified in Futures Contracts and Futures Contract Options	(1)		Amended - Substantive - Addition of Registration Reform category of registration and non substantive revisions.		Moved - Non-Substantive - Re-numbered this section to clarify and ensure consistency in the drafting of the supervisory requirements. This section was formerly 3932.	Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part VI	(A)(2)	R. 3967. Supervision of retail futures contracts and futures contract options accounts	(1)(i)				Moved - Non-substantive - Re-numbered this section. This section was formerly 3952.	
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part VI	(A)(5)	R. 3967. Supervision of retail futures contracts and futures contract options accounts	(1)(i)				Moved - Non-substantive - Re-numbered this section. This section was formerly 3952.	
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part VI	(A)(4)	R. 3967. Supervision of retail futures contracts and futures contract options accounts	(1)(ii)				Moved - Non-substantive - Re-numbered this section. This section was formerly 3952.	
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part VI	(C)(5)	R. 3967. Supervision of retail futures contracts and futures contract options accounts	(2)		Amended - Substantive - Addition of Registration Reform categories of registration and non substantive revisions.		Moved - Non-substantive - Re-numbered this section. This section was formerly 3952.	
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part VI	(C)(1)	R. 3967. Supervision of retail futures contracts and futures contract options accounts	(3)				Moved - Non-substantive - Re-numbered this section. This section was formerly 3952.	

Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part VI	(C)(2)	R. 3967. Supervision of retail futures contracts and futures contract options accounts	(3)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.		Moved - Non-substantive - Re-numbered this section. This section was formerly 3952.	
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part VI	(C)(3)	R. 3967. Supervision of retail futures contracts and futures contract options accounts	(4)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.		Moved - Non-substantive - Re-numbered this section. This section was formerly 3952.	Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part VI	(C)(4)	R. 3967. Supervision of retail futures contracts and futures contract options accounts	(5)		Amended - Non Substantive - Non substantive changes conforming to existing Dealer Member Rule.		Moved - Non-substantive - Re-numbered this section. This section was formerly 3952.	
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part VI	(C)(7)	R. 3967. Supervision of retail futures contracts and futures contract options accounts	(6)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.		Moved - Non-substantive - Re-numbered this section. This section was formerly 3952.	Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part VI	(B)	R. 3968. Supervision of retail futures contracts and futures contract options trading activity	(1)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.	Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency.	Moved - Non-substantive - Re-numbered this section. This section was formerly 3953.	
			R. 3969. Reserved						
Rule 1300: Supervision of Accounts	1300.06		R. 3970. Supervision for discretionary accounts	(2)		Amended - Substantive - Addition of Registration Reform categories of registration and non substantive revisions conforming to existing Dealer Member Rule.	Amended - Non substantive - We have removed “Investment Representative” from this section as only Registered Representatives are authorized to affect trades for a discretionary account (see Rule 3274). We made other non substantive revisions for consistency with Rule 3274.	Moved - Non-Substantive - Re-numbered this section to clarify and ensure consistency in the drafting of the supervisory requirements. This section was formerly 3949.	

Rule 1300: Supervision of Accounts	1300.06		R. 3970. Supervision for discretionary accounts	(1),(2) and (5)		Amended - Non substantive - Non substantive revisions conforming to existing Dealer Member Rule.		Moved - Non-Substantive - Re-numbered this section to clarify and ensure consistency in the drafting of the supervisory requirements. This section was formerly 3949.	
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part VII	(B)(1)	R. 3970. Supervision for discretionary accounts	(3)-(4)	Clean up tranche - Reference added.		Amended - Non substantive - We updated this section for consistency with the defined terms in sub-section 1201(2). We made wording changes to clarify our requirements.	Moved - Non-Substantive - Re-numbered this section to clarify and ensure consistency in the drafting of the supervisory requirements. This section was formerly 3949.	
Rule 2500: Minimum Standards for Retail Customer Account Supervision	2500 Part VII	(C)	R. 3970. Supervision for discretionary accounts	(4)-(6)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.	Amended - Non substantive - We updated this section for consistency with the defined terms in sub-section 1201(2).	Moved - Non-Substantive - Re-numbered this section to clarify and ensure consistency in the drafting of the supervisory requirements. This section was formerly 3949.	
Rule 1300: Supervision of Accounts	1300.15	(b)	R. 3971. Supervision of managed accounts	(1)(i)		Amended - Non Substantive - Non substantive changes conforming to existing Dealer Member Rule.	Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency.	Moved - Non-Substantive - Re-numbered this section to clarify and ensure consistency in the drafting of the supervisory requirements. This section was formerly 3970.	
Rule 1300: Supervision of Accounts	1300.15	Introduction	R. 3971. Supervision of managed accounts	(1)(ii)		Amended - Non Substantive - Non substantive changes conforming to existing Dealer Member Rule.	Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency.	Moved - Non-Substantive - Re-numbered this section to clarify and ensure consistency in the drafting of the supervisory requirements. This section was formerly 3970.	Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.

Rule 1300: Supervision of Accounts	1300.15	(a)	R. 3971. Supervision of managed accounts	(2)		Amended - Non Substantive - Non substantive changes conforming to existing Dealer Member Rule.		Moved - Non-Substantive - Re-numbered this section to clarify and ensure consistency in the drafting of the supervisory requirements. This section was formerly 3970.	Amended - Non substantive - We made changes to clarify our policy intent. - We also made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 1300: Supervision of Accounts	1300.15	(c)	R. 3971. Supervision of managed accounts	(3)		Amended - Non substantive - Addition of Registration Reform categories of registration and supervisory obligation relating to managed accounts - Non substantive revisions.	Amended - Non Substantive - We clarified our expectation that Portfolio Managers to approve the advice prior to the Associate Portfolio Managers providing the advice to clients.	Moved - Non-Substantive - Re-numbered this section to clarify and ensure consistency in the drafting of the supervisory requirements. This section was formerly 3970.	Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 1300: Supervision of Accounts	1300.15	(c)	R. 3971. Supervision of managed accounts	(4)		Amended - Substantive - Addition of Registration Reform supervisory obligation relating to managed accounts and non substantive revisions.	Amended - Non substantive - We updated this section for consistency with the defined terms in sub-section 1201(2).	Moved - Non-Substantive - Re-numbered this section to clarify and ensure consistency in the drafting of the supervisory requirements. This section was formerly 3970.	
Rule 1300: Supervision of Accounts	1300.15	(e)	R. 3972. Managed account committee	(1)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.	Amended - Non substantive - We updated this section for consistency with the defined terms in sub-section 1201(2).	Moved - Non-Substantive - Re-numbered this section to clarify and ensure consistency in the drafting of the supervisory requirements. This section was formerly 3971.	
Rule 1300: Supervision of Accounts	1300.15	(d)	R. 3973. Managed account review	(1)-(2)		Amended - Non substantive - Non substantive changes conforming to existing Dealer Member Rule.		Moved - Non-Substantive - Re-numbered this section to clarify and ensure consistency in the drafting of the supervisory requirements. This section was formerly 3972.	Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.

			R. 3974. - 3999. Reserved		New - Non substantive - Reserved sections.			Amended - Non-Substantive - As a result of re-numbering of this section, the reserved sections changed from 3973-3979 to 3974-3999.	

Appendix 3
IIROC Dealer Member Plain Language Rule Book Rewrite Project
Table of Concordance - 4000 Series

Existing Dealer Member Rule Number and Title	Existing Dealer Member Rule Section Reference	Subsection or Similar Reference	PLR Rule Number, Title and Description	Subsection	Originally Published Proposed PLR Rules (2010-2014): Comments and Description Description	March 10, 2016 Publication (Notice 16-0052): Comments and Descriptions	March 9, 2017 Publication (Notice 17-0054): Comments and Descriptions	January 18, 2018 Publication (Notice 18-0014): Comments and Descriptions	Revisions to Previously Published Proposed PLR Rules
4000 Series									
New Provision			R. 4101. Introduction	(1)(i) - (viii)	New - Non substantive - Introduction section added.				Amended - Non substantive - We separated Rules 4100 and 4200, as a result of this change, we made non-material changes to the introductory language of this section.
New Provision			R. 4101. Introduction	(1)(ix)		New - Non substantive - Clean up tranche - Added reference to new sections related to “professional opinions”.			Repealed - Non substantive - We separated Rules 4100 and 4200, as a result of this change, we made non-material changes to the introductory language of this clause.
			R. 4102. - 4109. Reserved		New - Non substantive - Reserved sections added.				
New Provision			R. 4110. Introduction	(1)	New - Non substantive - Introduction section added.		Amended - Non substantive - We updated this section for consistency with the defined terms in sub-section 1201(2).		
Rule 0017: Dealer Member Minimum Capital, Conduct of Business and Insurance	17.01		R. 4111. Maintaining a positive risk adjusted capital amount	(1)					

Rule 2600: Internal Control Policy Statements	Statement 2	Procedure (6)	R. 4112. Negative risk adjusted capital and other early warning test failure situations	(1)(i) - (iv)		Amended - Substantive - Registration reform related amendments - Replaced “Senior management” with the specific Executives, “Chief Financial Officer” and “Ultimate Designated Person”.	Amended - Non substantive - We updated this section to improve readability.		
Rule 0017: Dealer Member Minimum Capital, Conduct of Business and Insurance	17.01		R. 4112. Negative risk adjusted capital and other early warning test failure situations	(1)(ii) and (iii)					
Rule 0017: Dealer Member Minimum Capital, Conduct of Business and Insurance	17.01		R. 4113. Calculating current risk adjusted capital amount - general requirements	(1)-(2)			Amended - Non substantive - We updated this section to improve readability.		
Rule 0200: Minimum Records	200.02	(o) and (q)	R. 4113. Calculating current risk adjusted capital amount - general requirements	(2)					
Rule 2600: Internal Control Policy Statements	Statement 2	Procedure (5)	R. 4114. Calculating current capital position - weekly documentation	(1)	Amended - Substantive - Amended requirements to require weekly monitoring (not reporting) of compliance with early warning system profitability tests.	Amended - Substantive - Clause 4114(1)(iii) - Registration reform related amendments - Replaced “senior management” with the specific Executive, “Ultimate Designated Person”.	Amended - Non substantive - We updated this section to improve readability.		
Rule 0200: Minimum Records	200.02	(o) and (q)	R. 4115. Calculating current capital position - monthly documentation and reconciliation	(1) and (3)					
Rule 2600: Internal Control Policy Statements	Statement 2	Procedures (5) and (7)	R. 4115. Calculating current capital position - monthly documentation and reconciliation	(1) and (3)					
New Provision			R. 4115. Calculating current capital position - monthly documentation and reconciliation	(2)		New - Non substantive - Document that the early warning system profitability tests were performed and whether or not the Dealer Member has violated a profitability test.	Amended - Non substantive - We corrected this sub-section to show that this is an existing rule requirement and not a new requirement.	Amended - Substantive - We clarified the intent of this requirement.	
Rule 0200: Minimum Records	200.02	(o) and (q)	R. 4116. Dealer Member capital adequacy reporting system - adequate policies and procedures	(1)(i)					Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.

Rule 2600: Internal Control Policy Statements	Statement 2	1st and 2nd paragraphs	R. 4116. Dealer Member capital adequacy reporting system - adequate policies and procedures	(1)(i) and (ii)		Amended - Non substantive - Clean up tranche - Existing Dealer Member rule number reference made more specific in table of concordance.			Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 0200: Minimum Records	200.02	(o) and (q)	R. 4116. Dealer Member capital adequacy reporting system - adequate policies and procedures	(1)(ii)			Amended - Non substantive - We updated this section to improve readability.		Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 2600: Internal Control Policy Statements	Statement 2	Procedures(2), (3) and (4)	R. 4116. Dealer Member capital adequacy reporting system - adequate policies and procedures	(1)(ii)		Amended - Substantive - Sub-clause 4116(1)(ii)(c) - Registration reform related amendments - Replaced “senior management” with "the Executives". Amended - Substantive - Sub-clause 4116(1)(ii)(d) - Registration reform related amendments - Replaced “management” with “Executives”.	Amended - Non substantive - We revised this clause to revert back to the term "senior management" and to add back in a Chief Financial Officer responsibility we inadvertently omitted.		Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 2600: Internal Control Policy Statements	Statement 2	Control objective	R. 4116. Dealer Member capital adequacy reporting system - adequate policies and procedures	(1)(iii)		Amended - Non substantive - Clean up tranche - Existing Dealer Member rule number reference made more specific in table of concordance.			
Rule 2600: Internal Control Policy Statements	Statement 2	Procedure (8)	R. 4116. Dealer Member capital adequacy reporting system - adequate policies and procedures	(1)(iv) and (v)			Amended - Non substantive - We updated clause 4116(1)(iv) for consistency with the defined terms in sub-section 1201(2).		

Rule 2600: Internal Control Policy Statements	Statement 2	Procedure (1)	R. 4116. Dealer Member capital adequacy reporting system - adequate policies and procedures	(2)		Amended - Non substantive - Clean up tranche - Existing Dealer Member rule number reference added in table of concordance.			
Rule 0016: Dealer Members' Auditors and Financial Reporting	16.02	(iv)	R. 4117. Consolidation of financial position with related companies	(1)					
Rule 0016: Dealer Members' Auditors and Financial Reporting	16.02	(v)	R. 4117. Consolidation of financial position with related companies	(2)					
Rule 0016: Dealer Members' Auditors and Financial Reporting	16.03	Repealed				Amended - Non substantive - Clean up tranche - Existing Dealer Member rule number reference added in table of concordance.			
Rule 0016: Dealer Members' Auditors and Financial Reporting	16.04	Repealed				Amended - Non substantive - Clean up tranche - Existing Dealer Member rule number reference added in table of concordance.			
Rule 0200: Minimum Records	200.02	Guide to Interpretation of (o) and (q)	R. 4118. Options for calculating risk adjusted capital available to well-capitalized Dealer Members	(1)				Amended - Substantive - We clarified the intent of this requirement.	
Rule 0100: Margin Requirements	100.14	First part	R. 4119. Dealer Member guarantees	(1)		New - Non substantive - Added to 4000 series of plain language rules to address CSA comment on plain language 2000 series of rules regarding the application of Dealer Member guarantees within the rule book.			Amended - Non substantive - We corrected cross-referencing in this section as a result of renumbering in other sections.
			R. 4120. - 4129. Reserved		New - Non substantive - Reserved sections added.				
New Provision			R. 4130. Introduction	(1)-(2)	New - Non substantive - Introduction section added.				

New Provision			R. 4131. Definitions	(1)	New - Non substantive - Defined “average monthly loss” as the term is used in describing the early warning system profitability tests.		Amended - Non substantive - We made wording changes to improve readability.		Amended - Non - substantive - We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0030: Early Warning System	30.01	“early warning excess”	R. 4131. Definitions	(1)					Amended - Non-Substantive - We moved this definition to subsection 1201(2).
Rule 0030: Early Warning System	30.01	“early warning reserve”	R. 4131. Definitions	(1)					Amended - Non substantive - We moved the "early warning excess" and "early warning reserve" definitions to subsection 1201(2).
New Provision			R. 4131. Definitions	(1)	New - Non substantive - Defined “early warning test violation” as the term is used when one or more of the early warning system tests have been failed.				Amended - Non substantive - We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.

New Provision			R. 4131. Definitions	(1)	New - Non substantive - Defined “loss” in order to specifically reference appropriate line item on the income statement in Statement E of Form 1 that is to be used in the early warning system profitability tests.				Amended - Non substantive - We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable. We also made non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054).
New Provision			R. 4131. Definitions	(1)		New - Non substantive - Defined “profit” in order to specifically reference appropriate line item on the income statement in Statement E of Form 1 that is to be used in the early warning system profitability tests.			Amended - Non substantive - We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable. We alos made a non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0030: Early Warning System	30.02 and 30.04	preamble	R. 4132. Early warning designation, levels and tests	(1)					
Rule 0030: Early Warning System	30.02 and 30.04	Liquidity test	R. 4132. Early warning designation, levels and tests	(1)					
Rule 0030: Early Warning System	30.02 and 30.04	Capital test	R. 4132. Early warning designation, levels and tests	(1)					
Rule 0030: Early Warning System	30.02 and 30.04	Profitability test #1	R. 4132. Early warning designation, levels and tests	(1)					
Rule 0030: Early Warning System	30.02 and 30.04	Profitability test #2	R. 4132. Early warning designation, levels and tests	(1)					

Rule 0030: Early Warning System	30.04	Profitability test #3	R. 4132. Early warning designation, levels and tests	(1)					
Rule 0030: Early Warning System	30.04	Frequency test	R. 4132. Early warning designation, levels and tests	(1)	Amended - Substantive - Excluded discretionary early warnings from level 2 frequency test.				
Rule 0030: Early Warning System	30.03	(i)	R. 4133. Early warning related requirements	(1)		Amended - Substantive - Registration reform related amendments - Replaced “chief executive officer” with “Ultimate Designated Person”. Amended - Non substantive - Clean up tranche - Existing Dealer Member rule number reference separated in table of concordance for reconciliation ease.			
Rule 0030: Early Warning System	30.03	(ii)(1)	R. 4133. Early warning related requirements	(1)		Amended - Non substantive - Clean up tranche - Existing Dealer Member rule number reference separated in table of concordance for reconciliation ease.			
Rule 0030: Early Warning System	30.03	(ii)(2)	R. 4133. Early warning related requirements	(1)		Amended - Non substantive - Clean up tranche - Existing Dealer Member rule number reference separated in table of concordance for reconciliation ease.			
Rule 0030: Early Warning System	30.03	(ii)(3)	R. 4133. Early warning related requirements	(1)		Amended - Non substantive - Clean up tranche - Existing Dealer Member rule number reference separated in table of concordance for reconciliation ease.			
Rule 0030: Early Warning System	30.03	(ii)(4)	R. 4133. Early warning related requirements	(1)		Amended - Non substantive - Clean up tranche - Existing Dealer Member rule number reference separated in table of concordance for reconciliation ease.			

Rule 0030: Early Warning System	30.03	(ii)(5)	R. 4133. Early warning related requirements	(1)		Amended - Non substantive - Clean up tranche - Existing Dealer Member rule number reference separated for reconciliation ease.			
Rule 0030: Early Warning System	30.03	(iii)	R. 4133. - Early warning related requirements	(1)		Amended - Non substantive - Clean up tranche - Existing Dealer Member rule number reference separated in table of concordance for reconciliation ease.			
Rule 0030: Early Warning System	30.03	(v)	R. 4133. Early warning related requirements	(1)		Amended - Non substantive - Clean up tranche - Existing Dealer Member rule number reference separated in table of concordance for reconciliation ease.			
Rule 0030: Early Warning System	30.03	(vi)	R. 4133. Early warning related requirements	(1)					
Rule 0030: Early Warning System	30.03	2nd to last paragraph			Repealed - Substantive - Removed the reporting of early warning situations to applicable District Council.	Amended - Non substantive - Clean up tranche - Existing Dealer Member rule number reference separated in table of concordance for reconciliation ease.			
Rule 0030: Early Warning System	30.05	1st sentence	R. 4133. Early warning related requirements	(1)		Amended - Non substantive - Clean up tranche - Existing Dealer Member rule number reference separated in table of concordance for reconciliation ease.			
Rule 0030: Early Warning System	30.05	(a)	R. 4133. Early warning related requirements	(1)		Amended - Substantive - Registration reform related amendments - Replaced “chief executive officer” with “Ultimate Designated Person”. Amended - Non substantive - Clean up tranche - Existing Dealer Member rule number reference separated in table of concordance for reconciliation ease.			

Rule 0030: Early Warning System	30.05	(b)	R. 4133. Early warning related requirements	(1)		Amended - Non substantive - Clean up tranche - Existing Dealer Member rule number reference separated in table of concordance for reconciliation ease.			
Rule 0030: Early Warning System	30.05	(c)	R. 4133. Early warning related requirements	(1)		Amended - Substantive - Registration reform related amendments - Replaced “chief executive officer” with “Ultimate Designated Person”.			
Rule 0030: Early Warning System	30.05	(d)	R. 4133. Early warning related requirements	(1)		Amended - Non substantive - Clean up tranche- Existing Dealer Member rule number reference separated in table of concordance for reconciliation ease.			
Rule 0030: Early Warning System	30.05	(e)	R. 4133. Early warning related requirements	(1)		Amended - Non substantive - Clean up tranche - Existing Dealer Member rule number reference separated in table of concordance for reconciliation ease.			
Rule 0030: Early Warning System	30.05	(f)	R. 4133. Early warning related requirements	(1)		Amended - Non substantive - Clean up tranche - Existing Dealer Member rule number reference separated in table of concordance for reconciliation ease.			
Rule 0030: Early Warning System	30.05	(g)	R. 4133. Early warning related requirements	(1)		Amended - Non substantive - Clean up tranche - Existing Dealer Member rule number reference separated in table of concordance for reconciliation ease.			
Rule 0030: Early Warning System	30.05	(h)			Repealed - Substantive - Removed the reporting of early warning situations to applicable District Council.	Amended - Non substantive - Clean up tranche - Existing Dealer Member rule number reference separated in table of concordance for reconciliation ease.			

Rule 0030: Early Warning System	30.05	(i)	R. 4133. Early warning related requirements	(1)	Amended - Substantive - Extended the requirement to reimburse the Corporation for costs it incurs relating to early warning level 1 situations.				
Rule 0030: Early Warning System	30.02		R. 4134. Discretion to designate a Dealer Member as being in early warning	(1)					
Rule 0030: Early Warning System	30.04		R. 4134. Discretion to designate a Dealer Member as being in early warning	(1)					
Rule 0030: Early Warning System	30.03	(iv)	R. 4135. Restrictions on a Dealer Member in early warning	(1)					
Rule 0030: Early Warning System	30.05	(j)	R. 4136. Additional restrictions	(1)					
Rule 0030: Early Warning System	30.06		R. 4136. Additional restrictions	(1)					
Rule 0030: Early Warning System	30.06	(1)	R. 4136. Additional restrictions	(1)		Amended - Substantive - Registration reform related amendments - Added the Approved Persons "Portfolio Managers or Associate Portfolio Managers". Amended - Non substantive - Clean up tranche - Added provisions not included in the previously proposed plain language Rule 4100.			
Rule 0030: Early Warning System	30.06	(2)	R. 4136. Additional restrictions	(2)		Amended - Non substantive - Clean up tranche - Added provisions not included in the previously proposed plain language Rule 4100.			
Rule 0030: Early Warning System	30.07		R. 4136. Additional restrictions	(3)			Amended - Non substantive - We updated this section for consistency with current Rule 30.7 because of implementation of Consolidated Enforcement Rules.		

Rule 0030: Early Warning System	30.03	last paragraph	R. 4137. Prohibited transactions	(1)		Amended - Non substantive - Clean up tranche - Existing Dealer Member rule number reference separated in table of concordance for reconciliation ease.			
Rule 0030: Early Warning System	30.07				Repealed - Non substantive - Requirement to inform other CIPF participating organizations is redundant as IIROC is now the only CIPF participating organization.		Amended - Non substantive - We revised the rule references from current Rule 30.07 to current Rule 30.08 because of implementation of Consolidated Enforcement Rules.		
Rule 0030: Early Warning System	30.08		R. 4138. Lifting an early warning designation	(1)			Amended - Non substantive - We revised rule references from current Rule 30.08 to current Rule 30.09 because of implementation of Consolidated Enforcement Rules. We revised the rule references from current Rule 30.07 to current Rule 30.08 because of implementation of Consolidated Enforcement Rules.		
Rule 0030: Early Warning System	30.09		R. 4138. Lifting an early warning designation	(1)			Amended - Non substantive - We revised rule references from current Rule 30.08 to current Rule 30.09 because of implementation of Consolidated Enforcement Rules.		
			R. 4139. - 4149. Reserved		New - Non substantive - Reserved sections added.				
New Provision			R. 4150. Introduction	(1)	New - Non substantive - Introduction section added.		Amended - Non substantive - We updated this sub-section for consistency with the defined terms in sub-section 1201(2).		

Rule 0016: Dealer Members' Auditors and Financial Reporting	16.02	(i)-(ii)	R. 4151. Dealer Member financial filings	(1)				Amended - Substantive - We codified existing practices.	
Rule 0016: Dealer Members' Auditors and Financial Reporting	16.02	(iii)	R. 4152. Extending deadline for financial filings	(1)-(3)	Amended - Substantive - Added ability for IIROC to grant an extension for the MFR filing.				
Rule 0016: Dealer Members' Auditors and Financial Reporting	16.07				Repealed - Non substantive - The power of the District Council to impose an assessment against a Dealer Member in order to reimburse the Corporation for placing excessive attention on the Dealer Member is redundant as the Corporation currently has that authority when a Dealer Member is in early warning level 2 and expect to receive such authority in the case of early warning level 1 when the plain language rules are approved.				
Rule 0016: Dealer Members' Auditors and Financial Reporting	16.08				Repealed - Non substantive - “redundant as the Corporation already has the authority to enter into its own name agreements or arrangements through By-Law No. 1 (General By-law of IIROC) under Section 13.6”.	Amended - Non substantive - Clean up tranche - Existing Dealer Member rule number reference added in table of concordance.			
Rule 0016: Dealer Members' Auditors and Financial Reporting	16.09				Repealed - Non substantive - Redundant as the Corporation already has the authority to assist other regulatory bodies in relation to securities traded in Canada and elsewhere.	Amended - Non substantive - Clean up tranche - Existing Dealer Member rule number reference added in table of concordance.			
Rule 0016: Dealer Members' Auditors and Financial Reporting	16.10		R. 4153. Late filing fee	(1)				Amended - Substantive - We clarified the intent of the requirement.	
			R. 4154. - 4169. Reserved		New - Non substantive - Reserved sections added.				

New Provision			R. 4170. Introduction	(1)	New - Non substantive - Introduction section added.				
Rule 0016: Dealer Members' Auditors and Financial Reporting	16.01		R. 4171. Approved auditors	(1)-(2)	New - Substantive - Changed the authority for approving panel auditors from each District Council to IIROC.				
Rule 0016: Dealer Members' Auditors and Financial Reporting	16.01		R. 4172. Dealer Member's auditor	(1)					
Rule 0016: Dealer Members' Auditors and Financial Reporting	16.05	Remainder of 1st sentence	R. 4173. Responsibilities of a Dealer Member's auditor	(1)					
Rule 0300: Audit Requirements	300.02	End of 1st sentence	R. 4174. No limitation on scope or procedures	(1)					
Rule 0016: Dealer Members' Auditors and Financial Reporting	16.05		R. 4175. Audit in accordance with Canadian Auditing Standards	(1)					
Rule 0300: Audit Requirements	300.04		R. 4175. Audit in accordance with Canadian Auditing Standards	(1)		Amended - Non substantive - Added plain language version of existing Dealer Member rule.			
Rule 0300: Audit Requirements	300.01		R. 4175. Audit in accordance with Canadian Auditing Standards	(1)-(2)					
Rule 0300: Audit Requirements	300.01	2nd part of 1st sentence			Repealed - Non substantive - Deleted because it is duplicative of the requirements of the CICA Handbook.	Amended - Non substantive - Clean up tranche - Existing Dealer Member rule number reference separated in table of concordance for reconciliation ease.			
Rule 0300: Audit Requirements	300.01	2nd sentence			Repealed - Non substantive - Deleted because it is duplicative of the requirements of the CICA Handbook.	Amended - Non substantive - Clean up tranche - Existing Dealer Member rule number reference separated in table of concordance for reconciliation ease.			
Rule 0300: Audit Requirements	300.02	1st sentence after 300.2(ii)			Repealed - Non substantive - Deleted because it is duplicative of the requirements of the CICA Handbook.				
Rule 0300: Audit Requirements	300.02	2ndsentence after 300.2(ii)			Repealed - Non substantive - Deleted because it is duplicative of the requirements of the CICA Handbook.				

Rule 0300: Audit Requirements	300.02	2nd sentence			Repealed - Non substantive - Deleted because it is duplicative of the requirements of the CICA Handbook.				
Rule 0300: Audit Requirements	300.02	(i)-(ii)			Repealed - Non substantive - Deleted because it is duplicative of the requirements of the CICA Handbook.				
Rule 0300: Audit Requirements	300.02	2nd paragraph after (ii)	R. 4175. Audit in accordance with Canadian Auditing Standards	(3)		Amended - Non substantive - Clean up tranche - Existing Dealer Member rule number reference separated in table of concordance for reconciliation ease.			
Rule 0300: Audit Requirements	300.02	Paragraph after (ii)	R. 4176. Test procedures as at the fiscal year-end date	(1)		Amended - Non substantive - Clean up tranche - Existing Dealer Member rule number reference separated in table of concordance for reconciliation ease.			
Rule 0300: Audit Requirements	300.02	(a)(i)			Repealed - Non substantive - Deleted because it is duplicative of the requirements of the CICA Handbook.				
Rule 0300: Audit Requirements	300.02	(a)(ii) 1st sentence	R. 4177. Account for all securities, currencies, and other like assets	(1)-(2)		Amended - Non substantive - Clean up tranche - Existing Dealer Member rule number reference separated in table of concordance for reconciliation ease.	Amended - Non substantive - We clarified that the Dealer Member's auditor must physically examine all assets in the Dealer Member's physical possession.		
Rule 0300: Audit Requirements	300.02	(a)(ii) 2nd sentence	R. 4177. Account for all securities, currencies, and other like assets	(3)		Amended - Non substantive - Clean up tranche - Existing Dealer Member rule number reference separated in table of concordance for reconciliation ease.			
Rule 0300: Audit Requirements	300.02	(a)(ii) 3rd sentence	R. 4177. Account for all securities, currencies, and other like assets	(4)		Amended - Non substantive - Clean up tranche - Existing Dealer Member rule number reference separated in table of concordance for reconciliation ease.			

Rule 0300: Audit Requirements	300.02	(a)(ii) last sentence	R. 4177. Account for all securities, currencies, and other like assets	(5)		Amended - Non substantive - Clean up tranche - Remaining part of existing Dealer Member rule added back. Amended - Non substantive - Clean up tranche - Existing Dealer Member rule number reference separated in table of concordance for reconciliation ease.			
Rule 0300: Audit Requirements	300.02	(a)(iii)	R. 4178. Verify securities in transfer and in transit	(1)		Amended- Non substantive - Clean up tranche - Existing Dealer Member rule number reference corrected.			
Rule 0300: Audit Requirements	300.02	(a)(iv)	R. 4179. Review the Dealer Member's position balancing and account reconciliations	(1)-(2)	Amended - Substantive - Replaced the term "commodity and option contracts" with the term "derivatives", and replaced the term "mutual funds" with the term "non-certificated instruments".			Amended - Substantive - We codified existing industry practice in 4179(1)(iii).	
Rule 0300: Audit Requirements	300.02	(a)(v)	R. 4180. Review bank reconciliations	(1)				Amended - Substantive - We codified existing industry practice in 4180(1)(iii).	
Rule 0300: Audit Requirements	300.02	(a)(vi)	R. 4181. Review custodial agreements and approvals	(1)					
Rule 0300: Audit Requirements	300.02	(a)(vii)(1)-(9)	R. 4182. Obtain written positive confirmations	(1)-(2)	Amended - Substantive - Replaced the term "commodity and option contracts" with the term "derivatives", and replaced the term "mutual funds" with the term "non-certificated instruments".	Amended - Non substantive - Clean up tranche - Added back the requirement for auditor to obtain written confirmations about lawsuits and other legal matters.		Amended - Substantive - We codified existing industry practice in 4182(2)(vii).	

Rule 0300: Audit Requirements	300.02	(a)(vii), 1st through 5th sentences following (9)	R. 4183. Selection of accounts for positive confirmation	(1)-(2)		Amended - Non substantive - Previously numbered plain language rule section 4187.	Amended - Non substantive - In sub-section 4183(1), we clarified that positive confirmation requests and responses are not restricted to mail, but can also be satisfied by electronic positive confirmation requests and responses. We clarified the terms "size" and "year-end" in sub-section 4183(2). Amended - Non substantive - We revised sub-section 4183(1) to conform with the implementation of Amendments to Dealer Member Rule 300.2(a)(vii) regarding the audit requirement to send second positive confirmation requests on November 17, 2016 (IIROC Notice 16-0262).	Amended - Substantive - We codified existing industry practice in 4183(2)(i)(a).	
Rule 0300: Audit Requirements	300.02	(a)(vii), 6th sentence following (9)	R. 4184. Written confirmation of clients' accounts with no balance	(1)		Amended - Non substantive - Previously numbered plain language rule section 4188.			
Rule 0100: Margin Requirements	100.16		R. 4185. Effect on capital if no positive written confirmation received for a guarantee	(1)		Amended - Non substantive - Previously numbered plain language rule section 4189.			
Rule 0300: Audit Requirements	300.02	(a)(vii), 7th and 8th sentences following (9)	R. 4185. Effect on capital if no positive written confirmation received for a guarantee	(1)-(2)	Amended - Non substantive - Replaced in subsection (1) the reference to those who sign a guarantee agreement from “customer” with “parties”.				Amended - Non substantive - We clarified the language by inserting a reference to the subsection mentioned. We made this non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054).

Rule 0300: Audit Requirements	300.02	(a)(vii), 1st sentence following (9)			Repealed - Non-substantive - Deleted because it is duplicative of the requirements of the CICA Handbook.				
Rule 0300: Audit Requirements	300.02	(a)(vii), 2nd sentence following (9)			Repealed - Non substantive - Deleted because it is duplicative of the requirements of the CICA Handbook.				
Rule 0300: Audit Requirements	300.02	(a)(vii), last sentence	R. 4186. Review a sample of signed guarantee agreements	(1)					
Rule 0300: Audit Requirements	300.02	(a)(viii)	R. 4187. Tests and procedures on statements and schedules of Form 1	(1)					
Rule 0300: Audit Requirements	300.02	(b)	R. 4188. Test statements for a description of securities held in safekeeping	(1)					
Rule 0300: Audit Requirements	300.02	(a)(ix)	R. 4189. Dealer Member obligations to auditor	(1)		Amended - Substantive - Registration reform related amendments - Replaced “senior officers with “appropriate Executives”.			
Rule 0016: Dealer Members' Auditors and Financial Reporting	16.06		R. 4189. Dealer Member obligations to auditor	(2) and (3)					
Rule 0300: Audit Requirements	300.02	(c)	R. 4190. Calculations for Form 1 and other reporting	(1)		Amended - Non substantive - Updated the name of the reports.			
Rule 0300: Audit Requirements	300.03	(a)	R. 4190. Calculations for Form 1 and other reporting	(1)		Amended - Non substantive - Updated the name of the reports.			
Rule 0300: Audit Requirements	300.03	(b)			Repealed - Non-substantive - Removed reference to “exchange seats” because it is no longer relevant due to exchange demutualization.				
Rule 0300: Audit Requirements	300.05		R. 4191. Auditor’s records	(1)-(3)					
Rule 0300: Audit Requirements	300.06		R. 4192. Auditor’s obligation to report to IIROC	(1)		Amended - Non substantive - Renamed the title of plain language rule section 4192.			
Rule 0300: Audit Requirements	300.03	(c)	R. 4192. Auditor’s obligation to report to IIROC	(2)		Amended - Non substantive - Existing Dealer Member rule added back.			
			R. 4193. - 4199. Reserved		New - Non substantive - Reserved sections added.				

New Provision			R. 4201. Introduction	(1)					New - Non substantive - We separated rules 4100 and 4200, as a result of this change we added introductory section 4201 to Rule 4200.
New Provision			R. 4202. Introduction	(1)	New - Non substantive - Introduction section added.	Amended - Non substantive - Updated to reflect implemented amendments to existing rules on November 2, 2015 (see Notice 15-0244).	Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency.		Amended - Non substantive - Previous section 4201 was renumbered 4202. We also updated a cross-reference.
Rule 1400: Disclosure to Clients of Member's Financial Condition	1400.01		R. 4203. Summary statement of financial position available	(1)-(3)		Amended - Non substantive - Updated to reflect implemented amendments to existing rules on November 2, 2015 (see Notice 15-0244).			Amended - Non substantive - Previous section 4202 was renumbered 4203.
Rule 1400: Disclosure to Clients of Member's Financial Condition	1400.03		R. 4204. Summary statement of financial position - contents	(1)		Amended - Non substantive - Updated to reflect implemented amendments to existing rules on November 2, 2015 (see Notice 15-0244).			Amended - Non substantive - Previous section 4203 was renumbered 4204.
Rule 0017: Dealer Member Minimum Capital, Conduct of Business and Insurance	17.10		R. 4205. Audited or unaudited summary statement of financial position	(1)(i)					Amended - Non substantive - Previous section 4204 was renumbered 4205.
Rule 1400: Disclosure to Clients of Member's Financial Condition	1400.04		R. 4205. Audited or unaudited summary statement of financial position	(1)(i) and (ii)		Amended - Non substantive - Updated to reflect implemented amendments to existing rules on November 2, 2015 (see Notice 15-0244).			Amended - Non substantive - Previous section 4204 was renumbered 4205.
Rule 1400: Disclosure to Clients of Member's Financial Condition	1400.02		R. 4206. Publishing a summary statement of financial position	(1)		Amended - Non substantive - Updated to reflect implemented amendments to existing rules on November 2, 2015 (see Notice 15-0244).			Amended - Non substantive - Previous section 4205 was renumbered 4206.
Rule 1400: Disclosure to Clients of Member's Financial Condition	1400.06		R. 4207. List of current Executives and Directors	(1)					Amended - Non substantive - Previous section 4206 was renumbered 4207.

Rule 1400: Disclosure to Clients of Member's Financial Condition	1400.07		R. 4208. Disclosures available to clients	(1)		Amended - Non substantive - Updated to reflect implemented amendments to existing rules on November 2, 2015 (see Notice 15-0244).			Amended - Non substantive - Previous section 4207 was renumbered 4208.
Rule 1400: Disclosure to Clients of Member's Financial Condition	1400.01		R. 4209. Consolidated financial statements - similar named entity	(1)		Amended - Non substantive - Previously numbered plain language rule section 4203.			Amended - Non substantive - Previous section 4208 was renumbered 4209.
Rule 1400: Disclosure to Clients of Member's Financial Condition	1400.05	(b)	R. 4209. Consolidated financial statements - similar named entity	(1)					Amended - Non substantive - Previous section 4208 was renumbered 4209.
Rule 1400: Disclosure to Clients of Member's Financial Condition	1400.05	Opening paragraph, (a) and (b)	R. 4209. Consolidated financial statements - similar named entity	(2)		Amended - Non substantive - Updated to reflect implemented amendments to existing rules on November 2, 2015 (see Notice 15-0244).			Amended - Non substantive - Previous section 4208 was renumbered 4209.
			R. 4210. - 4219. Reserved		New - Non substantive - Reserved sections added.				Amended - Non substantive - Previous reserve section 4209-4219 was renumbered 4210-4219.
New Provision			R. 4220. Introduction	(1)	New - Non substantive - Introduction section added.		Amended - Non substantive - We updated this sub-section for consistency with the defined terms in sub-section 1201(2).		Amended - Non substantive - We updated cross-references in this section as a result of changes in other sections.
Rule 2600: Internal Control Policy Statements	Statement 1	General matters - (iv) 2nd sentence	R. 4221. Definitions	(1)		New - Non substantive - Clean up tranche - Existing Dealer Member rule number reference separated in table of concordance for reconciliation ease.			Amended - Non substantive - We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.

Rule 2600: Internal Control Policy Statements	Statement 1	General matters - (iv) 3rd sentence	R. 4221. Definitions	(1)		New - Non substantive - Clean up tranche - Existing Dealer Member rule number reference separated in table of concordance for reconciliation ease.			Amended - Non substantive - We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 2600: Internal Control Policy Statements	Statement 1	General matters - (iv) 4th sentence	R. 4221. Definitions			New - Non substantive - Clean up tranche -Existing Dealer Member rule number reference separated in table of concordance for reconciliation ease.	Amended - Non substantive - We deleted this sentence because it should not be part of the definition of the term "detective controls". It describes one of the benefits of "detective controls" but does not define "detective controls".		
Rule 0017: Dealer Member Minimum Capital, Conduct of Business and Insurance	17.02	A	R. 4222. Adequate internal controls	(1)					
Rule 2600: Internal Control Policy Statements	Statement 1	General matters - 2nd paragraph, 2nd sentence	R. 4222. Adequate internal controls	(2)		Amended - Substantive - Registration reform related amendments - Replaced “A Dealer Member’s management” with “The Dealer Member's Executives”.			
Rule 2600: Internal Control Policy Statements	Statement 1	General matters - (v), 1st sentence	R. 4222. Adequate internal controls	(3)		Amended - Substantive - Registration reform related amendments - Replaced “A Dealer Member’s management” with “The Dealer Member's Executives”.			
Rule 2600: Internal Control Policy Statements	Statement 1	General matters - (iv) 2nd paragraph, 1st sentence	R. 4223. Preventive controls	(1)		Amended - Substantive - Registration reform related amendments - Replaced “management” with “the Dealer Member's Executives”.			

Rule 2600: Internal Control Policy Statements	Statement 1	General matters - 2nd paragraph after (v)(iv), 1st sentence	R. 4224. Written record	(1)		Amended - Substantive - Registration reform related amendments - Replaced “senior management” with “the Dealer Member's Executives”.	Amended - Non substantive - We revised this section because the phrase “Rule 4200 and related IIROC internal control requirements” may inadvertently be considered to be only related to Rule 4200, and it applies to all IIROC internal control requirements. We also updated this sub-section for consistency with the defined terms in sub-section 1201(2).		Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 2600: Internal Control Policy Statements	Statement 1	General matters - 2nd paragraph after (v)(iv), 2nd sentence	R. 4225. Review and written approval of internal controls	(1)		Amended - Substantive - Registration reform related amendments - Replaced “Senior management” with “The Dealer Member's Executives”.			
			R. 4226. - 4239. Reserved		New - Non substantive - Reserved sections added.				
New Provision			R. 4240. Introduction	(1)	New - Non substantive - Introduction section added.				Amended - Non substantive - We updated cross-references in this section as a result of changes in other sections.
Rule 2600: Internal Control Policy Statements	Statement 7	Control objective (d)	R. 4241. Pricing procedures	(1)			Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency.		Amended - Non substantive - We updated cross-references in this section as a result of changes in other sections.
Rule 2600: Internal Control Policy Statements	Statement 7	Procedure (7)	R. 4241. Pricing procedures	(2)					
Rule 2600: Internal Control Policy Statements	Statement 7	Control objective (c)	R. 4241. Pricing procedures	(3)					Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.

Rule 2600: Internal Control Policy Statements	Statement 7	Procedure (2)	R. 4241. Pricing procedures	(3)					Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 2600: Internal Control Policy Statements	Statement 7	Procedure (3), 1st sentence	R. 4241. Pricing procedures	(4)					Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 2600: Internal Control Policy Statements	Statement 7	Procedure (3), 2nd sentence	R. 4241. Pricing procedures	(5)					
Rule 2600: Internal Control Policy Statements	Statement 7	Procedure (4), 2nd line until end of sentence	R. 4241. Pricing procedures	(5)		Amended - Substantive - Registration reform related amendments - Replaced “personnel” with “employees”. Amended - Non substantive - Clean up tranche - Existing Dealer Member rule number reference added.			
Rule 2600: Internal Control Policy Statements	Statement 7	Procedure (8)	R. 4241. Pricing procedures	(5)					
Rule 2600: Internal Control Policy Statements	Statement 7	Control objective (a)	R. 4242. Independent price verification and adjustment	(1)					
Rule 2600: Internal Control Policy Statements	Statement 7	Procedure (5), 1st sentence	R. 4242. Independent price verification and adjustment	(1)		Amended - Non substantive - Existing Dealer Member rule number reference added.			
Rule 2600: Internal Control Policy Statements	Statement 7	Control objective (a)	R. 4242. Independent price verification and adjustment	(2)					
Rule 2600: Internal Control Policy Statements	Statement 7	Procedure (5), 2nd sentence	R. 4242. Independent price verification and adjustment	(2)					

Rule 2600: Internal Control Policy Statements	Statement 7	Control objective (b)	R. 4242. Independent price verification and adjustment	(3)		Amended - Substantive - Registration reform related amendments - Replaced “Senior management” with “An appropriate Executive”. Amended - Non substantive - Existing Dealer Member rule number reference added.			
Rule 2600: Internal Control Policy Statements	Statement 7	Procedure (1)	R. 4242. Independent price verification and adjustment	(3)		Amended - Substantive - Registration reform related amendments - Replaced “Senior management” with “An appropriate Executive”.			
Rule 2600: Internal Control Policy Statements	Statement 7	Procedure (6)	R. 4243. Retention of supporting documents	(1)					
Rule 2600: Internal Control Policy Statements	Statement 7	Procedure (4)	R. 4244. Access to records	(1)		Amended - Substantive - Registration reform related amendments - Replaced “personnel” with “employees”.			
			R. 4245. - 4259. Reserved		New - Non substantive - Reserved sections added.				
New Provision			R. 4260. Introduction	(1)	New - Non substantive - Introduction section added.				Amended - Non substantive - We updated cross-references in this section as a result of changes to other sections.
New Provision			R. 4261. Definitions	(1)			Amended - Non substantive - We included a definition of "regular delivery date" to clarify our requirements. This definition is based on our definition of "regulator settlement".		Amended - Non substantive -We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.

Rule 1100: Calculating Price on a Yield Basis	1100.01	1st paragraph	R. 4262. Calculating price if no method is stated for calculating unexpired term	(1)			Amended - Non substantive - Previous section 4261 was renumbered 4262.		
Rule 1100: Calculating Price on a Yield Basis	1100.02		R. 4263. Exceptions	(1)		Amended - Non substantive - Previously numbered plain language rule section 4266.	Amended - Non substantive - Previous section 4262 was renumbered 4263.		
Rule 1100: Calculating Price on a Yield Basis	1100.01	(a) 1st sentence	R. 4264. Unexpired term - Bonds with unexpired terms to maturity up to and including 10 years	(1)		Amended - Non substantive - The reference to what "one day is" in calculating the price for the term was moved to plain language rule section 4265. Amended - Non substantive - The reference to existing Dealer Member Rule was made more specific to reflect that part of the rule was moved to plain language rule section 4265.	Amended - Non substantive - Previous section 4263 was renumbered 4264.		
Rule 1100: Calculating Price on a Yield Basis	1100.01	(b)	R. 4265. Unexpired term - Bonds with unexpired terms to maturity over 10 years	(1)			Amended - Non substantive - Previous section 4264 was renumbered 4265.		
Rule 1100: Calculating Price on a Yield Basis	1100.01	(a) 2nd sentence	R. 4266. Calculating the price and price precision	(1)		Amended - Non substantive - The reference to existing Dealer Member Rule was added because part of the rule was moved from plain language rule 4263.	Amended - Non substantive - Previous section 4265 was renumbered 4266.		
Rule 1100: Calculating Price on a Yield Basis	1100.01	(c)	R. 4266. Calculating the price and price precision	(2)			Amended - Non substantive - Previous section 4265 was renumbered 4266.		
Rule 1100: Calculating Price on a Yield Basis	1100.01	(d)	R. 4267. New issues	(1)			Amended - Non substantive - Previous section 4266 was renumbered 4267.	Amended - Substantive - We clarified the calculation of the unexpired term for a new issue.	Amended - Non substantive - We updated cross-references in this section as a result of changes in other sections.

Rule 1100: Calculating Price on a Yield Basis	1100.03				Repealed - Substantive - Removed provision requiring that bond quotations furnished to the press by any Dealer Member must be under the name of IIROC as IIROC no longer places a role in the pricing of bonds.				
			R. 4268. - 4269. Reserved		New - Non substantive - Reserved sections added.				
New Provision			R. 4270. Introduction	(1)		New - Non substantive - Introduction section added. New - Non substantive - Clean up tranche - Provision not included in the previously proposed plain language rule 4200.			Amended - Non substantive - We updated cross-references in this section as a result of changes in other sections.
Rule 0029: Business Conduct	29.14	(a) Definitions "Corporation standards"	R. 4271. Definitions			Amended - Non substantive - Clean up tranche - Provision not included in the previously proposed plain language rule 4200.			Amended - Non substantive -We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0029: Business Conduct	29.14	(a) Definitions "disclosure document"	R. 4271. Definitions	(1)		Amended - Non substantive - Clean up tranche - Provision not included in the previously proposed plain language rule 4200.	Amended - Non substantive - We created separate definitions for the terms "interested party" and "prior valuation". We replaced the defined term "relevant securities laws" with the specific securities laws this definition included.	Amended - Substantive - We ensured the provision remains current should the definition of terms change going forward.	Amended - Non substantive -We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.

Rule 0029: Business Conduct	29.14	(a) Definitions “fairness opinion”	R. 4271. Definitions			Amended - Non substantive - Clean up tranche - Provision not included in the previously proposed plain language rule 4200.			Amended - Non substantive -We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0029: Business Conduct	29.14	(a) Definitions “formal valuation”	R. 4271. Definitions	(1)		Amended - Non substantive - Clean up tranche - Provision not included in the previously proposed plain language rule 4200.			Amended - Non substantive -We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0029: Business Conduct	29.14	(a) Definitions “interested party”	R. 4271. Definitions	(1)			Amended - Non substantive - We created a separate definition for the term "interested party".	Amended - Substantive - We ensured the provision remains current should the definition of terms change going forward.	Amended - Non substantive -We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.

Rule 0029: Business Conduct	29.14	(a) Definitions “prior valuation”	R. 4271. Definitions				Amended - Non substantive - We created a separate definition for the term "prior valuation".	Amended - Substantive - We ensured the provision remains current should the definition of terms change going forward.	Amended - Non substantive -We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0029: Business Conduct	29.14	(a) Definitions “professional opinion”	R. 4271. Definitions			Amended - Non substantive - Clean up tranche - Provision not included in the previously proposed plain language rule 4200.	Amended - Non substantive - Previous clause 4271(1)(v) was renumbered 4271(1)(vii).		Amended - Non substantive -We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0029: Business Conduct	29.14	(a) Definitions “applicable securities laws”	R. 4271. Definitions	(1)		Amended - Non substantive - Clean up tranche - Reference to OSC Rule 61-501 changed to MI 61-101. Term changed to “relevant securities laws” to avoid confusion with the “applicable securities laws” in 1000 series. Provision not included in the previously proposed plain language rule 4200.	Repealed - Non substantive - We removed the defined term "relevant securities laws".	Amended - Substantive - We ensured the provision remains current should the definition of terms change going forward.	

Rule 0029: Business Conduct	29.14	(a) Definitions "subject transaction"	R. 4271. Definitions	(1)		Amended - Non substantive - Reference to "going private transaction" changed to "business combinations" to reflect transaction types in MI 61-101. Amended - Non substantive - Clean up tranche - Provision not included in the previously proposed plain language rule 4200.	Amended - Non substantive - Previous clause 4271(1)(vii) was renumbered 4271(1)(viii).		Amended - Non substantive -We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0029: Business Conduct	29.14	(a) Definitions "value"	R. 4271. Definitions	(1)		Amended - Non substantive - Clean up tranche - Provision not included in the previously proposed plain language rule 4200.	Amended - Non substantive - Previous clause 4271(1)(viii) was renumbered 4271(1)(x).		Amended - Non substantive -We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0029: Business Conduct	29.16		R. 4272. Application	(1)-(2)		Amended - Non substantive - Clean up tranche - Provision not included in the previously proposed plain language rule 4200.	Amended - Non substantive - We updated this sub-section for consistency with the defined terms in sub-section 1201(2). We replaced the defined term "relevant securities laws" with the specific securities laws this definition included.	Amended - Substantive - We ensured the provision remains current should the definition of terms change going forward.	
Rule 0029: Business Conduct	29.15		R. 4273. General requirement	(1)		Amended - Non substantive - Clean up tranche - Provision not included in the previously proposed plain language rule 4200.			

Rule 0029: Business Conduct	29.17		R. 4273. General requirement	(2)		Amended - Non substantive - Clean up tranche - Provision not included in the previously proposed plain language rule 4200.			
Rule 0029: Business Conduct	29.18		R. 4274. General disclosure	(1)		Amended - Non substantive - Clean up tranche - Provision not included in the previously proposed plain language rule 4200.			
Rule 0029: Business Conduct	29.19		R. 4274. General disclosure	(2)		Amended - Non substantive - Clean up tranche - Provision not included in the previously proposed rule 4200.			
Rule 0029: Business Conduct	29.22		R. 4274. General disclosure	(3)		Amended - Non substantive - Clean up tranche - Provision not included in the previously proposed plain language rule 4200.			
Rule 0029: Business Conduct	29.20198:203F 5199:203		R. 4275. Disclosure - formal valuations	(1)		Amended - Non substantive - Clean up tranche - Provision not included in the previously proposed plain language rule 4200.	Amended - Non substantive - We changed the term "the Corporation" to "IIROC". We replaced the defined term "relevant securities laws" with the specific securities laws this definition included.	Amended - Substantive - We made consequential amendments for consistency with changes to 4271(1) and 4272(1).	
Rule 0029: Business Conduct	29.23		R. 4275. Disclosure - formal valuations	(2)		Amended - Non substantive - Clean up tranche - Provision not included in the previously proposed plain language rule 4200.	Amended - Non substantive - We deleted "most recent year-end" to avoid duplication with "most recently completed fiscal year". We updated the terminology for the different financial statements based on the updated accounting profession terminology in CPA Canada Standards and Guidance on www.knotia.ca.		

Rule 0029: Business Conduct	29.21		R. 4276. Disclosure - fairness opinion	(1)		Amended - Non substantive - Clean up tranche - Provision not included in the previously proposed plain language rule 4200.	Amended - Non substantive - We changed the term "the Corporation" to "IIROC".		
Rule 0029: Business Conduct	29.24		R. 4276. Disclosure - fairness opinion	(2)		Amended - Non substantive - Clean up tranche - Provision not included in the previously proposed plain language rule 4200.			
			R. 4277. - 4299. Reserved			Amended - Non substantive - Clean up tranche - Reserved sections amended.			
New Provision			R. 4301. Introduction	(1)	New - Non substantive - Introduction section added.				Amended - Non substantive - We separated rules 4300 and 4400, as a result of this change, we made non-material changes to the introductory language of this section.
			R. 4302. - 4309. Reserved		New - Non substantive - Reserved sections added.				
Rule 0017: Dealer Member Minimum Capital, Conduct of Business and Insurance	17.03	A	R. 4310. Definitions	(1)		New - Non substantive - Clean up tranche - Definition of “bulk segregation” was added back.			Amended - Non substantive - Previous number 4311 was renumbered 4310 We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.

Rule 2000: Segregation Requirements	2000.04	(b) and (c)	R. 4310. Definitions	(1)				Amended - Substantive - We amended to ensure consistency with the changes previously made to other margin requirements to reflect the move from a "credit required" concept to a "margin" concept.	Amended - Non substantive - Previous number 4311 was renumbered 4310 We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0001: Interpretation and Effect	1.01	"segregated securities"	R. 4310. Definitions	(1)			Amended - Non substantive - We moved the definition of "segregated securities" from Rule 1200 to here.		Amended - Non substantive - Previous number 4311 was renumbered 4310 We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
New Provision			R. 4311.Introduction	(1)	New - Non substantive - Introduction section added.	Amended - Substantive - Registration reform related amendments - Replaced “senior management” with “the Dealer Member's Executives”.	Amended - Non substantive -We removed rule requirements from the introduction.		Amended - Non substantive - We moved this introductory section to after the definition section. As a result, previous number 4310 was renumbered 4311.
Rule 0017: Dealer Member Minimum Capital, Conduct of Business and Insurance	17.03		R. 4312. Fully paid and excess margin securities	(1)					
Rule 2600: Internal Control Policy Statements	Statement 4	Control objective (b)	R. 4312. Fully paid and excess margin securities	(1)					
New Provision			R. 4312. Fully paid and excess margin securities	(2)	New - Substantive - Require the execution of a cash and securities loan agreement in order to borrow segregated securities.				

Rule 0017: Dealer Member Minimum Capital, Conduct of Business and Insurance	17.03	B	R. 4312. Fully paid and excess margin securities	(3)					
Rule 2000: Segregation Requirements	2000.03		R. 4313. Restricted and non-negotiable securities	(1)					
Rule 0017: Dealer Member Minimum Capital, Conduct of Business and Insurance	17.03	A	R. 4314. Segregation of client securities	(1)(i) and (ii) and (2)					
New Provision			R. 4315. Steps for bulk segregation calculation	(1)	New - Non substantive - Enacted section to generally describe segregation requirements.				
Rule 2000: Segregation Requirements	2000.04	(a)	R. 4316. Net loan value and market value of securities in a client's account	(1)-(3)					
Rule 2000: Segregation Requirements	2000.05	1st sentence and (a) and (b)	R. 4317. Calculating the number of client securities to be segregated in bulk	(1)					
Rule 2000: Segregation Requirements	2000.05	paragraphs after 2000.05(b)	R. 4318. Determining securities to satisfy segregation requirements	(1)-(3)			Amended - Non substantive - We updated this sub-section for consistency with the defined terms in sub-section 1201(2).	Amended - Substantive - We clarified the intent of the requirement.	
Rule 2000: Segregation Requirements	2000.06		R. 4319. Frequency and review of bulk segregation calculation	(1)					
Rule 2000: Segregation Requirements	2000.07		R. 4319. Frequency and review of bulk segregation calculation	(2)					
Rule 2000: Segregation Requirements	2000.08	(a) and (b)	R. 4320. General restrictions	(1)					Amended - Non substantive - we made a minor drafting change in order to clarify our language.
Rule 2000: Segregation Requirements	2000.08	(c)			Repealed - Non substantive - Removed subsection that is duplicative of other existing Dealer Member Rule 2000 requirements.				
Rule 2000: Segregation Requirements	2000.09	1st paragraph	R. 4321. Correcting segregation deficiencies	(1)-(2)			Amended - Non substantive - We removed the phrase "or if a Dealer Member identifies any segregation deficiency in a supervisory review" in sub-section 4321(1) for consistency with existing Rule 2000.09.		

Rule 2600: Internal Control Policy Statements	Statement 4	Procedure (6)	R. 4321. Correcting segregation deficiencies	(1)-(2)					
Rule 2600: Internal Control Policy Statements	Statement 4	Procedure (8)				Repealed - Non substantive - Repealed because it is redundant as the remaining wording “any segregation deficiency exists”, would already address that particular situation in current proposed plain language rule subsection 4321(1).			
Rule 2000: Segregation Requirements	2000.09	2nd paragraph	R. 4322. Call loan segregation deficiency	(1)					
Rule 2000: Segregation Requirements	2000.09	3rd paragraph	R. 4323. Securities loan segregation deficiency	(1)-(2)			Amended - Non substantive - We clarified our expectations that a Dealer Member must within the business day following the day it determines that a securities loan segregation deficiency exists either recall the securities from the borrower or borrow the same issue of securities to cover the deficiency. Amended - Non substantive - Registration reform related amendments - Replaced “date" with "day" for language consistency.		
Rule 2000: Segregation Requirements	2000.09	4th paragraph	R. 4324. Inventory or trading account short position segregation deficiency	(1)					
Rule 2000: Segregation Requirements	2000.09	5th paragraph	R. 4325. Client declared short sales segregation deficiency	(1)			Amended - Non substantive - Registration reform related amendments - Replaced “of the date" with "following the day" for language consistency.		
Rule 2000: Segregation Requirements	2000.09	6th paragraph	R. 4326. Fails – client or other Dealer Members	(1)					
New Provision			R. 4327. General	(1)	New - Non substantive - Overview of new Part A.4.				

Rule 0001: Interpretation and Effect	1.01	“segregated securities”	R. 4328. Records of segregated securities	(1)	Amended - Substantive - Amended to make requirements for maintenance of Dealer Member records more specific.				
Rule 2600: Internal Control Policy Statements	Statement 4	Procedure (1)	R. 4329. Twice-weekly report of items requiring segregation	(1)					
Rule 2600: Internal Control Policy Statements	Statement 4	Procedure (9)	R. 4330. Reporting segregation deficiency	(1)		Amended - Substantive - Registration reform related amendments - Replaced “senior management” with “the Dealer Member's Executives”.	Amended - Non substantive - Registration reform related amendments - Replaced “the Dealer Member's Executives” with "appropriate Executives", because without the revision it may be unclear whether we mean a few Executives or all Executives.		
Rule 2600: Internal Control Policy Statements	Statement 4	Procedure (4)	R. 4331. Authorized employees to move securities	(1)		Amended - Substantive - Registration reform related amendments - Replaced “personnel” with “employees”.			
Rule 2600: Internal Control Policy Statements	Statement 4	Procedure (5)	R. 4332. Daily supervisory review of segregation report	(1)		Amended - Non substantive - Clean up tranche - Provision not included in the previously proposed plain language rule 4300.			
Rule 2600: Internal Control Policy Statements	Statement 4	Procedure (7)	R. 4332. Daily supervisory review of segregation report	(2)		Amended - Non substantive - Clean up tranche - Provision not included in the previously proposed plain language rule 4300.			Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
			R. 4333. - 4339. Reserved		New - Non-substantive - Reserved sections added.				
New Provision			R. 4340. Introduction	(1)	New - Non substantive - Introduction section added.		Amended - Non substantive - We updated this sub-section for consistency with the defined terms in sub-section 1201(2).		

Rule 2000: Segregation Requirements	2000.01		R. 4341. Definitions	(1)		Amended - Non substantive - Clean up tranche - Provision not included in the previously proposed plain language rule 4300.		Amended - Substantive - We clarified the intent of the requirement.	Amended - Non substantive - We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 2000: Segregation Requirements	2000.02	(a) and (b)	R. 4341. Definitions	(1)		Amended - Non substantive - Clean up tranche - Provision not included in the previously proposed plain language rule 4300.	Amended - Non substantive - We replaced the reference to "Notes to Line 18" with " Notes to Line 20".		Amended - Non substantive - We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Form 1, Statement B, Notes and Instructions	Statement B, Notes and Instructions	Notes to Line 18	R. 4341. Definitions	(1)		Amended - Non substantive - Clean up tranche - Provision not included in the previously proposed plain language rule 4300.			Amended - Non substantive - We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 2000: Segregation Requirements	2000.01		R. 4342. Hold securities in an acceptable securities location	(1)					
Rule 2000: Segregation Requirements	2000.02		R. 4342. Hold securities in an acceptable securities location	(1)					
Form 1, General Notes and Definitions	General Notes and Definitions	(d) “acceptable securities locations”	R. 4342. Hold securities in an acceptable securities location	(1)					
Rule 2600: Internal Control Policy Statements	Statement 4	Procedure (2)	R. 4343. Timely deposit	(1)					

Rule 2000: Segregation Requirements	2000.02	1st sentence	R. 4344. Acceptable internal storage location	(1)					
Rule 2000: Segregation Requirements	2000.02	(a)	R. 4345. Acceptable internal storage location requirements	(1)					
Rule 2000: Segregation Requirements	2000.02	(b)	R. 4346. Acceptable transfer locations	(1)					
Rule 2000: Segregation Requirements	2000.01	1st paragraph	R. 4347. Securities not under a Dealer Member's physical possession or physical control	(1)				Amended - Substantive - We clarified the intent of this requirement.	
Form 1, General Notes and Definitions	General Notes and Definitions	(d) "acceptable securities locations"	R. 4348. Entities that may be external acceptable securities locations	(1)		Amended - Non substantive - Added a category of entities that qualify as "acceptable securities locations" under existing Dealer Member rules.			
Form 1, General Notes and Definitions	General Notes and Definitions	(d) "acceptable securities locations"	R. 4349. Approval of foreign institutions and foreign securities dealers	(1)					
Form 1, General Notes and Definitions	General Notes and Definitions	(d) "acceptable securities locations"	R. 4350. Application to IIROC for approval of foreign institutions and foreign securities dealers	(1)-(3)		Amended - Non substantive - Moved some of the requirements from the table into a new subsection in order to make the requirements clearer.	Amended - Non substantive - Replaced have replaced the words "Guidance Note 4340-1, Appendix 1" with the words "In a form satisfactory to IIROC" because we will no longer reference specific Guidance Notes within the plain language rules.		
Form 1, General Notes and Definitions	General Notes and Definitions	(d) "acceptable securities locations"	R. 4351. Annual approval of foreign institutions and foreign securities dealers as acceptable securities locations	(1)-(4)	Amended - Substantive - Amended to include requirements for the approval of foreign institutions/dealer as "acceptable securities locations. Requirements are consistent with previously issued guidance in IDA Member Regulation Notice MR-033.	Amended - Non substantive - Moved some of the requirements from the table into a new subsection and added additional wording in order to make the requirements clearer.			
Form 1, Statement B, Notes and Instructions	Statement B, Notes and Instructions	Note to Line 20	R. 4352. Obtaining a client waiver when an external acceptable securities location is unavailable	(1)-(4)			Amended - Non substantive - Replaced the reference to "Note to Line 18" with " Notes to Line 20". We also updated this section for consistency with the defined terms in sub-section 1201(2).		

Rule 2000: Segregation Requirements	2000.01	1st sentence, (a), (b) and (c)	R. 4353. Agreement with each external securities location	(1)	Amended - Substantive - Amended to include indemnification clause requirement, a clause already included in IIROC's standard agreement custody agreement.	Amended - Non substantive - Removed wording that is no longer used in custody agreements in relation to indemnity. Added wording to make the requirements clearer when a custodian uses a sub custodian.			
Rule 2600: Internal Control Policy Statements	Statement 4	Procedure (3)	R. 4353. Agreement with each external securities location	(1)					
New Provision			R. 4354. Bare trustee custodial agreement	(1)	New - Substantive - Enacted section to specify that a Dealer Member has complied with the requirement to execute a custodial agreement if IIROC executes a bare trustee custodial agreement with the custodian. Requirements are consistent with previously issued guidance in IDA Member Regulation Notice MR-080.	Amended - Non substantive - Added wording to make the requirements clearer.			
Rule 2600: Internal Control Policy Statements	2000.02	(a)	R. 4355. Securities in transit	(1)(i) and (ii)					
Rule 0300: Audit Requirements	300.02	(a)(vii)(2)	R. 4356. Confirmations from external acceptable securities locations	(1)					
New Provision			R. 4356. Confirmations from external acceptable securities locations	(2)	New - Substantive - Enacted subsection to specify action to be taken by a Dealer Member when a custodian does not respond to an annual positive confirmation request.	Amended - Non substantive - Added wording to make the requirements clearer.			
Rule 2000: Segregation Requirements	2000.02	(b), 2nd paragraph	R. 4357. Confirmations from transfer locations in Canada	(1)-(3)					
Rule 2000: Segregation Requirements	2000.02	(b), 3rd paragraph, 1st sentence	R. 4358. Confirmations from transfer locations in the United States	(1)-(3)					
Rule 2000: Segregation Requirements	2000.02	(b), 3rd paragraph, 2nd sentence	R. 4359. Confirmations from transfer locations outside Canada and the United States	(1)-(3)					

Rule 2000: Segregation Requirements	2000.09	7th paragraph	R. 4360. Confirmations of stock dividends receivable and stock splits	(1)-(2)		Amended - Non substantive - Added wording to make the requirements clearer.			
New Provision			R. 4361. Reconcile books and records for mutual funds and evidences of deposit	(1)	New - Substantive - Enacted subsection to specify reconciliation process for deposit investment contracts. Requirements are consistent with previously issued guidance in IDA Member Regulation Notice MR-080.				
Form 1, Statement B, Notes and Instructions	Statement B, Notes and Instructions	Notes to Lines 20 and 22	R. 4362. Acceptable securities location	(1)			Amended - Non substantive - Replaced the reference to "Notes to Lines 18 and 20" with " Notes to Lines 20 and 22".		
Form 1, Statement B, Notes and Instructions	Statement B, Notes and Instructions	Notes to Lines 20 and 22	R. 4363. Margin charges - non-acceptable securities location	(1)			Amended - Non substantive - Replaced the reference to "Notes to Lines 18 and 20" with " Notes to Lines 20 and 22".		
Form 1, Statement B, Notes and Instructions	Statement B, Notes and Instructions	Notes to Line 20	R. 4364. Non-acceptable internal storage and non-acceptable securities location	(1)		Amended - Non substantive - Added wording to make requirements clearer.	Amended - Non substantive - Replaced the reference to "Notes to Line 18" with " Notes to Line 20".		
New Provision			R. 4365. No confirmation from securities location	(1)(i)	Amended - Non substantive - Enacted to specify capital effect where a custodian fails to respond to a positive audit confirmation request (relates to new subsection 4356(2)).	Amended - Non substantive - Added wording to make requirements clearer.	Amended - Non substantive - Replaced the word "and" with "or" in order to clarify the requirements		
Rule 2000: Segregation Requirements	2000.02	(b) 4th paragraph	R. 4365. No Confirmation from securities location	(1)(ii)					
Rule 2000: Segregation Requirements	2000.09	7th paragraph	R. 4365. No Confirmation from securities location	(1)(iii)					
Rule 2000: Segregation Requirements	2000.09	8th paragraph	R. 4365. No Confirmation from securities location	(2)					
Form 1, Statement B, Notes and Instructions	Statement B	Notes to Line 22	R. 4365. No Confirmation from securities location	(2)(i)			Amended - Non substantive - Replaced the reference to "Notes to Line 20" with " Notes to Line 22".		

New Provision			R. 4366. No written custodial agreement	(1)	New - Non substantive - Introduction to section on custodial agreement related margin requirements added.				Amended - Non substantive - We removed an incorrect reference. We made this non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054).
Form 1, Statement C, Notes and Instructions	Statement C	Notes to Line 2(c)	R. 4366. No written custodial agreement	(2)					Amended - Non substantive - We removed an incorrect reference. We made this non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054).
Form 1, Statement B, Notes and Instructions	Statement B	Notes to Line 20	R. 4366. No written custodial agreement	(3)			Amended - Non substantive - Replaced the reference to "Notes to Line 18" with " Notes to Line 20".		
Form 1, Statement B, Notes and Instructions	Statement B	Notes to Line 22	R. 4367. Records - reconciliation	(1) and (2)(i)			Amended - Non substantive - Replaced the reference to "Notes to Line 20" with " Notes to Line 22". We made changes to the wording of this section to improve readability.		Amended - Non substantive - We made a minor drafting change in order to clarify our language.
Rule 2000: Segregation Requirements	2000.09	8th paragraph	R. 4367. Records - reconciliation	(2)(ii)					
Rule 2000: Segregation Requirements	2000.09	8th paragraph	R. 4368. Difference accounts	(1)-(2)					
			R. 4369. - 4379. Reserved		New - Non substantive - Reserved sections added.				
New Provision			R. 4380. Introduction	(1)	New - Non substantive - Introduction section added.	Amended - Non substantive - Added related term to make requirements clearer.			

Rule 1200: Clients' Free Credit Balances	1200.01	(a)	R. 4381. Definitions	(1)			Amended - Non substantive - Removed the term "client free credit balance" to simplify the definition of "free credit balance".		Amended - Non substantive - We moved this definition to subsection 1201(2). We made this non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 1200: Clients' Free Credit Balances	1200.01	(b)	R. 4381. Definitions	(1)			Amended - Non substantive - Removed the term "client free credit balance" to simplify the definition of "free credit balance".		Amended - Non substantive - We moved this definition to 1201(2). We made this non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054).
New Provision			R. 4381. Definitions	(1)	New - Non substantive - Added definition of "net allowable assets" to refer back to Form 1 calculation under same name.				Amended - Non substantive - We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Form 1, Statement D	Statement D		R. 4382. Dealer Member's use of client free credit balances	(1)					
Rule 1200: Clients' Free Credit Balances	1200.02		R. 4383. Notation on client account statements	(1)					
Rule 1200: Clients' Free Credit Balances	1200.03		R. 4384. Calculating useable free credit balances	(1)-(2)			Amended - Non substantive - Replaced the rule reference "in (1) above" with "in subsection 4384(1)". We also added in a grey box to reference proposed amendments to our client free credit requirements.		Amended - Non substantive - We clarified the language. We made this non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054). We also removed the reference to Notice 16-0090.

Rule 1200: Clients' Free Credit Balances	1200.04		R. 4385. Weekly calculation	(1)					Amended - Non substantive - We clarified the language. We made this non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054). We also removed the reference to Notice 16-0090.
Rule 1200: Clients' Free Credit Balances	1200.05		R. 4386. Daily compliance review	(1)-(2)			Amended - Non substantive - We clarified this requirement as follows: "Every day, a Dealer Member must compare the amount of client free credit balances it has segregated to the amount subsection 4384(2) requires to be segregated."		Amended - Non substantive - We clarified the intent of this requirement. We made this non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 1200: Clients' Free Credit Balances	1200.06		R. 4386. Daily compliance review	(2)					Amended - Non substantive - We clarified the intent of this requirement. We made this non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054).
			R. 4387. - 4399. Reserved		New - Non substantive - Reserved sections added.				
			R. 4401. Introduction	(1)					Amended - Non substantive - We separated rules 4300 and 4400, as a result of this change we added an introductory section 4401 to Rule 4400.
New Provision			R. 4402. Introduction	(1)	New - Non substantive - Introduction section added.				Amended - Non substantive - Previous section 4401 was renumbered 4402.
Rule 2600: Internal Control Policy Statements	Statement 5	Procedure (1)	R. 4403. Written safekeeping agreement	(1)					Amended - Non substantive - Previous section 4402 was renumbered 4403.

Rule 2600: Internal Control Policy Statements	1.01	"definition of securities held for safekeeping" 2nd sentence	R. 4404. Securities free from encumbrance	(1)					Amended - Non substantive - Previous section 4403 was renumbered 4404.
Rule 2600: Internal Control Policy Statements	Statement 5	Procedure (2)	R. 4405. Procedures to keep securities apart	(1)					Amended - Non substantive - Previous section 4404 was renumbered 4405.
Rule 2600: Internal Control Policy Statements	Statement 5	Procedure (3)	R. 4406. Identifying securities held for safekeeping in records	(1)					Amended - Non substantive - Previous section 4405 was renumbered 4406.
Rule 2600: Internal Control Policy Statements	Statement 5	Procedure (4)	R. 4407. Release of securities held in safekeeping	(1)					Amended - Non substantive - Previous section 4406 was renumbered 4407.
Rule 2600: Internal Control Policy Statements	1.01	"definition of securities held for safekeeping" 3nd sentence	R. 4407. Release of securities held in safekeeping	(1)					Amended - Non substantive - Previous section 4406 was renumbered 4407.
			R. 4408. - 4419. Reserved		New - Non substantive - Reserved sections added.				Amended - Non substantive - Previous section 4407-4419 was renumbered 4408-4419.
New Provision			R. 4420. Introduction	(1)	New - Non substantive - Introduction section added.				Amended - Non substantive - We updated cross-references in this section as a result of changes to other sections.
Rule 2600: Internal Control Policy Statements	Statement 6	Control Objective (a)	R. 4421. Safeguarding client and Dealer Member cash and securities	(1)(i)					
Rule 2600: Internal Control Policy Statements	Statement 6	Control Objective (b)	R. 4421. Safeguarding client and Dealer Member cash and securities	(1)(ii)					
Rule 2600: Internal Control Policy Statements	Statement 6		R. 4421. Safeguarding client and Dealer Member cash and securities	(2)					Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.

Rule 2600: Internal Control Policy Statements	Statement 6	parenthetical	R. 4421. Safeguarding client and Dealer Member cash and securities	(3)	Amended - Non substantive - Revised wording to create positive obligation on Dealer Member to have appropriate control procedures to safeguard client and Dealer Member cash and securities.				
Rule 2600: Internal Control Policy Statements	Statement 6	Procedure (1)	R. 4422. Receipt and delivery of securities	(1)-(5)		Amended - Substantive - Subsection 4422(1) - Registration reform related amendments - Replaced “Personnel” with “Employees”.			
Rule 2600: Internal Control Policy Statements	Statement 6	Procedure (2)	R. 4423. Restricting access to securities	(1)-(3)	Amended - Non-substantive - Remove reference to vault facilities as requirement is outdated.	Amended - Substantive - Subsections 4423(1) and 4423(3) - Registration reform related amendments Replaced “individuals” with “employees”.	Amended - Non Substantive - We replaced the word "may" with "must" to clarify that "Securities must be physically handled only in a restricted and secure area."		
Rule 2600: Internal Control Policy Statements	Statement 6	Procedure (3)	R. 4424. Clearing	(1)-(7)	Amended - Non substantive - Removed redundant last part of existing Dealer Member rule procedure (3)(f), “and the use of such securities is not contrary to any laws”, as not acting contrary to legislation is already covered generally.	Amended - Substantive - Subsection 4424(2) and Subsection 4424(5) - Registration reform related amendments - Replaced “personnel” with “employees”. Replaced “senior management” with the specific Executive, “the Chief Financial Officer”. Amended - Non substantive - Added wording to make language closer to the existing Dealer Member rule.	Amended - Substantive - We replaced the specific named Executive "Chief Financial Officer" with "Dealer Member's appropriate Executives" because we believe the existing rule intended that this situation be reported to more than one Executive. The Dealer Member’s appropriate Executives will then be able to determine what actions should be taken and who will take them.	Amended - Substantive - We clarified the intent of this requirement in 4424(6).	

Rule 2600: Internal Control Policy Statements	Statement 6	Procedure (4)	R. 4425. Protecting securities	(1)-(4)	Amended - Non substantive - Removed redundant requirement in existing Dealer Member rule procedure (4)(b) to limit the value of securities or other assets held at an individual securities location due to dematerialization.	Amended - Non substantive - Added wording to make requirements clearer.	Amended - Non substantive - We made wording changes to improve readability.		
Rule 2600: Internal Control Policy Statements	Statement 6	Procedure (5)	R. 4426. How to handle security records	(1)-(3)		Amended - Substantive - Subsection 4426(1) - Registration reform related amendments - Replaced “Personnel” with “Employees”.			
Rule 2600: Internal Control Policy Statements	Statement 6	Procedure (6) (a), (b), (d), and (e)	R. 4427. Rules for counting securities	(1)-(5)		Amended - Substantive - Subsection 4427(3) and Subsection 4427(5) - Registration reform related amendments - Replaced “personnel” with “employees”. Replaced “senior management” with the specific Executive, “the Chief Financial Officer”.	Amended - Substantive - We replaced the specific named Executive "Chief Financial Officer" with "Dealer Member's appropriate Executives" because we believe the existing rule intended that this situation be reported to more than one Executive. The Dealer Member’s appropriate Executives will then be able to determine what actions should be taken and who will take them.		
Rule 2600: Internal Control Policy Statements	Statement 6	Procedure (7)	R. 4428. Moving certificates and securities between branches	(1)-(4)					
Rule 2600: Internal Control Policy Statements	Statement 6	Procedure (8)	R. 4429. Transferring securities	(1)-(7)		Amended - Substantive - Subsection 4429(2) and Subsection 4429(7) - Registration reform related amendments - Replaced “designated individuals” with “authorized employees”. Replaced “Personnel” with “Authorized employees”.		Amended - Substantive - We clarified the intent of this requirement in 4429(7).	

Rule 2600: Internal Control Policy Statements	Statement 6	Procedure (9)	R. 4430. Re-organization	(1)-(5)		Amended - Substantive - Subsection 4430(3) - Registration reform related amendments - Replaced “A single person” with “An authorized employee”.			
Rule 2600: Internal Control Policy Statements	Statement 6	Procedure (10)	R. 4431. Handling dividends and interest	(1)-(8)		Amended - Substantive - Subsection 4431(2), Subsection 4431(4) and Clause 4431(6)(ii) - Registration reform related amendments - Replaced “personnel” with “employees”. Replaced “other senior personnel” with “another appropriate manager”. Replaced “senior personnel” with “the department manager or another appropriate manager”.	Amended - Substantive - We replaced the words "A supervisor or manager" with "The department manager or another appropriate manager" in subsection 4431(5) to clarify who may approve journal entries related to dividend and interest accounts. Amended - Non substantive - We added the words "Dividend and interest" before the words "Record-keeping employees" in subsection 4431(2) to clarify that the subsection relates to these specific employees, and made "R" lower case in the words "Record-keeping". We added the words "dividend and interest" before the word "write-offs" to clarify that the write-offs relate to dividend and interest in subsection 4431(4). We added the words "Where required by law," in subsection 4431(8) to clarify and make subsection consistent with the current Dealer Member Rule. We also updated this sub-section for consistency with the defined terms in sub-section 1201(2)		

Rule 2600: Internal Control Policy Statements	Statement 6	Procedure (11)	R. 4432. Reconciling internal accounts	(1)-(2)			Amended - Substantive - Replaced the word "supervisor" with "department manager or another appropriate manager" to make it consistent with other rule provisions (e.g. PLR subsection 4433(1)) on who must review and/or approve reconciliations related items		
Rule 2600: Internal Control Policy Statements	Statement 6	Procedure (12)	R. 4433. Cash	(1)-(9)		Amended - Substantive - Subsection 4433(1), Subsection 4433(4), Subsection 4433(5) and Subsections 4433(7) and 4433(8) - Registration reform related amendments Replaced “Senior personnel” with “The department manager or another appropriate manager”. Replaced “personnel” with “employees”. Replaced “Senior management” with “An appropriate Executive”. Replaced “individuals” with “employees”.	Amended - Substantive - Replaced the word "management" with "a department manager or another appropriate manager" for consistency with other rule provisions (e.g. PLR subsection 4433(1)) on who must review and/or approve reconciliations related items		
			R. 4434. - 4449. Reserved		New - Non substantive - Reserved sections added.				
New Provision			R. 4450. Introduction	(1)	New - Non substantive - Introduction section added.				Amended - Non substantive - We updated cross-references in this section as a result of changes to other sections.

Rule 0400: Insurance	400.04	"base amount"	R. 4451. Definitions	(1)		Amended - Non substantive - Added wording to make the requirements clearer.			Amended - Non substantive - We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Form 1, Schedule 10, Notes and Instructions	3		R. 4451. Definitions	(1)			Amended - Non substantive - We included the defined term "other acceptable property" from Schedule 10 of Form 1.		Amended - Non substantive - We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
New Provision			R. 4451. Definitions	(1)	New - Non substantive - Defined "standard form financial institution bond" in order to collectively refer to required insurance coverage elements.		Amended - Non substantive - Previous clause 4451(1)(ii) was renumbered 4451(1)(iii).		Amended - Non substantive - We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0017: Dealer Member Minimum Capital, Conduct of Business and Insurance	17.05		R. 4452. Dealer Member must have insurance	(1)			Amended - Non substantive - We updated this sub-section to avoid potential confusion that the scope of the types of loss in PLR subsection 4452(1) is narrower than in other subsections (e.g. PLR subsection 4456(1))		Amended - Non substantive - We updated cross-references in this section as a result of changes to other sections.

Rule 0017: Dealer Member Minimum Capital, Conduct of Business and Insurance	17.07				Repealed - Substantive - Removed the applicable District Council's discretionary power to reduce the required minimum amount of insurance that is to be maintained by the Dealer Member that has applied for the insurance reduction.				
Rule 0017: Dealer Member Minimum Capital, Conduct of Business and Insurance	17.08				Repealed - Substantive - Removed the applicable District Council's discretionary power to renew the insurance reduction that it granted in 17.07 to the Dealer Member.				
Rule 0017: Dealer Member Minimum Capital, Conduct of Business and Insurance	17.09				Repealed - Substantive - Removed the requirement that the insurance reduction application to the applicable District Council by the Dealer Member under 17.07 and 17.08 be done through the Corporation.				
Rule 0400: Insurance	400.06	1st sentence	R. 4453. Qualified insurance carriers	(1)			Amended - Non substantive - We replaced the accounting term "balance sheet" with the more updated term "statement of financial position".		
Rule 0400: Insurance	400.06	2nd sentence	R. 4454. Foreign insurers	(1)			Amended - Non substantive - We updated the terminology for the different financial statements based on the updated accounting profession terminology in CPA Canada Standards and Guidance on www.knotia.ca.		
Rule 0400: Insurance	400.01		R. 4455. Mail insurance	(1)-(2)					
Rule 0400: Insurance	400.02		R. 4456. Financial institution bond	(1)		Amended - Non substantive - Added titles to make the requirements clearer.			

Rule 0400: Insurance	400.04		R. 4457. General minimum insurance requirement	(1)			Amended - Non substantive - We replaced the term "Full-service" with "Self-clearing" clarify which type of Dealer Member we are referring to. We replaced the words "introducing brokers types 3 and 4" with "Type 3 and Type 4 introducing brokers" for consistency with the language used in other parts of the PLR Rule Book (e.g. PLR Rule 2450)	Amended - Substantive - We clarified the intent of this requirement in 4457(1)(ii).	
Rule 0400: Insurance	400.04		R. 4458. Minimum insurance requirement for certain introducing brokers	(1)			Amended - Non substantive - We replaced the words "introducing brokers types 1 and 2" with "Type 1 and Type 2 introducing brokers" . We replaced the words "an introducing type 1 arrangement" and "an introducing type 2 arrangement" with "a Type 1 introducing broker arrangement" and "a Type 1 introducing broker arrangement", respectively. We revised this language for consistency with other parts of the PLR Rule Book (e.g. PLR Rule 2450). We replaced the word "and" with "or" before the value "$500,000, and replaced the word "or" with "and" after the semicolon in order to correct the formula	Amended - Substantive - We clarified the intent of this requirement in 4458(1)(ii).	
Rule 0400: Insurance	400.05	(b)	R. 4459. Double aggregate limit	(1)					
Form 1, Schedule 10	Schedule 10		R. 4460. Calculating minimum insurance requirement and risk adjusted capital provisions	(1) and (3)					

Rule 0400: Insurance	400.05	(f)	R. 4460. Calculating minimum insurance requirement and risk adjusted capital provisions	(2)					
Rule 0400: Insurance	400.05	(c)	R. 4461. Correction of insufficient coverage	(1)					Amended - Non substantive - We made a non-material drafting change in order to clarify the language.
Rule 0400: Insurance	400.07		R. 4462. Global financial institution bonds	(1)					Amended - Non substantive - We updated cross-referencing.
Rule 0400: Insurance	400.03		R. 4463. Notify IIROC of underwriter insurance termination	(1)					
Rule 0400: Insurance	400.03	(B) 1st 3.5 lines	R. 4464. When insurance ends due to take-over	(1)					
Rule 0400: Insurance	400.03	(B) end of section	R. 4464. When insurance ends due to take-over	(2)					
Rule 0017: Dealer Member Minimum Capital, Conduct of Business and Insurance	17.06		R. 4465. Notify IIROC of claims	(1)					
Rule 2600: Internal Control Policy Statements	Statement 3	Procedure (1)	R. 4466. Board of directors review and designation	(1)(i)		New - Non substantive - Clean up tranche - provision not included in the previously proposed plain language Rule 4400.			Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 2600: Internal Control Policy Statements	Statement 3	Procedure (2)	R. 4466. Board of directors review and designation	(1)(ii)		Amended - Substantive - Registration reform related amendments - Replaced “a senior officer” with “an appropriate Executive”. Amended - Non substantive - Clean up tranche - provision not included in the previously proposed plain language Rule 4400.	Amended - Non substantive - We updated this sub-section for consistency with the defined terms in sub-section 1201(2).		Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.

Rule 2600: Internal Control Policy Statements	Statement 3	Procedures (3) – (5)	R. 4467. Executive review	(1)		Amended - Substantive - Registration reform related amendments - Replaced “designated senior officer” with “Executive”. Amended - Non substantive - Clean up tranche - provisions not included in the previously proposed plain language Rule 4400.			Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 2600: Internal Control Policy Statements	Statement 3	Procedure (6)	R. 4468. Executive prompt action	(1)		Amended - Substantive - Registration reform related amendments - Replaced “senior management” with “the appropriate Executive”. Amended - Non substantive - Clean up tranche - provision not included in the previously proposed plain language Rule 4400.			Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 0400: Insurance	400.05	(d) and (e)			Repealed - Non substantive - Moved the insurance coverage options available to the Dealer Member to guidance.				
			R. 4469. - 4499. Reserved		New - Non substantive - Reserved sections added.				
New Provision			R. 4501. Introduction	(1)	New - Non substantive - Introduction section added.		Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency.	Amended - Non substantive - We updated the terms used in this sub-section for consistency.	Repealed - Non substantive - We separated rules 4500 and 4600, as a result we removed this section and transformed former section 4510 into the introductory section of Rule 4500.

			R. 4502. - 4509. Reserved		New - Non substantive - Reserved sections added.				Repealed - Non substantive - We separated rules 4500 and 4600, as a result of we removed this unnecessary reserve section.
Rule 3000: Code of Conduct for Dealing in Repo Markets	3000	Introduction	R. 4501. Introduction	(1)			Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency.	Amended - Substantive - We clarified that requirements apply to repurchase agreements and reverse repurchase agreements.	Amended - Non substantive - We separated rules 4500 and 4600, as a result of this section was renumbered from 4510 to 4501, and is now the new introduction section for Rule 4500.
Rule 3000: Code of Conduct for Dealing in Repo Markets	3000	Definitions	R. 4502. Definitions	(1)			Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency.	Amended - Substantive - We clarified that requirements apply to repurchase agreements and reverse repurchase agreements.	Amended - Non substantive - Previous section 4511 was renumbered 4502. We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
New Provision			R. 4502. Definitions	(1)		New- Non substantive - Added the definition of "CDSX" taken from the CDS rule book.	Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency.		Amended - Non substantive - Previous section 4511 was renumbered 4502. We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.

Rule 3000: Code of Conduct for Dealing in Repo Markets	3000, Part C	(6)	R. 4502. Definitions	(1)	Amended - Substantive - Expanded “general collateral” to include Government of Canada real return bonds, strips and coupons.	Amended - Non substantive - Replaced “Toronto time” with “Eastern Time”.			Amended - Non substantive - Previous section 4511 was renumbered 4502. We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
New Provision			R. 4503. General	(1)	New - Non substantive - General section added.		Amended - Non substantive - We added the words "as set out in Form 1" to clarify the capital adjustment requirement. We also updated terms in this sub-section for greater clarity and consistency.	Amended - Substantive - We clarified that requirements apply to repurchase agreements and reverse repurchase agreements.	Amended - Non substantive - Previous section 4512 was renumbered 4503. As a result of the various numbering changes in Rule 4500, we also updated cross-references where applicable.
Rule 3000: Code of Conduct for Dealing in Repo Markets	3000, Part D	(1) - (6)	R. 4504. Marking to market	(1)-(6)	Amended - Substantive - Added text “unless otherwise agreed by the parties” to clause (2).	Amended - Non substantive - Replaced “Toronto time” with “Eastern Time”.	Amended - Non substantive - We replaced the words "collateral being reposed" in PLR clause 4513(5)(iii) with "security being repurchased" for clarity.	Amended - Substantive - We clarified that requirements apply to repurchase agreements and reverse repurchase agreements in section 4513(5)(iii).	Amended - Non substantive - Previous section 4513 was renumbered 4504. As a result of the various numbering changes in Rule 4500, we updated cross-references where applicable. We also made a non-material drafting change in clause (5)(iii), in order to clarify our language.
Rule 3000: Code of Conduct for Dealing in Repo Markets	3000, Part E	(1) and (2)	R. 4505. Forward repo trade confirmations	(1)-(2)			Amended - Non substantive - We reformatted and renumbered the subsections, clauses and sub-clauses for clarity. We also updated terms in this sub-section for greater clarity and consistency.	Amended - Substantive - We clarified that requirements apply to repurchase agreements and reverse repurchase agreements.	Amended - Non substantive - Previous section 4514 was renumbered 4505. As a result of the various numbering changes in rule 4500, we also updated cross-references where applicable.

Rule 3000: Code of Conduct for Dealing in Repo Markets	3000, Part F	(1) and (2)	R. 4506. Obligation to make coupon payments	(1)-(2)			Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency.	Amended - Substantive - We clarified that requirements apply to repurchase agreements and reverse repurchase agreements.	Amended - Non substantive - Previous section 4515 was renumbered 4506. As a result of the various numbering changes in Rule 4500, we also updated cross-references where applicable.
Rule 3000: Code of Conduct for Dealing in Repo Markets	3000, Part I	(1) and (2)	R. 4507. Substitutions	(1)-(2)			Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency.	Amended - Substantive - We clarified that requirements apply to repurchase agreements and reverse repurchase agreements.	Amended - Non substantive - Previous section 4516 was renumbered 4507. As a result of the various numbering changes in Rule 4500, we also updated cross-references where applicable.
Rule 3000: Code of Conduct for Dealing in Repo Markets	3000, Part G		R. 4508. General collateral repo allocations	(1)-(3)			Amended - Non substantive - We replaced the words "(defined below)" with "as defined in clause 4517(2)(ii)" for clarity. We also updated terms in this sub-section for greater clarity and consistency.	Amended - Substantive - We clarified that requirements apply to repurchase agreements and reverse repurchase agreements.	Amended - Non substantive - Previous section 4517 was renumbered 4508. As a result of the various numbering changes in Rule 4500, we also updated cross-references where applicable. We also clarified our requirements.
Rule 3000: Code of Conduct for Dealing in Repo Markets	3000, Part H		R. 4508. General collateral repo allocations	(4)			Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency.	Amended - Substantive - We clarified that requirements apply to repurchase agreements and reverse repurchase agreements.	Amended - Non substantive - Previous section 4517 was renumbered 4508. As a result of the various numbering changes in Rule 4500, we also updated cross-references where applicable.
Rule 3000: Code of Conduct for Dealing in Repo Markets	3000, Part A	(1) and (2)	R. 4509. Confidentiality	(1)-(3)					Amended - Non substantive - Previous section 4518 was renumbered 4509. As a result of the various numbering changes in Rule 4500, we also updated cross-references where applicable.

Rule 3000: Code of Conduct for Dealing in Repo Markets	3000, Part B	(1) - (16)			Repealed -Non substantive - Deleted screen guidelines which are not requirements.				
Rule 3000: Code of Conduct for Dealing in Repo Markets	3000, Part C	(1) - (5), (7) and (8)			Repealed - Non substantive - Removed settlement assumptions which were effectively guidance, since they could be varied with the agreement of both parties.				
Rule 3000: Code of Conduct for Dealing in Repo Markets	3000, Part I	(3)			Repealed - Non substantive - Removed timing of collateral substitution requirements which were effectively guidance, since they could be varied with the agreement of both parties.				
Rule 3000: Code of Conduct for Dealing in Repo Markets	3000, Part J				Repealed - Non substantive - Removed redundant compliance and enforcement provisions.				
			R. 4519. - 4599. Reserved		New - Non substantive - Reserved sections added.				Amended - Non substantive - Previous reserve section 4519-4599 was renumbered 4510-4599.
New Provision			R. 4601. Introduction	(1)	New - Non substantive - Introduction section added.		Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency.		Amended - Non substantive - We separated rules 4500 and 4600, as a result of we corrected all relevant cross-references.

Rule 2200: Cash and Securities Loan Transactions	2200.01	"overnight cash loan agreements"	R. 4602. Definitions	(1)					Amended - Non substantive - We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable. We also made non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 2200: Cash and Securities Loan Transactions	2200.01	"Schedule I Bank"	R. 4602. Definitions	(1)(ii)			Amended - Non substantive - Previous clause 4602(1)(iv) was renumbered 4602(1)(ii).		Amended - Non substantive - We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable. We also made a non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).

Rule 0100: Margin Requirements	100.17	(a)					Repealed - Non substantive - We removed the defined terms "repo" and "reverse repo" and replaced them with "repurchase agreement" and "reverse repurchase agreement", respectively, and they are now defined in Rule 1200.		
Rule 0100: Margin Requirements	100.17	(b) 2nd to last sentence	R. 4602. Definitions	(1)			Amended - Non substantive - We deleted the definition of “overnight repurchase, reverse repurchase, or securities loan agreement” in PLR clause 4602(1)(ii) because the margin relief is provided in PLR subsection 5903(1) under “Special conditions” without the need to define these products as “overnight”. The remaining PLR clauses were renumbered accordingly.		
Form 1, Schedules 1 and 7	Schedules 1 and 7	Notes 1 and 5	R. 4602. Definitions	(1)			Repealed - Non substantive - We removed the defined term "regular settlement".		
New Provision			R. 4602. Definitions	(1)	New - Non substantive - Definition of “written cash and securities loan agreement’ added.		Repealed - Non substantive - We removed the defined term "written cash and securities loan agreement".		
Rule 2200: Cash and Securities Loan Transactions	2200.08	(a)	R. 4603. General requirements	(1)					
Rule 2200: Cash and Securities Loan Transactions	2200.05		R. 4603. General requirements	(2)					
Rule 2200: Cash and Securities Loan Transactions	2200.08	(b)	R. 4603. General requirements	(3)(i)					

Rule 2200: Cash and Securities Loan Transactions	2200.08	(e) last 2 lines	R. 4603. General requirements	(3)(ii)					
Rule 2200: Cash and Securities Loan Transactions	2200.06	(c)	R. 4603. General requirements	(4)					
Rule 2200: Cash and Securities Loan Transactions	2200.07	(a)	R. 4603. General requirements	(4)					
Rule 2200: Cash and Securities Loan Transactions	2200.08	(e) last 2 lines	R. 4603. General requirements	(4)					
Rule 2200: Cash and Securities Loan Transactions	2200.04		R. 4603. General requirements	(5)					
Rule 2200: Cash and Securities Loan Transactions	2200.02	First sentence	R. 4604. Written agreement requirement	(1)			Amended - Non substantive - We replaced the rule reference "Rule 5800" with "section 5840" to make it more specific.		
Form 1, Schedules 1 and 7	Schedules 1 and 7	Note 5, 2nd to last and last sentence	R. 4604. Written agreement requirement	(2)			Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency.		
Form 1, Schedules 1 and 7	Schedules 1 and 7	Note 5, 2nd paragraph	R. 4604. Written agreement requirement	(3)			Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency.		
Rule 2200: Cash and Securities Loan Transactions	2200.03		R. 4604. Written agreement requirement	(3)					
Rule 2200: Cash and Securities Loan Transactions	2200.07	(a) and (b)	R. 4605. Cash and securities loans between a Dealer Member and an acceptable institution or acceptable counterparty	(1)					Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).

Rule 2200: Cash and Securities Loan Transactions	2200.06	(a) and (b)	R. 4606. Cash and securities loans between regulated entities	(1)					Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
New Provision			R. 4607. Cash and securities loans with other counterparties	(1)	New - Non substantive - Preamble added.				
Rule 2200: Cash and Securities Loan Transactions	2200.08	(c)(A), (B) and (C)	R. 4607. Cash and securities loans with other counterparties	(2)					
Rule 2200: Cash and Securities Loan Transactions	2200.08	(d)	R. 4607. Cash and securities loans with other counterparties	(3)					
			R. 4608. - 4699. Reserved		New - Non substantive - Reserved sections added.				
New Provision			R. 4701. Introduction	(1)	New - Non substantive - Introduction section added.	Amended - Non substantive - Added wording to make the requirements clearer.			Repealed - Non substantive - We separated Rules 4700 and 4800, as a result of this change, we made non-material changes to the introductory language of this section.
			R. 4702. - 4709. Reserved		New - Non substantive - Reserved sections added.				
New Provision			R. 4710. Introduction	(1)	New - Non-substantive - Introduction section added.				
Rule 0017: Dealer Member Minimum Capital, Conduct of Business and Insurance	17.16	1st sentence, 1st clause	R. 4711. Creating a business continuity plan	(1)					
Rule 0017: Dealer Member Minimum Capital, Conduct of Business and Insurance	17.16	1st sentence, 2nd clause	R. 4712. Business continuity plan procedures	(1)					
Rule 0017: Dealer Member Minimum Capital, Conduct of Business and Insurance	17.16	2nd sentence	R. 4712. Business continuity plan procedures	(2) and (3)					Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.

Rule 0017: Dealer Member Minimum Capital, Conduct of Business and Insurance	17.16	2nd paragraph, 1st sentence	R. 4713. Update business continuity plan	(1)					
Rule 0017: Dealer Member Minimum Capital, Conduct of Business and Insurance	17.16	2nd paragraph, 2nd sentence	R. 4714. Annual review and test	(1)-(2)	New - Substantive - Added to subsection (1) a requirement for senior management annual approval of business continuity plan - previously set out as an expectation in IDA Bulletin 3442.	Amended - Substantive - Clause 4714(1)(ii) - Registration reform related amendments - Replaced “senior management” with “an appropriate Executive”.			
Rule 0017: Dealer Member Minimum Capital, Conduct of Business and Insurance	17.16	2nd paragraph, 3rd sentence	R. 4714. Annual review and test	(3)					
			R. 4715. - 4749. Reserved		New - Non substantive - Reserved sections added.				
New Provision			R. 4750. Introduction	(1)	New - Non substantive - Introduction section added.				Amended - Non substantive - We updated cross-referencing.
Rule 0800: Trading and Delivery	800.01				Repealed - Non substantive - Redundant provision deleted.				
Rule 0800: Trading and Delivery	800.02				Repealed - Substantive - Removed the prohibition of a Dealer Member from joining other trading organizations or associations.				
Rule 0800: Trading and Delivery	800.49	(1)(i) and (3)	R. 4751. Definitions	(1)					Amended - Non substantive - We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0800: Trading and Delivery	800.03				Repealed - Non substantive - Removed the definition of “clearing days”.				
Rule 0800: Trading and Delivery	800.04				Repealed - Non substantive - Removed definition of “dealt in”.				

Rule 0800: Trading and Delivery	800.31	(b)(ii)	R. 4751. Definitions	(1)					Amended - Non substantive - We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0800: Trading and Delivery	800.30D	(a)(vii)	R. 4751. Definitions	(1)					Amended - Non substantive - We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
New Provision			R. 4751. Definitions	(1)		New - Non substantive - Added definition of “good delivery securities”.			Amended - Non substantive - We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.

Rule 0800: Trading and Delivery	800.49	(2)	R. 4751. Definitions	(1)		New - Non substantive - Added definition of “non-exchange trade”.	Amended - Non substantive - We clarified this definition.	Amended - Substantive - We reflected a change in the defined term "acceptable marketplace".	Amended - Non substantive - We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0800: Trading and Delivery	800.30A	“participant”	R. 4751. Definitions	(1)					Amended - Non substantive - We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0800: Trading and Delivery	800.30	(c)	R. 4751. Definitions	(1)					Amended - Non substantive - We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.

Rule 0800: Trading and Delivery	800.31	(b)(i)	R. 4751. Definitions	(1)			Amended - Non substantive - We removed the definition of "recognized securities depository" and instead referred directly to CDS throughout Rule 4700 Part B.		Amended - Non substantive - We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0800: Trading and Delivery	800.30A	“settlement service”	R. 4751. Definitions	(1)					Amended - Non substantive - We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0800: Trading and Delivery	800.11				Repealed - Non substantive - Removed requirement already covered in account opening requirements section, previous plain language rule subsection 3222(5).				
Rule 0800: Trading and Delivery	800.12				Repealed - Non substantive - Removed redundant provision relating to communication costs.				

Rule 0800: Trading and Delivery	800.14				Repealed - Substantive - Removed the Chair of the District Council's rule interpretation authority on forbidden transactions. Dealer Members are already required to ensure their transactions are in compliance with IIROC's rules and securities legislation.				
Rule 0800: Trading and Delivery	800.15				Repealed - Non substantive - Removed provision relating to the spirit and letter of the rules; will be covered off in section detailing principles of conduct.				
Rule 0800: Trading and Delivery	800.27	(e)			Repealed - Non substantive - Duplicative of trade confirmation requirements.				
Rule 0800: Trading and Delivery	800.30D				Repealed - Substantive - Removed provision specifying how securities must be delivered through the clearing corporation. Delivery requirements are addressed within the clearing corporation rules.				
Rule 0800: Trading and Delivery	800.31	(d)			Repealed - Non substantive - Provision stating that IIROC has the authority to review and amend its rules and allow exemptions from them is redundant.				
Rule 0800: Trading and Delivery	800.30C	2nd sentence	R. 4752. Use of a clearing corporation	(1)					
Rule 0800: Trading and Delivery	800.30B		R. 4752. Use of a clearing corporation	(2)			Amended - Non substantive - We made changes to the wording of this section to improve readability.		

New Provision			R. 4752. Use of a clearing corporation	(3)	New - Substantive - Clarified that IIROC's settlement requirements apply when a trade is to be settled without using a clearing corporation.		Amended - Non substantive - We made changes to the wording of this section to improve readability.		Amended - Non substantive - We updated cross-referencing.
Rule 0800: Trading and Delivery	800.49	(1)	R. 4753. Use of a trade matching utility	(1)		Amended - Non substantive - Added implemented amendments from existing Dealer Member rule.			
Rule 0800: Trading and Delivery	800.49	(4)	R. 4754. Trade classification where a Dealer Member enters a trade into the matching utility	(1)		New - Non substantive - Added implemented amendments from existing Dealer Member rule.			
Rule 0800: Trading and Delivery	800.49	(5)	R. 4755. Trade classification where a Dealer Member does not enter a trade into the matching utility	(1)		New - Non substantive - Added implemented amendments from existing Dealer Member rule.			
Rule 0800: Trading and Delivery	800.49	(6)	R. 4756. Trade matching quarterly compliant trade percentage	(1)-(3)		New - Non substantive - Added implemented amendments from existing Dealer Member rule.			
Rule 0800: Trading and Delivery	800.31	(a)	R. 4757. Payment or delivery through client settlement agent	(1)(i) - (v)					Amended - Non substantive - We made a minor drafting change, in order to clarify our requirement.
Rule 0800: Trading and Delivery	800.31	(c)	R. 4757. Payment or delivery through client settlement agent	(1)(v)					
Rule 0800: Trading and Delivery	800.10		R. 4758. Early registration of securities	(1)-(2)				Amended - Substantive - We clarified the drafting in this section.	
Rule 0800: Trading and Delivery	800.30	D(c)	R. 4758. Early registration of securities	(3)		New - Non substantive - This provision was moved from Section 7119.			

Rule 0800: Trading and Delivery	800.13		R. 4759. Repo and option granting transactions with clients	(1)					Amended - Non substantive - We made changes to the title of this subsection for greater clarity and consistency. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0800: Trading and Delivery	800.47		R. 4760. When issued trading	(1)				Amended - Non substantive - See Notice 17-0133 for details.	Amended - Non substantive - See Notice 17-0133 for details. We also made non-material changes to clarify our requirement.
Rule 0800: Trading and Delivery	800.38		R. 4761. Tax payments	(1)					
			R. 4762. - 4799. Reserved		New - Non substantive - Reserved sections added.				
New Provision			R. 4801. Introduction	(1)					Amended - Non substantive - We separated rules 4700 and 4800, as a result of this change we added introductory section 4801 to Rule 4800.
New Provision			R. 4802. Introduction	(1)-(3)	New - Non substantive - Introduction section added.				Amended - Non substantive - Previous section 4801 was renumbered 4802. We also removed parts of this section, as they were no longer relevant because of split between Rules 4700 and 4800.
Rule 0800: Trading and Delivery	800.05		R. 4803. Fixed income accrued interest	(1)					Amended - Non substantive - Previous section 4802 was renumbered 4803.
Rule 0800: Trading and Delivery	800.16		R. 4803. Fixed income accrued interest	(1)					Amended - Non substantive - Previous section 4802 was renumbered 4803.
Rule 0800: Trading and Delivery	800.06		R. 4803. Fixed income accrued interest	(2)					Amended - Non substantive - Previous section 4802 was renumbered 4803.

Rule 0800: Trading and Delivery	800.07		R. 4803. Fixed income accrued interest	(3)					Amended - Non substantive - Previous section 4802 was renumbered 4803.
Rule 0800: Trading and Delivery	800.08		R. 4803. Fixed income accrued interest	(4)					Amended - Non substantive - Previous section 4802 was renumbered 4803.
Rule 0800: Trading and Delivery	800.09		R. 4803. Fixed income accrued interest	(5)					Amended - Non substantive - Previous section 4802 was renumbered 4803.
Rule 0800: Trading and Delivery	800.48		R. 4803. Fixed income accrued interest	(6)					Amended - Non substantive - Previous section 4802 was renumbered 4803.
Rule 0800: Trading and Delivery	800.33	(a)	R. 4803. Fixed income accrued interest	(7)					Amended - Non substantive - Previous section 4802 was renumbered 4803. We also made non-material changes (See Notice 17-0133 for details).
Rule 0800: Trading and Delivery	800.33	(b)	R. 4803. Fixed income accrued interest	(8)					Amended - Non substantive - Previous section 4802 was renumbered 4803. We also made non-material changes (See Notice 17-0133 for details).
Rule 0800: Trading and Delivery	800.35		R. 4803. Fixed income accrued interest	(9)					Amended - Non substantive - Previous section 4802 was renumbered 4803.
Rule 0800: Trading and Delivery	800.23		R. 4804. Fixed income trading units	(1)				Amended - Substantive - For consistency with current practice, we amended this section to apply to all transactions between Dealer Members regardless of the Districts in which the Dealer Members are in.	Amended - Non substantive - Previous section 4803 was renumbered 4804. We also corrected cross-references in this section as a result of numbering changes to other parts of the Rules.
Rule 0800: Trading and Delivery	800.21	(a) - (f)	R. 4804. Fixed income trading units	(2)			Amended - Non substantive - Previous sub-section 4803(5) was renumbered 4803(2) and we made changes to clarify our requirements.		Amended - Non substantive - Previous section 4803 was renumbered 4804. We also corrected cross-references in this section as a result of numbering changes to other parts of the Rules.

Rule 0800: Trading and Delivery	800.19		R. 4804. Fixed income trading units	(3)			Amended - Non substantive - Previous sub-section 4803(2) was renumbered 4803(3).	Amended - Non substantive - We corrected a grammatical error in this subsection by adding quotations to a term	Amended - Non substantive - Previous section 4803 was renumbered 4804. We also corrected cross-references in this section as a result of numbering changes to other parts of the Rules.
Rule 0800: Trading and Delivery	800.22	1st part of sentence	R. 4804. Fixed income trading units	(3)			Amended - Non substantive - Previous sub-section 4803(2) was renumbered 4803(3).		Amended - Non substantive - Previous section 4803 was renumbered 4804. We also corrected cross-references in this section as a result of numbering changes to other parts of the Rules.
Rule 0800: Trading and Delivery	800.20		R. 4804. Fixed income trading units	(4)			Amended - Non substantive - Previous sub-section 4803(3) was renumbered 4803(4).		Amended - Non substantive - Previous section 4803 was renumbered 4804. We also corrected cross-references in this section as a result of numbering changes to other parts of the Rules.
Rule 0800: Trading and Delivery	800.22	2nd part of sentence	R. 4804. Fixed income trading units	(5)			Amended - Non substantive - Previous sub-section 4803(4) was renumbered 4803(5).		Amended - Non substantive - Previous section 4803 was renumbered 4804. We also corrected cross-references in this section as a result of numbering changes to other parts of the Rules.
Rule 0800: Trading and Delivery	800.27	(a) - (c)	R. 4805. Fixed income delivery	(1)			Amended - Non substantive - Previous sub-section 4804(3) was renumbered 4804(1) and we made changes to clarify our requirements.		Amended - Non substantive - Previous section 4804 was renumbered 4805. We also corrected cross-references in this section as a result of numbering changes to other parts of the Rules. (We also made non-material changes in January 2018 (See Notice 17-0133 for details).

Rule 0800: Trading and Delivery	800.24		R. 4805. Fixed income delivery	(2)			Amended - Non substantive - Previous sub-section 4804(1) was renumbered 4804(2).		Amended - Non substantive - Previous section 4804 was renumbered 4805. We also corrected cross-references in this section as a result of numbering changes to other parts of the Rules.
Rule 0800: Trading and Delivery	800.27	1st sentence	R. 4805. Fixed income delivery	(2)			Amended - Non substantive - Previous sub-section 4804(1) was renumbered 4804(2).		Amended - Non substantive - Previous section 4804 was renumbered 4805. We also corrected cross-references in this section as a result of numbering changes to other parts of the Rules.
Rule 0800: Trading and Delivery	800.25		R. 4805. Fixed income delivery	(3)			Amended - Non substantive - Previous sub-section 4804(2) was renumbered 4804(3).		Amended - Non substantive - Previous section 4804 was renumbered 4805. We also corrected cross-references in this section as a result of numbering changes to other parts of the Rules.
Rule 0800: Trading and Delivery	800.27	(d) and (f)	R. 4805. Fixed income delivery	(4)			Amended - Non substantive - We replaced the word "above" with "in subsection 4804(3)" for greater consistency.		Amended - Non substantive - Previous section 4804 was renumbered 4805. We also corrected cross-references in this section as a result of numbering changes to other parts of the Rules. (We also made non-material changes in January 2018 (See Notice 17-0133 for details).
Rule 0800: Trading and Delivery	800.29		R. 4805. Fixed income delivery	(5)(i)	Amended - Substantive - Amended delivery time from before 5:30 p.m. to before 4:30 p.m. to reflect industry practice.				Amended - Non substantive - Previous section 4804 was renumbered 4805. We also corrected cross-references in this section as a result of numbering changes to other parts of the Rules.

Rule 0800: Trading and Delivery	800.28		R. 4805. Fixed income delivery	(5)(ii)					Amended - Non substantive - Previous section 4804 was renumbered 4805. We also corrected cross-references in this section as a result of numbering changes to other parts of the Rules.
Rule 0800: Trading and Delivery	800.30	1st paragraph and (a) 3rd paragraph	R. 4805. Fixed income delivery	(6)(i)					Amended - Non substantive - Previous section 4804 was renumbered 4805. We also corrected cross-references in this section as a result of numbering changes to other parts of the Rules.
Rule 0800: Trading and Delivery	800.30	(a) 1st paragraph	R. 4805. Fixed income delivery	(6)(ii)					Amended - Non substantive - Previous section 4804 was renumbered 4805. We also corrected cross-references in this section as a result of numbering changes to other parts of the Rules.
Rule 0800: Trading and Delivery	800.26		R. 4805. Fixed income delivery	(6)(iii)					Amended - Non substantive - Previous section 4804 was renumbered 4805. We also corrected cross-references in this section as a result of numbering changes to other parts of the Rules.
Rule 0800: Trading and Delivery	800.30	(a) 5th and 6th paragraph	R. 4805. Fixed income delivery	(6)(iv)					Amended - Non substantive - Previous section 4804 was renumbered 4805. We also corrected cross-references in this section as a result of numbering changes to other parts of the Rules.

Rule 0800: Trading and Delivery	800.30	(a)(v)	R. 4805. Fixed income delivery	(6)(v)					Amended - Non substantive - Previous section 4804 was renumbered 4805. We also corrected cross-references in this section as a result of numbering changes to other parts of the Rules.
Rule 0800: Trading and Delivery	800.30	(a) 4th paragraph	R. 4805. Fixed income delivery	(6)(vi)					Amended - Non substantive - Previous section 4804 was renumbered 4805. We also corrected cross-references in this section as a result of numbering changes to other parts of the Rules.
Rule 0800: Trading and Delivery	800.30	(a)(i) - (iv)	R. 4805. Fixed income delivery	(6)(vii)					Amended - Non substantive - Previous section 4804 was renumbered 4805. We also corrected cross-references in this section as a result of numbering changes to other parts of the Rules. We updated terms for consistency with the definitions section and clarified the language.
Rule 0800: Trading and Delivery	800.32		R. 4805. Fixed income delivery	(7)					Amended - Non substantive - Previous section 4804 was renumbered 4805. We also corrected cross-references in this section as a result of numbering changes to other parts of the Rules.
Rule 0800: Trading and Delivery	800.36		R. 4805. Fixed income delivery	(8)(i)					Amended - Non substantive - Previous section 4804 was renumbered 4805. We also corrected cross-references in this section as a result of numbering changes to other parts of the Rules.

Rule 0800: Trading and Delivery	800.37		R. 4805. Fixed income delivery	(8)(ii)					Amended - Non substantive - Previous section 4804 was renumbered 4805. We also corrected cross-references in this section as a result of numbering changes to other parts of the Rules. We also made non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0800: Trading and Delivery	800.46		R. 4806. Fixed income redemption payment	(1)					Amended - Non substantive - Previous section 4805 was renumbered 4806. We also corrected cross-references in this section as a result of numbering changes to other parts of the Rules.
Rule 0800: Trading and Delivery	800.23		R. 4807. Stock trading units	(1)				Amended - Substantive - For consistency with current practice, we amended this section to apply to all transactions between Dealer Members regardless of the Districts in which the Dealer Members are in.	Amended - Non substantive - Previous section 4806 was renumbered 4807. We also corrected cross-references in this section as a result of numbering changes to other parts of the Rules.
Rule 0800: Trading and Delivery	800.21	(g)	R. 4807. Stock trading units	(2)			Amended - Non substantive - Previous sub-section 4806(5) was renumbered 4806(2) and we made changes to clarify our requirements.		Amended - Non substantive - Previous section 4806 was renumbered 4807. We also corrected cross-references in this section as a result of numbering changes to other parts of the Rules. We-updated terms for consistency with the definitions section and clarified the language.

Rule 0800: Trading and Delivery	800.19		R. 4807. Stock trading units	(3)			Amended - Non substantive - Previous sub-section 4806(2) was renumbered 4806(3).	Amended - Non substantive - We corrected a grammatical error in this subsection by adding quotations marks to a term.	Amended - Non substantive - Previous section 4806 was renumbered 4807. We also corrected cross-references in this section as a result of numbering changes to other parts of the Rules.
Rule 0800: Trading and Delivery	800.22	1st part of sentence	R. 4807. Stock trading units	(3)			Amended - Non substantive - Previous sub-section 4806(2) was renumbered 4806(3).		Amended - Non substantive - Previous section 4806 was renumbered 4807. We also corrected cross-references in this section as a result of numbering changes to other parts of the Rules.
Rule 0800: Trading and Delivery	800.20		R. 4807. Stock trading units	(4)			Amended - Non substantive - Previous sub-section 4806(3) was renumbered 4806(4).		Amended - Non substantive - Previous section 4806 was renumbered 4807. We also corrected cross-references in this section as a result of numbering changes to other parts of the Rules.
Rule 0800: Trading and Delivery	800.22	2nd part of sentence	R. 4807. Stock trading units	(5)			Amended - Non substantive - Previous sub-section 4806(4) was renumbered 4806(5).		Amended - Non substantive - Previous section 4806 was renumbered 4807. We also corrected cross-references in this section as a result of numbering changes to other parts of the Rules.
Rule 0800: Trading and Delivery	800.3	1st paragraph	R. 4808. Stock delivery						Amended - Non substantive - Previous section 4807 was renumbered 4808. We also corrected cross-references in this section as a result of numbering changes to other parts of the Rules.

Rule 0800: Trading and Delivery	800.24		R. 4808. Stock delivery	(1)					Amended - Non substantive - Previous section 4807 was renumbered 4808. We also corrected cross-references in this section as a result of numbering changes to other parts of the Rules.
New Provision			R. 4808. Stock delivery	(2)(i)	New - Non substantive - Added general provision setting out what is considered to be “regular delivery” for exchange-listed shares.				Amended - Non substantive - Previous section 4807 was renumbered 4808. We also corrected cross-references in this section as a result of numbering changes to other parts of the Rules.
New Provision			R. 4808. Stock delivery	(2)(ii)(a)	New - Non substantive - Added general provision setting out what is considered to be “regular delivery” for unlisted shares.				Amended - Non substantive - Previous section 4807 was renumbered 4808. We also corrected cross-references in this section as a result of numbering changes to other parts of the Rules.
Rule 0800: Trading and Delivery	800.34		R. 4808. Stock delivery	(2)(ii)(b) and (c)					Amended - Non substantive - Previous section 4807 was renumbered 4808. We also corrected cross-references in this section as a result of numbering changes to other parts of the Rules. We also made other non-material changes (See Notice 17-0133 for details.)
Rule 0800: Trading and Delivery	800.27	(d) 1st sentence	R. 4808. Stock delivery	(3)(i)			Amended - Non substantive - We replaced the word "above" with "in subsection 4807(2)" for consistency.		Amended - Non substantive - Previous section 4807 was renumbered 4808. We also corrected cross-references in this section as a result of numbering changes to other parts of the Rules.

Rule 0800: Trading and Delivery	800.40	1st part of 1st sentence	R. 4808. Stock delivery	(4)(i)					Amended - Non substantive - Previous section 4807 was renumbered 4808. We also corrected cross-references in this section as a result of numbering changes to other parts of the Rules.
Rule 0800: Trading and Delivery	800.41	1st part of 1st sentence	R. 4808. Stock delivery	(4)(ii)					Amended - Non substantive - Previous section 4807 was renumbered 4808. We also corrected cross-references in this section as a result of numbering changes to other parts of the Rules.
Rule 0800: Trading and Delivery	800.30	(b)	R. 4808. Stock delivery	(5)				Amended - Substantive - We ensured consistency with current practice.	Amended - Non substantive - Previous section 4807 was renumbered 4808. We also corrected cross-references in this section as a result of numbering changes to other parts of the Rules. We also updated terms in this section for consistency with the definitions section.
Rule 0800: Trading and Delivery	800.32		R. 4808. Stock delivery	(6)					Amended - Non substantive - Previous section 4807 was renumbered 4808. We also corrected cross-references in this section as a result of numbering changes to other parts of the Rules.
Rule 0800: Trading and Delivery	800.36		R. 4808. Stock delivery	(7)(i)					Amended - Non substantive - Previous section 4807 was renumbered 4808. We also corrected cross-references in this section as a result of numbering changes to other parts of the Rules.

Rule 0800: Trading and Delivery	800.37		R. 4808. Stock delivery	(7)(ii)					Amended - Non substantive - Previous section 4807 was renumbered 4808. We also corrected cross-references in this section as a result of numbering changes to other parts of the Rules.
Rule 0800: Trading and Delivery	800.45		R. 4809. Stock dividend claims	(1)					Amended - Non substantive - Previous section 4808 was renumbered 4809. We also corrected cross-references in this section as a result of numbering changes to other parts of the Rules.
Rule 0800: Trading and Delivery	800.39		R. 4810. Buy-ins	(1) 1st sentence					Amended - Non substantive - Previous section 4809 was renumbered 4810. We also corrected cross-references in this section as a result of numbering changes to other parts of the Rules.
Rule 0800: Trading and Delivery	800.40		R. 4810. Buy-ins	(1)(i)					Amended - Non substantive - Previous section 4809 was renumbered 4810. We also corrected cross-references in this section as a result of numbering changes to other parts of the Rules.
Rule 0800: Trading and Delivery	800.41		R. 4810. Buy-ins	(1)(ii)					Amended - Non substantive - Previous section 4809 was renumbered 4810. We also corrected cross-references in this section as a result of numbering changes to other parts of the Rules.

Rule 0800: Trading and Delivery	800.42		R. 4810. Buy-ins	(1)(iii)					Amended - Non substantive - Previous section 4809 was renumbered 4810. We also corrected cross-references in this section as a result of numbering changes to other parts of the Rules.
Rule 0800: Trading and Delivery	800.43		R. 4810. Buy-ins	(1)(iv)					Amended - Non substantive - Previous section 4809 was renumbered 4810. We also corrected cross-references in this section as a result of numbering changes to other parts of the Rules.
Rule 0800: Trading and Delivery	800.44		R. 4810. Buy-ins	(1)(v)					Amended - Non substantive - Previous section 4809 was renumbered 4810. We also corrected cross-references in this section as a result of numbering changes to other parts of the Rules.
			R. 4811. - 4849. Reserved		New - Non substantive - Reserved sections added.				Amended - Non substantive - Previous reserve section 4810 -4849 was renumbered 4811-4849.
New Provision			R. 4850. Introduction	(1)	New - Non substantive - Introduction section added.				Amended - Non substantive - We corrected cross-references in this section as a result of numbering changes to other parts of the Rules.

Rule 2300: Account Transfers	2300.01		R. 4851. Definitions	(1)			Amended - Non substantive - We added the words "Part D of" before "Rule 4800" in order to make the rule reference more specific.		Amended - Non substantive - We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 2300: Account Transfers	2300.01	“account transfer”	R. 4851. Definitions	(1)					Amended - Non substantive - We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 2300: Account Transfers	2300.01	“delivering Dealer Member”	R. 4851. Definitions	(1)					Amended - Non substantive - We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.

Rule 2300: Account Transfers	2300.01	"partial account"	R. 4851. Definitions	(1)					Amended - Non substantive - We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 2300: Account Transfers	2300.01	"receiving Dealer Member"	R. 4851. Definitions	(1)					Amended - Non substantive - We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 2300: Account Transfers	2300.01	"recognized clearing depository"	R. 4851. Definitions	(1)		Amended - Non substantive - Clean up tranche - Defined term simplified to "recognized depository". Added wording to make requirements clearer.			Amended - Non substantive - We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 2300: Account Transfers	2300.02	1st paragraph, 2nd sentence	R. 4852. Transferring a full or partial account	(1)			Amended - Non substantive - We added the words "Part D of" before "Rule 4800" to make the rule reference more specific.		Amended - Non substantive - We corrected cross-references in this section as a result of numbering changes to other parts of the Rules.
Rule 2300: Account Transfers	2300.02	1st paragraph, 1st sentence	R. 4853. Transfer through a recognized depository	(1)					

Rule 2300: Account Transfers	2300.02	2nd and 3rd paragraphs	R. 4854. Communications between Dealer Members	(1)-(4)					Amended - Non substantive - We corrected cross-references in this section as a result of numbering changes to other parts of the Rules.
Rule 2300: Account Transfers	2300.03		R. 4855. Receiving Dealer Member responsibilities for documents	(1)-(3)					
Rule 2300: Account Transfers	2300.04	1st paragraph	R. 4856. Delivering Dealer Member - response to request for transfer	(1)-(2)					
Rule 2300: Account Transfers	2300.05	1st paragraph, 1st sentence	R. 4857. Asset transfer	(1)					
Rule 2300: Account Transfers	2300.05	3rd paragraph, 1st part	R. 4857. Asset transfer	(2)(i)					
Rule 2300: Account Transfers	2300.05	1st paragraph, 2nd sentence	R. 4857. Asset transfer	(2)(ii)					
Rule 2300: Account Transfers	2300.05	3rd paragraph, 2nd part	R. 4857. Asset transfer	(2)(iii)					
Rule 2300: Account Transfers	2300.05	3rd paragraph, 3rd part	R. 4857. Asset transfer	(2) last sentence					
Rule 2300: Account Transfers	2300.04	2nd and 3rd paragraphs	R. 4858. Transfer impediment	(1)-(3)			Amended - Non substantive - We added the words "Part D of" before "Rule 4800" to make the rule reference more specific.		Amended - Non substantive - We corrected cross-references in this section as a result of numbering changes to other parts of the Rules.
Rule 2300: Account Transfers	2300.06		R. 4859. Failure to settle	(1)-(2)					Amended - Non substantive - We corrected cross-references in this section as a result of numbering changes to other parts of the Rules.
Rule 2300: Account Transfers	2300.07		R. 4860. Non-certificated mutual funds	(1)					
Rule 2300: Account Transfers	2300.08		R. 4861. Interest or dividend receipt balances	(1)					Amended - Non substantive - We corrected cross-references in this section as a result of numbering changes to other parts of the Rules.
Rule 2300: Account Transfers	2300.05	2nd paragraph	R. 4862. Margin	(1)-(2)					

Rule 2300: Account Transfers	2300.09		R. 4863. Responsibility for margining account	(1)	Amended - Substantive - Existing Dealer Member rule section 2300.9 is silent on when the receiving Dealer Member must assume responsibility for margining. Consequently, we have added a start date of the earlier of (i) the date of transfer of all assets and money balances, and (ii) 20 clearing days after receipt by the delivering Dealer Member.	Amended - Non substantive - Removed the proposed amendments related to “20 clearing days” that were added in the previously published proposed plain language rule.			
Rule 2300: Account Transfers	2300.10		R. 4864. Fees and charges	(1)					
Rule 2300: Account Transfers	2300.11		R. 4865. IIROC exemption	(1)-(2)			Amended - Non substantive - We made changes to the wording of this section to improve readability.		Amended - Non substantive - We corrected cross-references in this section as a result of numbering changes to other parts of the Rules.
			R. 4866. - 4899. Reserved		New - Non substantive - Reserved sections added.				
New Provision			R. 4901. Introduction	(1)	New - Non substantive - Introduction section added.				Amended - Non substantive - We removed an unneeded cross-reference.
			R. 4902. - 4909. Reserved		New - Non substantive - Reserved sections added.				
New Provision			R. 4910. Introduction	(1)	New - Non substantive - Introduction section added.	Amended - Substantive - Clause 4910(1)(ii) - Registration reform related amendments - Replaced “the level of management” with “an appropriate Executive”.			
Rule 2600: Internal Control Policy Statements	Statement 8	Control objectives 1st and 2nd sentences	R. 4911. Definitions	(1)		New - Non substantive - Clean up tranche - Defined the term “derivative” for the purposes of proposed plain language Rule 4900.	Repealed - Non substantive - We moved the definition of "derivative" to Rule 1200.		
			R. 4911. Reserved.						

Rule 2600: Internal Control Policy Statements	Statement 8	Procedure (4)(i)	R. 4912. Risk management process	(1)					
Rule 2600: Internal Control Policy Statements	Statement 8	Control objective (a)	R. 4912. Risk management process	(2)					
Rule 2600: Internal Control Policy Statements	Statement 8	Control objectives (b) and (c)	R. 4912. Risk management process	(3)		Amended - Substantive - Clause 4912(3)(i) - Registration reform related amendments - Replaced “Management” with “An appropriate Executive”.			Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 2600: Internal Control Policy Statements	Statement 8	Procedure (4)(ii)	R. 4912. Risk management process	(4)					
Rule 2600: Internal Control Policy Statements	Statement 8	Procedures (1)(i) - (iii)	R. 4913. Role of board of directors	(1)-(2)		Amended - Substantive - Subsection 4913(2) - Registration reform related amendments - Replaced “Senior management” with “An appropriate Executive”.			Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 2600: Internal Control Policy Statements	Statement 8	Procedures (2)(i) - (ix)	R. 4914. Role of an appropriate Executive	(1)		Amended - Substantive - Subsection 4914(1), Clause 4914(1)(ii), Clause 4914(1)(ii) and Clause 4914(1)(ix) - Registration reform related amendments - Replaced “A Dealer Member’s senior management” with “An appropriate Executive”. Replaced “personnel” with “employees”. Replaced “senior management” with “an appropriate Executive”.			Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 2600: Internal Control Policy Statements	Statement 8	Procedures (3)(i) - (iv)	R. 4915. Pricing	(1)-(4)		Amended - Substantive - Clause 4915(3)(ii) - Registration reform related amendments - Replaced “personnel” with “employees”.	Amended - Non substantive - We replaced the word "below" with "in subsections 4915(2) through 4915(4)" for greater consistency.		
			R. 4916. - 4999. Reserved		New - Non substantive - Reserved sections added.				

Appendix 3
IIROC Dealer Member Plain Language Rule Book Rewrite Project
Table of Concordance - 5000 Series

Existing Dealer Member Rule Number and Title	Existing Dealer Member Rule Section Reference	Subsection or Similar Reference	PLR Rule Number, Title and Description	Subsection	Originally Published Proposed PLR Rules (2010-2014): Comments and Description	March 10, 2016 Publication (Notice 16-0052): Comments and Descriptions	March 9, 2017 Publication (Notice 17-0054): Comments and Descriptions	January 18, 2018 Publication (Notice 18-0014): Comments and Descriptions	Revisions to Previously Published Proposed PLR Rules
5000 Series									
New Provision			R. 5101. Application and definitions - Introduction	(1)	New - Non substantive - Introduction section added.		Amended - Non substantive - We replaced the rule reference "5800" with "5900". We renumbered the rule reference "5118" to "5117" because PLR section 5111 was moved to PLR clause 3211(1)(i) and 3246.		
			R. 5102. - 5109. - Reserved		New - Non substantive - Reserved sections.				
New Provision			R. 5110. Application - Margin requirements - purposes	(1)	New - Non substantive - Basic explanation of the purposes of margin requirements.	New - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
New Provision			R. 5110. Application - Margin requirements - purposes	(2)	New - Non substantive - Discussion of the topics covered by section 5111.	New - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection. Also, minor wording clarifications have been made to latest rule draft.	Amended - Non substantive - We deleted PLR subsection 5110(2) because PLR section 5111 was moved to PLR clause 3211(1)(i) and section 3246. Renumbered PLR subsection 5110(3) to 5110(2) accordingly.		
New Provision			R. 5110. Application - Margin requirements - purposes	(3)	New - Non substantive - Discussion of the topics covered by sections 5112 through 5118.	New - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.	Amended - Non substantive - We renumbered PLR subsection 5110(3) to 5110(2) because PLR subsection 5110(2) was deleted.		

New Provision			R. 5111. Margin requirements - when to extend margin to clients				Amended - Non substantive - We relocated PLR section 5111 to PLR clause 3211(1)(i) and 3246. We renumbered subsequent PLR sections and any rule references within these sections accordingly. We renumbered the rule reference "Sections 5112 through 5118" to "Sections 5111 through 5117" accordingly.		
Rule 0017: Dealer Member Minimum Capital, Conduct of Business and Insurance	17.11		R. 5111. Application - margin requirements - general application	(1)		Amended - Non substantive - The term “IIROC” has now been italicized throughout plain language rule 5000.			
Form 1: Schedules	Schedule(s) 04	Note(s) 01	R. 5111. Application - margin requirements - general application	(1)					
Rule 0017: Dealer Member Minimum Capital, Conduct of Business and Insurance	17.11		R. 5111. Application - margin requirements - general application	(2)					
Form 1: Schedules	Schedule(s) 04	Note(s) 01	R. 5111. Application - margin requirements - general application	(2)					
Rule 0017: Dealer Member Minimum Capital, Conduct of Business and Insurance	17.11		R. 5111. Application - margin requirements - general application	(3)					
Form 1: Schedules	Schedule(s) 04	Note(s) 01	R. 5111. Application - margin requirements - general application	(3)					
New Provision			R. 5111. Application - margin requirements - general application	(4)	New - Non substantive - Reflects current practice.	New - Non substantive - Minor wording clarifications have been made to latest rule draft.	Amended - Non substantive - Replaced the rule reference "5800" with "5900" to correct the reference.		
New Provision			R. 5112. Application - margin requirements - Dealer Member inventory positions	(1)	New - Non substantive - Reflects current practice.		Amended - Non substantive - Replaced the rule reference "5800" with "5900" to correct the reference.		
New Provision			R. 5112. Application - margin requirements - Dealer Member inventory positions	(2)	New - Non substantive - Reflects current practice.				
New Provision			R. 5112. Application - margin requirements - Dealer Member inventory positions	(3)	New - Non substantive - Reflects current practice.				
New Provision			R. 5113. Application - margin requirements - client account positions	(1)	New - Non substantive - Reflects current practice.	New - Non substantive - Minor wording clarifications have been made to latest rule draft.	Amended - Non substantive - Replaced the rule reference "5800" with "5900" to correct the reference.		

New Provision			R. 5113. Application - margin requirements - client account positions	(2)	New - Non substantive - Reflects current practice.	New - Non substantive - Previous subsection 5114(2) has been split into subsections 5114(2) and 5114(3) and minor wording clarifications have been made.			
New Provision			R. 5113. Application - margin requirements - client account positions	(3)	New - Non substantive - Reflects current practice.	New - Non substantive - Addition of existing Dealer Member Rule cross reference. Also, previous subsection 5114(2) has been split into subsections 5114(2) and 5114(3) and minor wording clarifications have been made.			
New Provision			R. 5113. Application - margin requirements - client account positions	(4)	New - Non substantive - Reflects current practice.	New - Non substantive - Previous subsection 5114(3) has been has been renumbered as subsection 5114(4) and minor wording clarifications have been made.			
Rule 0027: Dealer Member's Rights Respecting Clients' Indebtedness	27.01		R. 5114. Application - client securities that are collateral for margin debt	(1)		Amended - Non substantive - Minor wording clarification has been made to address public comment #5.			
Rule 0027: Dealer Member's Rights Respecting Clients' Indebtedness	27.01		R. 5114. Application - client securities that are collateral for margin debt	(2)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			
Rule 0027: Dealer Member's Rights Respecting Clients' Indebtedness	27.01		R. 5115. Application - Dealer Member's rights in securities of indebted clients	(1)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			
Rule 0027: Dealer Member's Rights Respecting Clients' Indebtedness	27.01		R. 5116. Application - Dealer Member may buy or sell client securities	(1)					
Rule 0027: Dealer Member's Rights Respecting Clients' Indebtedness	27.01		R. 5117. Application - Dealer Member's right to recover from indebted client	(1)					
			R. 5118. - 5119. - Reserved		New - Non substantive - Reserved sections.				

New Provision			R. 5120. Application - margin requirements - when a rate is not specified	(1)	New - Substantive - A new provision has been added to require that a Dealer Member obtain a margin ruling from IIROC staff when the margin treatment for a particular investment product is not specified within the IIROC rules. This is a codification of previous guidance issued in IIROC Rules Notice 08 - 0074.	New - Non substantive - The language in proposed plain language rule subsection 5120(1) has been revised to refer to a “security position” rather than to an "investment product position".			Amended - Non substantive - We made a non-material drafting change to clarify our requirement.
			R. 5121. - 5129. - Reserved		New - Non substantive - Reserved sections.				
Rule 0100: Margin Requirements	100.01		R. 5130. Definitions	(1)					Amended - Non substantive - Previous section 5130(9) was moved and renumbered to 5130(1).
New Provision			R. 5130. Definitions "client account margin"	(2)	New - Non substantive - Adoption of terms “client account margin” and “Dealer Member inventory margin” facilitates the elimination of separate capital and margin requirements contained within the existing rules.				Amended - Non substantive - Previous section 5130(1) was moved and renumbered to 5130(2). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.

New Provision			R. 5130. Definitions "Dealer Member inventory margin"	(2)	New - Non substantive - Adoption of terms “client account margin” and “Dealer Member inventory margin” facilitates the elimination of separate capital and margin requirements contained within the existing rules.				Amended - Non substantive - Previous section 5130(1) was moved and renumbered to 5130(2). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
New Provision			R. 5130. Definitions "equivalent number" or "equivalent quantity" or "equivalent quantities"	(2)	New - Non substantive - Allows for common and consistent usage of terms throughout the margin rules.	New - Non substantive - Minor wording clarifications have been made to latest rule draft.			Amended - Non substantive - Previous section 5130(1) was moved and renumbered to 5130(2). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
New Provision			R. 5130. Definitions "loan value"	(2)	New - Non substantive - Definition codifies this commonly used industry term. Term is currently used throughout existing Dealer Member Rule 100 and Form 1.	New - Non substantive - Minor wording clarifications have been made to latest rule draft.			Amended - Non substantive - Previous section 5130(1) was moved and renumbered to 5130(2). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.

Rule 0100: Margin Requirements	100.05	(a)(vi) "normal margin"	R. 5130. Definitions "normal margin" or "normal margin required"	(2)	Amended - Non substantive - The term “normal margin” that appears in current Rule 100.5(a) has been made more general so that it applies to all margin requirements in Rules 5300 through 5800.		Amended - Non substantive - Replaced the rule reference "5800" with "5900" to correct the reference.		Amended - Non substantive - Previous section 5130(1) was moved and renumbered to 5130(2). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.04	H(a)(iv) "underlying security"	R. 5130. Definitions "underlying interest" or "underlying security"	(2)	Amended - Non substantive - An amalgamated version of the term “underlying interest” has been created by bringing together numerous existing definitions [Rules 100.4H, 100.4I, 100.9, 100.10, 100.11 and 100.18] of the terms “underlying interest” and “underlying security” into one definition.				Amended - Non substantive - Previous section 5130(1) was moved and renumbered to 5130(2). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.04	I(a)(iv) "underlying security"	R. 5130. Definitions "underlying interest" or "underlying security"	(2)	Amended - Non substantive - An amalgamated version of the term “underlying interest” has been created by bringing together numerous existing definitions [Rules 100.4H, 100.4I, 100.9, 100.10, 100.11 and 100.18] of the terms “underlying interest” and “underlying security” into one definition.	Amended - Non substantive - Definition of "underlying interest" as it relates to "exercisable securities" has been renumbered to be in alphabetical order.			Amended - Non substantive - Previous section 5130(1) was moved and renumbered to 5130(2). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.

New Provision			R. 5130. Definitions "underlying interest" or "underlying security"	(2)		New - Non substantive - Definition of "underlying interest" as it relates to "index participation units" has been introduced.			Amended - Non substantive - Previous section 5130(1) was moved and renumbered to 5130(2). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.18	(a)(ii)	R. 5130. Definitions "underlying interest" or "underlying security"	(2)	Amended - Non substantive - An amalgamated version of the term “underlying interest” has been created by bringing together numerous existing definitions [Rules 100.4H, 100.4I, 100.9, 100.10, 100.11 and 100.18] of the terms “underlying interest” and “underlying security” into one definition.	Amended - Non substantive - Definition of "underlying interest" as it relate to "installment receipts" has been renumbered to be in alphabetical order.			Amended - Non substantive - Previous section 5130(1) was moved and renumbered to 5130(2). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
New Provision			R. 5130. Definitions "underlying interest" or "underlying security"	(2)		New - Non substantive - Definition of "underlying interest" as it relates to "residual debt securities" has been introduced.			Amended - Non substantive - Previous section 5130(1) was moved and renumbered to 5130(2). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.

Rule 0100: Margin Requirements	100.09	(a)(xxvii) "underlying interest"	R. 5130. Definitions "underlying interest" or "underlying security"	(2)	Amended - Non substantive - An amalgamated version of the term “underlying interest” has been created by bringing together numerous existing definitions [Rules 100.4H, 100.4I, 100.9, 100.10, 100.11 and 100.18] of the terms “underlying interest” and “underlying security” into one definition.	Amended - Non substantive - Definition of "underlying interest" as it relates to "currency options" has been renumbered to be in alphabetical order.			Amended - Non substantive - Previous section 5130(1) was moved and renumbered to 5130(2). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.10	(a)(i) "underlying interest"	R. 5130. Definitions "underlying interest" or "underlying security"	(2)	Amended - Non substantive - An amalgamated version of the term “underlying interest” has been created by bringing together numerous existing definitions [Rules 100.4H, 100.4I, 100.9, 100.10, 100.11 and 100.18] of the terms “underlying interest” and “underlying security” into one definition.	Amended - Non substantive - Definition of "underlying interest" as it relates to "currency options" has been renumbered to be in alphabetical order.			Amended - Non substantive - Previous section 5130(1) was moved and renumbered to 5130(2). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.09	(a)(xxvii) "underlying interest"	R. 5130. Definitions "underlying interest" or "underlying security"	(2)	Amended - Non substantive - An amalgamated version of the term “underlying interest” has been created by bringing together numerous existing definitions [Rules 100.4H, 100.4I, 100.9, 100.10, 100.11 and 100.18] of the terms “underlying interest” and “underlying security” into one definition.	Amended - Non substantive - Definition of "underlying interest" as it relates to "equity, index participation unit and debt options" has been renumbered to be in alphabetical order.			Amended - Non substantive - Previous section 5130(1) was moved and renumbered to 5130(2). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.

Rule 0100: Margin Requirements	100.10	(a)(i) "underlying interest"	R. 5130. Definitions "underlying interest" or "underlying security"	(2)	Amended - Non substantive - An amalgamated version of the term “underlying interest” has been created by bringing together numerous existing definitions [Rules 100.4H, 100.4I, 100.9, 100.10, 100.11 and 100.18] of the terms “underlying interest” and “underlying security” into one definition.	Amended - Non substantive - Definition of "underlying interest" as it relates to "equity, index participation unit and debt options" has been renumbered to be in alphabetical order.			Amended - Non substantive - Previous section 5130(1) was moved and renumbered to 5130(2). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.11	"underlying interest"	R. 5130. Definitions "underlying interest" or "underlying security"	(2)	Amended - Non substantive - An amalgamated version of the term “underlying interest” has been created by bringing together numerous existing definitions [Rules 100.4H, 100.4I, 100.9, 100.10, 100.11 and 100.18] of the terms “underlying interest” and “underlying security” into one definition.	Amended - Non substantive - Definition of "underlying interest" as it relates to "equity, index participation unit and debt options" has been renumbered to be in alphabetical order.			Amended - Non substantive - Previous section 5130(1) was moved and renumbered to 5130(2). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.09	(a)(xxvii) "underlying interest"	R. 5130. Definitions "underlying interest" or "underlying security"	(2)	Amended - Non substantive - An amalgamated version of the term “underlying interest” has been created by bringing together numerous existing definitions [Rules 100.4H, 100.4I, 100.9, 100.10, 100.11 and 100.18] of the terms “underlying interest” and “underlying security” into one definition.	Amended - Non substantive - Definition of "underlying interest" as it relates to "index options" has been renumbered to be in alphabetical order.			Amended - Non substantive - Previous section 5130(1) was moved and renumbered to 5130(2). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.

Rule 0100: Margin Requirements	100.10	(a)(i) "underlying interest"	R. 5130. Definitions "underlying interest" or "underlying security"	(2)	Amended - Non substantive - An amalgamated version of the term “underlying interest” has been created by bringing together numerous existing definitions [Rules 100.4H, 100.4I, 100.9, 100.10, 100.11 and 100.18] of the terms “underlying interest” and “underlying security” into one definition.	Amended - Non substantive - Definition of "underlying interest" as it relates to "index options" has been renumbered to be in alphabetical order.			Amended - Non substantive - Previous section 5130(1) was moved and renumbered to 5130(2). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.11	"underlying interest"	R. 5130. Definitions "underlying interest" or "underlying security"	(2)	Amended - Non substantive - An amalgamated version of the term “underlying interest” has been created by bringing together numerous existing definitions [Rules 100.4H, 100.4I, 100.9, 100.10, 100.11 and 100.18] of the terms “underlying interest” and “underlying security” into one definition.	Amended - Non substantive - Definition of "underlying interest" as it relates to "index options" has been renumbered to be in alphabetical order.			Amended - Non substantive - Previous section 5130(1) was moved and renumbered to 5130(2). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
New Provision			R. 5130. Definitions "underlying interest" or "underlying security"	(2)		New - Non substantive - Definition of "underlying interest" as it relates to "total performance swaps" has been introduced.			Amended - Non substantive - Previous section 5130(1) was moved and renumbered to 5130(2). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.

Rule 0100: Margin Requirements	100.02	(a)(vi) "Acceptable Commercial, Corporate and Finance Company Notes"	R. 5130. Definitions "acceptable commercial, corporate and finance company notes"	(3)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			Amended - Non substantive - Previous section 5130(2) was moved and renumbered to 5130(3). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.02	(a)(vii) "Acceptable Foreign Commercial, Corporate and Finance Company Notes"	R. 5130. Definitions "acceptable commercial, corporate and finance company notes"	(3)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			Amended - Non substantive - Previous section 5130(2) was moved and renumbered to 5130(3). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0001: Interpretation and Effect	1.01	"Call Protection Period"	R. 5130. Definitions "call protection period"	(3)					Amended - Non substantive - Previous section 5130(2) was moved and renumbered to 5130(3). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.

Rule 0001: Interpretation and Effect	1.01	"Callable Debt Security"	R. 5130. Definitions "callable debt security"	(3)					Amended - Non substantive - Previous section 5130(2) was moved and renumbered to 5130(3). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
New Provision			R. 5130. Definitions "Canada debt securities"	(3)	New - Non substantive - This new defined term has been added solely to simplify the application of the debt security margin rates.	New - Non substantive - Minor wording clarifications have been made to latest rule draft.			Amended - Non substantive - Previous section 5130(2) was moved and renumbered to 5130(3). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
New Provision			R. 5130. Definitions "Canada Municipal debt securities"	(3)	New - Non substantive - This new defined term has been added solely to simplify the application of the debt security margin rates.	New - Non substantive - Minor wording clarifications have been made to latest rule draft.			Amended - Non substantive - Previous section 5130(2) was moved and renumbered to 5130(3). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.

New Provision			R. 5130. Definitions "Canada Provincial debt securities"	(3)	New - Non substantive - This new defined term has been added solely to simplify the application of the debt security margin rates.	New - Non substantive - Minor wording clarifications have been made to latest rule draft.			Amended - Non substantive - Previous section 5130(2) was moved and renumbered to 5130(3). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.04	E(a)(iii)	R. 5130. Definitions "Canada Provincial residuals"	(3)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			Amended - Non substantive - Previous section 5130(2) was moved and renumbered to 5130(3). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.04	E(a)(iii)	R. 5130. Definitions "Canada Provincial strips"	(3)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			Amended - Non substantive - Previous section 5130(2) was moved and renumbered to 5130(3). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.

Rule 0100: Margin Requirements	100.04	E(a)(iv)	R. 5130. Definitions "Canada residuals"	(3)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			Amended - Non substantive - Previous section 5130(2) was moved and renumbered to 5130(3). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.04	E(a)(iv)	R. 5130. Definitions "Canada strips"	(3)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			Amended - Non substantive - Previous section 5130(2) was moved and renumbered to 5130(3). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.04	C "BAX futures contracts"	R. 5130. Definitions "Canadian bankers acceptance futures contract"	(3)					Amended - Non substantive - Previous section 5130(2) was moved and renumbered to 5130(3). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.

Rule 0100: Margin Requirements	100.01	"Extendible Debt Security"	R. 5130. Definitions - "extendible debt security"	(3)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			Amended - Non substantive - Previous section 5130(2) was moved and renumbered to 5130(3). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0001: Interpretation and Effect	100.01	"Extension Election Period"	R. 5130. Definitions "extension election period"	(3)					Amended - Non substantive - Previous section 5130(2) was moved and renumbered to 5130(3). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0001: Interpretation and Effect	100.01	"Extension Factor"	R. 5130. Definitions "extension factor"	(3)					Amended - Non substantive - Previous section 5130(2) was moved and renumbered to 5130(3). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.

Rule 0100: Margin Requirements	100.12	(d) "floating rate debt obligation"	R. 5130. Definitions "floating rate debt obligation"	(3)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			Amended - Non substantive - Previous section 5130(2) was moved and renumbered to 5130(3). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.02	(a)(v)(3)	R. 5130. Definitions "low current credit rating"	(3)		Amended - Non substantive - All references to “CBRS” have been removed from the 5000 series of proposed plain language rules.			Amended - Non substantive - Previous section 5130(2) was moved and renumbered to 5130(3). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.02	(a)(v)(4)	R. 5130. Definitions "low current credit rating"	(3)		Amended - Non substantive - All references to “CBRS” have been removed from the 5000 series of proposed plain language rules.			Amended - Non substantive - Previous section 5130(2) was moved and renumbered to 5130(3). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.

New Provision			R. 5130. Definitions "maturity band"	(3)	New - Non substantive - This new defined term has been added solely to simplify the application of the debt security margin rates.	New - Non substantive - Minor wording clarifications have been made to latest rule draft.			Amended - Non substantive - Previous section 5130(2) was moved and renumbered to 5130(3). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0001: Interpretation and Effect	1.01	"Retractable Debt Security"	R. 5130. Definitions "retractable debt security"	(3)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			Amended - Non substantive - Previous section 5130(2) was moved and renumbered to 5130(3). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0001: Interpretation and Effect	1.01	"Retraction Election Period"	R. 5130. Definitions "retraction election period"	(3)					Amended - Non substantive - Previous section 5130(2) was moved and renumbered to 5130(3). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.

Rule 0001: Interpretation and Effect	1.01	"Retraction Factor"	R. 5130. Definitions "retraction factor"	(3)					Amended - Non substantive - Previous section 5130(2) was moved and renumbered to 5130(3). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
New Provision			R. 5130. Definitions "United States debt securities"	(3)	New - Non substantive - This new defined term has been added solely to simplify the application of the debt security margin rates.	New - Non substantive - Minor wording clarifications have been made to latest rule draft.			Amended - Non substantive - Previous section 5130(2) was moved and renumbered to 5130(3). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
New Provision			R. 5130. Definitions "basic margin rate"	(4)	New - Non substantive - Based on margin approach described in Rule 100.2(f)(i). This new defined term has been added solely to simplify the application of the equity security margin rates.				Amended - Non substantive - Previous section 5130(3) was moved and renumbered to 5130(4). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.

New Provision			R. 5130. Definitions "Canada and United States listed equity securities eligible for margin"	(4)	New - Non substantive - Based on Rule 100.2(f)(i), 1st paragraph and on, by implication, paragraph following “Long Positions”. This new defined term has been added solely to simplify the application of the equity security margin rates.				Amended - Non substantive - Previous section 5130(3) was moved and renumbered to 5130(4). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.02	(f)(iv)(A) through (G)	R. 5130. Definitions "Canada and United States unlisted equity securities eligible for margin"	(4)		Amended - Non substantive - Correction of existing Dealer Member Rule cross reference.			Amended - Non substantive - Previous section 5130(3) was moved and renumbered to 5130(4). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.07	"control block"	R. 5130. Definitions "control block"	(4)		Amended - Non substantive - The term “person” has been italicized in this definition and throughout the remainder of the 5000 series of plain language rules.			Amended - Non substantive - Previous section 5130(3) was moved and renumbered to 5130(4). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.

Rule 0100: Margin Requirements	100.12	(c) "floating rate preferred share"	R. 5130. Definitions "floating rate preferred share"	(4)					Amended - Non substantive - Previous section 5130(3) was moved and renumbered to 5130(4). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.02	(f)(ii)	R. 5130. Definitions "foreign listed equity securities eligible for margin"	(4)				Amended - Substantive - We reflected a change in defined terms.	Amended - Non substantive - Previous section 5130(3) was moved and renumbered to 5130(4). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.18	(a)(iii)	R. 5130. Definitions "future payments"	(4)					Amended - Non substantive - Previous section 5130(3) was moved and renumbered to 5130(4). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.

Rule 0100: Margin Requirements	100.12	(b) "Government guaranteed securities"	R. 5130. Definitions "government guaranteed equity securities"	(4)					Amended - Non substantive - Previous section 5130(3) was moved and renumbered to 5130(4). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.18	(a)(i)	R. 5130. Definitions "installment receipt"	(4)					Amended - Non substantive - Previous section 5130(3) was moved and renumbered to 5130(4). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.05	(a)(i) "appropriate documentation"	R. 5130. Definitions "appropriate documentation"	(5)		Amended - Non substantive - A plain language rule cross-reference has been corrected.			Amended - Non substantive - Previous section 5130(4) was moved and renumbered to 5130(5). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.

Rule 0100: Margin Requirements	100.05	(a)(ii) "commitment"	R. 5130. Definitions "commitment"	(5)					Amended - Non substantive - Previous section 5130(4) was moved and renumbered to 5130(5). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.05	(a)(iii) "disaster out clause"	R. 5130. Definitions "disaster out clause"	(5)					Amended - Non substantive - Previous section 5130(4) was moved and renumbered to 5130(5). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
New Provision			R. 5130. Definitions "exempt purchaser"	(5)	New - Substantive - This new defined term has been added solely to codify the existing application of the “exempt purchaser” term.				Amended - Non substantive - Previous section 5130(4) was moved and renumbered to 5130(5). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.

Rule 0100: Margin Requirements	100.05	(a)(iv) "market out clause"	R. 5130. Definitions "market out clause"	(5)					Amended - Non substantive - Previous section 5130(4) was moved and renumbered to 5130(5). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.05	(a)(v) "new issue letter"	R. 5130. Definitions "new issue letter"	(5)					Amended - Non substantive - Previous section 5130(4) was moved and renumbered to 5130(5). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.05	(a)(vii) "normal new issue margin"	R. 5130. Definitions "normal new issue margin"	(5)					Amended - Non substantive - Previous section 5130(4) was moved and renumbered to 5130(5). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.

Rule 0100: Margin Requirements	100.19	(d) "trading on a when issued basis"	R. 5130. Definitions "trading on a when issued basis"	(5)		Amended - Non substantive - The plain language rule provision has been revised to include the condition that the transaction cannot contravene applicable securities legislation.			Amended - Non substantive - Previous section 5130(4) was moved and renumbered to 5130(5). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.04	G(a)(i) "capital share"	R. 5130. Definitions "capital share"	(6)					Amended - Non substantive - Previous section 5130(5) was moved and renumbered to 5130(6). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.04	G(a)(ii) "capital share conversion loss"	R. 5130. Definitions "capital share conversion loss"	(6)					Amended - Non substantive - Previous section 5130(5) was moved and renumbered to 5130(6). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.

Rule 0100: Margin Requirements	100.04	G(a)(iii) "combined conversion loss"	R. 5130. Definitions "combined conversion loss"	(6)					Amended - Non substantive - Previous section 5130(5) was moved and renumbered to 5130(6). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.04	H(a)(i) "conversion loss"	R. 5130. Definitions "conversion loss"	(6)					Amended - Non substantive - Previous section 5130(5) was moved and renumbered to 5130(6). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.04	H(a)(ii) "convertible security"	R. 5130. Definitions "convertible security"	(6)					Amended - Non substantive - Previous section 5130(5) was moved and renumbered to 5130(6). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.

Rule 0100: Margin Requirements	100.04	H(a)(iii) "currently convertible"	R. 5130. Definitions "currently convertible"	(6)		Amended - Non substantive - Correction of plain language rule cross reference.			Amended - Non substantive - Previous section 5130(5) was moved and renumbered to 5130(6). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.04	I(a)(iii) "currently exercisable"	R. 5130. Definitions "currently exercisable"	(6)		Amended - Non substantive - Correction of plain language rule cross reference.			Amended - Non substantive - Previous section 5130(5) was moved and renumbered to 5130(6). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.04	I(a)(ii) "exercisable security"	R. 5130. Definitions "exercisable security"	(6)					Amended - Non substantive - Previous section 5130(5) was moved and renumbered to 5130(6). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.

Rule 0100: Margin Requirements	100.04	I(a)(i) "exercise loss"	R. 5130. Definitions "exercise loss"	(6)					Amended - Non substantive - Previous section 5130(5) was moved and renumbered to 5130(6). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.04	H(e)(i)(A) "Newco securities"	R. 5130. Definitions "Newco securities"	(6)					Amended - Non substantive - Previous section 5130(5) was moved and renumbered to 5130(6). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.04	H(e)(i)(B) "Oldco securities"	R. 5130. Definitions "Oldco securities"	(6)					Amended - Non substantive - Previous section 5130(5) was moved and renumbered to 5130(6). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.

Rule 0100: Margin Requirements	100.04	G(a)(v) "retraction value"	R. 5130. Definitions "retraction value"	(6)					Amended - Non substantive - Previous section 5130(5) was moved and renumbered to 5130(6). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.04	G(a)(vi) "split share company"	R. 5130. Definitions "split share company"	(6)					Amended - Non substantive - Previous section 5130(5) was moved and renumbered to 5130(6). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.04	G(a)(iv) "preferred share"	R. 5130. Definitions "split share preferred share"	(6)					Amended - Non substantive - Previous section 5130(6) was moved and renumbered to 5130(7). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.

Rule 0100: Margin Requirements	100.02	(j) "fixed interest rate"	R. 5130. Definitions "fixed interest rate"	(7)					Amended - Non substantive - Previous section 5130(6) was moved and renumbered to 5130(7). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.04	F "fixed interest rate"	R. 5130. Definitions "fixed interest rate"	(7)					Amended - Non substantive - Previous section 5130(6) was moved and renumbered to 5130(7). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.02	(j) "floating interest rate"	R. 5130. Definitions "floating interest rate"	(7)					Amended - Non substantive - Previous section 5130(6) was moved and renumbered to 5130(7). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.

Rule 0100: Margin Requirements	100.04	F "floating interest rate"	R. 5130. Definitions "floating interest rate"	(7)					Amended - Non substantive - Previous section 5130(6) was moved and renumbered to 5130(7). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
New Provision			R. 5130. Definitions "interest rate swap"	(7)	New - Non substantive - Definition codifies this commonly used industry term. Term is used in existing Dealer Member Rules 100.2(j) and 100.4F.				Amended - Non substantive - Previous section 5130(6) was moved and renumbered to 5130(7). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.04	F "realization clause"	R. 5130. Definitions "realization clause"	(7)					Amended - Non substantive - Previous section 5130(6) was moved and renumbered to 5130(7). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.

New Provision			R. 5130. Definitions "total performance swap"	(7)	New - Non substantive - Definition codifies this commonly used industry term. Term is used in existing Dealer Member Rules 100.2(j) and 100.4F.	New - Non substantive - Minor wording clarifications have been made to latest rule draft.			Amended - Non substantive - Previous section 5130(6) was moved and renumbered to 5130(7). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.02	(d) opening paragraph	R. 5130. Definitions "foreign exchange position"	(8)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			Amended - Non substantive - Previous section 5130(7) was moved and renumbered to 5130(8). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.02	(d)(i)(E)	R. 5130. Definitions "monetary asset or liability", "monetary asset", "monetary liability"	(8)					Amended - Non substantive - Previous section 5130(7) was moved and renumbered to 5130(8). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.

Form 1: Schedules	Schedule(s) 11 and 11A	Note(s) 03	R. 5130. Definitions "monetary asset or liability", "monetary asset", "monetary liability"	(8)					Amended - Non substantive - Previous section 5130(7) was moved and renumbered to 5130(8). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
New Provision			R. 5130. Definitions "net long (short) foreign exchange position"	(8)	New - Non substantive - Definition codifies this commonly used industry term. Term is used in existing Dealer Member Rule 100.2(d).				Amended - Non substantive - Previous section 5130(7) was moved and renumbered to 5130(8). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.02	(d)(i)(H) "recognized exchange"	R. 5130. Definitions "recognized exchange"	(8)			Repealed - Non substantive - We removed the definition of "recognized exchange" here because it is duplicative of the definition of "recognized exchange" in 1201(2).		Amended - Non substantive - Previous section 5130(7) was moved and renumbered to 5130(8). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.

Rule 0100: Margin Requirements	100.02	(d)(i)(D)	R. 5130. Definitions "spot exchange rate"	(8)			Amended - Non substantive - Previous clause 5130(7)(v) was renumbered 5130(7)(iv).		Amended - Non substantive - Previous section 5130(7) was moved and renumbered to 5130(8). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.02	(d)(ii)(B)(1), last 2 lines	R. 5130. Definitions "term to maturity"	(8)			Amended - Non substantive - Previous clause 5130(7)(vi) was renumbered 5130(7)(v).		Amended - Non substantive - Previous section 5130(7) was moved and renumbered to 5130(8). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.09	(a)(i) "aggregate current value"	R. 5130. Definitions "aggregate current value"	(9)					Amended - Non substantive - Previous section 5130(8) was moved and renumbered to 5130(9). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.

Rule 0100: Margin Requirements	100.10	(a)(i) "aggregate current value"	R. 5130. Definitions "aggregate current value"	(9)					Amended - Non substantive - Previous section 5130(8) was moved and renumbered to 5130(9). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.09	(a)(ii) "aggregate exercise value"	R. 5130. Definitions "aggregate exercise value"	(9)					Amended - Non substantive - Previous section 5130(8) was moved and renumbered to 5130(9). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.10	(a)(i) "aggregate exercise value"	R. 5130. Definitions "aggregate exercise value"	(9)					Amended - Non substantive - Previous section 5130(8) was moved and renumbered to 5130(9). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.

New Provision			R. 5130. Definitions "at-the-money"	(9)	New - Non substantive - Definition codifies this commonly used industry term. Term is used in existing Dealer Member Rules 100.9 and 100.10. Related terms “in - the - money” and “out - of - the - money” are already defined in the current rules.				Amended - Non substantive - Previous section 5130(8) was moved and renumbered to 5130(9). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.09	(a)(iii) "call option"	R. 5130. Definitions "call option"	(9)					Amended - Non substantive - Previous section 5130(8) was moved and renumbered to 5130(9). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.10	(a)(i) "call option"	R. 5130. Definitions "call option"	(9)					Amended - Non substantive - Previous section 5130(8) was moved and renumbered to 5130(9). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.

Rule 0100: Margin Requirements	100.09	(a)(v) "clearing corporation"	R. 5130. Definitions "clearing corporation"	(9)		Amended - Non substantive - Minor revision made to refer to “Board” rather than “Board of Directors”. IIROC uses the term “Board” to refer to its Board of Directors. The term is defined in both General By-law No. 1 and proposed Plain Language Rule 1200.			Amended - Non substantive - Previous section 5130(8) was moved and renumbered to 5130(9). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.10	(a)(i) "clearing corporation"	R. 5130. Definitions "clearing corporation"	(9)		Amended - Non substantive - Minor revision made to refer to “Board” rather than “Board of Directors”. IIROC uses the term “Board” to refer to its Board of Directors. The term is defined in both General By-law No. 1 and proposed Plain Language Rule 1200.			Amended - Non substantive - Previous section 5130(8) was moved and renumbered to 5130(9). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.09	(a)(xi) "incremental basket margin rate"	R. 5130. Definitions "cumulative relative weight percentage"	(9)					Amended - Non substantive - Previous section 5130(8) was moved and renumbered to 5130(9). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.

Rule 0100: Margin Requirements	100.10	(a)(i) "incremental basket margin rate"	R. 5130. Definitions "cumulative relative weight percentage"	(9)					Amended - Non substantive - Previous section 5130(8) was moved and renumbered to 5130(9). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.09	(a)(vii) "escrow receipt"	R. 5130. Definitions "escrow receipt"	(9)					Amended - Non substantive - Previous section 5130(8) was moved and renumbered to 5130(9). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.10	(a)(i) "escrow receipt"	R. 5130. Definitions "escrow receipt"	(9)					Amended - Non substantive - Previous section 5130(8) was moved and renumbered to 5130(9). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.

Rule 0100: Margin Requirements	100.11	(g)(ii) "escrow receipt"	R. 5130. Definitions "escrow receipt"	(9)					Amended - Non substantive - Previous section 5130(8) was moved and renumbered to 5130(9). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.09	(a)(xvii) "OCC option" and (xviii) "option"	R. 5130. Definitions "exchange-traded option"	(9)		Amended - Non substantive - Minor revision made to refer to “Board” rather than “Board of Directors”. IIROC uses the term “Board” to refer to its Board of Directors. The term is defined in both General By-law No. 1 and proposed Plain Language Rule 1200.	Repealed - Non substantive - We removed the definition of "exchange traded option".	Amended - Substantive - We reinserted the definition of "exchange-traded option", which is the same as the current Dealer Member Rules definition.	Amended - Non substantive - Previous section 5130(8) was moved and renumbered to 5130(9). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.10	(a)(i) "OCC option" and "option"	R. 5130. Definitions "exchange-traded option"	(9)		Amended - Non substantive - Minor revision made to refer to “Board” rather than “Board of Directors”. IIROC uses the term “Board” to refer to its Board of Directors. The term is defined in both General By-law No. 1 and proposed Plain Language Rule 1200.	Repealed - Non substantive - We removed the definition of "exchange traded option".	Amended - Substantive - We reinserted the definition of "exchange-traded option", which is the same as the current Dealer Member Rules definition.	Amended - Non substantive - Previous section 5130(8) was moved and renumbered to 5130(9). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.

Rule 0100: Margin Requirements	100.09	(a)(viii) "exercise price"	R. 5130. Definitions "exercise price"	(9)				Amended - Substantive - We reinserted the definition of "exchange-traded option", which is the same as the current Dealer Member Rules definition.	Amended - Non substantive - Previous section 5130(8) was moved and renumbered to 5130(9). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.10	(a)(i) "exercise price"	R. 5130. Definitions "exercise price"	(9)				Amended - Substantive - We reinserted the definition of "exchange-traded option", which is the same as the current Dealer Member Rules definition.	Amended - Non substantive - Previous section 5130(8) was moved and renumbered to 5130(9). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.09	(a)(x) "floating margin rate"	R. 5130. Definitions "floating margin rate"	(9)					Amended - Non substantive - Previous section 5130(8) was moved and renumbered to 5130(9). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.

Rule 0100: Margin Requirements	100.10	(a)(i) "floating margin rate"	R. 5130. Definitions "floating margin rate"	(9)					Amended - Non substantive - Previous section 5130(8) was moved and renumbered to 5130(9). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.09	(a)(xi) "incremental basket margin rate"	R. 5130. Definitions "incremental basket margin rate"	(9)					Amended - Non substantive - Previous section 5130(8) was moved and renumbered to 5130(9). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.10	(a)(i) "incremental basket margin rate"	R. 5130. Definitions "incremental basket margin rate"	(9)					Amended - Non substantive - Previous section 5130(8) was moved and renumbered to 5130(9). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.

Rule 0100: Margin Requirements	100.09	(a)(xii) "index"	R. 5130. Definitions "index"	(9)					Amended - Non substantive - Previous section 5130(8) was moved and renumbered to 5130(9). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.10	(a)(i) "index"	R. 5130. Definitions "index"	(9)					Amended - Non substantive - Previous section 5130(8) was moved and renumbered to 5130(9). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
New Provision			R. 5130. Definitions "index futures contract"	(9)	New - Non substantive - Definition codifies this commonly used industry term.				Amended - Non substantive - Previous section 5130(8) was moved and renumbered to 5130(9). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.

Rule 0100: Margin Requirements	100.09	(a)(xiii) "index option"	R. 5130. Definitions "index option"	(9)					Amended - Non substantive - Previous section 5130(8) was moved and renumbered to 5130(9). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.10	(a)(i) "index option"	R. 5130. Definitions "index option"	(9)					Amended - Non substantive - Previous section 5130(8) was moved and renumbered to 5130(9). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.09	(a)(xx) "participation unit"	R. 5130. Definitions "index participation unit"	(9)					Amended - Non substantive - Previous section 5130(8) was moved and renumbered to 5130(9). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.

Rule 0100: Margin Requirements	100.10	(a)(i) "participation unit"	R. 5130. Definitions "index participation unit"	(9)					Amended - Non substantive - Previous section 5130(8) was moved and renumbered to 5130(9). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.09	(a)(xxi) "participation unit option"	R. 5130. Definitions "index participation unit option"	(9)					Amended - Non substantive - Previous section 5130(8) was moved and renumbered to 5130(9). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.10	(a)(i) "participation unit option"	R. 5130. Definitions "index participation unit option"	(9)					Amended - Non substantive - Previous section 5130(8) was moved and renumbered to 5130(9). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.

Rule 0100: Margin Requirements	100.09	(a)(xiv) "in-the-money"	R. 5130. Definitions "in-the-money"	(9)					Amended - Non substantive - Previous section 5130(8) was moved and renumbered to 5130(9). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.10	(a)(i) "in-the-money"	R. 5130. Definitions "in-the-money"	(9)					Amended - Non substantive - Previous section 5130(8) was moved and renumbered to 5130(9). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.09	(a)(xix) "out-of-the-money"	R. 5130. Definitions "out-of-the-money"	(9)					Amended - Non substantive - Previous section 5130(8) was moved and renumbered to 5130(9). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.

Rule 0100: Margin Requirements	100.09	(a)(i) "out-of-the-money"	R. 5130. Definitions "out-of-the-money"	(9)					Amended - Non substantive - Previous section 5130(8) was moved and renumbered to 5130(9). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.09	"over-the-counter option"	R. 5130. Definitions "over-the-counter option"	(9)					Amended - Non substantive - Previous section 5130(8) was moved and renumbered to 5130(9). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.09	(a)(xxii) "premium"	R. 5130. Definitions "premium"	(9)					Amended - Non substantive - Previous section 5130(8) was moved and renumbered to 5130(9). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.

Rule 0100: Margin Requirements	100.09	(a)(i) "premium"	R. 5130. Definitions "premium"	(9)					Amended - Non substantive - Previous section 5130(8) was moved and renumbered to 5130(9). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.09	(a)(xxiii) "put option"	R. 5130. Definitions "put option"	(9)					Amended - Non substantive - Previous section 5130(8) was moved and renumbered to 5130(9). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.09	(a)(i) "put option"	R. 5130. Definitions "put option"	(9)					Amended - Non substantive - Previous section 5130(8) was moved and renumbered to 5130(9). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.

Rule 0100: Margin Requirements	100.09	(a)(xxiv) "qualifying basket of index securities"	R. 5130. Definitions "qualifying basket of index securities"	(9)					Amended - Non substantive - Previous section 5130(8) was moved and renumbered to 5130(9). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.09	(a)(i) "qualifying basket of index securities"	R. 5130. Definitions "qualifying basket of index securities"	(9)					Amended - Non substantive - Previous section 5130(8) was moved and renumbered to 5130(9). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.09	(a)(x) "regular reset date"	R. 5130. Definitions "regular reset date"	(9)					Amended - Non substantive - Previous section 5130(8) was moved and renumbered to 5130(9). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.

Rule 0100: Margin Requirements	100.09	(a)(x) "regular reset period"	R. 5130. Definitions "regular reset period"	(9)					Amended - Non substantive - Previous section 5130(8) was moved and renumbered to 5130(9). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.09	(a)(x) "regulatory margin interval"	R. 5130. Definitions - "regulatory margin interval"	(9)					Amended - Non substantive - Previous section 5130(8) was moved and renumbered to 5130(9). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.09	(a)(xxv) "time value"	R. 5130. Definitions "time value"	(9)					Amended - Non substantive - Previous section 5130(8) was moved and renumbered to 5130(9). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.

Rule 0100: Margin Requirements	100.09	(a)(xxvi) "tracking error margin rate"	R. 5130. Definitions "tracking error margin rate"	(9)					Amended - Non substantive - Previous section 5130(8) was moved and renumbered to 5130(9). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.10	(a)(i) "tracking error margin rate"	R. 5130. Definitions "tracking error margin rate"	(9)					Amended - Non substantive - Previous section 5130(8) was moved and renumbered to 5130(9). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.09	(a)(xxviii) "unit of trading"	R. 5130. Definitions "unit of trading"	(9)					Amended - Non substantive - Previous section 5130(8) was moved and renumbered to 5130(9). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.

Rule 0100: Margin Requirements	100.10	(a)(i) "unit of trading"	R. 5130. Definitions "unit of trading"	(9)					Amended - Non substantive - Previous section 5130(8) was moved and renumbered to 5130(9). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.09	(a)(x) "floating margin rate"	R. 5130. Definitions "violation"	(9)					Amended - Non substantive - Previous section 5130(8) was moved and renumbered to 5130(9). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.10	(a)(i) "floating margin rate"	R. 5130. Definitions "violation"	(9)					Amended - Non substantive - Previous section 5130(8) was moved and renumbered to 5130(9). We also standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.

Rule 0100: Margin Requirements	100.09	(a)(iv) "class of options"			Repealed - Non substantive - Defined term “class of options” not used within existing Dealer Member Rules 100.9 and 100.10.				
Rule 0100: Margin Requirements	100.10	(a)(i) "class of options"			Repealed - Non substantive - Defined term “class of options” not used within existing Dealer Member Rules 100.9 and 100.10.				
Rule 0100: Margin Requirements	100.08	"commodity"			Repealed - Non substantive - Defining “commodity” is unnecessary as it is already adequately defined in the applicable legislations.				
Rule 0100: Margin Requirements	100.08	"commodity contract"			Repealed - Non substantive - Defining “commodity contract” is unnecessary as it is already adequately defined in the applicable legislations.				
Rule 0100: Margin Requirements	100.09	(a)(vi) "customer account"			Repealed - Non substantive - Defined term “customer account” no longer necessary as a result of introduction of the term “client account margin”.				
Rule 0100: Margin Requirements	100.10	(a)(i) "customer account"			Repealed - Non substantive - Defined term “customer account” no longer necessary as a result of introduction of the term “client account margin”.				
Rule 0100: Margin Requirements	100.10	(a)(ii) "Dealer Member account"			Repealed - Non substantive - Defined term “Dealer Member account” no longer necessary as a result of introduction of the term “Dealer Member inventory margin”.				

Rule 0100: Margin Requirements	100.09	(a)(ix) "firm account"			Repealed - Non substantive - Defined term “firm account” no longer necessary as a result of introduction of the term “Dealer Member inventory margin”.				
Rule 0100: Margin Requirements	100.10	(a)(i) "firm account"			Repealed - Non substantive - Defined term “firm account” no longer necessary as a result of introduction of the term “Dealer Member inventory margin”.				
Rule 0100: Margin Requirements	100.08	"futures contract"			Repealed - Non substantive - Defining “futures contract” is unnecessary as it is already adequately defined in the applicable legislations.				
Rule 0100: Margin Requirements	100.09	(a)(xv) "market maker account"			Repealed - Non substantive - Defined term “market maker account” no longer necessary as a result of introduction of the term “Dealer Member inventory margin”.				
Rule 0100: Margin Requirements	100.10	(a)(i) "market maker account"			Repealed - Non substantive - Defined term “market maker account” no longer necessary as a result of introduction of the term “Dealer Member inventory margin”.				
Rule 0100: Margin Requirements	100.09	(a)(xvi) "non-customer account"			Repealed - Non substantive - Defined term “non - customer account” no longer necessary as a result of introduction of the term “Dealer Member inventory margin”.				

Rule 0100: Margin Requirements	100.10	(a)(i) "non-customer account"			Repealed - Non substantive - Defined term “non - customer account” no longer necessary as a result of introduction of the term “Dealer Member inventory margin”.				
Rule 0100: Margin Requirements	100.09	(a)(xvii) "OCC option"			Repealed - Non substantive - Defined term “OCC option” no longer necessary as a result of introduction of the term “exchange traded option”.				
Rule 0100: Margin Requirements	100.10	(a)(i) "OCC option"			Repealed - Non substantive - Defined term “OCC option” no longer necessary as a result of introduction of the term “exchange traded option”.				
Rule 0100: Margin Requirements	100.09	(a)(xviii) "option"			Repealed - Non substantive - Defined term “option” no longer necessary as a result of introduction of the term “exchange traded option”.				
Rule 0100: Margin Requirements	100.10	(a)(i) "option"			Repealed - Non substantive - Defined term “option” no longer necessary as a result of introduction of the term “exchange traded option”.				
			R. 5131. - 5199. - Reserved		New - Non substantive - Reserved sections.				
New Provision			R. 5201. Debt securities and mortgages - Introduction	(1)	New - Non substantive - Introduction section added.	New - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			Amended - Non substantive - We corrected a cross-reference. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).

New Provision			R. 5201. Debt securities and mortgages - Introduction	(2)	New - Non substantive - Introduction section added.	New - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
New Provision			R. 5201. Debt securities and mortgages - Introduction	(3)	New - Non substantive - Introduction section added.	New - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
New Provision			R. 5201. Debt securities and mortgages - Introduction	(4)	New - Non substantive - Introduction section added.	New - Non substantive - New subsection 5201(4) has been included to cross reference the provision in Rule 5400 that is relevant to the margining of debt securities that are subject to a redemption call or offer.			
New Provision			R. 5201. Debt securities and mortgages - Introduction	(5)	New - Non substantive - Introduction section added.	New - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection. Also, previous subsection 5210(4) has been has been renumbered as subsection 5210(5).			
			R. 5202. - 5209. Reserved		New - Non substantive - Reserved sections.				
Rule 0100: Margin Requirements	100.02	(a)(i)	R. 5210. Government debt securities - Category (I) - Federal governments of Canada, United Kingdom and United States	(1)					Amended - Non substantive - The numbering within this provision has been revised for stylistic consistency. We changed written numbers to their corresponding numeral. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).

Rule 0100: Margin Requirements	100.02	(a)(ii)	R. 5210. Government debt securities - Category (II) - Provincial governments of Canada and International Bank for Reconstruction and Development	(1)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			Amended - Non substantive - The numbering within this provision has been revised for stylistic consistency. We changed written numbers to their corresponding numeral. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.02	(a)(iii)	R. 5210. Government debt securities - Category (III) - Municipal governments of Canada and the United Kingdom	(1)					Amended - Non substantive - The numbering within this provision has been revised for stylistic consistency. We changed written numbers to their corresponding numeral. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.02	(a)(i)	R. 5210. Government debt securities - Definition - "high current credit rating"	(2)					
Rule 0100: Margin Requirements	100.02	(a)(x)	R. 5210. Government debt securities - British Columbia government guaranteed parity bonds	(3)					
Rule 0100: Margin Requirements			R. 5210. Government debt securities - Debt called for redemption	(4)	New - Substantive - Reflects current practice in the margining of debt securities called for redemption.				

Rule 0100: Margin Requirements	100.02	(a)(i)	R. 5211. Government debt securities - Category (I) - Stripped coupons and residual debt instruments of federal governments of Canada, United Kingdom and United States	(1)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			Amended - Non substantive - The numbering within this provision has been revised for stylistic consistency. We changed written numbers to their corresponding numeral. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.02	(a)(xi)	R. 5211. Government debt securities - Category (I) - Stripped coupons and residual debt instruments of federal governments of Canada, United Kingdom and United States	(1)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			Amended - Non substantive - The numbering within this provision has been revised for stylistic consistency. We changed written numbers to their corresponding numeral. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.02	(a)(ii)	R. 5211. Government debt securities - Category (III) - Stripped coupons and residual debt instruments of provincial governments of Canada and International Bank for Reconstruction and Development	(1)		Amended - Non substantive - Revision has been made to clarify margin requirements for various government residual debt and stripped coupons where the term to maturity of the underlying debt security is greater than 20 years.			Amended - Non substantive - The numbering within this provision has been revised for stylistic consistency. We changed written numbers to their corresponding numeral. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).

Rule 0100: Margin Requirements	100.02	(a)(xi)	R. 5211. Government debt securities - Category (II) - Stripped coupons and residual debt instruments of provincial governments of Canada and International Bank for Reconstruction and Development	(1)		Amended - Non substantive - Revision has been made to clarify margin requirements for various government residual debt and stripped coupons where the term to maturity of the underlying debt security is greater than 20 years.			Amended - Non substantive - The numbering within this provision has been revised for stylistic consistency. We changed written numbers to their corresponding numeral. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.02	(a)(iii)	R. 5211. Government debt securities - Category (III) - Stripped coupons and residual debt instruments of municipal governments of Canada and the United Kingdom	(1)		Amended - Non substantive - Revision has been made to clarify margin requirements for various government residual debt and stripped coupons where the term to maturity of the underlying debt security is greater than 20 years.			Amended - Non substantive - The numbering within this provision has been revised for stylistic consistency. We changed written numbers to their corresponding numeral. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.02	(a)(xi)	R. 5211. Government debt securities - Category (III) - Stripped coupons and residual debt instruments of municipal governments of Canada and the United Kingdom	(1)		Amended - Non substantive - Revision has been made to clarify margin requirements for various government residual debt and stripped coupons where the term to maturity of the underlying debt security is greater than 20 years.			Amended - Non substantive - The numbering within this provision has been revised for stylistic consistency. We changed written numbers to their corresponding numeral. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.02	(a)(i)	R. 5211. Government debt securities - Definition - "high current credit rating"	(2)		Amended - Non substantive - Definition of "high current credit rating" has been added as plain language rule subsection 5211(2).			

Rule 0100: Margin Requirements	100.02	(a)(xi)	R. 5211. Government debt securities - Maturity date of a coupon	(3)		Amended - Non substantive - Previous subsection 5211(2) has been has been renumbered as subsection 5211(3).			
Rule 0100: Margin Requirements	100.12	(d)	R. 5212. Government debt securities - Government floating rate debt obligations	(1)					
Rule 0100: Margin Requirements	100.02	(h)	R. 5213. Government debt securities - Government mortgage-backed securities	(1)		Amended - Non substantive - Correction of plain language rule cross reference.			
Rule 0100: Margin Requirements	100.02	(a)(iv)	R. 5214. Government debt securities - Category (I) - Other non-commercial debt	(1)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			Amended - Non substantive - The numbering within this provision has been revised for stylistic consistency. We changed written numbers to their corresponding numeral. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.02	(a)(xi)	R. 5214. Government debt securities - Category (II) - Other non-commercial stripped coupons and residual debt instruments	(1)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			Amended - Non substantive - The numbering within this provision has been revised for stylistic consistency. We changed written numbers to their corresponding numeral. We also updated a cross-reference. We made these non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054).
New Provision			R. 5214. Government debt securities - Other non-commercial debt called for redemption	(2)	New - Substantive - Reflects current practice in the margining of debt securities called for redemption.				
Rule 0100: Margin Requirements	100.02	(a)(xi)	R. 5214. Government debt securities - Maturity date of a coupon	(3)					

			R. 5215. - 5219. - Reserved		New - Non substantive - Reserved sections.				
Rule 0100: Margin Requirements	100.02	(a)(v)	R. 5220. Corporate debt securities - Category (I) - bonds and debentures	(1)	Amended - Substantive - Adoption of one set of rates for the margining of commercial debt; two are currently set out in Rules 100.2(a)(v) and 100.2(a)(vi).	Amended - Non substantive - Wording changes have been made to clarify to scope of corporate debt issuances eligible for margin.			Amended - Non substantive - The numbering within this provision has been revised for stylistic consistency. We changed written numbers to their corresponding numeral. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.02	(a)(vi)	R. 5220. Corporate debt securities - Category (I) - bonds and debentures	(1)	Amended - Substantive - Adoption of one set of rates for the margining of commercial debt; two are currently set out in Rules 100.2(a)(v) and 100.2(a)(vi).	Amended - Non substantive - Wording changes have been made to clarify to scope of corporate debt issuances eligible for margin.			Amended - Non substantive - The numbering within this provision has been revised for stylistic consistency. We changed written numbers to their corresponding numeral. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.02	(a)(vi)	R. 5220. Corporate debt securities - Category (I) - acceptable notes of a domestic issuer	(1)	Amended - Substantive - Adoption of one set of rates for the margining of commercial debt; two are currently set out in Rules 100.2(a)(v) and 100.2(a)(vi).	Amended - Non substantive - Wording changes have been made to clarify to scope of corporate debt issuances eligible for margin.			Amended - Non substantive - The numbering within this provision has been revised for stylistic consistency. We changed written numbers to their corresponding numeral. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).

Rule 0100: Margin Requirements	100.02	(a)(vii)	R. 5220. Corporate debt securities - Category (I) - acceptable notes of a foreign issuer	(1)	Amended - Substantive - Adoption of one set of rates for the margining of commercial debt; two are currently set out in Rules 100.2(a)(v) and 100.2(a)(vi).	Amended - Non substantive - Wording changes have been made to clarify to scope of corporate debt issuances eligible for margin.			Amended - Non substantive - The numbering within this provision has been revised for stylistic consistency. We changed written numbers to their corresponding numeral.We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.02	(a)(v)(6)	R. 5220. Corporate debt securities - Category (I) - companies qualifying under 100.2(a)(vi)	(1)	Amended - Substantive - Adoption of one set of rates for the margining of commercial debt; two are currently set out in Rules 100.2(a)(v) and 100.2(a)(vi).	Amended - Non substantive - Wording changes have been made to clarify to scope of corporate debt issuances eligible for margin.			Amended - Non substantive - The numbering within this provision has been revised for stylistic consistency. We changed written numbers to their corresponding numeral. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.02	(a)(v)(3)	R. 5220. Corporate debt securities - Category (II) - selling at 50% of par or less	(1)					Amended - Non substantive - The numbering within this provision has been revised for stylistic consistency. We changed written numbers to their corresponding numeral. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).

Rule 0100: Margin Requirements	100.02	(a)(v)(4)	R. 5220. Corporate debt securities - Category (II) - U.S. pay selling at 50% of par or less	(1)					Amended - Non substantive - The numbering within this provision has been revised for stylistic consistency. We changed written numbers to their corresponding numeral. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.02	(a)(vi)	R. 5220. Corporate debt securities - Definition - "acceptable commercial, corporate and finance company notes" of a domestic issuer	(2)			Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency.		
Rule 0100: Margin Requirements	100.02	(a)(vii)	R. 5220. Corporate debt securities - Definition - "acceptable commercial, corporate and finance company notes" of a foreign issuer	(3)					

Rule 0100: Margin Requirements	100.02	(a)(v)	R. 5221. Corporate debt securities - Category (I) - convertible bonds, debentures and notes	(1)	Amended - Substantive - Adoption of one set of rates for the margining of commercial debt; two are currently set out in Rules 100.2(a)(v) and 100.2(a)(vi).	Amended - Non substantive - As discussed in IIROC Rules Notice 12-0042, there are currently separate sets of margin rates for two distinct categories of commercial debt [current Rules 100.2(a)(v) and 100.2(a)(vi)], yet the margin rates themselves are materially the same, with the exception of the rates that apply to short-term debt. To simplify the margin requirements for commercial debt, the previously published plain language rules proposed the adoption of one set of commercial debt margin rates. This “one set” approach should have also resulted in revisions to the margin rates for convertible commercial debt. The necessary revisions have now been made to section 5221.			Amended - Non substantive - The numbering within this provision has been revised for stylistic consistency. We changed written numbers to their corresponding numeral. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).

Rule 0100: Margin Requirements	100.02	(a)(vi)	R. 5221. Corporate debt securities - Category (I) - convertible bonds, debentures and notes	(1)	Amended - Substantive - Adoption of one set of rates for the margining of commercial debt; two are currently set out in Rules 100.2(a)(v) and 100.2(a)(vi).	Amended - Non substantive - As discussed in IIROC Rules Notice 12-0042, there are currently separate sets of margin rates for two distinct categories of commercial debt [current Rules 100.2(a)(v) and 100.2(a)(vi)], yet the margin rates themselves are materially the same, with the exception of the rates that apply to short-term debt. To simplify the margin requirements for commercial debt, the previously published plain language rules proposed the adoption of one set of commercial debt margin rates. This “one set” approach should have also resulted in revisions to the margin rates for convertible commercial debt. The necessary revisions have now been made to section 5221.			Amended - Non substantive - The numbering within this provision has been revised for stylistic consistency. We changed written numbers to their corresponding numeral. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).

Rule 0100: Margin Requirements	100.02	(a)(v)(6)	R. 5221. Corporate debt securities - Category (I) - convertible and obligations of companies qualifying under 100.2(a)(vi)	(1)	Amended - Substantive - Adoption of one set of rates for the margining of commercial debt; two are currently set out in Rules 100.2(a)(v) and 100.2(a)(vi).	Amended - Non substantive - As discussed in IIROC Rules Notice 12-0042, there are currently separate sets of margin rates for two distinct categories of commercial debt [current Rules 100.2(a)(v) and 100.2(a)(vi)], yet the margin rates themselves are materially the same, with the exception of the rates that apply to short-term debt. To simplify the margin requirements for commercial debt, the previously published plain language rules proposed the adoption of one set of commercial debt margin rates. This "one set" approach should have also resulted in revisions to the margin rates for convertible commercial debt. The necessary revisions have now been made to section 5221.			Amended - Non substantive - The numbering within this provision has been revised for stylistic consistency. We changed written numbers to their corresponding numeral. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).

Rule 0100: Margin Requirements	100.2	(a)(v)(1)	R. 5221. Corporate debt securities - Category (I) - convertible and selling above par	(1)	Amended - Substantive - Adoption of one set of rates for the margining of commercial debt; two are currently set out in Rules 100.2(a)(v) and 100.2(a)(vi).	Amended - Non substantive - As discussed in IIROC Rules Notice 12-0042, there are currently separate sets of margin rates for two distinct categories of commercial debt [current Rules 100.2(a)(v) and 100.2(a)(vi)], yet the margin rates themselves are materially the same, with the exception of the rates that apply to short-term debt. To simplify the margin requirements for commercial debt, the previously published plain language rules proposed the adoption of one set of commercial debt margin rates. This "one set" approach should have also resulted in revisions to the margin rates for convertible commercial debt. The necessary revisions have now been made to section 5221.			Amended - Non substantive - The numbering within this provision has been revised for stylistic consistency. We changed written numbers to their corresponding numeral. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).

Rule 0100: Margin Requirements	100.02	(a)(v)	R. 5221. Corporate debt securities - Category (II) - convertible bonds, debentures and notes	(1)	Amended - Substantive - Adoption of one set of rates for the margining of commercial debt; two are currently set out in Rules 100.2(a)(v) and 100.2(a)(vi).	Amended - Non substantive - As discussed in IIROC Rules Notice 12-0042, there are currently separate sets of margin rates for two distinct categories of commercial debt [current Rules 100.2(a)(v) and 100.2(a)(vi)], yet the margin rates themselves are materially the same, with the exception of the rates that apply to short-term debt. To simplify the margin requirements for commercial debt, the previously published plain language rules proposed the adoption of one set of commercial debt margin rates. This “one set” approach should have also resulted in revisions to the margin rates for convertible commercial debt. The necessary revisions have now been made to section 5221.			Amended - Non substantive - The numbering within this provision has been revised for stylistic consistency. We changed written numbers to their corresponding numeral. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).

Rule 0100: Margin Requirements	100.02	(a)(vi)	R. 5221. Corporate debt securities - Category (II) - convertible bonds, debentures and notes	(1)	Amended - Substantive - Adoption of one set of rates for the margining of commercial debt; two are currently set out in Rules 100.2(a)(v) and 100.2(a)(vi).	Amended - Non substantive - As discussed in IIROC Rules Notice 12-0042, there are currently separate sets of margin rates for two distinct categories of commercial debt [current Rules 100.2(a)(v) and 100.2(a)(vi)], yet the margin rates themselves are materially the same, with the exception of the rates that apply to short-term debt. To simplify the margin requirements for commercial debt, the previously published plain language rules proposed the adoption of one set of commercial debt margin rates. This “one set” approach should have also resulted in revisions to the margin rates for convertible commercial debt. The necessary revisions have now been made to section 5221.			Amended - Non substantive - The numbering within this provision has been revised for stylistic consistency. We changed written numbers to their corresponding numeral. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).

Rule 0100: Margin Requirements	100.2	(a)(v)(6)	R. 5221. Corporate debt securities - Category (II) - convertible and obligations of companies qualifying under 100.2(a)(vi)	(1)	Amended - Substantive - Adoption of one set of rates for the margining of commercial debt; two are currently set out in Rules 100.2(a)(v) and 100.2(a)(vi).	Amended - Non substantive - As discussed in IIROC Rules Notice 12-0042, there are currently separate sets of margin rates for two distinct categories of commercial debt [current Rules 100.2(a)(v) and 100.2(a)(vi)], yet the margin rates themselves are materially the same, with the exception of the rates that apply to short-term debt. To simplify the margin requirements for commercial debt, the previously published plain language rules proposed the adoption of one set of commercial debt margin rates. This “one set” approach should have also resulted in revisions to the margin rates for convertible commercial debt. The necessary revisions have now been made to section 5221.			Amended - Non substantive - The numbering within this provision has been revised for stylistic consistency. We changed written numbers to their corresponding numeral. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).

Rule 0100: Margin Requirements	100.02	(a)(v)(2)	R. 5221. Corporate debt securities - Category (II) - convertible and selling at or below par	(1)	Amended - Substantive - Adoption of one set of rates for the margining of commercial debt; two are currently set out in Rules 100.2(a)(v) and 100.2(a)(vi).	Amended - Non substantive - As discussed in IIROC Rules Notice 12-0042, there are currently separate sets of margin rates for two distinct categories of commercial debt [current Rules 100.2(a)(v) and 100.2(a)(vi)], yet the margin rates themselves are materially the same, with the exception of the rates that apply to short-term debt. To simplify the margin requirements for commercial debt, the previously published plain language rules proposed the adoption of one set of commercial debt margin rates. This “one set” approach should have also resulted in revisions to the margin rates for convertible commercial debt. The necessary revisions have now been made to section 5221.			Amended - Non substantive - The numbering within this provision has been revised for stylistic consistency. We changed written numbers to their corresponding numeral. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).

Rule 0100: Margin Requirements	100.02	(a)(v)(3)	R. 5221. Corporate debt securities - Category (III) - convertible and selling at 50% of par or less	(1)	Amended - Substantive - Adoption of one set of rates for the margining of commercial debt; two are currently set out in Rules 100.2(a)(v) and 100.2(a)(vi).	Amended - Non substantive - As discussed in IIROC Rules Notice 12-0042, there are currently separate sets of margin rates for two distinct categories of commercial debt [current Rules 100.2(a)(v) and 100.2(a)(vi)], yet the margin rates themselves are materially the same, with the exception of the rates that apply to short-term debt. To simplify the margin requirements for commercial debt, the previously published plain language rules proposed the adoption of one set of commercial debt margin rates. This “one set” approach should have also resulted in revisions to the margin rates for convertible commercial debt. The necessary revisions have now been made to section 5221.			Amended - Non substantive - The numbering within this provision has been revised for stylistic consistency. We changed written numbers to their corresponding numeral. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).

Rule 0100: Margin Requirements	100.02	(a)(v)(4)	R. 5221. Corporate debt securities - Category (III) - convertible and U.S. pay selling at 50% of par or less	(1)	Amended - Substantive - Adoption of one set of rates for the margining of commercial debt; two are currently set out in Rules 100.2(a)(v) and 100.2(a)(vi).	Amended - Non substantive - As discussed in IIROC Rules Notice 12-0042, there are currently separate sets of margin rates for two distinct categories of commercial debt [current Rules 100.2(a)(v) and 100.2(a)(vi)], yet the margin rates themselves are materially the same, with the exception of the rates that apply to short-term debt. To simplify the margin requirements for commercial debt, the previously published plain language rules proposed the adoption of one set of commercial debt margin rates. This "one set" approach should have also resulted in revisions to the margin rates for convertible commercial debt. The necessary revisions have now been made to section 5221.			Amended - Non substantive - The numbering within this provision has been revised for stylistic consistency. We changed written numbers to their corresponding numeral. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.21		R. 5221. Corporate debt securities - maximum margin requirement for convertible securities	(1)					Amended - Non substantive - The numbering within this provision has been revised for stylistic consistency. We changed written numbers to their corresponding numeral. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).

Rule 0100: Margin Requirements	100.02	(b)	R. 5222. Corporate debt securities - Category (I) - bank paper issued by a Canadian chartered bank	(1)					Amended - Non substantive - The numbering within this provision has been revised for stylistic consistency. We changed written numbers to their corresponding numeral. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.02	(c)	R. 5222. Corporate debt securities - Category (II) - bank paper issued by a foreign bank	(1)					Amended - Non substantive - The numbering within this provision has been revised for stylistic consistency. We changed written numbers to their corresponding numeral. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
New Provision			R. 5222. Corporate debt securities - Category (III) - bank paper selling at 50% of par or less with a low current credit rating	(1)	New - Substantive - Establishes new 50% margin rate requirement for bank paper valued at 50% or less of par with a low current credit rating. Based on current requirements for other corporate debt set out in Dealer Member Rules 100.2(a)(v)(5) and 100.2(a)(v)(6).				Amended - Non substantive - The numbering within this provision has been revised for stylistic consistency. We changed written numbers to their corresponding numeral. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).

Rule 0100: Margin Requirements	100.02	(a)(v)	R. 5223. Corporate debt securities - Category (I) - commercial stripped coupons and residual debt instruments	(1)	Amended - Substantive - Adoption of one set of rates for the margining of commercial debt; two are currently set out in Rules 100.2(a)(v) and 100.2(a)(vi).				Amended - Non substantive - The numbering within this provision has been revised for stylistic consistency. We changed written numbers to their corresponding numeral. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.02	(a)(vi)	R. 5223. Corporate debt securities - Category (I) - commercial stripped coupons and residual debt instruments	(1)	Amended - Substantive - Adoption of one set of rates for the margining of commercial debt; two are currently set out in Rules 100.2(a)(v) and 100.2(a)(vi).				Amended - Non substantive - The numbering within this provision has been revised for stylistic consistency. We changed written numbers to their corresponding numeral. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.02	(a)(v)(6)	R. 5223. Corporate debt securities - Category (I) - commercial stripped coupons, residual debt instruments and obligations of companies qualifying under 100.2(a)(vi)	(1)					Amended - Non substantive - The numbering within this provision has been revised for stylistic consistency. We changed written numbers to their corresponding numeral. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).

Rule 0100: Margin Requirements	100.02	(a)(xi)	R. 5223. Corporate debt securities - Category (I) - commercial stripped coupons and residual debt instruments	(1)					Amended - Non substantive - The numbering within this provision has been revised for stylistic consistency. We changed written numbers to their corresponding numeral. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.02	(a)(v)(3)	R. 5223. Corporate debt securities - Category (II) - commercial stripped coupons and residual debt instruments selling at 50% of par or less	(1)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			Amended - Non substantive - The numbering within this provision has been revised for stylistic consistency. We changed written numbers to their corresponding numeral. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.02	(a)(v)(4)	R. 5223. Corporate debt securities - Category (II) - commercial stripped coupons and residual debt instruments selling at 50% of par or less	(1)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			Amended - Non substantive - The numbering within this provision has been revised for stylistic consistency. We changed written numbers to their corresponding numeral. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).

New Provision			R. 5223. Corporate debt securities - Category (II) - commercial stripped coupons and residual debt instruments - selling at 50% of par or less with a low current credit rating	(1)	New - Substantive - Establishes new 50% margin rate requirement for commercial strips and residuals where the underlying debt security is valued at 50% or less of par and has a low current credit rating. Based on current requirements for other corporate debt set out in Dealer Member Rule 100.2(a)(v)(5) and 100.2(a)(v)(6).	New - Non substantive - Minor wording clarifications have been made to latest rule draft.			Amended - Non substantive - The numbering within this provision has been revised for stylistic consistency. We changed written numbers to their corresponding numeral. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.02	(a)(xi)	R. 5223. Corporate debt securities - commercial stripped coupons and residual debt instruments - maturity date of a coupon	(2)					Amended - Non substantive - The numbering within this provision has been revised for stylistic consistency. We changed written numbers to their corresponding numeral. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.02	(a)(v)	R. 5224. Corporate debt securities - Category (I) - commercial convertible residual debt instruments	(1)	Amended - Substantive - Adoption of one set of rates for the margining of commercial debt; two are currently set out in Rules 100.2(a)(v) and 100.2(a)(vi).	Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			Amended - Non substantive - The numbering within this provision has been revised for stylistic consistency. We changed written numbers to their corresponding numeral. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).

Rule 0100: Margin Requirements	100.02	(a)(vi)	R. 5224. Corporate debt securities - Category (I) - commercial convertible residual debt instruments	(1)	Amended - Substantive - Adoption of one set of rates for the margining of commercial debt; two are currently set out in Rules 100.2(a)(v) and 100.2(a)(vi).	Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			Amended - Non substantive - The numbering within this provision has been revised for stylistic consistency. We changed written numbers to their corresponding numeral. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.02	(a)(v)(5)	R. 5224. Corporate debt securities - Category (I) - commercial convertible residual debt instruments	(1)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			Amended - Non substantive - The numbering within this provision has been revised for stylistic consistency. We changed written numbers to their corresponding numeral. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.02	(a)(v)(6)	R. 5224. Corporate debt securities - Category (I) - commercial convertible residual debt instruments - obligations of companies qualifying under 100.2(a)(vi)	(1)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			Amended - Non substantive - The numbering within this provision has been revised for stylistic consistency. We changed written numbers to their corresponding numeral. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).

Rule 0100: Margin Requirements	100.02	(a)(xi)	R. 5224. Corporate debt securities - Category (I) - commercial convertible residual debt instruments	(1)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			Amended - Non substantive - The numbering within this provision has been revised for stylistic consistency. We changed written numbers to their corresponding numeral. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.02	(a)(v)(1)	R. 5224. Corporate debt securities - Category (I) - commercial convertible residual debt instruments - selling above par	(1)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			Amended - Non substantive - The numbering within this provision has been revised for stylistic consistency. We changed written numbers to their corresponding numeral. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.02	(a)(v)(2)	R. 5224. Corporate debt securities - Category (I) - commercial convertible residual debt instruments - selling at or below par	(1)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			Amended - Non substantive - The numbering within this provision has been revised for stylistic consistency. We changed written numbers to their corresponding numeral. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).

Rule 0100: Margin Requirements	100.02	(a)(v)(3)	R. 5224. Corporate debt securities - Category (II) - commercial convertible residual debt instruments - selling at 50% of par or less	(1)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			Amended - Non substantive - The numbering within this provision has been revised for stylistic consistency. We changed written numbers to their corresponding numeral. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.02	(a)(v)(4)	R. 5224. Corporate debt securities - Category (II) - commercial convertible residual debt instruments - U.S. pay selling at 50% of par or less	(1)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			Amended - Non substantive - The numbering within this provision has been revised for stylistic consistency. We changed written numbers to their corresponding numeral. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.21		R. 5224. Corporate debt securities - commercial convertible residual debt instruments - maximum margin requirement	(1)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			Amended - Non substantive - The numbering within this provision has been revised for stylistic consistency. We changed written numbers to their corresponding numeral. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.12	(d)	R. 5225. Corporate debt securities - floating rate debt obligations	(1)					

Rule 0100: Margin Requirements	100.02	(a)(ix)	R. 5226. Corporate debt securities - Category (I) - income bonds that are current in paying interest	(1)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.02	(a)(ix), preamble	R. 5226. Corporate debt securities - Category (II) - all other income bonds	(2)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.02	(h)	R. 5227. Corporate debt securities - mortgage-backed securities	(1)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			
			R. 5228. - 5229. Reserved		New - Non substantive - Reserved sections.				
Rule 0100: Margin Requirements	100.02	(a)(viii)	R. 5230. Debt securities - bonds in default	(1)					
			R. 5231. - 5239. Reserved		New - Non substantive - Reserved sections.				
Rule 0100: Margin Requirements	100.03	opening paragraph	R. 5240. Debt securities - debt margin surcharge - when imposed	(1)					
Rule 0100: Margin Requirements	100.03	(e)	R. 5240. Debt securities - debt margin surcharge - when imposed	(2)					
Rule 0100: Margin Requirements	100.03	(c)	R. 5240. Debt securities - debt margin surcharge - when imposed	(3)					
Rule 0100: Margin Requirements	100.03	(d)	R. 5240. Debt securities - debt margin surcharge - when imposed	(3)					
Rule 0100: Margin Requirements	100.03	(g)	R. 5240. Debt securities - debt margin surcharge - when imposed	(4)					
Rule 0100: Margin Requirements	100.03	opening paragraph	R. 5241. Debt securities - debt margin surcharge - calculation	(1)		Amended - Non substantive - Correction of plain language rule cross reference.			

Rule 0100: Margin Requirements	100.03	(a)	R. 5241. Debt securities - debt margin surcharge - calculation	(2)					Amended - Non substantive - The numbering within this provision has been revised for stylistic consistency. We changed written numbers to their corresponding numeral. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.03	(b)	R. 5241. Debt securities - debt margin surcharge - calculation	(3)		Amended - Non substantive - Correction of plain language rule cross references.			
Rule 0100: Margin Requirements	100.03	(f)	R. 5241. Debt securities - debt margin surcharge - calculation	(4)					
			R. 5242. - 5249. Reserved		New - Non substantive - Reserved sections.				
Rule 0100: Margin Requirements	100.02	(e)	R. 5250. Mortgages - insured and conventional mortgages held in inventory	(1)		Amended - Non substantive - “NHA” has been revised to read “National Housing Act”.			
Rule 0100: Margin Requirements	100.02	(e)	R. 5250. Mortgages - insured and conventional mortgages held in inventory	(2)					
			R. 5251. - 5299. Reserved		New - Non substantive - Reserved sections.				
New Provision			R. 5301. Introduction	(1)	New - Non substantive - Introduction section added.	New - Non substantive - Introduction section revised to reference new section 5370 introduced as part of the "clean up" tranche amendments. Also, revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
New Provision			R. 5301. Introduction	(2)	New - Non substantive - Introduction section added.	New - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			

New Provision			R. 5301. Introduction	(3)	New - Non substantive - Introduction section added.	New - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
New Provision			R. 5301. Introduction	(4)	New - Non substantive - Introduction section added.	New - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
			R. 5302. - 5309. Reserved		New - Non substantive - Reserved sections.				
Rule 0100: Margin Requirements	100.02	(f)(i)	R. 5310. Equity securities - determining the basic margin rate	(1)		Amended - Substantive - Margin requirements for all short positions trading at or above $0.25 per share have expressed as a percentage of market value requirement rather than as dollar amount per share requirement. This previously published change has been flagged as a substantive change requiring public comment.			
Rule 0100: Margin Requirements	100.02	(f)(vi)	R. 5310. Equity securities - determining the basic margin rate	(1)					
Rule 0100: Margin Requirements	100.12	(a)	R. 5310. Equity securities - determining the basic margin rate	(1)					
Rule 0100: Margin Requirements	100.02	(f)(i)	R. 5311. Equity securities - Canada and United States listed equity securities eligible for margin	(1)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			
Rule 0100: Margin Requirements	100.02	(f)(iv)	R. 5311. Equity securities - Canada and United States unlisted equity securities eligible for margin	(2)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			
Rule 0100: Margin Requirements	100.02	(f)(ii)	R. 5312. Equity securities - foreign listed equity securities eligible for margin	(1)		Amended - Non substantive - The term “foreign listed equity securities eligible for margin” has been italicized.			

Rule 0100: Margin Requirements	100.12	(b)	R. 5313. Equity securities - government guaranteed equity securities	(1)	Amended - Substantive - The current requirements have been extended to client account positions.				
Rule 0100: Margin Requirements	100.12	(c)	R. 5314. Equity securities - floating rate preferred shares	(1)	Amended - Substantive - The current requirements have been extended to client account positions.	Amended - Non substantive - The margin requirements for floating rate preferred shares have been amended to refer to "related common share" rather than "related junior security", thereby eliminating the need to define "related junior security".			
Rule 0100: Margin Requirements	100.21		R. 5314. Equity securities - maximum margin requirement for convertible floating rate preferred shares	(1)		Amended - Non substantive - The margin requirements for floating rate preferred shares have been amended to refer to "related common share" rather than "related junior security", thereby eliminating the need to define "related junior security".			
Rule 0100: Margin Requirements	100.02	(f)(v)	R. 5315. Equity securities - other equity securities	(1)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft. Margin requirement for short positions trading at or above $0.50 per share has been corrected and is now stated to be 100%.			
			R. 5316. - 5319. Reserved		New - Non substantive - Reserved sections.				
Rule 0100: Margin Requirements	100.18	(d)	R. 5320. Equity securities - Installment receipts	(1)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			
Rule 0100: Margin Requirements	100.18	(e)	R. 5320. Equity securities - Installment receipts	(1)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			

Rule 0100: Margin Requirements	100.18	(f)	R. 5320. Equity securities - Installment receipts	(1)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			
Rule 0100: Margin Requirements	100.18	(b)	R. 5320. Equity securities - Installment receipts	(2)					
Rule 0100: Margin Requirements	100.18	(c)	R. 5320. Equity securities - Installment receipts	(3)					
Rule 0100: Margin Requirements	100.18	(b)	R. 5320. Equity securities - Installment receipts	(4)					
Rule 0100: Margin Requirements	100.18	(b)	R. 5320. Equity securities - Installment receipts	(5)		Amended - Non substantive - Correction of plain language rule cross reference.			
Rule 0100: Margin Requirements	100.18	(c)	R. 5320. Equity securities - Installment receipts	(6)		Amended - Non substantive - Correction of plain language rule cross reference.			
			R. 5321. - 5329. Reserved		New - Non substantive - Reserved sections.				
Rule 0100: Margin Requirements	100.21		R. 5330. Equity securities - Convertible and exchangeable securities	(1)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			
			R. 5331. - 5339. Reserved		New - Non substantive - Reserved sections.				
Rule 0100: Margin Requirements	100.07		R. 5340. Equity securities - Control blocks	(1)			Amended - Non substantive - We made changes to the wording of this section to improve readability.		
			R. 5341. - 5349. Reserved		New - Non substantive - Reserved sections.				
Rule 0100: Margin Requirements	100.02	(f)(iii)	R. 5350. Equity securities - Category (I) - unlisted warrants issued by a Canadian chartered bank	(1)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			
Rule 0100: Margin Requirements	100.12	(e)	R. 5350. Equity securities - Category (II) - Canada and United States rights and warrants eligible for margin	(1)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			
			R. 5351. - 5359. Reserved		New - Non substantive - Reserved sections.				
Rule 0100: Margin Requirements	100.02	(f)(vii)	R. 5360. Index products - Category (I) - IPUs	(1)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			

Rule 0100: Margin Requirements	100.02	(f)(vii)	R. 5360. Index products - Category (II) - Baskets of index securities	(1)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			
Rule 0100: Margin Requirements	100.09	(a)(x) "floating margin rate"	R. 5360. Index products - calculation of "regulatory margin interval"	(2)					
Rule 0100: Margin Requirements	100.09	(a)(x) "floating margin rate"	R. 5360. Index products - calculation of "floating margin rate"	(3)		Amended - Non substantive - Correction of plain language rule cross reference.			Amended - Non substantive - We made a non-material drafting change, in order to clarify our language.
Rule 0100: Margin Requirements	100.10	(a)(i) "floating margin rate"	R. 5360. Index products - calculation of "floating margin rate"	(3)		Amended - Non substantive - Correction of plain language rule cross reference.			
Rule 0100: Margin Requirements	100.09	(a)(xxiv) "qualifying basket of index securities"	R. 5360. Index products - calculation of "qualifying basket of index securities"	(4)					
Rule 0100: Margin Requirements	100.10	(a)(i) "qualifying basket of index securities"	R. 5360. Index products - calculation of "qualifying basket of index securities"	(4)					
Rule 0100: Margin Requirements	100.09	(a)(xi) "incremental basket margin rate"	R. 5360. Index products - calculation of "cumulative relative weight percentage"	(5)		Amended - Non substantive - Correction of plain language rule cross reference.			
Rule 0100: Margin Requirements	100.09	(a)(xi) "incremental basket margin rate"	R. 5360. Index products - calculation of "incremental basket margin rate"	(6)					
Rule 0100: Margin Requirements	100.10	(a)(i) "incremental basket margin rate"	R. 5360. Index products - calculation of "incremental basket margin rate"	(6)					
			R. 5361 - 5369. Reserved		New - Non substantive - Reserved sections.	New - Non substantive - Reserved sections revised to reflect inclusion of "clean up" tranche section 5370.			
Rule 0100: Margin Requirements	100.12	(f), preamble	R. 5370 Securities held in a registered trader's account	(1)	"Clean up" tranche - Non substantive - Inclusion of existing rule not previously accounted for in plain language rule rewrite.	Amended- Non substantive - Revisions introduced as part of the clean up tranche amendments have been incorporated into the 5000 series of plain language rules.			

Rule 0100: Margin Requirements	100.12	(f)(i) [first instance]	R. 5370 Securities held in a registered trader's account	(1)	"Clean up" tranche - Non substantive - Inclusion of existing rule not previously accounted for in plain language rule rewrite.	Amended- Non substantive - Revisions introduced as part of the clean up tranche amendments have been incorporated into the 5000 series of plain language rules.			
Rule 0100: Margin Requirements	100.12	(f)(ii) [first instance]	R. 5370 Securities held in a registered trader's account	(1)	"Clean up" tranche - Non substantive - Inclusion of existing rule not previously accounted for in plain language rule rewrite.	Amended- Non substantive - Revisions introduced as part of the clean up tranche amendments have been incorporated into the 5000 series of plain language rules.			
Rule 0100: Margin Requirements	100.12	(f)(i) [second instance]	R. 5370 Securities held in a registered trader's account	(2)	"Clean up" tranche - Non substantive - Inclusion of existing rule not previously accounted for in plain language rule rewrite.	Amended- Non substantive - Revisions introduced as part of the clean up tranche amendments have been incorporated into the 5000 series of plain language rules.			
Rule 0100: Margin Requirements	100.12	(f)(ii) [second instance]	R. 5370 Securities held in a registered trader's account	(2)	"Clean up" tranche - Non substantive - Inclusion of existing rule not previously accounted for in plain language rule rewrite.	Amended- Non substantive - Revisions introduced as part of the clean up tranche amendments have been incorporated into the 5000 series of plain language rules.			
Rule 0100: Margin Requirements	100.12	(f), post amble	R. 5370 Securities held in a registered trader's account	(2)	"Clean up" tranche - Non substantive - Inclusion of existing rule not previously accounted for in plain language rule rewrite.	Amended- Non substantive - Revisions introduced as part of the clean up tranche amendments have been incorporated into the 5000 series of plain language rules.			
Rule 0100: Margin Requirements	100.12	(f), post amble	R. 5370 Securities held in a registered trader's account	(3)	"Clean up" tranche - Non substantive - Inclusion of existing rule not previously accounted for in plain language rule rewrite.	Amended- Non substantive - Revisions introduced as part of the clean up tranche amendments have been incorporated into the 5000 series of plain language rules.			

			R. 5371. - 5399. Reserved		New - Non substantive - Reserved sections.	New - Non substantive - Reserved sections revised to reflect inclusion of "clean up" tranche section 5370.			
New Provision			R. 5401. Introduction	(1)	New - Non substantive - Introduction section added.				Amended - Non substantive - We made a non-material drafting change, in order to clarify our language.
			R. 5402. - 5409. Reserved		New - Non substantive - Reserved sections.				
Rule 0100: Margin Requirements	100.13	(i)	R. 5410. Other investment products - Category (I) - Securities called for cash redemption	(1)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.	Amended - Non substantive - Replaced the rule reference "5800" with "5900" to correct the reference.		
Rule 0100: Margin Requirements	100.13	(ii)	R. 5410. Other investment products - Category (II) - Securities called for cash redemption	(1)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.	Amended - Non substantive - Replaced the rule reference "5800" with "5900" to correct the reference.		
			R. 5411. - 5419. Reserved		New - Non substantive - Reserved sections.				
Rule 0100: Margin Requirements	100.02	(g)	R. 5420. Other investment products - Units	(1)					
			R. 5421. - 5429. Reserved		New - Non substantive - Reserved sections.				
Rule 0100: Margin Requirements	100.02	(i)(i)	R. 5430. Other investment products - Precious metal certificates and bullion	(1)					
Rule 0100: Margin Requirements	100.02	(i)(ii)	R. 5430. Other investment products - Precious metal certificates and bullion	(1)		Amended - Non substantive - Correction of existing Dealer Member Rule cross reference. Also, minor wording clarifications have been made to latest rule draft.			
Rule 0100: Margin Requirements	100.02	(i)(ii)	R. 5430. Other investment products - Precious metal certificates and bullion	(2)		Amended - Non substantive - Correction of existing Dealer Member Rule cross reference. Also, correction of plain language rule cross reference.			
			R. 5431. - 5439. Reserved		New - Non substantive - Reserved sections.				
Rule 0100: Margin Requirements	100.02	(j)	R. 5440. Other investment products - Interest rate swaps	(1)					Amended - Non substantive - We made a non-material drafting change, in order to clarify our language.

Rule 0100: Margin Requirements	100.02	(k)	R. 5441. Other investment products - Total performance swaps	(1)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			Amended - Non substantive - We made a non-material drafting change, in order to clarify our language.
Rule 0100: Margin Requirements	100.02	(j)	R. 5442. Other investment products - Swap counterparty margin requirements	(1)					
Rule 0100: Margin Requirements	100.02	(k)	R. 5442. Other investment products - Swap counterparty margin requirements	(1)					
			R. 5443. - 5449. Reserved		New - Non substantive - Reserved sections.				
Rule 0100: Margin Requirements	100.02	(l)	R. 5450. Other investment products - Mutual funds	(1)		Amended - Non substantive - Changes have been made to the value on which margin must be calculated for a mutual fund from "unit value" to "per unit market value".			
			R. 5451. - 5459. Reserved		New - Non substantive - Reserved sections.				
Rule 0100: Margin Requirements	100.02	(d)(i)(A)	R. 5460. Other investment products - General margin requirements for foreign exchange positions	(1)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			
Rule 0100: Margin Requirements	100.02	(d)(i)(B)			Repealed - Non substantive - Requirement to calculate positions and margin requirements on a trade date basis is duplicative of Form 1 requirements.				
Rule 0100: Margin Requirements	100.02	(d)(ii)(B)(2)	R. 5460. Other investment products - General margin requirements for foreign exchange positions	(1)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			
Rule 0100: Margin Requirements	100.02	(d)(ii)(B)(3)	R. 5460. Other investment products - General margin requirements for foreign exchange positions	(1)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			
Rule 0100: Margin Requirements	Schedule(s) 11 and 11A	Note(s) 08	R. 5460. Other investment products - General margin requirements for foreign exchange positions	(1)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			

Rule 0100: Margin Requirements			R. 5460. Other investment products - General margin requirements for foreign exchange positions	(2)	New - Non substantive - New provision added to clarify how the currency group a particular country qualifies for is determined.				
New Provision			R. 5460. Other investment products - General margin requirements for foreign exchange positions	(3)	New - Non substantive - New provision added to clarify how the spot risk margin surcharge is determined.	New - Non substantive - Correction of plain language rule cross reference.			
Rule 0100: Margin Requirements	100.02	(d)(i)(C)	R. 5460. Other investment products - General margin requirements for foreign exchange positions	(4)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			
Rule 0100: Margin Requirements	100.02	(d)(i)(D)	R. 5460. Other investment products - General margin requirements for foreign exchange positions	(5)					
Rule 0100: Margin Requirements	100.02	(d)(i)(E)	R. 5460. Other investment products - General margin requirements for foreign exchange positions	(6)					
Rule 0100: Margin Requirements	100.02	(d)(i)(F)	R. 5460. Other investment products - General margin requirements for foreign exchange positions	(7)					Amended - Non substantive - We updated a defined term. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.02	(d)(i)(G)	R. 5460. Other investment products - General margin requirements for foreign exchange positions	(8)					
Rule 0100: Margin Requirements	100.02	(d)(i)(H)	R. 5460. Other investment products - General margin requirements for foreign exchange positions	(9)			Repealed - Non substantive - We removed previous sub-section 5460(9) because it was duplicative of the definition of "recognized exchange" in sub-section 1201(2).		
New Provision			R. 5460. Other investment products - General margin requirements for foreign exchange positions	(9)	New - Non substantive - Defines the meaning of the term “term to maturity” for foreign exchange positions.		Amended - Non substantive - Previous sub-section 5460(10) was renumbered 5460(9).		

Rule 0100: Margin Requirements	100.02	(d)(v)(A)	R. 5461. Other investment products - Foreign exchange - currency group criteria	(1)			Amended - Non substantive - We deleted the word "Canadian" in front of "Schedule I chartered bank" because it is redundant as the term "chartered bank" is defined in PLR Rule 1200 as "A bank incorporated under the Bank Act (Canada)".		Amended - Non substantive - We updated a defined term.
Rule 0100: Margin Requirements	100.02	(d)(v)(B)(b)	R. 5461. Other investment products - Foreign exchange - currency group monitoring	(2)		Amended - Non substantive - Discussion of spot price volatility monitoring has been moved to subsection 5462(2) from subsection 5461(2).			
Rule 0100: Margin Requirements	100.02	(d)(v)(D)	R. 5461. Other investment products - Foreign exchange - currency group upgrades and downgrades	(3)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			Amended - Non substantive - we clarified the language in this subsection. "Financial Administrators" was changed to "Financial and Operations Advisory" . We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.02	(d)(i)(A)	R. 5462. Other investment products - Foreign exchange - general principles	(1)		Amended - Non substantive - A table has been added to separately present minimum spot risk margin requirements for each category of foreign currency. This information in the table is the same as the information presented of the overall summary table for foreign currency margin requirements presented in plain language rule subsection 5460(1).			

Rule 0100: Margin Requirements	100.02	(d)(v)(B)(a)	R. 5462. Other investment products - Foreign exchange - spot risk monitoring	(2)		Amended - Non substantive - Discussion of spot price volatility monitoring has been moved from subsection 5461(2) to subsection 5462(2). Also, minor wording clarifications have been made to latest rule draft.			
Rule 0100: Margin Requirements	100.02	(d)(v)(C)	R. 5462. Other investment products - Foreign exchange - spot risk surcharge rate	(2)					
Form 1: Schedules	100.02	Note(s) 01 to 08	R. 5462. Other investment products - Foreign exchange - spot risk surcharge rate	(2)					
Form 1: Schedules	100.02	Note(s) 11	R. 5462. Other investment products - Foreign exchange - spot risk surcharge rate	(2)					
Rule 0100: Margin Requirements	100.02	(d)(ii)(A)	R. 5463. Other investment products - Foreign exchange - spot risk margin requirement	(1)					
Rule 0100: Margin Requirements	Schedule(s) 11 and 11A	Note(s) 08	R. 5463. Other investment products - Foreign exchange - spot risk margin requirement	(1)					
Rule 0100: Margin Requirements	100.02	(d)(ii)(A)	R. 5463. Other investment products - Foreign exchange - spot risk margin requirement	(2)					
Rule 0100: Margin Requirements	100.02	(d)(ii)(B)(1)	R. 5464. Other investment products - Foreign exchange - term risk margin requirement	(1)					Amended - Non substantive - See Notice 17-0133 for details.
Rule 0100: Margin Requirements	100.02	Note(s) 08	R. 5464. Other investment products - Foreign exchange - term risk margin requirement	(1)					
Rule 0100: Margin Requirements	100.02	(d)(ii)(B)(5)	R. 5464. Other investment products - Foreign exchange - term risk margin requirement	(2)					
Rule 0100: Margin Requirements	100.02	(d)(ii)(B)(6)	R. 5465. Other investment products - Foreign exchange - maximum margin requirement	(1)					
Rule 0100: Margin Requirements	100.02		R. 5466. Other investment products - Foreign exchange - foreign exchange position offsets for Dealer Members	(1)	New - Non substantive - New provision added to clarify which margin rates are to be used in margin a Dealer Member foreign exchange offset position.				

Rule 0100: Margin Requirements	100.02	(d)(ii)(B)(4)	R. 5466. Other investment products - Foreign exchange - foreign exchange position offsets for Dealer Members	(2)					Amended - Non substantive - The numbering within this provision has been revised for stylistic consistency. We changed written numbers to their corresponding numeral.We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.02	(d)(ii)(B)(4)	R. 5466. Other investment products - Foreign exchange - foreign exchange position offsets for Dealer Members	(3)					Amended - Non substantive - The numbering within this provision has been revised for stylistic consistency. We changed written numbers to their corresponding numeral.We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.02	(d)(iii), preamble	R. 5467. Other investment products - Foreign exchange - alternative futures and forward contract inventory margin	(1), preamble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			Amended - Non substantive - The numbering within this provision has been revised for stylistic consistency. We changed written numbers to their corresponding numeral.We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).

Rule 0100: Margin Requirements	100.02	(d)(iii)(A)	R. 5467. Other investment products - Foreign exchange - alternative futures and forward contract inventory margin	(1)(i)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.02	(d)(iii)(B)	R. 5467. Other investment products - Foreign exchange - alternative futures and forward contract inventory margin	(1)(ii)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection. Also, correction of plain language rule cross reference.	Amended - Non substantive - We included a more specific PLR rule cross reference.		
Rule 0100: Margin Requirements	100.02	(d)(iii)(C)	R. 5467. Other investment products - Foreign exchange - alternative futures and forward contract inventory margin	(1)(iii)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection. Also, correction of plain language rule cross references.	Amended - Non substantive - We included a more specific PLR rule cross reference.		Amended - Non substantive - We corrected a cross-reference. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.02	(d)(iv), preamble	R. 5468. Other investment products - Foreign exchange - customer margin	(1), preamble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.02	(d)(iv)(A)	R. 5468. Other investment products - Foreign exchange - customer margin	(1)(i)(a)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.02	(d)(iv)(B)	R. 5468. Other investment products - Foreign exchange - customer margin	(1)(i)(b)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			

Rule 0100: Margin Requirements	100.02	(d)(iv)(C)	R. 5468. Other investment products - Foreign exchange - customer margin	(1)(ii)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.02	(d)(iv)(D)	R. 5468. Other investment products - Foreign exchange - customer margin	(1)(iii)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.02	(d)(v)(E), first paragraph	R. 5469. Other investment products - Foreign exchange - currency groups	(1)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.02	(d)(v)(E), second paragraph	R. 5469. Other investment products - Foreign exchange - currency groups	(2)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			Amended - Non substantive - We corrected a cross-reference. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.20	(a)(i) "Amount Loaned"			Repealed - Non substantive - Redundant provision. "Amount loaned" is already defined in Note 9 of the Notes and Instructions to Schedule 9 of Form 1.				
Rule 0100: Margin Requirements	100.20	(a)(ii) "Security"			Repealed - Non substantive - Redundant provision. "Security" for the purposes of the securities concentration test is already defined in Note 2 of the Notes and Instructions to Schedule 9 of Form 1.				

Rule 0100: Margin Requirements	100.20	(a)(i) "Precious metal"			Repealed - Non substantive - Redundant provision. "Precious metal" for the purposes of the securities concentration test is already defined in Note 2 of the Notes and Instructions to Schedule 9 of Form 1. Further, current Dealer Member Rule subsection 100.2(i) and plain language rule section 5430 already define precious metal bars and certificates eligible for margin and on which a concentration exposure could occur.				
Rule 0100: Margin Requirements	100.20	(a)(i) "Risk Adjusted Capital"			Repealed - Non substantive - Redundant provision. "Risk Adjusted Capital" for the purposes of the securities concentration test is already defined in Schedule 9 of Form 1.				
Rule 0100: Margin Requirements	100.20	(b)(i)			Repealed - Non substantive - Redundant provision. Already addressed in Note 9(d)(i) of the Notes and Instructions to Schedule 9 of Form 1.				
Rule 0100: Margin Requirements	100.20	(b)(ii)			Repealed - Non substantive - Redundant provision. Already addressed in Notes 9(a), 9(b) and 9(e) of the Notes and Instructions to Schedule 9 of Form 1.				
Rule 0100: Margin Requirements	100.20	(b)(iii)			Repealed - Non substantive - Redundant provision. Already addressed in Notes 9(d)(ii) through 9(d)(iv) of the Notes and Instructions to Schedule 9 of Form 1.				

Rule 0100: Margin Requirements	100.20	(b)(iv)			Repealed - Non substantive - Redundant provision. Already addressed in Note 9(d)(vi) of the Notes and Instructions to Schedule 9 of Form 1.				
Rule 0100: Margin Requirements	100.20	(b)(v)			Repealed - Non substantive - Redundant provision. Already addressed in Note 9(d)(v) of the Notes and Instructions to Schedule 9 of Form 1.				
Rule 0100: Margin Requirements	100.20	(b)(vi)			Repealed - Non substantive - Redundant provision. Already addressed in Note 7(b) of the Notes and Instructions to Schedule 9 of Form 1.				
Rule 0100: Margin Requirements	100.20	(c)(i)			Repealed - Non substantive - Redundant provision. Already addressed in Note 10(c) of the Notes and Instructions to Schedule 9 of Form 1.				
Rule 0100: Margin Requirements	100.20	(c)(ii)			Repealed - Non substantive - Redundant provision. Already addressed in Note 10(a) of the Notes and Instructions to Schedule 9 of Form 1.				
Rule 0100: Margin Requirements	100.20	(d)			Repealed - Non substantive - Redundant provision. Already addressed in Note 10(d) of the Notes and Instructions to Schedule 9 of Form 1.				
Rule 0100: Margin Requirements	100.20	(e)			Repealed - Non substantive - Redundant provision. Already addressed in Note 10(e) of the Notes and Instructions to Schedule 9 of Form 1.				

Rule 0100: Margin Requirements	100.20	(f)			Repealed - Non substantive - Redundant provision. Already addressed in Note 11(a) of the Notes and Instructions to Schedule 9 of Form 1.				
			R. 5470. - 5499. Reserved		New - Non substantive - Reserved sections.				
New Provision			R. 5501. Underwriting commitments and when issued trading - introduction	(1)	New - Non substantive - Introduction section added.	New - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			Amended - Non substantive - We made a non-material drafting change for consistency.
			R. 5502. - 5509. Reserved		New - Non substantive - Reserved sections.				
Rule 0100: Margin Requirements	100.05	(f)	R. 5510. Underwriting commitments - treatment of take down portion	(1)		Amended - Non substantive - Section 5510 is the plain language equivalent of current Dealer Member Rule subsection 100.5(f). This current subsection allows for the deduction of banking/selling group receivables from not only the underwriting commitment amount for the purposes of determining the basic underwriting margin requirement but also from the underwriting commitment amount for the purposes of determining whether underwriting concentration exposures exist. Plain language rule subsection 5510(1) has been revised to be consistent with the current Dealer Member Rule subsection.			
			R. 5511. - 5519. Reserved		New - Non substantive - Reserved sections.				

Rule 0100: Margin Requirements New Provision			R. 5520. Underwriting commitments - margin requirements without new issue letter in place	(1)		New - Non substantive - Introductory provision reclassified as a "New - Non substantive" provision.			
New Provision	100.05	(b)(1), first column	R. 5520. Underwriting commitments - margin requirements without new issue letter in place	(2)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.05	(b)(2), first column	R. 5520. Underwriting commitments - margin requirements without new issue letter in place	(3)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.05	(b)(3), first column	R. 5520. Underwriting commitments - margin requirements without new issue letter in place	(4)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.05	(b)(4), first column	R. 5520. Underwriting commitments - margin requirements without new issue letter in place	(5)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
New Provision			R. 5521. Underwriting commitments - margin requirements with new issue letter in place	(1)		New - Non substantive - Introductory provision reclassified as a "New - Non substantive" provision.			
Rule 0100: Margin Requirements	100.05	(b)(1), second column	R. 5521. Underwriting commitments - margin requirements with new issue letter in place	(2)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			Amended - Non substantive - We made a non-material drafting change for consistency.

Rule 0100: Margin Requirements	100.05	(b)(2), second column	R. 5521. Underwriting commitments - margin requirements with new issue letter in place	(3)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection. Also, correction of plain language rule cross reference.			
Rule 0100: Margin Requirements	100.05	(b)(3), second column	R. 5521. Underwriting commitments - margin requirements with new issue letter in place	(4)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection. Also, correction of plain language rule cross reference.			
Rule 0100: Margin Requirements	100.05	(b)(4), second column	R. 5521. Underwriting commitments - margin requirements with new issue letter in place	(5)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection. Also, correction of plain language rule cross reference.			
Rule 0100: Margin Requirements	100.05	(b), post amble	R. 5521. Underwriting commitments - margin requirements with new issue letter in place	(6)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.	Amended - Non substantive - We included a more specific PLR rule cross reference.		
Rule 0100: Margin Requirements	100.05	(c), preamble	R. 5522. Underwriting commitments - margin requirements with expressions of interest from exempt purchasers	(1)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			

Rule 0100: Margin Requirements	100.05	(c)(1), first column	R. 5522. Underwriting commitments - margin requirements with expressions of interest from exempt purchasers	(2)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.05	(c)(2), first column	R. 5522. Underwriting commitments - margin requirements with expressions of interest from exempt purchasers	(3)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.05	(c)(3), first column	R. 5522. Underwriting commitments - margin requirements with expressions of interest from exempt purchasers	(4)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.05	(c)(4), first column	R. 5522. Underwriting commitments - margin requirements with expressions of interest from exempt purchasers	(5)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection. Also, correction of plain language rule cross reference.			
Rule 0100: Margin Requirements	100.05	(c)(1), second column	R. 5522. Underwriting commitments - margin requirements with expressions of interest from exempt purchasers	(6)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.05	(c)(2), second column	R. 5522. Underwriting commitments - margin requirements with expressions of interest from exempt purchasers	(6)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			

Rule 0100: Margin Requirements	100.05	(c)(3), second column	R. 5522. Underwriting commitments - margin requirements with expressions of interest from exempt purchasers	(6)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.05	(c)(4), second column	R. 5522. Underwriting commitments - margin requirements with expressions of interest from exempt purchasers	(6)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.05	(g), preamble	R. 5523. Underwriting commitments - margin requirements for restricted security offerings	(1)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.05	(g)(i)	R. 5523. Underwriting commitments - margin requirements for restricted security offerings	(2)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.05	(g)(ii)	R. 5523. Underwriting commitments - margin requirements for restricted security offerings	(2)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.05	(g), post amble	R. 5523. Underwriting commitments - margin requirements for restricted security offerings	(2)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			

Rule 0100: Margin Requirements	100.06	preamble	R. 5524. Underwriting commitments - rights offerings	(1)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.06	(a)	R. 5524. Underwriting commitments - rights offerings	(2)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.06	(b)	R. 5524. Underwriting commitments - rights offerings	(2)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
			R. 5525. - 5529. Reserved		New - Non substantive - Reserved sections.				
New Provision			R. 5530. Underwriting related agreements - requirement for written agreement	(1)	New - Non substantive - Clarification of existing requirements.	New - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.05	(a)(v) "new issue letter"	R. 5530. Underwriting related agreements - minimum agreement terms	(2)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection. Also, correction of plain language rule cross reference.			Amended - Non substantive - We corrected an erroneous cross-reference to another section
Rule 0100: Margin Requirements	100.05	(a)(v) "new issue letter"	R. 5530. Underwriting related agreements - additional requirements if issuer not an acceptable institution	(3)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			

			R. 5531. - 5539. Reserved		New - Non substantive - Reserved sections.				
Rule 0100: Margin Requirements	100.05	(d)	R. 5540. Underwriting commitments - individual underwriting concentration	(1)			Amended - Non substantive - We italicize the term "total margin required" because it is a defined term in PLR Rule 1200.		
Rule 0100: Margin Requirements	100.05	(e)	R. 5541. Underwriting commitments - overall underwriting concentration	(1)			Amended - Non substantive - We italicize the term "total margin required" because it is a defined term in PLR Rule 1200.		Amended - Non substantive - We corrected a cross-reference. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
			R. 5542. - 5549. Reserved		New - Non substantive - Reserved sections.				
Rule 0100: Margin Requirements	100.10	(h)(iii)(C)	R. 5550. Underwriting commitments - offsets - long index basket, short IPUs, long IPU commitment	(1)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.10	(h)(iii)(C)	R. 5550. Underwriting commitments - offsets - long index basket, short IPUs, long IPU commitment	(2)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.10	(h)(ii)(G)(I)	R. 5551. Underwriting commitments - offsets - long index basket, short IPU call, long IPU commitment	(1)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.10	(h)(ii)(G)(I)	R. 5551. Underwriting commitments - offsets - long index basket, short IPU call, long IPU commitment	(2)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			

Rule 0100: Margin Requirements	100.10	(h)(ii)(G)(I)	R. 5551. Underwriting commitments - offsets - long index basket, short IPU call, long IPU commitment	(3)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.10	(h)(ii)(G)(II), preamble	R. 5552. Underwriting commitments - offsets - long index basket, long IPU put, long IPU commitment	(1)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.10	(h)(ii)(G)(II)(a)	R. 5552. Underwriting commitments - offsets - long index basket, long IPU put, long IPU commitment	(2)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.10	(h)(ii)(G)(II)(b)	R. 5552. Underwriting commitments - offsets - long index basket, long IPU put, long IPU commitment	(2)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.10	(h)(ii)(G)(II), post amble	R. 5552. Underwriting commitments - offsets - long index basket, long IPU put, long IPU commitment	(2)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.10	(h)(ii)(G)(II)(b)	R. 5552. Underwriting commitments - offsets - long index basket, long IPU put, long IPU commitment	(3)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
			R. 5553. - 5559. Reserved		New - Non substantive - Reserved sections.				
Rule 0100: Margin Requirements	100.19	(a)(i)	R. 5560. When issued trading - margin for short positions	(1)					
Rule 0100: Margin Requirements	100.19	(a)(i)	R. 5560. When issued trading - margin for short positions	(2)					

Rule 0100: Margin Requirements	100.19	(c)	R. 5560. When issued trading - margin for short positions	(2)					
Rule 0100: Margin Requirements	100.19	(a)(i)	R. 5560. When issued trading - margin for short positions	(3)					Amended - Non substantive - see Notice 17-0133 for details
Rule 0100: Margin Requirements	100.19	(a)(ii)	R. 5561. When issued trading - margin for hedged positions	(1)		Amended - Non substantive - Correction of plain language rule cross reference.			
Rule 0100: Margin Requirements	100.19	(a)(iii)	R. 5561. When issued trading - margin for hedged positions	(2)		Amended - Non substantive - Correction of plain language rule cross reference.			
Rule 0100: Margin Requirements	100.19	(a)(ii)	R. 5561. When issued trading - margin for hedged positions	(3)					
Rule 0100: Margin Requirements	100.19	(a)(iii)	R. 5561. When issued trading - margin for hedged positions	(3)					
Rule 0100: Margin Requirements	100.19	(c)	R. 5561. When issued trading - margin for hedged positions	(3)					
Rule 0100: Margin Requirements	100.19	(a)(ii)	R. 5561. When issued trading - margin for hedged positions	(4)					Amended - Non substantive - See Notice 17-0133 for details
Rule 0100: Margin Requirements	100.19	(a)(iii)	R. 5561. When issued trading - margin for hedged positions	(4)					Amended - Non substantive - See Notice 17-0133 for details
Rule 0100: Margin Requirements	100.19	(b)	R. 5562. When issued trading - margin for long positions	(1)		Amended - Non substantive - Correction of plain language rule cross references.			
Rule 0100: Margin Requirements	100.19	(b)	R. 5562. When issued trading - margin for long positions	(2)					
Rule 0100: Margin Requirements	100.19	(c)	R. 5562. When issued trading - margin for long positions	(2)					
Rule 0100: Margin Requirements	100.19	(b)	R. 5562. When issued trading - margin for long positions	(3)					Amended - Non substantive - See Notice 17-0133 for details
			R. 5563. - 5599. Reserved		New - Non substantive - Reserved sections.				
New Provision			R. 5601. Debt and equity security offsets - introduction	(1)	New - Non substantive - Introduction section added.				
New Provision			R. 5601. Debt and equity security offsets - introduction	(2)	New - Non substantive - Introduction section added.	New - Non substantive - Correction of plain language rule cross references.			Amended - Non substantive - We made non-material drafting changes for consistency.
			R. 5602. - 5609. Reserved		New - Non substantive - Reserved sections.				

New Provision			R. 5610. Debt and equity security offsets - government debt - summary reference tables	(1)	New - Non substantive - Table to assist in finding relevant offset rule.	New - Non substantive - Tables have been revised to separately disclose reference information for debt offsets involving debt securities within the same maturity bands and within different maturity bands.			
New Provision			R. 5610. Debt and equity security offsets - government debt - summary reference tables	(2)	New - Non substantive - Table to assist in finding relevant offset rule.	New - Non substantive - Tables have been revised to separately disclose reference information for debt offsets involving debt securities within the same maturity bands and within different maturity bands. Also, revisions have been made to some of the plain language rule cross references to reflect the inclusion of offsets involving foreign federal government debt securities and foreign federal government debt strips or residuals within section 5615.			
New Provision			R. 5610. Debt and equity security offsets - government debt - summary reference tables	(3)		New - Non substantive - Additional table added to assist in finding relevant offset rule.			
New Provision			R. 5610. Debt and equity security offsets - government debt - summary reference tables	(4)	New - Non substantive - Table to assist in finding relevant offset rule.	New - Non substantive - Tables have been revised to separately disclose reference information for debt offsets involving debt securities within the same maturity bands and within different maturity bands. Also, this subsection has been renumbered as a result of the inclusion of new subsection 5610(3).			

New Provision			R. 5610. Debt and equity security offsets - government debt - summary reference tables	(5)	New - Non substantive - Table to assist in finding relevant offset rule.	New - Non substantive - Tables have been revised to separately disclose reference information for debt offsets involving debt securities within the same maturity bands and within different maturity bands. Also, this subsection has been renumbered as a result of the inclusion of new subsection 5610(3).			
Rule 0100: Margin Requirements	100.04	B, preamble	R. 5611. Debt and equity security offsets - government debt - maturity within one year	(1), preamble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	B(a)	R. 5611. Debt and equity security offsets - government debt - maturity within one year	(1)(i)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	B(b)	R. 5611. Debt and equity security offsets - government debt - maturity within one year	(1)(ii)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection. Also, correction of plain language rule cross references.			
Rule 0100: Margin Requirements	100.04	B, post amble	R. 5611. Debt and equity security offsets - government debt - maturity within one year	(1), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			

Rule 0100: Margin Requirements	100.04	A, preamble	R. 5612. Debt and equity security offsets - government debt - maturity over one year	(1), preamble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	A(a)	R. 5612. Debt and equity security offsets - government debt - maturity over one year	(1)(i)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	A(b)	R. 5612. Debt and equity security offsets - government debt - maturity over one year	(1)(ii)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection. Also, correction of plain language rule cross references.			
Rule 0100: Margin Requirements	100.04	A, post amble	R. 5612. Debt and equity security offsets - government debt - maturity over one year	(1), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	C, preamble between 100.4C(h) and 100.4C(i)	R. 5613. Debt and equity security offsets - government debt - Canada government versus Canada government (different maturity band)	(1), preamble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	C(i)	R. 5613. Debt and equity security offsets - government debt - Canada federal government versus Canada federal government (different maturity band)	(1)(i)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			

Rule 0100: Margin Requirements	100.04	C(j)	R. 5613. Debt and equity security offsets - government debt - Canada federal government versus Canada provincial government (different maturity band)	(1)(ii)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	C(k)	R. 5613. Debt and equity security offsets - government debt - Canada provincial government versus Canada provincial government (different maturity band)	(1)(iii)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	C, preamble between 100.4C(h) and 100.4C(i)	R. 5613. Debt and equity security offsets - government debt - requirement for positions to be in same currency	(1), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	C, post amble Note (ii)	R. 5613. Debt and equity security offsets - government debt - requirement for positions to be in same currency	(1), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	C, post amble Note (iv)	R. 5613. Debt and equity security offsets - government debt - requirement for equal market value	(1), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	C, preamble between 100.4C(h) and 100.4C(i)	R. 5614. Debt and equity security offsets - government debt - Canada government versus Canada government (same maturity band)	(1), preamble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			

Rule 0100: Margin Requirements	100.04	C(j)	R. 5614. Debt and equity security offsets - government debt - Canada federal government versus Canada provincial government (same maturity band)	(1)(i)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	C(l)	R. 5614. Debt and equity security offsets - government debt - Canada federal government versus Canada municipal government (same maturity band)	(1)(ii)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	C(m)	R. 5614. Debt and equity security offsets - government debt - Canada provincial government versus Canada municipal government (same maturity band)	(1)(iii)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	C, preamble between 100.4C(h) and 100.4C(i)	R. 5614. Debt and equity security offsets - government debt - requirement for positions to be in same currency	(1), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	C, post amble Note (ii)	R. 5614. Debt and equity security offsets - government debt - requirement for positions to be in same currency	(1), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	C, post amble Note (iii)	R. 5614. Debt and equity security offsets - government debt - requirement for positions to be in same maturity bands	(1), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			

Rule 0100: Margin Requirements	100.04	C, post amble Note (iv)	R. 5614. Debt and equity security offsets - government debt - requirement for equal market value	(1), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	C, post amble Note (v)	R. 5614. Debt and equity security offsets - government debt - Definition - "highly rated Canada Municipal debt securities"	(2)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection. All references to “CBRS” have been removed from the 5000 series of proposed plain language rules.		Amended - Substantive - We ensured consistency with designated rating organizations named in other rules.	
Rule 0100: Margin Requirements	100.04	C, preamble	R. 5614. Debt and equity security offsets - government debt - Government versus government (same maturity band)	(3), preamble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	C(c)	R. 5614. Debt and equity security offsets - government debt - Canada federal government versus U.S. federal government (same maturity band)	(3)(i)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	C(a)	R. 5614. Debt and equity security offsets - government debt - U.S. federal government versus Canada provincial government (same maturity band)	(3)(ii)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	C(b)	R. 5614. Debt and equity security offsets - government debt - Canada federal government versus Canada municipal government (same maturity band)	(3)(iii)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			

Rule 0100: Margin Requirements	100.04	C(b)	R. 5614. Debt and equity security offsets - government debt - U.S. federal government versus Canada municipal government (same maturity band)	(3)(iv)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	C(e)	R. 5614. Debt and equity security offsets - government debt - Canada provincial government versus Canada municipal government (same maturity band)	(3)(v)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	C, post amble Note (ii)	R. 5614. Debt and equity security offsets - government debt - requirement for positions to be in same currency	(3), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	C, post amble Note (iii)	R. 5614. Debt and equity security offsets - government debt - requirement for positions to be in same maturity bands	(3), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	C, post amble Note (iv)	R. 5614. Debt and equity security offsets - government debt - requirement for equal market value	(3), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	E, preamble	R. 5615. Debt and equity security offsets - Government debt versus stripped coupons	(1), preamble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			Amended - Non substantive - We made non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054).

Rule 0100: Margin Requirements	100.04	E(a)(i)	R. 5615. Debt and equity security offsets - Canada federal government debt versus strips	(1)(i)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	E(a)(i)	R. 5615. Debt and equity security offsets - Canada federal government debt versus residuals	(1)(ii)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	E(e), preamble	R. 5615. Debt and equity security offsets - Canada federal government debt denominated in foreign currency versus stripped coupons	(1)(iii)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection. Also, inclusion of additional provision to address the offset between foreign federal government debt and strips currently set out in Dealer Member Rule 100.4E(e).			
Rule 0100: Margin Requirements	100.04	E(e), preamble	R. 5615. Debt and equity security offsets - Foreign federal government debt versus stripped coupons	(1)(iii)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection. Also, inclusion of additional provision to address the offset between foreign federal government debt and strips currently set out in Dealer Member Rule 100.4E(e).			

Rule 0100: Margin Requirements	100.04	E(e), preamble	R. 5615. Debt and equity security offsets - Canada federal government debt denominated on foreign currency versus residuals	(1)(iv)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection. Also, inclusion of additional provision to address the offset between foreign federal government debt and residuals currently set out in Dealer Member Rule 100.4E(e).			
Rule 0100: Margin Requirements	100.04	E(e), preamble	R. 5615. Debt and equity security offsets - Foreign federal government debt versus residuals	(1)(iv)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection. Also, inclusion of additional provision to address the offset between foreign federal government debt and residuals currently set out in Dealer Member Rule 100.4E(e).			
Rule 0100: Margin Requirements	100.04	E(a)(ii)	R. 5615. Debt and equity security offsets - Canada provincial government debt versus stripped coupons	(1)(v)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection. Also, provision renumbered from 5615(1)(iii) to 5615(1)(v).			
Rule 0100: Margin Requirements	100.04	E(a)(ii)	R. 5615. Debt and equity security offsets - Canada provincial government debt versus residuals	(1)(vi)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection. Also, provision renumbered from 5615(1)(iv) to 5615(1)(vi).			

Rule 0100: Margin Requirements	100.04	E, preamble (i)	R. 5615. Debt and equity security offsets - Canadian government debt - requirement for positions to be in same maturity bands	(1), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	E, preamble (ii)	R. 5615. Debt and equity security offsets - Canadian government debt - requirement for positions to be in same maturity bands	(1), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	E, preamble (iii)	R. 5615. Debt and equity security offsets - Canadian government debt - requirement for positions to be in same currency	(1), post amble	Amended - Non substantive - Existing requirement is that both positions be in Canadian dollars. Have amended this requirement to require that both positions be in the same currency, which is consistent with other debt offsets.	Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	E, preamble (iv)	R. 5615. Debt and equity security offsets - Canadian government debt - requirement for equal market value	(1), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	E(a), post amble between 100.4E(a)(ii) and 100.4E(a)(iii)	R. 5615. Debt and equity security offsets - Canadian government debt - margin requirement	(1), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	E(e), preamble	R. 5615. Debt and equity security offsets - Foreign federal government debt - requirement for same currency	(1), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			

Rule 0100: Margin Requirements	100.04	E(e)(i)	R. 5615. Debt and equity security offsets - Canada and foreign federal government debt - requirement for equal market value	(1), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	E(e)(ii)	R. 5615. Debt and equity security offsets - Canada and foreign federal government debt - requirement for positions to be in same maturity bands	(1), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	E, preamble	R. 5615. Debt and equity security offsets - government debt versus government stripped coupons	(2), preamble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			Amended - Non substantive - We made non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.04	E(a)(iii)	R. 5615. Debt and equity security offsets - Canada federal government debt versus Canadian provincial government stripped coupons	(2)(i)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	E(a)(iii)	R. 5615. Debt and equity security offsets - Canada federal government debt versus Canadian provincial government residuals	(2)(ii)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	E(a)(iv)	R. 5615. Debt and equity security offsets - Canada provincial government debt versus Canadian federal government stripped coupons	(2)(iii)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			

Rule 0100: Margin Requirements	100.04	E(a)(iv)	R. 5615. Debt and equity security offsets - Canada provincial government debt versus Canadian federal government residuals	(2)(iv)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	E, preamble (i)	R. 5615. Debt and equity security offsets - government debt - requirement for positions to be in same maturity bands	(2), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	E, preamble (ii)	R. 5615. Debt and equity security offsets - government debt - requirement for positions to be in same maturity bands	(2), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	E, preamble (iii)	R. 5615. Debt and equity security offsets - government debt - requirement for positions to be in same currency	(2), post amble	Amended - Non substantive - Existing requirement is that both positions be in Canadian dollars. Have amended this requirement to require that both positions be in the same currency, which is consistent with other debt offsets.	Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	E, preamble (iv)	R. 5615. Debt and equity security offsets - government debt - requirement for equal market value	(2), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	E(a), post amble	R. 5615. Debt and equity security offsets - government debt - margin requirement	(2), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			

Rule 0100: Margin Requirements	100.04	E, preamble	R. 5615. Debt and equity security offsets - government strip/residual versus government strip/residual	(3), preamble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			Amended - Non substantive - We made non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.04	E(b)(i)	R. 5615. Debt and equity security offsets - Canada federal government strip versus Canada federal government strip	(3)(i)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	E(c)(i)	R. 5615. Debt and equity security offsets - Canada federal government residual versus Canada federal government residual	(3)(ii)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	E(d)(i)	R. 5615. Debt and equity security offsets - Canada federal government strip versus Canada federal government residual	(3)(iii)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	E(b)(ii)	R. 5615. Debt and equity security offsets - Canada provincial government strip versus Canada provincial government strip	(3)(iv)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	E(c)(ii)	R. 5615. Debt and equity security offsets - Canada provincial government residual versus Canada provincial government residual	(3)(v)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			

Rule 0100: Margin Requirements	100.04	E(d)(ii)	R. 5615. Debt and equity security offsets - Canada provincial government strip versus Canada provincial government residual	(3)(vi)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	E, preamble (i)	R. 5615. Debt and equity security offsets - government debt - requirement for positions to be in same maturity bands	(3), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	E, preamble (ii)	R. 5615. Debt and equity security offsets - government debt - requirement for positions to be in same maturity bands	(3), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	E, preamble (iii)	R. 5615. Debt and equity security offsets - government debt - requirement for positions to be in same currency	(3), post amble	Amended - Non substantive - Existing requirement is that both positions be in Canadian dollars. Have amended this requirement to require that both positions be in the same currency, which is consistent with other debt offsets.	Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	E, preamble (iv)	R. 5615. Debt and equity security offsets - government debt - requirement for equal market value	(3), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	E(b), post amble between 100.4E(b)(ii) and 100.4E(b)(iii)	R. 5615. Debt and equity security offsets - government debt - margin requirement	(3), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			

Rule 0100: Margin Requirements	100.04	E(c), post amble between 100.4E(c)(ii) and 100.4E(c)(iii)	R. 5615. Debt and equity security offsets - government debt - margin requirement	(3), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	E(d), post amble between 100.4E(d)(ii) and 100.4E(d)(iii)	R. 5615. Debt and equity security offsets - government debt - margin requirement	(3), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	E, preamble	R. 5615. Debt and equity security offsets - government strip/residual versus government strip/residual	(4), preamble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			Amended - Non substantive -We made a non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.04	E(b)(iii)	R. 5615. Debt and equity security offsets - Canada federal government strip versus Canada provincial government strip	(4)(i)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	E(d)(iii)	R. 5615. Debt and equity security offsets - Canada federal government strip versus Canada provincial government residual	(4)(ii)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	E(d)(iv)	R. 5615. Debt and equity security offsets - Canada federal government residual versus Canada provincial government strip	(4)(iii)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection. Pairing for Canada federal government residual and Canada provincial government strip has been included as clause 5615(4)(iii).			

Rule 0100: Margin Requirements	100.04	E(c)(iii)	R. 5615. Debt and equity security offsets - Canada federal government residual versus Canada provincial government residual	(4)(iv)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection. Previous clause 5615(4)(iii) has been renumbered as clause 5615(4)(iv).			
Rule 0100: Margin Requirements	100.04	E, preamble (i)	R. 5615. Debt and equity security offsets - government debt - requirement for positions to be in same maturity bands	(4), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	E, preamble (ii)	R. 5615. Debt and equity security offsets - government debt - requirement for positions to be in same maturity bands	(4), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	E, preamble (iii)	R. 5615. Debt and equity security offsets - government debt - requirement for positions to be in same currency	(4), post amble	Amended - Non substantive - Existing requirement is that both positions be in Canadian dollars. Have amended this requirement to require that both positions be in the same currency, which is consistent with other debt offsets.	Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	E, preamble (iv)	R. 5615. Debt and equity security offsets - government debt - requirement for equal market value	(4), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	E(b), post amble	R. 5615. Debt and equity security offsets - government debt - requirement for equal market value	(4), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			

Rule 0100: Margin Requirements	100.04	E(c), post amble	R. 5615. Debt and equity security offsets - government debt - requirement for equal market value	(4), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	E(d), post amble	R. 5615. Debt and equity security offsets - government debt - requirement for equal market value	(4), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	D, preamble	R. 5616. Debt and equity security offsets - government debt versus government guaranteed mortgage-backed securities	(1), preamble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection. Also, minor wording clarifications have been made to latest rule draft. Reference added to conditions set out in new subsection 5616(2).			
Rule 0100: Margin Requirements	100.04	D, preamble	R. 5616. Debt and equity security offsets - Canada federal government debt versus Canada guaranteed mortgage-backed securities	(1)(i)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	D, preamble	R. 5616. Debt and equity security offsets - government debt - margin requirement	(1), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	D(a)	R. 5616. Debt and equity security offsets - government debt - requirement for equal market value	(1), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			

Rule 0100: Margin Requirements	100.04	D(b)	R. 5616. Debt and equity security offsets - government debt - requirement for positions to be in same maturity bands	(1), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	D(c)	R. 5616. Debt and equity security offsets - government debt - mortgage-backed securities special circumstance	(2)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection. The requirements in current Dealer Member Rule 100.4D(c) have been included within new subsection 5616(2).			
Rule 0100: Margin Requirements	100.04	K, preamble	R. 5617. Debt and equity security offsets - government debt - Canada Government notional bond futures contract versus Canada Government bond (same maturity band)	(1), preamble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	K(a)	R. 5617. Debt and equity security offsets - government debt - Canada Government notional bond futures contract versus Canada Government bond (same maturity band)	(1)(i)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	K, post amble Note (i)	R. 5617. Debt and equity security offsets - government debt - requirement for positions to be in same currency	(1), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	K, post amble Note (iv)	R. 5617. Debt and equity security offsets - government debt - requirement for equal market value	(1), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			

Rule 0100: Margin Requirements	100.04	K, preamble	R. 5618. Debt and equity security offsets - government debt - Canada federal government debt versus Canada federal government notional bond futures contract (different maturity bands)	(1), preamble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			Amended - Non substantive - We made a non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.04	K(b)	R. 5618. Debt and equity security offsets - government debt - Canada federal government debt versus Canada federal government notional bond futures contract (different maturity bands)	(1)(i)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	K(c)	R. 5618. Debt and equity security offsets - government debt - Canada provincial government debt versus Canada federal government notional bond futures contract (same or different maturity bands)	(1)(ii)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	K(d)	R. 5618. Debt and equity security offsets - government debt - Canada municipal government debt versus Canada federal government notional bond futures contract (same or different maturity bands)	(1)(iii)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	K(b)	R. 5618. Debt and equity security offsets - government debt - margin requirement	(1), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	K(c)	R. 5618. Debt and equity security offsets - government debt - margin requirement	(1), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			

Rule 0100: Margin Requirements	100.04	K(d)	R. 5618. Debt and equity security offsets - government debt - margin requirement	(1), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	K, post amble Note (i)	R. 5618. Debt and equity security offsets - government debt - requirement for positions to be in same currency	(1), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	K, post amble Note (iv)	R. 5618. Debt and equity security offsets - government debt - requirement for equal market value	(1), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	K, post amble Note (ii)	R. 5618. Debt and equity security offsets - government debt - Definition - "highly rated Canada Municipal debt securities"	(2)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection. All references to “CBRS” have been removed from the 5000 series of proposed plain language rules.		Amended - Substantive - We ensured consistency with designated rating organizations named in other rules.	
Rule 0100: Margin Requirements			R. 5619. Debt and equity security offsets - Reserved		New - Non substantive - Reserved sections.				
Rule 0100: Margin Requirements			R. 5620. Debt and equity security offsets - commercial and corporate debt - summary reference tables	(1)	New - Non substantive - Table to assist in finding relevant offset rule.	New - Non substantive - Tables have been revised to separately disclose reference information for debt offsets involving debt securities within the same maturity bands and within different maturity bands.			

New Provision			R. 5620. Debt and equity security offsets - commercial and corporate debt - summary reference tables	(2)	New - Non substantive - Table to assist in finding relevant offset rule.	New - Non substantive - Tables have been revised to separately disclose reference information for debt offsets involving debt securities within the same maturity bands and within different maturity bands.			
New Provision			R. 5620. Debt and equity security offsets - commercial and corporate debt - summary reference tables	(3)	New - Non substantive - Table to assist in finding relevant offset rule.	New - Non substantive - Tables have been revised to separately disclose reference information for debt offsets involving debt securities within the same maturity bands and within different maturity bands.			
Rule 0100: Margin Requirements	100.04	C, preamble	R. 5621. Debt and equity security offsets - commercial and corporate debt - corporate versus same issuer corporate	(1), preamble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	C(g)	R. 5621. Debt and equity security offsets - commercial and corporate debt - corporate versus same issuer corporate	(1)(i)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			Amended - Non substantive - We made a non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.04	C(g)	R. 5621. Debt and equity security offsets - commercial and corporate debt - Canadian bank paper versus same issuer Canadian bank paper	(1)(i)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			Amended - Non substantive - We made a non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.04	C, preamble	R. 5621. Debt and equity security offsets - commercial and corporate debt - margin requirement	(1), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			

Rule 0100: Margin Requirements	100.04	C, post amble Note (ii)	R. 5621. Debt and equity security offsets - commercial and corporate debt - requirement for positions to be in same currency	(1), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	C, post amble Note (iii)	R. 5621. Debt and equity security offsets - commercial and corporate debt - requirement for positions to be in same maturity bands	(1), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	C, post amble Note (iv)	R. 5621. Debt and equity security offsets - commercial and corporate debt - requirement for equal market value	(1), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	C, post amble Note (i)	R. 5621. Debt and equity security offsets - commercial and corporate debt - Definition - "highly rated non convertible commercial and corporate debt securities"	(2)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection. All references to “CBRS” have been removed from the 5000 series of proposed plain language rules.			Amended - Non substantive - We made a non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.04	C, preamble	R. 5622. Debt and equity security offsets - commercial and corporate debt - Canadian bank paper versus BAX futures contract	(1), preamble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	C(h)	R. 5622. Debt and equity security offsets - commercial and corporate debt - Canadian bank paper versus BAX futures contract	(1)(i)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			

Rule 0100: Margin Requirements	100.04	C, preamble	R. 5622. Debt and equity security offsets - commercial and corporate debt - margin requirement	(1), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection. Also, correction of margin requirement to conform to requirement in equivalent Dealer Member Rule section subsection 100.4C(h).			
Rule 0100: Margin Requirements	100.04	C, post amble Note (ii)	R. 5622. Debt and equity security offsets - commercial and corporate debt - requirement for positions to be in same currency	(1), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	C, post amble Note (iii)	R. 5622. Debt and equity security offsets - commercial and corporate debt - requirement for positions to be in same maturity bands	(1), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	C, post amble Note (iv)	R. 5622. Debt and equity security offsets - commercial and corporate debt - requirement for equal market value	(1), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	C, post amble Note (i)	R. 5622. Debt and equity security offsets - commercial and corporate debt - Definition - "highly rated Canadian chartered bank acceptances"	(2)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection. All references to “CBRS” have been removed from the 5000 series of proposed plain language rules.			

Rule 0100: Margin Requirements	100.04	E(f), preamble	R. 5623. Debt and equity security offsets - Corporate debt versus stripped coupons	(1), preamble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			Amended - Non substantive - We made a non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.04	E(f), preamble	R. 5623. Debt and equity security offsets - Corporate debt versus stripped coupons	(1)(i)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			Amended - Non substantive - We made a non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.04	E(f), preamble	R. 5623. Debt and equity security offsets - commercial and corporate debt - margin requirement	(1), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	E(f)(i)	R. 5623. Debt and equity security offsets - commercial and corporate debt - requirement for equal market value	(1), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	E(f)(ii)	R. 5623. Debt and equity security offsets - commercial and corporate debt - requirement for positions to be in same maturity bands	(1), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	E(f), preamble	R. 5623. Debt and equity security offsets - commercial and corporate debt - Definition - "highly rated non convertible commercial and corporate debt securities"	(2)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection. All references to “CBRS” have been removed from the 5000 series of proposed plain language rules.			

Rule 0100: Margin Requirements	100.04	K, preamble	R. 5624. Debt and equity security offsets - commercial and corporate debt - corporate bond versus government notional bond futures contract	(1), preamble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	K(e)	R. 5624. Debt and equity security offsets - commercial and corporate debt - corporate bond versus Canada federal government notional bond futures contract (same maturity band)	(1)(i)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection. Also, minor wording clarifications have been made to latest rule draft.			Amended - Non substantive - We made a non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.04	K(e)	R. 5624. Debt and equity security offsets - commercial and corporate debt - margin requirement	(1), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	K(e)	R. 5624. Debt and equity security offsets - commercial and corporate debt - requirement for positions to be in same maturity bands	(1), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection. Also, minor wording clarifications have been made to latest rule draft.			
Rule 0100: Margin Requirements	100.04	K, post amble Note (i)	R. 5624. Debt and equity security offsets - commercial and corporate debt - requirement for positions to be in same currency	(1), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	K, post amble Note (iv)	R. 5624. Debt and equity security offsets - commercial and corporate debt - requirement for equal market value	(1), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			

Rule 0100: Margin Requirements	100.04	K, post amble Note (iii)	R. 5624. Debt and equity security offsets - commercial and corporate debt - Definition - "highly rated non convertible commercial and corporate debt securities"	(2)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection. Also, minor wording clarifications have been made to latest rule draft.			Amended - Non substantive - We made a non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
			R. 5625. - 5629. Reserved		New - Non substantive - Reserved sections.				
New Provision			R. 5630. Debt and equity security offsets - government debt and commercial and corporate debt - summary reference tables	(1)	New - Non substantive - Table to assist in finding relevant offset rule.	New - Non substantive - Tables have been revised to separately disclose reference information for debt offsets involving debt securities within the same maturity bands and within different maturity bands. Also, minor wording clarifications have been made to latest rule draft.			
Rule 0100: Margin Requirements	100.04	C, preamble	R. 5631. Debt and equity security offsets - government debt and commercial and corporate debt	(1), preamble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	C(d)	R. 5631. Debt and equity security offsets - government debt and commercial and corporate debt - Canada federal government debt versus corporate debt	(1)(i)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			Amended - Non substantive - We made a non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.04	C(d)	R. 5631. Debt and equity security offsets - government debt and commercial and corporate debt - Canada federal government debt versus Canadian bank paper	(1)(i)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			Amended - Non substantive - We made a non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).

Rule 0100: Margin Requirements	100.04	C(d)	R. 5631. Debt and equity security offsets - government debt and commercial and corporate debt - U.S. federal government debt versus corporate debt	(1)(ii)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			Amended - Non substantive - We made a non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.04	C(d)	R. 5631. Debt and equity security offsets - government debt and commercial and corporate debt - U.S. federal government debt versus Canadian bank paper	(1)(ii)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			Amended - Non substantive - We made a non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.04	C(f)	R. 5631. Debt and equity security offsets - government debt and commercial and corporate debt - Canada provincial government debt versus corporate	(1)(iii)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			Amended - Non substantive - We made a non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.04	C(f)	R. 5631. Debt and equity security offsets - government debt and commercial and corporate debt - Canada provincial government debt versus Canadian bank paper	(1)(iii)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			Amended - Non substantive - We made a non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.04	C, preamble	R. 5631. Debt and equity security offsets - government debt and commercial and corporate debt - margin requirement	(1), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	C, post amble Note (ii)	R. 5631. Debt and equity security offsets - government debt and commercial and corporate debt - requirement for positions to be in same currency	(1), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			

Rule 0100: Margin Requirements	100.04	C, post amble Note (iii)	R. 5631. Debt and equity security offsets - government debt and commercial and corporate debt - requirement for positions to be in same maturity bands	(1), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	C, post amble Note (iv)	R. 5631. Debt and equity security offsets - government debt and commercial and corporate debt - requirement for equal market value	(1), post amble		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection.			
Rule 0100: Margin Requirements	100.04	C, post amble Note (i)	R. 5631. Debt and equity security offsets - government debt and commercial and corporate debt - Definition - "highly rated non convertible commercial and corporate debt securities"	(2)		Amended - Non substantive - Revision has been made to include more specific existing Dealer Member Rule cross reference for each plain language rule subsection. All references to “CBRS” have been removed from the 5000 series of proposed plain language rules.			Amended - Non substantive - We made a non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
			R. 5632. - 5639. Reserved		– New - Non substantive - Reserved sections.				
New Provision			R. 5640. Debt and equity security offsets - convertibles - summary reference tables	(1)	New - Non substantive - Table to assist in finding relevant offset rule.	New - Non substantive - Table has been simplified and clarified to discuss offsets involving securities that are "currently convertible" together with the equivalent offset involving securities that are not "currently convertible".			
New Provision			R. 5640. Debt and equity security offsets - convertibles - summary reference tables	(2)	New - Non substantive - Table to assist in finding relevant offset rule.				
Rule 0100: Margin Requirements	100.04	H(b)	R. 5641. Debt and equity security offsets - convertibles - long convertible [currently convertible into underlier] versus short underlying	(1)(i)					
Rule 0100: Margin Requirements	100.04	H(b)	R. 5641. Debt and equity security offsets - convertibles - long convertible [currently convertible into cash equivalent] versus short underlying	(1)(i)					

Rule 0100: Margin Requirements	100.04	H(b)	R. 5641. Debt and equity security offsets - convertibles - long convertible [currently convertible into cash equivalent] versus short underlying	(1)(ii)					
Rule 0100: Margin Requirements	100.04	H(c)	R. 5642. Debt and equity security offsets - convertibles - long convertible [not currently convertible] versus short underlying	(1)					
Rule 0100: Margin Requirements	100.04	H(d)	R. 5643. Debt and equity security offsets - convertibles - short convertible versus long underlying	(1)					
Rule 0100: Margin Requirements	100.04	H(e)(ii)	R. 5644. Debt and equity security offsets - convertibles - long "Oldco" securities versus short "Newco" securities	(1)				Amended - Substantive - We corrected a drafting error. The terms "Newco" and "Oldco" were inadvertently reversed.	
Rule 0100: Margin Requirements	100.04	H(e)(iii)	R. 5644. Debt and equity security offsets - convertibles - long "Oldco" securities versus short "Newco" securities	(2)		Amended - Non substantive - Correction of plain language rule cross reference.	Amended - Non substantive - We updated this sub-section for consistency with the defined terms in sub-section 1201(2).		
			R. 5645. - 5649. Reserved		New - Non substantive - Reserved sections.				
New Provision			R. 5650. Debt and equity security offsets - capital shares - summary reference tables	(1)	New - Non substantive - Table to assist in finding relevant offset rule.	New - Non substantive - Table has been clarified to margin treatment where long and short positions of the same capital share are held.			
New Provision			R. 5650. Debt and equity security offsets - capital shares - summary reference tables	(2)	New - Non substantive - List to assist in finding relevant offset rule.				
Rule 0100: Margin Requirements	100.04	G(b)(i)	R. 5651. Debt and equity security offsets - capital shares - long capital shares [currently convertible into underlier] versus short common shares	(1)(i)					
Rule 0100: Margin Requirements	100.04	G(b)(i)	R. 5651. Debt and equity security offsets - capital shares - long capital shares [currently convertible into cash equivalent] versus short common shares	(1)(i)					
Rule 0100: Margin Requirements	100.04	G(b)(ii)	R. 5651. Debt and equity security offsets - capital shares - long capital shares [currently convertible into cash equivalent] versus short common shares	(1)(ii)					
Rule 0100: Margin Requirements	100.04	G(c)(i)	R. 5652. Debt and equity security offsets - capital shares - long capital shares and long preferred shares [both combined convertible into underlier] versus short common shares	(1)(i)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			

Rule 0100: Margin Requirements	100.04	G(c)(i)	R. 5652. Debt and equity security offsets - capital shares - long capital shares and long preferred shares [both combined convertible into cash equivalent] versus short common shares	(1)(i)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			
Rule 0100: Margin Requirements	100.04	G(c)(ii)	R. 5652. Debt and equity security offsets - capital shares - long capital shares and long preferred shares [both combined convertible into cash equivalent] versus short common shares	(1)(ii)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			
Rule 0100: Margin Requirements	100.04	G(e)	R. 5653. Debt and equity security offsets - capital shares - long common shares versus short capital shares	(1)					
Rule 0100: Margin Requirements	100.04	G(f)	R. 5654. Debt and equity security offsets - capital shares - long common shares versus short capital shares and short preferred shares	(1)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			
Rule 0100: Margin Requirements	100.04	G(d)(i)	R. 5655. Debt and equity security offsets - capital shares - long capital shares [currently convertible into underlier] versus short call options	(1)(i)		Amended - Non substantive - The wording in sub-clause 5655(1)(i)(b) has been revised to conform to the wording in the current requirement set out in Dealer Member Rule 100.4G(d)(i)(B).			
Rule 0100: Margin Requirements	100.04	G(d)(i)	R. 5655. Debt and equity security offsets - capital shares - long capital shares [currently convertible into cash equivalent] versus short call options	(1)(i)		Amended - Non substantive - The wording in sub-clause 5655(1)(i)(b) has been revised to conform to the wording in the current requirement set out in Dealer Member Rule 100.4G(d)(i)(B).			
Rule 0100: Margin Requirements	100.04	G(d)(ii)	R. 5655. Debt and equity security offsets - capital shares - long capital shares [currently convertible into underlier] versus short call options	(1)(ii)					
Rule 0100: Margin Requirements	100.04	G(d)(ii)	R. 5655. Debt and equity security offsets - capital shares - long capital shares [currently convertible into cash equivalent] versus short call options	(1)(ii)					
Rule 0100: Margin Requirements	100.04	G(d)(iii)	R. 5655. Debt and equity security offsets - capital shares - long capital shares [currently convertible into cash equivalent] versus short call options	(1)(iii)					
			R. 5656. - 5659. Reserved		New - Non substantive - Reserved sections.				

			R. 5660. Debt and equity security offsets - exercisable - summary reference tables	(1)	New - Non substantive - Table to assist in finding relevant offset rule.	New - Non substantive - Table has been simplified and clarified to discuss offsets involving securities that are "currently exercisable" together with the equivalent offset involving securities that are not "currently exercisable". Also, minor wording clarifications have been made to latest rule draft.			
Rule 0100: Margin Requirements	100.04	I(b)(i)	R. 5661. Debt and equity security offsets - exercisable - long exercisable [currently exercisable into underlier] versus short underlying	(1)(i)					
Rule 0100: Margin Requirements	100.04	I(b)(i)	R. 5661. Debt and equity security offsets - exercisable - long exercisable [currently exercisable into cash equivalent] versus short underlying	(1)(i)					
Rule 0100: Margin Requirements	100.04	I(b)(ii)	R. 5661. Debt and equity security offsets - exercisable - long exercisable [currently exercisable into underlier] versus short underlying	(1)(ii)					
Rule 0100: Margin Requirements	100.04	I(b)(ii)	R. 5661. Debt and equity security offsets - exercisable - long exercisable [currently exercisable into cash equivalent] versus short underlying	(1)(ii)					
Rule 0100: Margin Requirements	100.04	I(b)(iii)	R. 5661. Debt and equity security offsets - exercisable - long exercisable [currently exercisable into cash equivalent] versus short underlying	(1)(iii)					
Rule 0100: Margin Requirements	100.04	I(c)	R. 5662. Debt and equity security offsets - exercisable - long exercisable [not currently exercisable] versus short underlying	(1)					
Rule 0100: Margin Requirements	100.04	I(d)	R. 5663. Debt and equity security offsets - exercisable - short exercisable versus long underlying	(1)					
			R. 5664. - 5669. - Reserved		New - Non substantive - Reserved sections.				
Rule 0100: Margin Requirements	100.02	A(a)	R. 5670. Debt and equity security offsets - other debt - callable debt	(1)					
Rule 0100: Margin Requirements	100.02	A(b)	R. 5670. Debt and equity security offsets - other debt - extendible debt	(1)					
Rule 0100: Margin Requirements	100.02	A(c)	R. 5670. Debt and equity security offsets - other debt - retractable debt	(1)					
Rule 0100: Margin Requirements	100.12	(g)	R. 5671. Debt and equity security offsets - other debt - Government of Canada debt covered by forwards and futures	(1)		Amended - Non substantive - The rule language has been revised to provide greater clarity.			

Rule 0100: Margin Requirements	100.12	(g)	R. 5671. Debt and equity security offsets - other debt - listed securities covered by forwards and futures	(1)		Amended - Non substantive - The rule language has been revised to provide greater clarity.			
			R. 5672. - 5679. Reserved		New - Non substantive - Reserved sections.				
Rule 0100: Margin Requirements	100.04	F(a)	R. 5680. Debt and equity security offsets - swaps - interest rate swap versus interest rate swap	(1)					
Rule 0100: Margin Requirements	100.04	F(b)	R. 5681. Debt and equity security offsets - swaps - fixed rate swap component versus securities position	(1)					
Rule 0100: Margin Requirements	100.04	F(c)	R. 5681. Debt and equity security offsets - swaps - floating rate swap component versus securities position	(2)					
Rule 0100: Margin Requirements	100.04	F(d)	R. 5682. Debt and equity security offsets - swaps - total performance swap versus total performance swap	(1)					
Rule 0100: Margin Requirements	100.04	F(e)(i)	R. 5682. Debt and equity security offsets - swaps - short total performance swap component versus long securities position	(2)					
Rule 0100: Margin Requirements	100.04	F(e)(ii)	R. 5682. Debt and equity security offsets - swaps - long total performance swap component versus short securities position	(3)					
			R. 5683. - 5699. Reserved		New - Non substantive - Reserved sections.				
New Provision			R. 5701. Derivative product offsets - introduction	(1)	New - Non substantive - Introduction section added.				
New Provision			R. 5701. Derivative product offsets - introduction	(2)	New - Non substantive - Introduction section added.				Amended - Non substantive - We also made non-material drafting changes to clarify our requirements. We also previously made non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054).
			R. 5702. - 5709. Reserved		New - Non substantive - Reserved sections.				
New Provision			R. 5710. Derivative product offsets - general requirements - written exchange-traded options must be in a margin account	(1)	New - Substantive - A new requirement to write exchange traded options for a client in a margin account has been added. This is already a requirement for over - the - counter options and reflects current practice.	New - Non substantive - Provisions have been revised to permit the maintenance of option positions in registered accounts, a practice that is permitted under income tax legislation.			Amended - Non substantive - We made non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054).

Rule 0100: Margin Requirements	100.11	(f)	R. 5710. Derivative product offsets - general requirements - written over-the-counter options must be in a margin account	(2)					
Rule 0100: Margin Requirements	100.11	(k)	R. 5710. Derivative product offsets - general requirements - margin agreements	(3)					
Rule 0100: Margin Requirements	100.09	(b)(i)	R. 5711. Derivative product offsets - general requirements - written options must be in a margin account	(1)					
Rule 0100: Margin Requirements	100.09	(b)(ii)	R. 5711. Derivative product offsets - general requirements - each option to be margined separately	(1)					
Rule 0100: Margin Requirements	100.10	(b)(ii)			Repealed - Non substantive - Schedule 4 of Form 1 requires that the Dealer Member provide for under margined accounts. This provision is therefore redundant.				
Rule 0100: Margin Requirements	100.10	(b)(i)	R. 5712. Derivative product offsets - general requirements - long option may expire before short option	(1)					Amended - Non substantive - We made non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements			R. 5712. Derivative product offsets - general requirements - short option must expire before the long option	(1)	New - Substantive - A new requirement for customers with offset strategies involving long and short options, that the short option must expire on or before the long option, has been added - This is a current requirement for specific offset strategies, but not all.				
Rule 0100: Margin Requirements	100.10	(h)(i)(A)	R. 5712. Derivative product offsets - general requirements - short option must expire before the long option	(2)				Amended - Substantive - Added an existing requirement in the Dealer Member Rules that was inadvertently deleted in the previous publication.	
Rule 0100: Margin Requirements	100.09	(b)(v)	R. 5713. Derivative product offsets - general requirements - Corporation may impose special requirements	(1)					
Rule 0100: Margin Requirements	100.10	(b)(v)	R. 5713. Derivative product offsets - general requirements - Corporation may impose special requirements	(1)					

Rule 0100: Margin Requirements	100.09	(j)	R. 5714. Derivative product offsets - general requirements - margin requirements for OCC options are the same	(1)					
Rule 0100: Margin Requirements	100.10	(j)	R. 5714. Derivative product offsets - general requirements - margin requirements for OCC options are the same	(1)					
Rule 0100: Margin Requirements	100.09	(b)(iii)	R. 5714. Derivative product offsets - general requirements - offsets with OCC options	(1)					
Rule 0100: Margin Requirements	100.10	(b)(iii)	R. 5714. Derivative product offsets - general requirements - offsets with OCC options	(1)					
New Provision			R. 5715. Derivative product offsets - strategies available involving exchange-traded options - summary reference tables	(1)		New - Non substantive - A list of rule references for unhedged positions has been added as subsection 5715(1). The additional of this list allowed the table of common reduced margin offset strategies (now set out in subsection 5715(2)) to be simplified.			Amended - Non substantive - We made a minor drafting change for consistency.
New Provision			R. 5715. Derivative product offsets - strategies available involving exchange-traded options - summary reference tables	(2)	New - Non substantive - Table to assist in finding relevant derivative product offset rule.	New - Non substantive - Previous subsection 5715(1) has been has been renumbered as subsection 5715(2) and minor wording clarifications have been made.			Amended - Non substantive - We made non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054).
New Provision			R. 5715. Derivative product offsets - strategies available involving exchange-traded options - summary reference tables	(3)	New - Non substantive - Table to assist in finding relevant derivative product offset rule.	New - Non substantive - Previous subsection 5715(2) has been has been renumbered as subsection 5715(3).			Amended - Non substantive - We made a minor drafting change for consistency.

New Provision			R. 5715. Derivative product offsets - strategies available involving exchange-traded options - summary reference tables	(4)	New - Non substantive - Table to assist in finding relevant derivative product offset rule.	New - Non substantive - Previous subsection 5715(3) has been has been renumbered as subsection 5715(4). Also, offsets involving index futures contracts, index options and index participation unit options and offsets involving index futures contracts, qualifying baskets of index securities and index participation units have been moved to tables set out in new subsections 5715(5) and 5715(6), respectively. Finally, minor wording clarifications have been made.			
New Provision			R. 5715. Derivative product offsets - strategies available involving exchange-traded options - summary reference tables	(5)	New - Non substantive - Table to assist in finding relevant derivative product offset rule.	New - Non substantive - New subsection 5715(5) has been added to set out offsets involving index futures contracts, index options and index participation unit options.			
New Provision			R. 5715. Derivative product offsets - strategies available involving exchange-traded options - summary reference tables	(6)	New - Non substantive - Table to assist in finding relevant derivative product offset rule.	New - Non substantive - New subsection 5715(6) has been added to set out offsets involving index futures contracts, qualifying baskets of index securities and index participation units.			
New Provision			R. 5715. Derivative product offsets - strategies available involving exchange-traded options - summary reference tables	(7)	New - Non substantive - Table to assist in finding relevant derivative product offset rule.	New - Non substantive - Previous subsection 5715(4) has been has been renumbered as subsection 5715(7) and corrections of plain language rule cross references have been made.			Amended - Non substantive - We made a minor drafting change for consistency.
			R. 5716. - 5719. Reserved		New - Non substantive - Reserved sections.				

Rule 0100: Margin Requirements	100.09	(c)(i)	R. 5720. Derivative product offsets - long option general requirement	(1)		Amended - Non substantive - Provision has been amended to give regulatory loan value to an option's time value where the option is nine or more months away from expiry.			
Rule 0100: Margin Requirements	100.10	(c)(i)	R. 5720. Derivative product offsets - long option general requirement	(1)		Amended - Non substantive - Provision has been amended to give regulatory loan value to an option's time value where the option is nine or more months away from expiry.			Amended - Non substantive - We made a minor drafting change for consistency. We also made non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.09	(b)(iv)	R. 5720. Derivative product offsets - long currency option margin rate requirement	(1)(i)(a)(IV)		Amended - Non substantive - Correction of plain language rule cross reference.			Amended - Non substantive - We made a minor drafting change for consistency.
Rule 0100: Margin Requirements	100.10	(b)(iv)	R. 5720. Derivative product offsets - long currency option margin rate requirement	(1)(i)(a)(IV)		Amended - Non substantive - Correction of plain language rule cross reference.			Amended - Non substantive - We made a minor drafting change for consistency.
Rule 0100: Margin Requirements	100.09	(c)(ii)	R. 5720. Derivative product offsets - long options whose underlying has been taken over	(2)					
Rule 0100: Margin Requirements	100.10	(c)(ii)	R. 5720. Derivative product offsets - long options whose underlying has been taken over	(2)					
Rule 0100: Margin Requirements	100.09	(d)(i)	R. 5721. Derivative product offsets - short call option general requirement	(1)					Amended - Non substantive - We made a minor drafting change for consistency. We also made non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.10	(d)	R. 5721. Derivative product offsets - short call option general requirement	(1)					Amended - Non substantive - We made a minor drafting change for consistency. We also made non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054).

Rule 0100: Margin Requirements	100.09	(d)(i)	R. 5721. Derivative product offsets - short put option general requirement	(1)					Amended - Non substantive - We made a minor drafting change for consistency. We also made non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.10	(d)	R. 5721. Derivative product offsets - short put option general requirement	(1)					Amended - Non substantive - We made a minor drafting change for consistency. We also made non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.09	(b)(iv)	R. 5721. Derivative product offsets - short currency option margin rate requirement	(1)(i)(d)					Amended - Non substantive - We made a minor drafting change for consistency.
Rule 0100: Margin Requirements	100.10	(b)(iv)	R. 5721. Derivative product offsets - short currency option margin rate requirement	(1)(i)(d)					Amended - Non substantive - We made a minor drafting change for consistency.
Rule 0100: Margin Requirements	100.09	(d)(ii)	R. 5721. Derivative product offsets - minimum requirement	(2)		Amended - Non substantive - The numbering within this provision has been revised to clarify how the margin requirement for a short option contract position is to be calculated.			
Rule 0100: Margin Requirements	100.10	(d)	R. 5721. Derivative product offsets - no minimum requirement for short options	(2)		Amended - Non substantive - The numbering within this provision has been revised to clarify how the margin requirement for a short option contract position is to be calculated.			
			R. 5722. - 5724. Reserved		New - Non substantive - Reserved sections.				
Rule 0100: Margin Requirements	100.09	(e)(i)	R. 5725. Derivative product offsets - short call covered by escrow receipt	(1)(i)					
Rule 0100: Margin Requirements	100.10	(e)(i)	R. 5725. Derivative product offsets - short call covered by escrow receipt	(1)(i)					
Rule 0100: Margin Requirements	100.09	(e)(ii)	R. 5725. Derivative product offsets - short put covered by escrow receipt	(1)(ii)					

Rule 0100: Margin Requirements	100.10	(e)(ii)	R. 5725. Derivative product offsets - short put covered by escrow receipt	(1)(ii)					
Rule 0100: Margin Requirements	100.09	(e)(iii)	R. 5725. Derivative product offsets - short put covered by letter of guarantee	(1)(iii)					
Rule 0100: Margin Requirements	100.10	(e)(iii)	R. 5725. Derivative product offsets - short put covered by letter of guarantee	(1)(iii)					
Rule 0100: Margin Requirements	100.09	(e)(i)	R. 5725. Derivative product offsets - short call covered by escrow receipt	(2)					
Rule 0100: Margin Requirements	100.10	(e)(i)	R. 5725. Derivative product offsets - short call covered by escrow receipt	(2)					
Rule 0100: Margin Requirements	100.09	(e)(ii)	R. 5725. Derivative product offsets - short put covered by escrow receipt	(2)					
Rule 0100: Margin Requirements	100.10	(e)(ii)	R. 5725. Derivative product offsets - short put covered by escrow receipt	(2)					
Rule 0100: Margin Requirements	100.09	(e)(iii)	R. 5725. Derivative product offsets - short put covered by letter of guarantee	(3)					
Rule 0100: Margin Requirements	100.10	(e)(iii)	R. 5725. Derivative product offsets - short put covered by letter of guarantee	(3)					Amended - Non substantive - We made non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054).
			R. 5726. - 5729. Reserved		New - Non substantive - Reserved sections.				
Rule 0100: Margin Requirements	100.09	(f)(i)	R. 5730. Derivative product offsets - call spread	(1)(i)					Amended - Non substantive - We made non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.10	(f)(i)	R. 5730. Derivative product offsets - call spread	(1)(i)					
Rule 0100: Margin Requirements	100.09	(f)(i)	R. 5730. Derivative product offsets - put spread	(1)(ii)					
Rule 0100: Margin Requirements	100.10	(f)(i)	R. 5730. Derivative product offsets - put spread	(1)(ii)					
Rule 0100: Margin Requirements	100.09	(h)(i)(A)	R. 5730. Derivative product offsets - call spread - long index calls, short IPU calls	(1)(iii)					
Rule 0100: Margin Requirements	100.10	(h)(i)(A)	R. 5730. Derivative product offsets - call spread - long index calls, short IPU calls	(1)(iii)					
Rule 0100: Margin Requirements	100.09	(h)(i)(A)	R. 5730. Derivative product offsets - call spread - long IPU calls, short index calls	(1)(iii)					
Rule 0100: Margin Requirements	100.10	(h)(i)(A)	R. 5730. Derivative product offsets - call spread - long IPU calls, short index calls	(1)(iii)					
Rule 0100: Margin Requirements	100.09	(h)(i)(A)	R. 5730. Derivative product offsets - put spread - long index puts, short IPU puts	(1)(iv)					
Rule 0100: Margin Requirements	100.10	(h)(i)(A)	R. 5730. Derivative product offsets - put spread - long index puts, short IPU puts	(1)(iv)					
Rule 0100: Margin Requirements	100.09	(h)(i)(A)	R. 5730. Derivative product offsets - put spread - long IPU puts, short index puts	(1)(iv)					

Rule 0100: Margin Requirements	100.10	(h)(i)(A)	R. 5730. Derivative product offsets - put spread - long IPU puts, short index puts	(1)(iv)					
Rule 0100: Margin Requirements	100.09	(f)(i)	R. 5730. Derivative product offsets - call spread	(2)		Amended - Non substantive - Provision clarified to make it clearer that tracking error margin requirement is to be determined as a percentage of the market value of the index participation units underlying the index participation unit option position. Language is now consistent with that used in sections 5731, 5750 through 5755 and 5760 through 5765.			
Rule 0100: Margin Requirements	100.10	(f)(i)	R. 5730. Derivative product offsets - call spread	(2)		Amended - Non substantive - Provision clarified to make it clearer that tracking error margin requirement is to be determined as a percentage of the market value of the index participation units underlying the index participation unit option position. Language is now consistent with that used in sections 5731, 5750 through 5755 and 5760 through 5765.			
Rule 0100: Margin Requirements	100.09	(f)(i)	R. 5730. Derivative product offsets - put spread	(2)		Amended - Non substantive - Provision clarified to make it clearer that tracking error margin requirement is to be determined as a percentage of the market value of the index participation units underlying the index participation unit option position. Language is now consistent with that used in sections 5731, 5750 through 5755 and 5760 through 5765.			

Rule 0100: Margin Requirements	100.10	(f)(i)	R. 5730. Derivative product offsets - put spread	(2)		Amended - Non substantive - Provision clarified to make it clearer that tracking error margin requirement is to be determined as a percentage of the market value of the index participation units underlying the index participation unit option position. Language is now consistent with that used in sections 5731, 5750 through 5755 and 5760 through 5765.			
Rule 0100: Margin Requirements	100.09	(h)(i)(A)	R. 5730. Derivative product offsets - call spread - long index calls, short IPU calls	(2)		Amended - Non substantive - Provision clarified to make it clearer that tracking error margin requirement is to be determined as a percentage of the market value of the index participation units underlying the index participation unit option position. Language is now consistent with that used in sections 5731, 5750 through 5755 and 5760 through 5765.			
Rule 0100: Margin Requirements	100.10	(h)(i)(A)	R. 5730. Derivative product offsets - call spread - long index calls, short IPU calls	(2)		Amended - Non substantive - Provision clarified to make it clearer that tracking error margin requirement is to be determined as a percentage of the market value of the index participation units underlying the index participation unit option position. Language is now consistent with that used in sections 5731, 5750 through 5755 and 5760 through 5765.			

Rule 0100: Margin Requirements	100.09	(h)(i)(A)	R. 5730. Derivative product offsets - call spread - long IPU calls, short index calls	(2)		Amended - Non substantive - Provision clarified to make it clearer that tracking error margin requirement is to be determined as a percentage of the market value of the index participation units underlying the index participation unit option position. Language is now consistent with that used in sections 5731, 5750 through 5755 and 5760 through 5765.			
Rule 0100: Margin Requirements	100.10	(h)(i)(A)	R. 5730. Derivative product offsets - call spread - long IPU calls, short index calls	(2)		Amended - Non substantive - Provision clarified to make it clearer that tracking error margin requirement is to be determined as a percentage of the market value of the index participation units underlying the index participation unit option position. Language is now consistent with that used in sections 5731, 5750 through 5755 and 5760 through 5765.			
Rule 0100: Margin Requirements	100.09	(h)(i)(A)	R. 5730. Derivative product offsets - put spread - long index puts, short IPU puts	(2)		Amended - Non substantive - Provision clarified to make it clearer that tracking error margin requirement is to be determined as a percentage of the market value of the index participation units underlying the index participation unit option position. Language is now consistent with that used in sections 5731, 5750 through 5755 and 5760 through 5765.			

Rule 0100: Margin Requirements	100.10	(h)(i)(A)	R. 5730. Derivative product offsets - put spread - long index puts, short IPU puts	(2)		Amended - Non substantive - Provision clarified to make it clearer that tracking error margin requirement is to be determined as a percentage of the market value of the index participation units underlying the index participation unit option position. Language is now consistent with that used in sections 5731, 5750 through 5755 and 5760 through 5765.			
Rule 0100: Margin Requirements	100.09	(h)(i)(A)	R. 5730. Derivative product offsets - put spread - long IPU puts, short index puts	(2)		Amended - Non substantive - Provision clarified to make it clearer that tracking error margin requirement is to be determined as a percentage of the market value of the index participation units underlying the index participation unit option position. Language is now consistent with that used in sections 5731, 5750 through 5755 and 5760 through 5765.			
Rule 0100: Margin Requirements	100.09	(h)(i)(A)	R. 5730. Derivative product offsets - put spread - long IPU puts, short index puts	(2)		Amended - Non substantive - Provision clarified to make it clearer that tracking error margin requirement is to be determined as a percentage of the market value of the index participation units underlying the index participation unit option position. Language is now consistent with that used in sections 5731, 5750 through 5755 and 5760 through 5765.			
Rule 0100: Margin Requirements	100.09	(f)(ii)	R. 5731. Derivative product offsets - call-put spread	(1)(i)					
Rule 0100: Margin Requirements	100.10	(f)(ii)	R. 5731. Derivative product offsets - call-put spread	(1)(i)					
Rule 0100: Margin Requirements	100.10	(h)(i)(B)	R. 5731. Derivative product offsets - call-put spread - short index calls, short IPU puts	(1)(ii)					

Rule 0100: Margin Requirements	100.09	(h)(i)(B)	R. 5731. Derivative product offsets - call-put spread - short index calls, short IPU puts	(1)(ii)					
Rule 0100: Margin Requirements	100.09	(h)(i)(B)	R. 5731. Derivative product offsets - call-put spread - short IPU calls, short index puts	(1)(iii)					
Rule 0100: Margin Requirements	100.10	(h)(i)(B)	R. 5731. Derivative product offsets - call-put spread - short IPU calls, short index puts	(1)(iii)					
Rule 0100: Margin Requirements	100.09	(f)(ii)	R. 5731. Derivative product offsets - call-put spread	(2)		Amended - Non substantive - Provision clarified to make it clearer that tracking error margin requirement is to be determined as a percentage of the market value of the index participation units underlying the index participation unit option position. Language is now consistent with that used in sections 5730, 5750 through 5755 and 5760 through 5765.			
Rule 0100: Margin Requirements	100.10	(f)(ii)	R. 5731. Derivative product offsets - call-put spread	(2)		Amended - Non substantive - Provision clarified to make it clearer that tracking error margin requirement is to be determined as a percentage of the market value of the index participation units underlying the index participation unit option position. Language is now consistent with that used in sections 5730, 5750 through 5755 and 5760 through 5765.			
Rule 0100: Margin Requirements	100.09	(h)(i)(B)	R. 5731. Derivative product offsets - call-put spread - short index calls, short IPU puts	(2)		Amended - Non substantive - Provision clarified to make it clearer that tracking error margin requirement is to be determined as a percentage of the market value of the index participation units underlying the index participation unit option position. Language is now consistent with that used in sections 5730, 5750 through 5755 and 5760 through 5765.			

Rule 0100: Margin Requirements	100.10	(h)(i)(B)	R. 5731. Derivative product offsets - call-put spread - short index calls, short IPU puts	(2)		Amended - Non substantive - Provision clarified to make it clearer that tracking error margin requirement is to be determined as a percentage of the market value of the index participation units underlying the index participation unit option position. Language is now consistent with that used in sections 5730, 5750 through 5755 and 5760 through 5765.			
Rule 0100: Margin Requirements	100.09	(h)(i)(B)	R. 5731. Derivative product offsets - call-put spread - short IPU calls, short index puts	(2)		Amended - Non substantive - Provision clarified to make it clearer that tracking error margin requirement is to be determined as a percentage of the market value of the index participation units underlying the index participation unit option position. Language is now consistent with that used in sections 5730, 5750 through 5755 and 5760 through 5765.			
Rule 0100: Margin Requirements	100.10	(h)(i)(B)	R. 5731. Derivative product offsets - call-put spread - short IPU calls, short index puts	(2)		Amended - Non substantive - Provision clarified to make it clearer that tracking error margin requirement is to be determined as a percentage of the market value of the index participation units underlying the index participation unit option position. Language is now consistent with that used in sections 5730, 5750 through 5755 and 5760 through 5765.			

Rule 0100: Margin Requirements	100.09	(f)(iii)	R. 5732. Derivative product offsets - long call, long put	(1)(i)					Amended - Non substantive - We made non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.10	(f)(iii)	R. 5732. Derivative product offsets - long call, long put	(1)(i)					
Rule 0100: Margin Requirements	100.09	(f)(iii)	R. 5732. Derivative product offsets - long call, long put - long index call, long IPU put	(1)(ii)					
Rule 0100: Margin Requirements	100.10	(f)(iii)	R. 5732. Derivative product offsets - long call, long put - long index call, long IPU put	(1)(ii)					
Rule 0100: Margin Requirements	100.09	(f)(iii)	R. 5732. Derivative product offsets - long call, long put - long IPU call, long index put	(1)(iii)					
Rule 0100: Margin Requirements	100.10	(f)(iii)	R. 5732. Derivative product offsets - long call, long put - long IPU call, long index put	(1)(iii)					
Rule 0100: Margin Requirements	100.09	(f)(iii)	R. 5732. Derivative product offsets - long call, long put	(2)					
Rule 0100: Margin Requirements	100.10	(f)(iii)	R. 5732. Derivative product offsets - long call, long put	(2)					
Rule 0100: Margin Requirements	100.09	(f)(iii)	R. 5732. Derivative product offsets - long call, long put - long index call, long IPU put	(2)					
Rule 0100: Margin Requirements	100.10	(f)(iii)	R. 5732. Derivative product offsets - long call, long put - long index call, long IPU put	(2)					
Rule 0100: Margin Requirements	100.09	(f)(iii)	R. 5732. Derivative product offsets - long call, long put - long IPU call, long index put	(2)					
Rule 0100: Margin Requirements	100.10	(f)(iii)	R. 5732. Derivative product offsets - long call, long put - long IPU call, long index put	(2)					
Rule 0100: Margin Requirements	100.09	(f)(iv)	R. 5733. Derivative product offsets - long call, short call, long put	(1)					Amended - Non substantive - We made non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.10	(f)(iv)	R. 5733. Derivative product offsets - long call, short call, long put	(1)					Amended - Non substantive - We made non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.09	(f)(iv)	R. 5733. Derivative product offsets - long index call, short index call, long index put	(1)					Amended - Non substantive - We made non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054).

Rule 0100: Margin Requirements	100.10	(f)(iv)	R. 5733. Derivative product offsets - long index call, short index call, long index put	(1)					Amended - Non substantive - We made non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.09	(f)(iv)	R. 5733. Derivative product offsets - long IPU call, short IPU call, long IPU put	(1)					Amended - Non substantive - We made non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.10	(f)(iv)	R. 5733. Derivative product offsets - long IPU call, short IPU call, long IPU put	(1)					Amended - Non substantive - We made non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.09	(f)(v)	R. 5734. Derivative product offsets - short call, long warrant	(1)		Amended - Non substantive - Correction of plain language rule cross reference.			
Rule 0100: Margin Requirements	100.10	(f)(v)	R. 5734. Derivative product offsets - short call, long warrant	(1)		Amended - Non substantive - Correction of plain language rule cross reference.			
Rule 0100: Margin Requirements	100.09	(f)(vi)	R. 5735. Derivative product offsets - box spread	(1)			Amended - Non substantive - We replaced the words "lesser of" with "sum of" because the wording changed to “sum of” effective October 1, 2015 with the issuance of IIROC Rules Notice 15-0209.		Amended - Non substantive - We made non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.10	(f)(vi)	R. 5735. Derivative product offsets - box spread	(2)					Amended - Non substantive - We made non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054).

Rule 0100: Margin Requirements	100.09	(f)(vii)	R. 5736. Derivative product offsets - long butterfly spread	(1)					Amended - Non substantive - We made non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.10	(f)(vii)	R. 5736. Derivative product offsets - long butterfly spread	(1)					Amended - Non substantive - We made non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.09	(f)(viii)	R. 5737. Derivative product offsets - short butterfly spread	(1)					Amended - Non substantive - We made non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.10	(f)(viii)	R. 5737. Derivative product offsets - short butterfly spread	(1)					Amended - Non substantive - We made non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.09	(f)(ix)	R. 5738. Derivative product offsets - long condor spread	(1)					Amended - Non substantive - We made non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.10	(f)(ix)	R. 5738. Derivative product offsets - long condor spread	(1)					Amended - Non substantive - We made non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054).

Rule 0100: Margin Requirements	100.09	(f)(x)	R. 5739. Derivative product offsets - short iron butterfly spread	(1)					Amended - Non substantive - We made non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.10	(f)(x)	R. 5739. Derivative product offsets - short iron butterfly spread	(1)					Amended - Non substantive - We made non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.09	(f)(xi)	R. 5740. Derivative product offsets - short iron condor spread	(1)					Amended - Non substantive - We made non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.10	(f)(xi)	R. 5740. Derivative product offsets - short iron condor spread	(1)					Amended - Non substantive - We made non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054).
			R. 5741. - 5749. Reserved		New - Non substantive - Reserved sections.				
Rule 0100: Margin Requirements	100.09	(g)(i)	R. 5750. Derivative product offsets - long underlying (or convertible), short call	(1)(i)					
Rule 0100: Margin Requirements	100.10	(g)(i)	R. 5750. Derivative product offsets - long underlying (or convertible), short call	(1)(i)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(A)	R. 5750. Derivative product offsets - long index basket, short index call	(1)(ii)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(A)	R. 5750. Derivative product offsets - long index basket, short index call	(1)(ii)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(A)	R. 5750. Derivative product offsets - long index basket, short IPU call	(1)(iii)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(A)	R. 5750. Derivative product offsets - long index basket, short IPU call	(1)(iii)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(A)	R. 5750. Derivative product offsets - long IPUs, short IPU call	(1)(iv)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(A)	R. 5750. Derivative product offsets - long IPUs, short IPU call	(1)(iv)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(A)	R. 5750. Derivative product offsets - long IPUs, short index call	(1)(v)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(A)	R. 5750. Derivative product offsets - long IPUs, short index call	(1)(v)					

Rule 0100: Margin Requirements	100.09	(g)(i)	R. 5750. Derivative product offsets - long underlying (or convertible), short call	(2)					
Rule 0100: Margin Requirements	100.10	(g)(i)	R. 5750. Derivative product offsets - long underlying (or convertible), short call	(2)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(A)	R. 5750. Derivative product offsets - long index basket, short index call	(2)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(A)	R. 5750. Derivative product offsets - long index basket, short index call	(2)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(A)	R. 5750. Derivative product offsets - long index basket, short IPU call	(2)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(A)	R. 5750. Derivative product offsets - long index basket, short IPU call	(2)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(A)	R. 5750. Derivative product offsets - long IPUs, short IPU call	(2)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(A)	R. 5750. Derivative product offsets - long IPUs, short IPU call	(2)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(A)	R. 5750. Derivative product offsets - long IPUs, short index call	(2)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(A)	R. 5750. Derivative product offsets - long IPUs, short index call	(2)					
Rule 0100: Margin Requirements	100.09	(g)(i)	R. 5750. Derivative product offsets - long underlying (or convertible), short call	(3)					
Rule 0100: Margin Requirements	100.10	(g)(i)	R. 5750. Derivative product offsets - long underlying (or convertible), short call	(3)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(A)	R. 5750. Derivative product offsets - long index basket, short index call	(4)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(A)	R. 5750. Derivative product offsets - long index basket, short index call	(4)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(A)	R. 5750. Derivative product offsets - long index basket, short IPU call	(4)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(A)	R. 5750. Derivative product offsets - long index basket, short IPU call	(4)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(A)	R. 5750. Derivative product offsets - long index basket, short IPU call	(5)		Amended - Non substantive - Provision clarified to make it clearer that tracking error margin requirement is to be determined as a percentage of the market value of the index participation units underlying the index participation unit option position. Language is now consistent with that used in sections 5730 and 5731, 5751 through 5755 and 5760 through 5765.			

Rule 0100: Margin Requirements	100.10	(h)(ii)(A)	R. 5750. Derivative product offsets - long index basket, short IPU call	(5)		Amended - Non substantive - Provision clarified to make it clearer that tracking error margin requirement is to be determined as a percentage of the market value of the index participation units underlying the index participation unit option position. Language is now consistent with that used in sections 5730 and 5731, 5751 through 5755 and 5760 through 5765.			
Rule 0100: Margin Requirements	100.09	(h)(ii)(A)	R. 5750. Derivative product offsets - long IPUs, short index call	(5)		Amended - Non substantive - Provision clarified to make it clearer that tracking error margin requirement is to be determined as a percentage of the market value of the index participation units underlying the index participation unit option position. Language is now consistent with that used in sections 5730 and 5731, 5751 through 5755 and 5760 through 5765.			
Rule 0100: Margin Requirements	100.10	(h)(ii)(A)	R. 5750. Derivative product offsets - long IPUs, short index call	(5)		Amended - Non substantive - Provision clarified to make it clearer that tracking error margin requirement is to be determined as a percentage of the market value of the index participation units underlying the index participation unit option position. Language is now consistent with that used in sections 5730 and 5731, 5751 through 5755 and 5760 through 5765.			

Rule 0100: Margin Requirements	100.09	(g)(iv)	R. 5751. Derivative product offsets - long underlying, long put	(1)(i)					Amended - Non substantive - We made non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.10	(g)(iv)	R. 5751. Derivative product offsets - long underlying, long put	(1)(i)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(D)	R. 5751. Derivative product offsets - long index basket, long index put	(1)(ii)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(D)	R. 5751. Derivative product offsets - long index basket, long index put	(1)(ii)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(D)	R. 5751. Derivative product offsets - long index basket, long IPU put	(1)(iii)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(D)	R. 5751. Derivative product offsets - long index basket, long IPU put	(1)(iii)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(D)	R. 5751. Derivative product offsets - long IPUs, long IPU put	(1)(iv)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(D)	R. 5751. Derivative product offsets - long IPUs, long IPU put	(1)(iv)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(D)	R. 5751. Derivative product offsets - long IPUs, long index put	(1)(v)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(D)	R. 5751. Derivative product offsets - long IPUs, long index put	(1)(v)					
Rule 0100: Margin Requirements	100.09	(g)(iv)	R. 5751. Derivative product offsets - long underlying, long put	(2)(i)					
Rule 0100: Margin Requirements	100.10	(g)(iv)	R. 5751. Derivative product offsets - long underlying, long put	(2)(i)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(D)	R. 5751. Derivative product offsets - long index basket, long index put	(2)(i)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(D)	R. 5751. Derivative product offsets - long index basket, long index put	(2)(i)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(D)	R. 5751. Derivative product offsets - long index basket, long IPU put	(2)(i)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(D)	R. 5751. Derivative product offsets - long index basket, long IPU put	(2)(i)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(D)	R. 5751. Derivative product offsets - long IPUs, long IPU put	(2)(i)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(D)	R. 5751. Derivative product offsets - long IPUs, long IPU put	(2)(i)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(D)	R. 5751. Derivative product offsets - long IPUs, long index put	(2)(i)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(D)	R. 5751. Derivative product offsets - long IPUs, long index put	(2)(i)					

Rule 0100: Margin Requirements	100.09	(h)(ii)(D)	R. 5751. Derivative product offsets - long index basket, long IPU put	(2)(ii)		Amended - Non substantive - Provision clarified to make it clearer that tracking error margin requirement is to be determined as a percentage of the market value of the index participation units underlying the index participation unit option position. Language is now consistent with that used in sections 5730 and 5731, 5750, 5752 through 5755 and 5760 through 5765.			
Rule 0100: Margin Requirements	100.10	(h)(ii)(D)	R. 5751. Derivative product offsets - long index basket, long IPU put	(2)(ii)		Amended - Non substantive - Provision clarified to make it clearer that tracking error margin requirement is to be determined as a percentage of the market value of the index participation units underlying the index participation unit option position. Language is now consistent with that used in sections 5730 and 5731, 5750, 5752 through 5755 and 5760 through 5765.			
Rule 0100: Margin Requirements	100.09	(h)(ii)(D)	R. 5751. Derivative product offsets - long IPUs, long index put	(2)(ii)		Amended - Non substantive - Provision clarified to make it clearer that tracking error margin requirement is to be determined as a percentage of the market value of the index participation units underlying the index participation unit option position. Language is now consistent with that used in sections 5730 and 5731, 5750, 5752 through 5755 and 5760 through 5765.			

Rule 0100: Margin Requirements	100.10	(h)(ii)(D)	R. 5751. Derivative product offsets - long IPUs, long index put	(2)(ii)		Amended - Non substantive - Provision clarified to make it clearer that tracking error margin requirement is to be determined as a percentage of the market value of the index participation units underlying the index participation unit option position. Language is now consistent with that used in sections 5730 and 5731, 5750, 5752 through 5755 and 5760 through 5765.			
Rule 0100: Margin Requirements	100.09	(h)(ii)(D)	R. 5751. Derivative product offsets - long index basket, long index put	(3)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(D)	R. 5751. Derivative product offsets - long index basket, long index put	(3)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(D)	R. 5751. Derivative product offsets - long index basket, long IPU put	(3)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(D)	R. 5751. Derivative product offsets - long index basket, long IPU put	(3)					
Rule 0100: Margin Requirements	100.09	(g)(iii)	R. 5752. Derivative product offsets - short underlying, long call	(1)(i)					
Rule 0100: Margin Requirements	100.10	(g)(iii)	R. 5752. Derivative product offsets - short underlying, long call	(1)(i)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(C)	R. 5752. Derivative product offsets - short index basket, long index call	(1)(ii)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(C)	R. 5752. Derivative product offsets - short index basket, long index call	(1)(ii)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(C)	R. 5752. Derivative product offsets - short index basket, long IPU call	(1)(iii)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(C)	R. 5752. Derivative product offsets - short index basket, long IPU call	(1)(iii)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(C)	R. 5752. Derivative product offsets - short IPUs, long IPU call	(1)(iv)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(C)	R. 5752. Derivative product offsets - short IPUs, long IPU call	(1)(iv)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(C)	R. 5752. Derivative product offsets - short IPUs, long index call	(1)(v)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(C)	R. 5752. Derivative product offsets - short IPUs, long index call	(1)(v)					
Rule 0100: Margin Requirements	100.09	(g)(iii)	R. 5752. Derivative product offsets - short underlying, long call	(2)(i)					
Rule 0100: Margin Requirements	100.10	(g)(iii)	R. 5752. Derivative product offsets - short underlying, long call	(2)(i)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(C)	R. 5752. Derivative product offsets - short index basket, long index call	(2)(i)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(C)	R. 5752. Derivative product offsets - short index basket, long index call	(2)(i)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(C)	R. 5752. Derivative product offsets - short index basket, long IPU call	(2)(i)					

Rule 0100: Margin Requirements	100.10	(h)(ii)(C)	R. 5752. Derivative product offsets - short index basket, long IPU call	(2)(i)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(C)	R. 5752. Derivative product offsets - short IPUs, long IPU call	(2)(i)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(C)	R. 5752. Derivative product offsets - short IPUs, long IPU call	(2)(i)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(C)	R. 5752. Derivative product offsets - short IPUs, long index call	(2)(i)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(C)	R. 5752. Derivative product offsets - short IPUs, long index call	(2)(i)					
Rule 0100: Margin Requirements	100.09	(g)(iii)	R. 5752. Derivative product offsets - short underlying, long call	(2)(ii)(a)					
Rule 0100: Margin Requirements	100.10	(g)(iii)	R. 5752. Derivative product offsets - short underlying, long call	(2)(ii)(a)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(C)	R. 5752. Derivative product offsets - short index basket, long index call	(2)(ii)(a)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(C)	R. 5752. Derivative product offsets - short index basket, long index call	(2)(ii)(a)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(C)	R. 5752. Derivative product offsets - short index basket, long IPU call	(2)(ii)(a)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(C)	R. 5752. Derivative product offsets - short index basket, long IPU call	(2)(ii)(a)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(C)	R. 5752. Derivative product offsets - short IPUs, long IPU call	(2)(ii)(a)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(C)	R. 5752. Derivative product offsets - short IPUs, long IPU call	(2)(ii)(a)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(C)	R. 5752. Derivative product offsets - short IPUs, long index call	(2)(ii)(a)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(C)	R. 5752. Derivative product offsets - short IPUs, long index call	(2)(ii)(a)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(C)	R. 5752. Derivative product offsets - short index basket, long IPU call	(2)(ii)(b)		Amended - Non substantive - Provision clarified to make it clearer that tracking error margin requirement is to be determined as a percentage of the market value of the index participation units underlying the index participation unit option position. Language is now consistent with that used in sections 5730 and 5731, 5750 and 5751, 5753 through 5755 and 5760 through 5765.			

Rule 0100: Margin Requirements	100.10	(h)(ii)(C)	R. 5752. Derivative product offsets - short index basket, long IPU call	(2)(ii)(b)		Amended - Non substantive - Provision clarified to make it clearer that tracking error margin requirement is to be determined as a percentage of the market value of the index participation units underlying the index participation unit option position. Language is now consistent with that used in sections 5730 and 5731, 5750 and 5751, 5753 through 5755 and 5760 through 5765.			
Rule 0100: Margin Requirements	100.09	(h)(ii)(C)	R. 5752. Derivative product offsets - short IPUs, long index call	(2)(ii)(b)		Amended - Non substantive - Provision clarified to make it clearer that tracking error margin requirement is to be determined as a percentage of the market value of the index participation units underlying the index participation unit option position. Language is now consistent with that used in sections 5730 and 5731, 5750 and 5751, 5753 through 5755 and 5760 through 5765.			
Rule 0100: Margin Requirements	100.10	(h)(ii)(C)	R. 5752. Derivative product offsets - short IPUs, long index call	(2)(ii)(b)		Amended - Non substantive - Provision clarified to make it clearer that tracking error margin requirement is to be determined as a percentage of the market value of the index participation units underlying the index participation unit option position. Language is now consistent with that used in sections 5730 and 5731, 5750 and 5751, 5753 through 5755 and 5760 through 5765.			

Rule 0100: Margin Requirements	100.09	(g)(iii)	R. 5752. Derivative product offsets - short underlying, long call	(2)(iii)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			
Rule 0100: Margin Requirements	100.10	(g)(iii)	R. 5752. Derivative product offsets - short underlying, long call	(2)(iii)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			
Rule 0100: Margin Requirements	100.09	(h)(ii)(C)	R. 5752. Derivative product offsets - short index basket, long index call	(2)(iii)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			
Rule 0100: Margin Requirements	100.10	(h)(ii)(C)	R. 5752. Derivative product offsets - short index basket, long index call	(2)(iii)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			
Rule 0100: Margin Requirements	100.09	(h)(ii)(C)	R. 5752. Derivative product offsets - short index basket, long IPU call	(2)(iii)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			
Rule 0100: Margin Requirements	100.10	(h)(ii)(C)	R. 5752. Derivative product offsets - short index basket, long IPU call	(2)(iii)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			
Rule 0100: Margin Requirements	100.09	(h)(ii)(C)	R. 5752. Derivative product offsets - short IPUs, long IPU call	(2)(iii)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			
Rule 0100: Margin Requirements	100.10	(h)(ii)(C)	R. 5752. Derivative product offsets - short IPUs, long IPU call	(2)(iii)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			
Rule 0100: Margin Requirements	100.09	(h)(ii)(C)	R. 5752. Derivative product offsets - short IPUs, long index call	(2)(iii)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			
Rule 0100: Margin Requirements	100.10	(h)(ii)(C)	R. 5752. Derivative product offsets - short IPUs, long index call	(2)(iii)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft.			
Rule 0100: Margin Requirements	100.09	(h)(ii)(C)	R. 5752. Derivative product offsets - short index basket, long index call	(3)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(C)	R. 5752. Derivative product offsets - short index basket, long index call	(3)					

Rule 0100: Margin Requirements	100.09	(h)(ii)(C)	R. 5752. Derivative product offsets - short index basket, long IPU call	(3)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(C)	R. 5752. Derivative product offsets - short index basket, long IPU call	(3)					
Rule 0100: Margin Requirements	100.09	(g)(ii)	R. 5753. Derivative product offsets - short underlying, short put	(1)(i)					Amended - Non substantive - We made non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.10	(g)(ii)	R. 5753. Derivative product offsets - short underlying, short put	(1)(i)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(B)	R. 5753. Derivative product offsets - short index basket, short index put	(1)(ii)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(B)	R. 5753. Derivative product offsets - short index basket, short index put	(1)(ii)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(B)	R. 5753. Derivative product offsets - short index basket, short IPU put	(1)(iii)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(B)	R. 5753. Derivative product offsets - short index basket, short IPU put	(1)(iii)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(B)	R. 5753. Derivative product offsets - short IPUs, short IPU put	(1)(iv)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(B)	R. 5753. Derivative product offsets - short IPUs, short IPU put	(1)(iv)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(B)	R. 5753. Derivative product offsets - short IPUs, short index put	(1)(v)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(B)	R. 5753. Derivative product offsets - short IPUs, short index put	(1)(v)					
Rule 0100: Margin Requirements	100.09	(g)(ii)	R. 5753. Derivative product offsets - short underlying, short put	(2)(i)					
Rule 0100: Margin Requirements	100.10	(g)(ii)	R. 5753. Derivative product offsets - short underlying, short put	(2)(i)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(B)	R. 5753. Derivative product offsets - short index basket, short index put	(2)(i)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(B)	R. 5753. Derivative product offsets - short index basket, short index put	(2)(i)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(B)	R. 5753. Derivative product offsets - short index basket, short IPU put	(2)(i)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(B)	R. 5753. Derivative product offsets - short index basket, short IPU put	(2)(i)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(B)	R. 5753. Derivative product offsets - short IPUs, short IPU put	(2)(i)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(B)	R. 5753. Derivative product offsets - short IPUs, short IPU put	(2)(i)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(B)	R. 5753. Derivative product offsets - short IPUs, short index put	(2)(i)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(B)	R. 5753. Derivative product offsets - short IPUs, short index put	(2)(i)					

Rule 0100: Margin Requirements	100.09	(h)(ii)(B)	R. 5753. Derivative product offsets - short index basket, short IPU put	(2)(ii)		Amended - Non substantive - Provision clarified to make it clearer that tracking error margin requirement is to be determined as a percentage of the market value of the index participation units underlying the index participation unit option position. Language is now consistent with that used in sections 5730 and 5731, 5750 through 5752, 5754 and 5755 and 5760 through 5765.			
Rule 0100: Margin Requirements	100.10	(h)(ii)(B)	R. 5753. Derivative product offsets - short index basket, short IPU put	(2)(ii)		Amended - Non substantive - Provision clarified to make it clearer that tracking error margin requirement is to be determined as a percentage of the market value of the index participation units underlying the index participation unit option position. Language is now consistent with that used in sections 5730 and 5731, 5750 through 5752, 5754 and 5755 and 5760 through 5765.			
Rule 0100: Margin Requirements	100.09	(h)(ii)(B)	R. 5753. Derivative product offsets - short IPUs, short index put	(2)(ii)		Amended - Non substantive - Provision clarified to make it clearer that tracking error margin requirement is to be determined as a percentage of the market value of the index participation units underlying the index participation unit option position. Language is now consistent with that used in sections 5730 and 5731, 5750 through 5752, 5754 and 5755 and 5760 through 5765.			

Rule 0100: Margin Requirements	100.10	(h)(ii)(B)	R. 5753. Derivative product offsets - short IPUs, short index put	(2)(ii)		Amended - Non substantive - Provision clarified to make it clearer that tracking error margin requirement is to be determined as a percentage of the market value of the index participation units underlying the index participation unit option position. Language is now consistent with that used in sections 5730 and 5731, 5750 through 5752, 5754 and 5755 and 5760 through 5765.			
Rule 0100: Margin Requirements	100.09	(h)(ii)(B)	R. 5753. Derivative product offsets - short index basket, short index put	(3)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(B)	R. 5753. Derivative product offsets - short index basket, short index put	(3)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(B)	R. 5753. Derivative product offsets - short index basket, short IPU put	(3)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(B)	R. 5753. Derivative product offsets - short index basket, short IPU put	(3)					
Rule 0100: Margin Requirements	100.09	(g)(v)	R. 5754. Derivative product offsets - long tripo - long underlying, long put, short call	(1)(i)					Amended - Non substantive - We made non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.10	(g)(v)	R. 5754. Derivative product offsets - long tripo - long underlying, long put, short call	(1)(i)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(E)	R. 5754. Derivative product offsets - long tripo - long index basket, long index put, short index call	(1)(ii)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(E)	R. 5754. Derivative product offsets - long tripo - long index basket, long index put, short index call	(1)(ii)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(E)	R. 5754. Derivative product offsets - long tripo - long index basket, long IPU put, short IPU call	(1)(iii)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(E)	R. 5754. Derivative product offsets - long tripo - long index basket, long IPU put, short IPU call	(1)(iii)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(E)	R. 5754. Derivative product offsets - long tripo - long IPUs, long IPU put, short IPU call	(1)(iv)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(E)	R. 5754. Derivative product offsets - long tripo - long IPUs, long IPU put, short IPU call	(1)(iv)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(E)	R. 5754. Derivative product offsets - long tripo - long IPUs, long index put, short index call	(1)(v)					

Rule 0100: Margin Requirements	100.10	(h)(ii)(E)	R. 5754. Derivative product offsets - long tripo - long IPUs, long index put, short index call	(1)(v)					
Rule 0100: Margin Requirements	100.09	(g)(v)	R. 5754. Derivative product offsets - long tripo - long underlying, long put, short call	(2)(i)					
Rule 0100: Margin Requirements	100.10	(g)(v)	R. 5754. Derivative product offsets - long tripo - long underlying, long put, short call	(2)(i)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(E)	R. 5754. Derivative product offsets - long tripo - long index basket, long index put, short index call	(2)(i)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(E)	R. 5754. Derivative product offsets - long tripo - long index basket, long index put, short index call	(2)(i)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(E)	R. 5754. Derivative product offsets - long tripo - long index basket, long IPU put, short IPU call	(2)(i)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(E)	R. 5754. Derivative product offsets - long tripo - long index basket, long IPU put, short IPU call	(2)(i)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(E)	R. 5754. Derivative product offsets - long tripo - long IPUs, long IPU put, short IPU call	(2)(i)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(E)	R. 5754. Derivative product offsets - long tripo - long IPUs, long IPU put, short IPU call	(2)(i)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(E)	R. 5754. Derivative product offsets - long tripo - long IPUs, long index put, short index call	(2)(i)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(E)	R. 5754. Derivative product offsets - long tripo - long IPUs, long index put, short index call	(2)(i)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(E)	R. 5754. Derivative product offsets - long tripo - long index basket, long IPU put, short IPU call	(2)(ii)		Amended - Non substantive - Provision clarified to make it clearer that tracking error margin requirement is to be determined as a percentage of the market value of the index participation units underlying the index participation unit option position. Language is now consistent with that used in sections 5730 and 5731, 5750 through 5753, 5755 and 5760 through 5765.			

Rule 0100: Margin Requirements	100.10	(h)(ii)(E)	R. 5754. Derivative product offsets - long tripo - long index basket, long IPU put, short IPU call	(2)(ii)		Amended - Non substantive - Provision clarified to make it clearer that tracking error margin requirement is to be determined as a percentage of the market value of the index participation units underlying the index participation unit option position. Language is now consistent with that used in sections 5730 and 5731, 5750 through 5753, 5755 and 5760 through 5765.			
Rule 0100: Margin Requirements	100.09	(h)(ii)(E)	R. 5754. Derivative product offsets - long tripo - long IPUs, long index put, short index call	(2)(ii)		Amended - Non substantive - Provision clarified to make it clearer that tracking error margin requirement is to be determined as a percentage of the market value of the index participation units underlying the index participation unit option position. Language is now consistent with that used in sections 5730 and 5731, 5750 through 5753, 5755 and 5760 through 5765.			
Rule 0100: Margin Requirements	100.10	(h)(ii)(E)	R. 5754. Derivative product offsets - long tripo - long IPUs, long index put, short index call	(2)(ii)		Amended - Non substantive - Provision clarified to make it clearer that tracking error margin requirement is to be determined as a percentage of the market value of the index participation units underlying the index participation unit option position. Language is now consistent with that used in sections 5730 and 5731, 5750 through 5753, 5755 and 5760 through 5765.			
Rule 0100: Margin Requirements	100.09	(h)(ii)(E)	R. 5754. Derivative product offsets - long tripo - long index basket, long index put, short index call	(3)					

Rule 0100: Margin Requirements	100.10	(h)(ii)(E)	R. 5754. Derivative product offsets - long tripo - long index basket, long index put, short index call	(3)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(E)	R. 5754. Derivative product offsets - long tripo - long index basket, long IPU put, short IPU call	(3)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(E)	R. 5754. Derivative product offsets - long tripo - long index basket, long IPU put, short IPU call	(3)					
Rule 0100: Margin Requirements	100.09	(g)(vi)	R. 5755. Derivative product offsets - short tripo - short underlying, long call, short put	(1)(i)					Amended - Non substantive - We made non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.10	(g)(vi)	R. 5755. Derivative product offsets - short tripo - short underlying, long call, short put	(1)(i)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(F)	R. 5755. Derivative product offsets - short tripo - short index basket, long index call, short index put	(1)(ii)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(F)	R. 5755. Derivative product offsets - short tripo - short index basket, long index call, short index put	(1)(ii)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(F)	R. 5755. Derivative product offsets - short tripo - short index basket, long IPU call, short IPU put	(1)(iii)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(F)	R. 5755. Derivative product offsets - short tripo - short index basket, long IPU call, short IPU put	(1)(iii)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(F)	R. 5755. Derivative product offsets - short tripo - short IPUs, long IPU call, short IPU put	(1)(iv)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(F)	R. 5755. Derivative product offsets - short tripo - short IPUs, long IPU call, short IPU put	(1)(iv)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(F)	R. 5755. Derivative product offsets - short tripo - short IPUs, long index call, short index put	(1)(v)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(F)	R. 5755. Derivative product offsets - short tripo - short IPUs, long index call, short index put	(1)(v)					
Rule 0100: Margin Requirements	100.09	(g)(vi)	R. 5755. Derivative product offsets - short tripo - short underlying, long call, short put	(2)(i)					
Rule 0100: Margin Requirements	100.10	(g)(vi)	R. 5755. Derivative product offsets - short tripo - short underlying, long call, short put	(2)(i)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(F)	R. 5755. Derivative product offsets - short tripo - short index basket, long index call, short index put	(2)(i)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(F)	R. 5755. Derivative product offsets - short tripo - short index basket, long index call, short index put	(2)(i)					

Rule 0100: Margin Requirements	100.09	(h)(ii)(F)	R. 5755. Derivative product offsets - short tripo - short index basket, long IPU call, short IPU put	(2)(i)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(F)	R. 5755. Derivative product offsets - short tripo - short index basket, long IPU call, short IPU put	(2)(i)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(F)	R. 5755. Derivative product offsets - short tripo - short IPUs, long IPU call, short IPU put	(2)(i)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(F)	R. 5755. Derivative product offsets - short tripo - short IPUs, long IPU call, short IPU put	(2)(i)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(F)	R. 5755. Derivative product offsets - short tripo - short IPUs, long index call, short index put	(2)(i)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(F)	R. 5755. Derivative product offsets - short tripo - short IPUs, long index call, short index put	(2)(i)		Amended - Non substantive - Provision clarified to make it clearer that tracking error margin requirement is to be determined as a percentage of the market value of the index participation units underlying the index participation unit option position. Language is now consistent with that used in sections 5730 and 5731, 5750 through 5754 and 5760 through 5765.			
Rule 0100: Margin Requirements	100.09	(h)(ii)(F)	R. 5755. Derivative product offsets - short tripo - short index basket, long IPU call, short IPU put	(2)(ii)		Amended - Non substantive - Provision clarified to make it clearer that tracking error margin requirement is to be determined as a percentage of the market value of the index participation units underlying the index participation unit option position. Language is now consistent with that used in sections 5730 and 5731, 5750 through 5754 and 5760 through 5765.			

Rule 0100: Margin Requirements	100.10	(h)(ii)(F)	R. 5755. Derivative product offsets - short tripo - short index basket, long IPU call, short IPU put	(2)(ii)		Amended - Non substantive - Provision clarified to make it clearer that tracking error margin requirement is to be determined as a percentage of the market value of the index participation units underlying the index participation unit option position. Language is now consistent with that used in sections 5730 and 5731, 5750 through 5754 and 5760 through 5765.			
Rule 0100: Margin Requirements	100.09	(h)(ii)(F)	R. 5755. Derivative product offsets - short tripo - short IPUs, long index call, short index put	(2)(ii)		Amended - Non substantive - Provision clarified to make it clearer that tracking error margin requirement is to be determined as a percentage of the market value of the index participation units underlying the index participation unit option position. Language is now consistent with that used in sections 5730 and 5731, 5750 through 5754 and 5760 through 5765.			
Rule 0100: Margin Requirements	100.10	(h)(ii)(F)	R. 5755. Derivative product offsets - short tripo - short IPUs, long index call, short index put	(2)(ii)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(F)	R. 5755. Derivative product offsets - short tripo - short index basket, long index call, short index put	(3)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(F)	R. 5755. Derivative product offsets - short tripo - short index basket, long index call, short index put	(3)					
Rule 0100: Margin Requirements	100.09	(h)(ii)(F)	R. 5755. Derivative product offsets - short tripo - short index basket, long IPU call, short IPU put	(3)					
Rule 0100: Margin Requirements	100.10	(h)(ii)(F)	R. 5755. Derivative product offsets - short tripo - short index basket, long IPU call, short IPU put	(3)					
			R. 5756. - 5759. Reserved		New - Non substantive - Reserved sections.				

Rule 0100: Margin Requirements	100.09	(h)(v)(A)	R. 5760. Derivative product offsets - long index futures, short index calls	(1)(i)					Amended - Non substantive - We made non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.10	(h)(v)(A)	R. 5760. Derivative product offsets - long index futures, short index calls	(1)(i)					
Rule 0100: Margin Requirements	100.09	(h)(v)(A)	R. 5760. Derivative product offsets - long index futures, short IPU calls	(1)(ii)					
Rule 0100: Margin Requirements	100.10	(h)(v)(A)	R. 5760. Derivative product offsets - long index futures, short IPU calls	(1)(ii)					
Rule 0100: Margin Requirements	100.09	(h)(v)(A)	R. 5760. Derivative product offsets - long index futures, short index calls	(2)		Amended - Non substantive - Provision clarified to reference the underlying index basket and underlying index participation unit positions. Language is now consistent with that used in sections 5730 and 5731, 5750 through 5755 and 5761 through 5765.			
Rule 0100: Margin Requirements	100.10	(h)(v)(A)	R. 5760. Derivative product offsets - long index futures, short index calls	(2)		Amended - Non substantive - Provision clarified to reference the underlying index basket and underlying index participation unit positions. Language is now consistent with that used in sections 5730 and 5731, 5750 through 5755 and 5761 through 5765.			
Rule 0100: Margin Requirements	100.09	(h)(v)(A)	R. 5760. Derivative product offsets - long index futures, short IPU calls	(2)		Amended - Non substantive - Provision clarified to reference the underlying index basket and underlying index participation unit positions. Language is now consistent with that used in sections 5730 and 5731, 5750 through 5755 and 5761 through 5765.			

Rule 0100: Margin Requirements	100.10	(h)(v)(A)	R. 5760. Derivative product offsets - long index futures, short IPU calls	(2)		Amended - Non substantive - Provision clarified to reference the underlying index basket and underlying index participation unit positions. Language is now consistent with that used in sections 5730 and 5731, 5750 through 5755 and 5761 through 5765.			
Rule 0100: Margin Requirements	100.09	(h)(v)(D)	R. 5761. Derivative product offsets - long index futures, long index puts	(1)(i)					
Rule 0100: Margin Requirements	100.10	(h)(v)(D)	R. 5761. Derivative product offsets - long index futures, long index puts	(1)(i)					
Rule 0100: Margin Requirements	100.09	(h)(v)(D)	R. 5761. Derivative product offsets - long index futures, long IPU puts	(1)(ii)					
Rule 0100: Margin Requirements	100.10	(h)(v)(D)	R. 5761. Derivative product offsets - long index futures, long IPU puts	(1)(ii)					
Rule 0100: Margin Requirements	100.09	(h)(v)(D)	R. 5761. Derivative product offsets - long index futures, long index puts	(2)		Amended - Non substantive - Provision clarified to reference the underlying index basket and underlying index participation unit positions. Language is now consistent with that used in sections 5730 and 5731, 5750 through 5755, 5760 and 5762 through 5765.			
Rule 0100: Margin Requirements	100.10	(h)(v)(D)	R. 5761. Derivative product offsets - long index futures, long index puts	(2)		Amended - Non substantive - Provision clarified to reference the underlying index basket and underlying index participation unit positions. Language is now consistent with that used in sections 5730 and 5731, 5750 through 5755, 5760 and 5762 through 5765.			

Rule 0100: Margin Requirements	100.09	(h)(v)(D)	R. 5761. Derivative product offsets - long index futures, long IPU puts	(2)		Amended - Non substantive - Provision clarified to reference the underlying index basket and underlying index participation unit positions. Language is now consistent with that used in sections 5730 and 5731, 5750 through 5755, 5760 and 5762 through 5765.			
Rule 0100: Margin Requirements	100.10	(h)(v)(D)	R. 5761. Derivative product offsets - long index futures, long IPU puts	(2)		Amended - Non substantive - Provision clarified to reference the underlying index basket and underlying index participation unit positions. Language is now consistent with that used in sections 5730 and 5731, 5750 through 5755, 5760 and 5762 through 5765.			
Rule 0100: Margin Requirements	100.09	(h)(v)(D)	R. 5761. Derivative product offsets - long index futures, long index puts	(3)					
Rule 0100: Margin Requirements	100.10	(h)(v)(D)	R. 5761. Derivative product offsets - long index futures, long index puts	(3)					
Rule 0100: Margin Requirements	100.09	(h)(v)(D)	R. 5761. Derivative product offsets - long index futures, long IPU puts	(3)					
Rule 0100: Margin Requirements	100.10	(h)(v)(D)	R. 5761. Derivative product offsets - long index futures, long IPU puts	(3)					
Rule 0100: Margin Requirements	100.09	(h)(v)(C)	R. 5762. Derivative product offsets - short index futures, long index calls	(1)(i)					
Rule 0100: Margin Requirements	100.10	(h)(v)(C)	R. 5762. Derivative product offsets - short index futures, long index calls	(1)(i)					
Rule 0100: Margin Requirements	100.09	(h)(v)(C)	R. 5762. Derivative product offsets - short index futures, long IPU calls	(1)(ii)					
Rule 0100: Margin Requirements	100.10	(h)(v)(C)	R. 5762. Derivative product offsets - short index futures, long IPU calls	(1)(ii)					
Rule 0100: Margin Requirements	100.09	(h)(v)(C)	R. 5762. Derivative product offsets - short index futures, long index calls	(2)		Amended - Non substantive - Provision clarified to reference the underlying index basket and underlying index participation unit positions. Language is now consistent with that used in sections 5730 and 5731, 5750 through 5755, 5760 and 5761 and 5763 through 5765.			

Rule 0100: Margin Requirements	100.10	(h)(v)(C)	R. 5762. Derivative product offsets - short index futures, long index calls	(2)		Amended - Non substantive - Provision clarified to reference the underlying index basket and underlying index participation unit positions. Language is now consistent with that used in sections 5730 and 5731, 5750 through 5755, 5760 and 5761 and 5763 through 5765.			
Rule 0100: Margin Requirements	100.09	(h)(v)(C)	R. 5762. Derivative product offsets - short index futures, long IPU calls	(2)		Amended - Non substantive - Provision clarified to reference the underlying index basket and underlying index participation unit positions. Language is now consistent with that used in sections 5730 and 5731, 5750 through 5755, 5760 and 5761 and 5763 through 5765.			
Rule 0100: Margin Requirements	100.10	(h)(v)(C)	R. 5762. Derivative product offsets - short index futures, long IPU calls	(2)		Amended - Non substantive - Provision clarified to reference the underlying index basket and underlying index participation unit positions. Language is now consistent with that used in sections 5730 and 5731, 5750 through 5755, 5760 and 5761 and 5763 through 5765.			
Rule 0100: Margin Requirements	100.09	(h)(v)(C)	R. 5762. Derivative product offsets - short index futures, long index calls	(3)					
Rule 0100: Margin Requirements	100.10	(h)(v)(C)	R. 5762. Derivative product offsets - short index futures, long index calls	(3)					
Rule 0100: Margin Requirements	100.09	(h)(v)(C)	R. 5762. Derivative product offsets - short index futures, long IPU calls	(3)					
Rule 0100: Margin Requirements	100.10	(h)(v)(C)	R. 5762. Derivative product offsets - short index futures, long IPU calls	(3)					
Rule 0100: Margin Requirements	100.09	(h)(v)(B)	R. 5763. Derivative product offsets - short index futures, short index puts	(1)(i)					
Rule 0100: Margin Requirements	100.10	(h)(v)(B)	R. 5763. Derivative product offsets - short index futures, short index puts	(1)(i)					
Rule 0100: Margin Requirements	100.09	(h)(v)(B)	R. 5763. Derivative product offsets - short index futures, short IPU puts	(1)(ii)					
Rule 0100: Margin Requirements	100.10	(h)(v)(B)	R. 5763. Derivative product offsets - short index futures, short IPU puts	(1)(ii)					

Rule 0100: Margin Requirements	100.09	(h)(v)(B)	R. 5763. Derivative product offsets - short index futures, short index puts	(2)		Amended - Non substantive - Provision clarified to reference the underlying index basket and underlying index participation unit positions. Language is now consistent with that used in sections 5730 and 5731, 5750 through 5755, 5760 through 5762 and 5764 and 5765.			
Rule 0100: Margin Requirements	100.10	(h)(v)(B)	R. 5763. Derivative product offsets - short index futures, short index puts	(2)		Amended - Non substantive - Provision clarified to reference the underlying index basket and underlying index participation unit positions. Language is now consistent with that used in sections 5730 and 5731, 5750 through 5755, 5760 through 5762 and 5764 and 5765.			
Rule 0100: Margin Requirements	100.09	(h)(v)(B)	R. 5763. Derivative product offsets - short index futures, short IPU puts	(2)		Amended - Non substantive - Provision clarified to reference the underlying index basket and underlying index participation unit positions. Language is now consistent with that used in sections 5730 and 5731, 5750 through 5755, 5760 through 5762 and 5764 and 5765.			
Rule 0100: Margin Requirements	100.10	(h)(v)(B)	R. 5763. Derivative product offsets - short index futures, short IPU puts	(2)		Amended - Non substantive - Provision clarified to reference the underlying index basket and underlying index participation unit positions. Language is now consistent with that used in sections 5730 and 5731, 5750 through 5755, 5760 through 5762 and 5764 and 5765.			

Rule 0100: Margin Requirements	100.09	(h)(v)(E)	R. 5764. Derivative product offsets - long futures tripo - long index futures, long index puts, short index calls	(1)(i)					
Rule 0100: Margin Requirements	100.10	(h)(v)(E)	R. 5764. Derivative product offsets - long futures tripo - long index futures, long index puts, short index calls	(1)(i)					
Rule 0100: Margin Requirements	100.09	(h)(v)(E)	R. 5764. Derivative product offsets - long futures tripo - long index futures, long IPU puts, short IPU calls	(1)(ii)					
Rule 0100: Margin Requirements	100.10	(h)(v)(E)	R. 5764. Derivative product offsets - long futures tripo - long index futures, long IPU puts, short IPU calls	(1)(ii)					
Rule 0100: Margin Requirements	100.09	(h)(v)(E)	R. 5764. Derivative product offsets - long futures tripo - long index futures, long index puts, short index calls	(2)		Amended - Non substantive - Provision clarified to reference the underlying index basket and underlying index participation unit positions. Language is now consistent with that used in sections 5730 and 5731, 5750 through 5755, 5760 through 5763 and 5765.			
Rule 0100: Margin Requirements	100.10	(h)(v)(E)	R. 5764. Derivative product offsets - long futures tripo - long index futures, long index puts, short index calls	(2)		Amended - Non substantive - Provision clarified to reference the underlying index basket and underlying index participation unit positions. Language is now consistent with that used in sections 5730 and 5731, 5750 through 5755, 5760 through 5763 and 5765.			
Rule 0100: Margin Requirements	100.09	(h)(v)(E)	R. 5764. Derivative product offsets - long futures tripo - long index futures, long IPU puts, short IPU calls	(2)		Amended - Non substantive - Provision clarified to reference the underlying index basket and underlying index participation unit positions. Language is now consistent with that used in sections 5730 and 5731, 5750 through 5755, 5760 through 5763 and 5765.			

Rule 0100: Margin Requirements	100.10	(h)(v)(E)	R. 5764. Derivative product offsets - long futures tripo - long index futures, long IPU puts, short IPU calls	(2)		Amended - Non substantive - Provision clarified to reference the underlying index basket and underlying index participation unit positions. Language is now consistent with that used in sections 5730 and 5731, 5750 through 5755, 5760 through 5763 and 5765.			
Rule 0100: Margin Requirements	100.09	(h)(v)(F)	R. 5765. Derivative product offsets - short futures tripo - short index futures, long index calls, short index puts	(1)(i)					Amended - Non substantive - We made non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.10	(h)(v)(F)	R. 5765. Derivative product offsets - short futures tripo - short index futures, long index calls, short index puts	(1)(i)					
Rule 0100: Margin Requirements	100.09	(h)(v)(F)	R. 5765. Derivative product offsets - short futures tripo - short index futures, long IPU calls, short IPU puts	(1)(ii)					
Rule 0100: Margin Requirements	100.10	(h)(v)(F)	R. 5765. Derivative product offsets - short futures tripo - short index futures, long IPU calls, short IPU puts	(1)(ii)					
Rule 0100: Margin Requirements	100.09	(h)(v)(F)	R. 5765. Derivative product offsets - short futures tripo - short index futures, long index calls, short index puts	(2)		Amended - Non substantive - Provision clarified to reference the underlying index basket and underlying index participation unit positions. Language is now consistent with that used in sections 5730 and 5731, 5750 through 5755 and 5760 through 5764.			
Rule 0100: Margin Requirements	100.10	(h)(v)(F)	R. 5765. Derivative product offsets - short futures tripo - short index futures, long index calls, short index puts	(2)		Amended - Non substantive - Provision clarified to reference the underlying index basket and underlying index participation unit positions. Language is now consistent with that used in sections 5730 and 5731, 5750 through 5755 and 5760 through 5764.			

Rule 0100: Margin Requirements	100.09	(h)(v)(F)	R. 5765. Derivative product offsets - short futures tripo - short index futures, long IPU calls, short IPU puts	(2)		Amended - Non substantive - Provision clarified to reference the underlying index basket and underlying index participation unit positions. Language is now consistent with that used in sections 5730 and 5731, 5750 through 5755 and 5760 through 5764.			
Rule 0100: Margin Requirements	100.10	(h)(v)(F)	R. 5765. Derivative product offsets - short futures tripo - short index futures, long IPU calls, short IPU puts	(2)		Amended - Non substantive - Provision clarified to reference the underlying index basket and underlying index participation unit positions. Language is now consistent with that used in sections 5730 and 5731, 5750 through 5755 and 5760 through 5764.			
Rule 0100: Margin Requirements	100.09	(h)(v)(G)			Repealed - Non substantive - Derivative product offsets - Redundant provision.				
Rule 0100: Margin Requirements	100.10	(h)(v)(G)			Repealed - Non substantive - Derivative product offsets - Redundant provision.				
			R. 5766. - 5769. Reserved		New - Non substantive - Reserved sections.				
Rule 0100: Margin Requirements	100.09	(h)(iii)(A)	R. 5770. Derivative product offsets - long index basket, short IPUs	(1)					
Rule 0100: Margin Requirements	100.10	(h)(iii)(A)	R. 5770. Derivative product offsets - long index basket, short IPUs	(1)					
Rule 0100: Margin Requirements	100.09	(h)(iii)(A)	R. 5770. Derivative product offsets - long index basket, short IPUs	(2)					
Rule 0100: Margin Requirements	100.10	(h)(iii)(A)	R. 5770. Derivative product offsets - long index basket, short IPUs	(2)					
Rule 0100: Margin Requirements	100.09	(h)(iii)(B)	R. 5771. Derivative product offsets - long IPUs, short index basket	(1)					
Rule 0100: Margin Requirements	100.10	(h)(iii)(B)	R. 5771. Derivative product offsets - long IPUs, short index basket	(1)					
Rule 0100: Margin Requirements	100.09	(h)(iii)(B)	R. 5771. Derivative product offsets - long IPUs, short index basket	(2)					
Rule 0100: Margin Requirements	100.10	(h)(iii)(B)	R. 5771. Derivative product offsets - long IPUs, short index basket	(2)					
Rule 0100: Margin Requirements	100.09	(h)(iv)	R. 5772. Derivative product offsets - long index futures, short index basket	(1)(i)					
Rule 0100: Margin Requirements	100.10	(h)(iv)	R. 5772. Derivative product offsets - long index futures, short index basket	(1)(i)					

Rule 0100: Margin Requirements	100.09	(h)(iv)	R. 5772. Derivative product offsets - short index futures, long index basket	(1)(i)					
Rule 0100: Margin Requirements	100.10	(h)(iv)	R. 5772. Derivative product offsets - short index futures, long index basket	(1)(i)					
Rule 0100: Margin Requirements	100.09	(h)(iv)	R. 5772. Derivative product offsets - long index futures, short IPUs	(1)(ii)					
Rule 0100: Margin Requirements	100.10	(h)(iv)	R. 5772. Derivative product offsets - long index futures, short IPUs	(1)(ii)					
Rule 0100: Margin Requirements	100.09	(h)(iv)	R. 5772. Derivative product offsets - short index futures, long IPUs	(1)(ii)					
Rule 0100: Margin Requirements	100.10	(h)(iv)	R. 5772. Derivative product offsets - short index futures, long IPUs	(1)(ii)					
Rule 0100: Margin Requirements	100.09	(h)(iv)	R. 5772. Derivative product offsets - long index futures, short index basket	(2)					
Rule 0100: Margin Requirements	100.10	(h)(iv)	R. 5772. Derivative product offsets - long index futures, short index basket	(2)					
Rule 0100: Margin Requirements	100.09	(h)(iv)	R. 5772. Derivative product offsets - long index futures, short IPUs	(2)					
Rule 0100: Margin Requirements	100.10	(h)(iv)	R. 5772. Derivative product offsets - long index futures, short IPUs	(2)					
Rule 0100: Margin Requirements	100.09	(h)(iv)	R. 5772. Derivative product offsets - short index futures, long index basket	(2)					
Rule 0100: Margin Requirements	100.10	(h)(iv)	R. 5772. Derivative product offsets - short index futures, long index basket	(2)					
Rule 0100: Margin Requirements	100.09	(h)(iv)	R. 5772. Derivative product offsets - short index futures, long IPUs	(2)					
Rule 0100: Margin Requirements	100.10	(h)(iv)	R. 5772. Derivative product offsets - short index futures, long IPUs	(2)					
Rule 0100: Margin Requirements	100.09	(h)(iv)	R. 5772. Derivative product offsets - long index futures, short index basket	(3)					
Rule 0100: Margin Requirements	100.10	(h)(iv)	R. 5772. Derivative product offsets - long index futures, short index basket	(3)					
Rule 0100: Margin Requirements	100.09	(h)(iv)	R. 5772. Derivative product offsets - short index futures, long index basket	(3)					
Rule 0100: Margin Requirements	100.10	(h)(iv)	R. 5772. Derivative product offsets - short index futures, long index basket	(3)					
			R. 5773. - 5774. - Reserved		New - Non substantive - Reserved sections.				
Rule 0100: Margin Requirements	100.09	(i)	R. 5775. Derivative product offsets - cross index offsets	(1)	Amended - Substantive – Cross index offsets now available for clients.	Amended - Non substantive - Correction of plain language rule cross reference.			Amended - Non substantive - We corrected an erroneous cross-reference to another section.
Rule 0100: Margin Requirements	100.10	(i)	R. 5775. Derivative product offsets - cross index offsets	(1)		Amended - Non substantive - Correction of plain language rule cross reference.			Amended - Non substantive - We corrected an erroneous cross-reference to another section.
Rule 0100: Margin Requirements	100.10	(k)	R. 5776. Derivative product offsets - optional use of TIMS or SPAN	(1)					
			R. 5777. - 5779. Reserved		New - Non substantive - Reserved sections.				
Rule 0100: Margin Requirements	100.11	(a)	R. 5780. Derivative product offsets - long option positions - customer	(2)					

Rule 0100: Margin Requirements	100.11	(b)	R. 5780. Derivative product offsets - long option positions - firm	(1)					
Rule 0100: Margin Requirements	100.11	(c)(i)	R. 5781. Derivative product offsets - short option positions - customer	(1)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft. The scope of the underlying security margin rate references have been broadened to include all debt, equity and index securities and to include all currencies.			Amended - Non substantive - We made non-material drafting changes for consistency.
Rule 0100: Margin Requirements	100.11	(c)(ii)	R. 5781. Derivative product offsets - short option positions - customer minimum requirement	(2)		Amended - Non substantive - Minor wording clarifications have been made to latest rule draft. The minimum margin requirement in 5781(2) has been amended to be 25% of the underlying security margin rate, not 25% - this is the current minimum requirement under 100.11(c)(ii).			
Rule 0100: Margin Requirements	100.11	(c)(i)	R. 5781. Derivative product offsets - short option positions - firm	(1)					
Rule 0100: Margin Requirements	100.11	(d)			Repealed - Non substantive - Redundant provision.				
Rule 0100: Margin Requirements	100.11	(e)			Repealed - Non substantive - Redundant provision.				
Rule 0100: Margin Requirements	100.11	(g)(i)	R. 5782. Derivative product offsets - items considered to be adequate margin	(1)		Amended - Non substantive - Provision has been amended to achieve greater conformance with the language used in existing Dealer Member Rule subsection 100.11(g).			
Rule 0100: Margin Requirements	100.11	(g)(ii)	R. 5782. Derivative product offsets - items considered to be adequate margin	(2)					
Rule 0100: Margin Requirements	100.11	(g)(iii)	R. 5782. Derivative product offsets - the requirements of this section apply	(3)			Amended - Non substantive - We made changes to the wording of this section to improve readability.		Amended - Non substantive - We made a minor drafting change to the text for consistency.
Rule 0100: Margin Requirements	100.11	(h)			Repealed - Non substantive - Redundant provision.				

Rule 0100: Margin Requirements	100.11	(i)	R. 5783. Derivative product offsets - margin offsets	(1)					Amended - Non substantive - We corrected an erroneous cross-reference to another section.
Rule 0100: Margin Requirements	100.11	(i)	R. 5783. Derivative product offsets - margin offsets	(2)					Amended - Non substantive - We made a minor drafting change to the text for consistency.
Rule 0100: Margin Requirements	100.11	(l)	R. 5784. Derivative product offsets - confirmation, delivery and exercise	(1)					
Rule 0100: Margin Requirements	100.11	(l)	R. 5784. Derivative product offsets - confirmation, delivery and exercise	(2)					
Rule 0100: Margin Requirements	100.11	(j)			Repealed - Non substantive - Redundant provision.				
			R. 5785. - 5789. Reserved		New - Non substantive - Reserved sections.				
Rule 0100: Margin Requirements	100.08	(a)	R. 5790. Derivative product offsets - requirement to margin positions using the greatest of exchange, clearing house and clearing Member requirements	(1)					Amended - Non substantive - We made a minor drafting change to the text for consistency.
Rule 0100: Margin Requirements	100.08	(b)	R. 5790. Derivative product offsets - initial and maintenance requirements	(2)					
Rule 0100: Margin Requirements	100.08	(c)	R. 5790. Derivative product offsets - omnibus accounts	(3)					
Rule 0100: Margin Requirements	100.08	(d)	R. 5790. Derivative product offsets - spread margins	(4)					
Rule 0100: Margin Requirements	100.08	(e)	R. 5790. Derivative product offsets - inter-commodity spread between Government of Canada bond futures contract and U.S. treasury bond futures contract	(5)					Amended - Non substantive - We updated a term in this sub-section for greater consistency throughout the PLR.
Rule 0100: Margin Requirements	100.08	(f)	R. 5790. Derivative product offsets - Corporation discretion to impose higher or lower requirements	(6)					
			R. 5791. - 5799. Reserved		New - Non substantive - Reserved sections.				
Rule 0100: Margin Requirements			R. 5801. Agreements - Introduction	(1)	New - Non substantive - Introduction section added.				Amended - Non substantive - We made a minor drafting change to the text for consistency.
			R. 5802. - 5809. Reserved		New - Non substantive - Reserved sections.				
New Provision			R. 5810. IIROC standard agreements	(1)	New - Non substantive - General rule describing IIROC approach to prescribing agreement terms and referring to standard agreements posted on IIROC website.	New - Non substantive - Minor wording clarifications have been made to latest rule draft.	Amended - Non substantive - We replaced the rule reference "5800" with "5900" to correct the reference.		

			R. 5811. - 5819. Reserved		New - Non substantive - Reserved sections.				
Rule 0100: Margin Requirements	100.15	(f)	R. 5820. General account guarantee requirements	(1)(i)			Amended - Non substantive - We made changes to the wording of this section to improve readability.		
Rule 0100: Margin Requirements	100.15	(i)	R. 5820. General account guarantee requirements	(1)(ii)					
Rule 0100: Margin Requirements	100.15	(f)	R. 5820. General account guarantee requirements	(1)(iii)(a)					
Rule 0100: Margin Requirements	100.15	(f)	R. 5820. General account guarantee requirements	(1)(iii)(b)					
Rule 0100: Margin Requirements	100.15	(f)	R. 5820. General account guarantee requirements	(1)(iii)(c)					
Rule 0100: Margin Requirements	100.15	(h)	R. 5820. General account guarantee requirements	(1)(iii)(d)					
Rule 0100: Margin Requirements	100.15	(h)	R. 5820. General account guarantee requirements	(1)(iii)(e)		Amended - Non substantive - Correction of plain language rule cross reference.			
Rule 0100: Margin Requirements	100.15	preamble	R. 5820. General account guarantee requirements	(1)(iv)					
Rule 0100: Margin Requirements	100.15	(i)	R. 5820. General account guarantee requirements	(1)(iv)					Amended - Non substantive - We made a minor drafting change to the text for consistency.
Rule 0100: Margin Requirements	100.15	(i)	R. 5820. General account guarantee requirements	(1)(v)					
New Provision			R. 5820. General account guarantee requirements	(2)	New - Substantive - Details margin impact when guaranteed account holder refuses to allow account statements to be sent to guarantor. An extension of the existing requirements in Rule 100.15(i).				
Rule 0100: Margin Requirements	100.15	(a)	R. 5821. Requirements for account guarantees by shareholders, Registered Representatives or employees	(1), preamble					
Rule 0100: Margin Requirements	100.15	(b)(i)	R. 5821. Requirements for account guarantees by shareholders, Registered Representatives or employees	(1)(i)(a)					
Rule 0100: Margin Requirements	100.15	(b)(i)	R. 5821. Requirements for account guarantees by shareholders, Registered Representatives or employees	(1)(i)(b)					
Rule 0100: Margin Requirements	100.15	(b)(ii)	R. 5821. Requirements for account guarantees by shareholders, Registered Representatives or employees	(1)(i)(c)					
Rule 0100: Margin Requirements	100.15	(b)(iii)	R. 5821. Requirements for account guarantees by shareholders, Registered Representatives or employees	(1)(i)(d)					

Rule 0100: Margin Requirements	100.15	(a)	R. 5821. Requirements for account guarantees by shareholders, Registered Representatives or employees	(1)(ii)					Amended - Non-Substantive - We clarified the language by adding a reference to the corresponding definition. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0100: Margin Requirements	100.15	(c)	R. 5822. Prohibited account guarantee arrangements	(1)					
Rule 0100: Margin Requirements	100.15	(d)	R. 5823. Exception for immediate family	(1)					
Rule 0100: Margin Requirements	100.15	preamble	R. 5824. Margin relief for guarantee requirements	(1)		Amended - Non substantive - Correction of plain language rule cross reference.			
Rule 0100: Margin Requirements	100.15	(g)	R. 5824. Margin relief for guarantee requirements	(2)					
Rule 0100: Margin Requirements	100.15	(e)	R. 5824. Margin relief for guarantee requirements	(3)		Amended - Non substantive - Correction of plain language rule cross reference.			
Rule 0100: Margin Requirements	100.15	(h)(i)	R. 5825. Account guarantee agreement minimum terms	(1)(i)					
Rule 0100: Margin Requirements	100.15	(h)(ii)	R. 5825. Account guarantee agreement minimum terms	(1)(ii)					
Rule 0100: Margin Requirements	100.15	(h)(iii)	R. 5825. Account guarantee agreement minimum terms	(1)(iii)					
Rule 0100: Margin Requirements	100.15	(h)(iv)	R. 5825. Account guarantee agreement minimum terms	(1)(iv)		Amended - Non substantive - Correction of plain language rule cross reference.			

Rule 0100: Margin Requirements	100.15	(h)(v)	R. 5825. Account guarantee agreement minimum terms	(1)(v)		It has been brought to staff's attention that article 2355 of the Civil Code of Quebec ("Civil Code") prohibits a surety from: • waiving his or her right to information about a guaranteed debt (this is at odds with the minimum account guarantee agreement term set forth in sub-clause 5825(1)(v)(a) as originally proposed) and • waiving in advance his or her right of subrogation (this is at odds with the minimum account guarantee agreement term set forth in sub-clause 5825(1)(v)(c) as originally proposed) These prohibitions are at odds with the account guarantee agreement minimum term requirements set out in sub-clauses 5825(1)(v)(a) and 5825(1)(v)(c) as originally proposed. Consequently, we have proposed to remove sub-clause 5825(1)(v)(a) and revise 5825(1)(v)(c) [now renumbered as sub-clause 5825(1)(v)(b)] to clarify that this provision is [and its predecessor provision in			Amended - Non substantive - We made a minor drafting change to the text for consistency.
Rule 0100: Margin Requirements	100.15	(h)(vi)	R. 5825. Account guarantee agreement minimum terms	(1)(vi)			Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency.		
			R. 5826. - 5829. Reserved		New - Non substantive - Reserved sections.				
Rule 0100: Margin Requirements	100.15	A(a)	R. 5830. Hedge agreements	(1)		Amended - Non substantive - New subsection 5830(1) has been added to include existing Dealer Member Rule provisions 100.15A(a) and (b).			

Rule 0100: Margin Requirements	100.15	A(b)	R. 5830. Hedge agreements	(1)		Amended - Non substantive - New subsection 5830(1) has been added to include existing Dealer Member Rule provisions 100.15A(a) and (b).	Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency.		
Rule 0100: Margin Requirements	100.15	A(c)	R. 5830. Hedge agreements	(2)		Amended - Non substantive - Cross-references has been corrected in what is now subsection 5830(2) to reference both the guarantee margin relief calculation in 5824(1) and the hedge requirements in new subsection 5830(1).	Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency.		Amended - Non substantive - We made a minor drafting change for consistency.
			R. 5831. - 5839. Reserved		New - Non substantive - Reserved sections.				
Rule 2200: Cash and Securities Loan Transactions	2200.01		R. 5840. Cash and securities loan agreements - defined	(1)					Amended - Non-Substantive - We corrected a grammar mistake by inserting the word "than". We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 2200: Cash and Securities Loan Transactions	2200.02	First sentence	R. 5840. Cash and securities loan agreements - defined	(1)					Amended - Non-Substantive - We corrected a grammar mistake by inserting the word "than". We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Form 1: Schedules	Schedule(s) 01 and 07	Note(s) 05	R. 5840. Cash and securities loan agreements - requirement for written agreement	(2)		Amended - Non substantive - Correction of plain language rule cross reference.			
Rule 2200: Cash and Securities Loan Transactions	2200.02	(a)	R. 5840. Cash and securities loan agreements - minimum agreement terms	(3)(i)					
Form 1: Schedules	Schedule(s) 01 and 07	Note(s) 05(i)	R. 5840. Cash and securities loan agreements - minimum agreement terms	(3)(i)					
Rule 2200: Cash and Securities Loan Transactions	2200.02	(b)	R. 5840. Cash and securities loan agreements - minimum agreement terms	(3)(ii)					
Form 1: Schedules	Schedule(s) 01 and 07	Note(s) 05(ii)	R. 5840. Cash and securities loan agreements - minimum agreement terms	(3)(ii)					

Rule 2200: Cash and Securities Loan Transactions	2200.02	(c)	R. 5840. Cash and securities loan agreements - minimum agreement terms	(3)(iii)					
Form 1: Schedules	Schedule(s) 01 and 07	Note(s) 05(iii)	R. 5840. Cash and securities loan agreements - minimum agreement terms	(3)(iii)					
Form 1: Schedules	Schedule(s) 01 and 07	Note(s) 05(iv)	R. 5840. Cash and securities loan agreements - minimum agreement terms	(3)(iv)					
Rule 2200: Cash and Securities Loan Transactions	2200.02	(d)(i)	R. 5840. Cash and securities loan agreements - minimum agreement terms	(3)(iv)(a)					
Rule 2200: Cash and Securities Loan Transactions	2200.02	(d)(ii)(A)	R. 5840. Cash and securities loan agreements - minimum agreement terms	(3)(iv)(b)					
Rule 2200: Cash and Securities Loan Transactions	2200.02	(d)(ii)(B)	R. 5840. Cash and securities loan agreements - default terms	(4)		Amended - Non substantive - Correction of plain language rule cross reference.			
Form 1: Schedules	Schedule(s) 01 and 07	Note(s) 05(iv)	R. 5840. Cash and securities loan agreements - default terms	(4)		Amended - Non substantive - Correction of plain language rule cross reference.			
Rule 2200: Cash and Securities Loan Transactions	2200.02	(e)	R. 5840. Cash and securities loan agreements - collateral free of trading restrictions	(5)		Amended - Non substantive - Correction of plain language rule cross reference.			
Form 1: Schedules	Schedule(s) 01 and 07	Note(s) 05(v)	R. 5840. Cash and securities loan agreements - collateral free of trading restrictions	(5)		Amended - Non substantive - Correction of plain language rule cross reference.			
			R. 5841. - 5849. Reserved		New - Non substantive - Reserved sections.				
Form 1: Schedules	Schedule(s) 01 and 07		R. 5850. Repurchase and reverse repurchase agreements - requirement for written agreement	(1)		Amended - Non substantive - Correction of plain language rule cross reference.			
Form 1: Schedules	Schedule(s) 01 and 07	Note(s) 05(i)	R. 5850. Repurchase and reverse repurchase agreements - minimum agreement terms	(2)(i)			Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency.		
Form 1: Schedules	Schedule(s) 01 and 07	Note(s) 05(ii)	R. 5850. Repurchase and reverse repurchase agreements - minimum agreement terms	(2)(ii)					
Form 1: Schedules	Schedule(s) 01 and 07	Note(s) 05(iii)	R. 5850. Repurchase and reverse repurchase agreements - minimum agreement terms	(2)(iii)					
Form 1: Schedules	Schedule(s) 01 and 07	Note(s) 05(iv)	R. 5850. Repurchase and reverse repurchase agreements - minimum agreement terms	(2)(iv)					
Form 1: Schedules	Schedule(s) 01 and 07	Note(s) 05(iv)	R. 5850. Repurchase and reverse repurchase agreements - default terms	(3)		Amended - Non substantive - Correction of plain language rule cross reference.			

Form 1: Schedules	Schedule(s) 01 and 07	Note(s) 05(v)	R. 5850. Repurchase and reverse repurchase agreements - collateral free of trading restrictions	(4)		Amended - Non substantive - Correction of plain language rule cross reference.	Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency.		
			R. 5851. - 5899. Reserved		New - Non substantive - Reserved sections.	New - Non substantive - Revised to accommodate inclusion of Rule 5900.			
New Provision			R. 5901. Agreement related margin requirements - Introduction	(1)	New - Non substantive - Introduction section added.	New - Non substantive - Subsection moved from the 4000 series of plain language rules to the 5000 series of plain language rules.	Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency.		
Rule 0100: Margin Requirements	100.17	(b)	R. 5902. Agreement related margin requirements - Definitions	(1)		New - Non substantive - Subsection moved from the 4000 series of plain language rules to the 5000 series of plain language rules. Minor wording revisions made to conform to wording using throughout 5000 series of plain language rules and to clarify computation of margin requirements			Amended - Non substantive - We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0100: Margin Requirements	100.17	(b)	R. 5903. Agreement related margin requirements - Margin requirements for securities loan, repurchase, and reverse repurchase agreements with term risk - unhedged positions	(1)		New - Non substantive - Subsection moved from the 4000 series of plain language rules to the 5000 series of plain language rules. Minor wording revisions made to conform to wording using throughout 5000 series of plain language rules and to clarify computation of margin requirements.	Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency.		

Rule 0100: Margin Requirements	100.17	(c)	R. 5903. Agreement related margin requirements - Margin requirements for securities loan, repurchase, and reverse repurchase agreements with term risk - offset positions - term greater than or equal to 1 year	(2)		New - Non substantive - Subsection moved from the 4000 series of plain language rules to the 5000 series of plain language rules. Minor wording revisions made to conform to wording using throughout 5000 series of plain language rules and to clarify computation of margin requirements.	Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency.		
Rule 0100: Margin Requirements	100.17	(d)	R. 5903. Agreement related margin requirements - Margin requirements for securities loan, repurchase, and reverse repurchase agreements with term risk - offset positions - term less than 1 year	(2)		New - Non substantive - Subsection moved from the 4000 series of plain language rules to the 5000 series of plain language rules. Minor wording revisions made to conform to wording using throughout 5000 series of plain language rules and to clarify computation of margin requirements.			
			R. 5904. - 5999. Reserved			New - Non substantive - Added as a result of the inclusion of Rule 5900.			
			R. 6000. - 6999. Reserved						New - Non substantive - We added reserved section "6000-6999"

Appendix 3
IIROC Dealer Member Plain Language Rule Book Rewrite Project
Table of Concordance - 7000 Series

Existing Dealer Member Rule Number and Title	Existing Dealer Member Rule Section Reference	Subsection or Similar Reference	PLR Rule Number, Title and Description	Subsection	Originally Published Proposed PLR Rules (2010-2014): Comments and Description	March 10, 2016 Publication (Notice 16-0052): Comments and Descriptions	March 9, 2017 Publication (Notice 17-0054): Comments and Descriptions	January 18, 2018 Publication (Notice 18-0014): Comments and Descriptions	Revisions to Previously Published Proposed PLR Rules
7000 Series									
Rule 2800: Code of Conduct for Corporation Dealer Member Firms Trading in Wholesale Domestic Debt Markets	Purpose		R. 7101. Introduction	(1) and (2)		Amended - Non substantive - Clarifying language and additional interpretive provision added as new subsection (2).			Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 2800B: Retail Debt Market Trading and Supervision	Purpose		R. 7101. Introduction	(1) and (2)					Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
New Provision			R. 7101. Introduction	(3)					New - Non substantive - We added subsection (3) as table of contents for Rule 7100. This was done in order to improve reader navigation within the Rule.
Rule 2800: Code of Conduct for Corporation Dealer Member Firms Trading in Wholesale Domestic Debt Markets	1	Definitions			Repealed - Non substantive - Definitions of Applicable Laws and Rules are included in general definitions. The term Domestic Debt Market is not used.				
Rule 2800B: Retail Debt Market Trading and Supervision	1	Definitions			Repealed - Non-substantive - These retail-specific definitions are not required since the rule applies to retail and institutional business.				

Rule 2800: Code of Conduct for Corporation Dealer Member Firms Trading in Wholesale Domestic Debt Markets	History				Repealed - Non substantive - History of the development of the debt market requirements no longer relevant.				
Rule 2800: Code of Conduct for Corporation Dealer Member Firms Trading in Wholesale Domestic Debt Markets	Application		R. 7102. General requirements	(1) and (2)			Amended - Non substantive - We updated this section for consistency with the defined terms in sub-section 1201(2).		
Rule 2800: Code of Conduct for Corporation Dealer Member Firms Trading in Wholesale Domestic Debt Markets	Implementation and Compliance Expectations				Repealed - Non substantive -Implementation and Compliance Expectations no different than for other IIROC requirements.				
Rule 2800: Code of Conduct for Corporation Dealer Member Firms Trading in Wholesale Domestic Debt Markets	4	4.2	R. 7102. General requirements	(1)	Amended - Non substantive - Redundant portions removed.				
Rule 2800B: Retail Debt Market Trading and Supervision	4	4.2(d)	R. 7102. General requirements	(1) and (2)					
Rule 0029: Business Conduct	29.10	fair market price			Repealed - Non substantive - Removed with OTC fair pricing proposal.				
Rule 0029: Business Conduct	29.10	taken in trade			Repealed - Non-substantive - Removed with OTC fair pricing proposal.				
Rule 2800: Code of Conduct for Corporation Dealer Member Firms Trading in Wholesale Domestic Debt Markets	2	2.3	R. 7103. Policies and procedures	(1)					Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.

Rule 2800B: Retail Debt Market Trading and Supervision	2	1st sentence	R. 7103. Policies and procedures	(1)			Amended - Non substantive - We updated this sub-section for consistency with the defined terms in sub-section 1201(2).			Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 2800: Code of Conduct for Corporation Dealer Member Firms Trading in Wholesale Domestic Debt Markets	2	2.1, 1st two sentences	R. 7103. Policies and procedures	(1) through (3)		Amended - Non substantive - Reordering done to clarify that the provisions now located within clause (2)(vi) apply to retail accounts only, whereas the provision now renumbered as 2(v) is of general applicability.				Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 2800: Code of Conduct for Corporation Dealer Member Firms Trading in Wholesale Domestic Debt Markets	2	2.1, last sentence	R. 7103. Policies and procedures	(4)		New - Non substantive - Carries forward a provision in the existing Rule 2800 that had been inadvertently omitted.				
Rule 2800: Code of Conduct for Corporation Dealer Member Firms Trading in Wholesale Domestic Debt Markets	3	3.1			Repealed - Non substantive - Redundant with general suitability provisions elsewhere in Rules.					
Rule 2800: Code of Conduct for Corporation Dealer Member Firms Trading in Wholesale Domestic Debt Markets	3	3.2, last part	R. 7103. Policies and procedures	(2)(i) through (v)						
Rule 2800B: Retail Debt Market Trading and Supervision	3		R. 7103. Policies and procedures	(2)(vi)					Amended - Substantive - We amended this section to require written policies or guidelines on the Dealer Member's mark-ups, mark-downs and commissions on debt securities purchased from clients.	Amended - Non substantive - We included the words "mark-downs" in sub-clause 7103(2)(vi)(b) for greater consistency and clarity.
Rule 2800B: Retail Debt Market Trading and Supervision	2	2nd sentence	R. 7103. Policies and procedures	(3)		Amended - Substantive - Registration reform related amendments - Replaced "Senior management of" with "An Executive responsible for".				

Rule 2800B: Retail Debt Market Trading and Supervision	2	3rd sentence	R. 7103. Policies and procedures	(4)		New - Non substantive - Carries forward a provision in the existing Rule 2800B that had been inadvertently omitted.			
Rule 2800: Code of Conduct for Corporation Dealer Member Firms Trading in Wholesale Domestic Debt Markets	2	2.2	R. 7104. Trading personnel	(1) and (4)		Amended - Substantive - Registration reform related amendments - Replaced "Senior management of" with "A Supervisor in".	Amended - Non substantive - We updated sub-section 7104(1) for consistency with the defined terms in sub-section 1201(2).		
Rule 2800: Code of Conduct for Corporation Dealer Member Firms Trading in Wholesale Domestic Debt Markets	4	4.4	R. 7104. Trading personnel	(2) and (3)					
Rule 2800: Code of Conduct for Corporation Dealer Member Firms Trading in Wholesale Domestic Debt Markets	2	2.4	R. 7105. Confidentiality	(1) through (3)				Amended - Substantive - We made a change in response to comments that the provision was too broad and inadvertently caught Dealer Members that were not Government Securities Distributors.	Amended - Non substantive - We made non-substantive changes to clarify our requirements for specific policies and procedures and to make them more consistent with NI 31-103.
Rule 2800: Code of Conduct for Corporation Dealer Member Firms Trading in Wholesale Domestic Debt Markets	2	2.5	R. 7106. Resources and systems	(1) and (2)					
Rule 2800: Code of Conduct for Corporation Dealer Member Firms Trading in Wholesale Domestic Debt Markets	3	3.2, 1st part	R. 7107. Conflicts of interest	(1) and (2)		Amended - Non substantive - Section (3) deleted, because it was inadvertently added in the previous publication.			
Rule 2800: Code of Conduct for Corporation Dealer Member Firms Trading in Wholesale Domestic Debt Markets	4	4.1	R. 7108. Duty to deal fairly	(1) through (3)					
Rule 2800B: Retail Debt Market Trading and Supervision	4	4.1	R. 7108. Duty to deal fairly	(1) through (3)					
Rule 2800: Code of Conduct for Corporation Dealer Member Firms Trading in Wholesale Domestic Debt Markets	4	4.3(a)	R. 7109. Manipulative and deceptive practices in the debt market	(1) and (2)			Amended - Non substantive - We amended clause 7109(2)(v) to make it consistent with existing requirements.		

Rule 2800B: Retail Debt Market Trading and Supervision	4	4.2(a)	R. 7109. Manipulative and deceptive practices in the debt markets	(1) and (2)			Amended - Non substantive - We amended clause 7109(2)(v) to make it consistent with existing requirements.			
Rule 2800B: Retail Debt Market Trading and Supervision	4	4.2(b)	R. 7110. Taking unfair advantage	(1)						
Rule 2800: Code of Conduct for Corporation Dealer Member Firms Trading in Wholesale Domestic Debt Markets	4	4.3(b)	R. 7110. Taking unfair advantage	(1)						
Rule 2800: Code of Conduct for Corporation Dealer Member Firms Trading in Wholesale Domestic Debt Markets	4	4.3(c)	R. 7111. Derivatives trading	(1)						
Rule 2800: Code of Conduct for Corporation Dealer Member Firms Trading in Wholesale Domestic Debt Markets	4	4.2(d)	R. 7112. Prohibited practices	(1)						
Rule 2800: Code of Conduct for Corporation Dealer Member Firms Trading in Wholesale Domestic Debt Markets	4	4.3(e)	R. 7112. Prohibited practices	(2)						
Rule 2800: Code of Conduct for Corporation Dealer Member Firms Trading in Wholesale Domestic Debt Markets	4	4.3(f)	R. 7112. Prohibited practices	(3)						
New Provision			R. 7112. Prohibited practices	(4)	New - Non substantive - Adoption of language used in Personal Financial Dealings proposals. This does not change the substance of the requirement.					
Rule 2800: Code of Conduct for Corporation Dealer Member Firms Trading in Wholesale Domestic Debt Markets	5	5.1			Repealed - Non substantive - Redundant.					
Rule 2800: Code of Conduct for Corporation Dealer Member Firms Trading in Wholesale Domestic Debt Markets	5	5.2	R. 7113. Surveillance and reporting	(1) and (2)						

Rule 2800: Code of Conduct for Corporation Dealer Member Firms Trading in Wholesale Domestic Debt Markets	5	5.3	R. 7113. Surveillance and reporting	(3)		Amended - Non substantive - Clarification language added.			
			R. 7114. -7199. - Reserved		New - Non substantive - Reserved sections.	Amended - Non substantive - The sections that related to trading and delivery of debt securities were deleted, because they are in the PLR 4000 series of rules.			
Rule 2800C: Transaction Reporting for Debt Securities	Introduction and Purpose		R. 7201. Introduction	(1) through (3)		New - Non substantive	Amended - Non substantive - We made changes to the wording of sub-section 7201(2) to improve readability. We also removed previous clause 7201(3)(ii) which defined "debt security".		Amended - Non substantive - We corrected a cross-reference and grammatical error. We made these non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 2800C: Transaction Reporting for Debt Securities	1	Definitions	R. 7202. Definitions	(1)		New - Non substantive - Rule 7200 has been approved by the applicable securities regulatory authorities, as set forth in IIROC Rules Notice 14-0250. This rule is effective in two phases. During Phase 1, which is effective November 1, 2015, this rule applies only to Dealer Members that are Government Securities Distributors (GSDs) or that have an affiliate that is a GSD. During Phase 2, which is expected to become effective on November 1, 2016, this rule will apply to all Dealer Members.	Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency. We also added in definitions of the terms "CUSIP" and "ISIN".		Amended - Non substantive - We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.

Rule 2800C: Transaction Reporting for Debt Securities	2	2.1 to 2.4	R. 7203. Reporting requirements	(1) through (6)		New - Non substantive - Rule 7200 has been approved by the applicable securities regulatory authorities, as set forth in IIROC Rules Notice 14-0250. This rule is effective in two phases. During Phase 1, which is effective November 1, 2015, this rule applies only to Dealer Members that are Government Securities Distributors (GSDs) or that have an affiliate that is a GSD. During Phase 2, which is expected to become effective on November 1, 2016, this rule will apply to all Dealer Members.	Amended - Non substantive - We replaced the word "Banks" that is used with "Schedule I Banks" and "Schedule II Banks" with the PLR Rule 1200 defined term "chartered banks". We also updated terms in this section for greater clarity and consistency.	Amended - Substantive - We clarified the intent of this requirement.	Amended - Non substantive - We made minor drafting changes to clarify our requirements.
Rule 2800C: Transaction Reporting for Debt Securities	2	2.5	R. 7204. Reporting timeframes	(1) and (2)		New - Non substantive - Rule 7200 has been approved by the applicable securities regulatory authorities, as set forth in IIROC Rules Notice 14-0250. This rule is effective in two phases. During Phase 1, which is effective November 1, 2015, this rule applies only to Dealer Members that are Government Securities Distributors (GSDs) or that have an affiliate that is a GSD. During Phase 2, which is expected to become effective on November 1, 2016, this rule will apply to all Dealer Members.			

Rule 2800C: Transaction Reporting for Debt Securities	3		R. 7205. Enrollment requirements	(1) and (2)		New - Non-substantive - Rule 7200 has been approved by the applicable securities regulatory authorities, as set forth in IIROC Rules Notice 14-0250. This rule is effective in two phases. During Phase 1, which is effective November 1, 2015, this rule applies only to Dealer Members that are Government Securities Distributors (GSDs) or that have an affiliate that is a GSD. During Phase 2, which is expected to become effective on November 1, 2016, this rule will apply to all Dealer Members.			
			R. 7206. -7299. - Reserved			New - Non substantive - Reserved sections.			
New Provision			R. 7301. Introduction	(1)	New - Non substantive - Introduction section.		Amended - Non substantive - We are now using the full term "inter-dealer bond broker" instead of the acronym "IDBB" for greater clarity.		
New Provision			R. 7301. Introduction	(2)					New - Non substantive - We added subsection (2) as a table of contents for Rule 7300. This was done in order to improve reader navigation within the Rule.

Rule 2100: Inter-Dealer Bond Brokerage Systems	2100.01	(a), (c), (d) and (e)	R. 7302. Definitions	(1)	Amended - Non substantive - Definition of Eurodollar debt securities (paragraph (b)) not used and therefore removed.		New - Non substantive - We revised this section to conform with the implementation of Amendments Respecting Market Transparency in Trading of Domestic Debt Securities on September 29, 2016 (IIROC Notice 16-0218). Amended - Non substantive - We moved the definition of "inter-dealer bond broker" to Rule 1200. We made changes to the definition of "inter-dealer bond broker client" for consistency with the revised definition of "inter-dealer bond broker" in Rule 1200.		Amended - Non substantive - We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable. We also clarified the definition of "Government Securities Distributor". We also made non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 2100: Inter-Dealer Bond Brokerage Systems	2100.01	(b)				Repealed - Non substantive - Definition of Eurodollar debt securities (paragraph (b)) not used and therefore removed, is now reflected as its own line item in the table of concordance.			
Rule 0036: Inter-Dealer Bond Brokerage Systems	36.01		R. 7303. Dealer Members must trade through an IIROC-approved IDBB	(1)					
Rule 0036: Inter-Dealer Bond Brokerage Systems	36.03		R. 7304. Eligibility of IDBBs for IIROC approval	(1)			Amended - Non substantive - We updated this sub-section for consistency with the defined terms in sub-section 1201(2).		
Rule 0036: Inter-Dealer Bond Brokerage Systems	36.02		R. 7304. Eligibility of IDBBs for IIROC approval	(2)					
Rule 0036: Inter-Dealer Bond Brokerage Systems	36.04					Repealed - Non substantive - Clean up tranche - Redundant.			
Rule 2100: Inter-Dealer Bond Brokerage Systems	2100.04, 1st sentence		R. 7305. IIROC requirements for IDBB approval and continued approval	(1)			Amended - Non substantive - We updated terms in this sub-section for greater clarity and consistency.		

Rule 2100: Inter-Dealer Bond Brokerage Systems	2100.03		R. 7305. IIROC requirements for IDBB approval and continued approval	(2)					
Rule 2100: Inter-Dealer Bond Brokerage Systems	2100.04	(a)	R. 7305. IIROC requirements for IDBB approval and continued approval	(3)(i) and (ii)					Amended - Non substantive - We made minor drafting changes to clarify our requirements.
Rule 2100: Inter-Dealer Bond Brokerage Systems	2100.04	(b)	R. 7305. IIROC requirements for IDBB approval and continued approval	(3)(iii) and (4)(i) and (ii)	Amended - Non substantive - 2100.4(b)(iii) moved into exception clause 7305(4)(iii); changed "and" at the end of 2100.4(b)(ii) to "or" at the end of clause 7305(4)(ii).		Amended - Non substantive - We simplified the reference to "chartered bank that Schedule I of the Bank Act lists" and "chartered bank that Schedule II of the Bank Act lists ".		
Rule 2100: Inter-Dealer Bond Brokerage Systems	2100.05		R. 7305. IIROC requirements for IDBB approval and continued approval	(4)(iii)			Amended - Non substantive - We spelt out some of the acronyms that were used such as "FINRA" and "SRO", which we changed to " the United States Financial Industry Regulatory Authority" and "self-regulatory organization", respectively. We updated this sub-section for consistency with the defined terms in sub-section 1201(2). We also changed the term "branch Dealer Member" to "branch office member" for greater clarity.		Amended - Non substantive - We made minor drafting changes to clarify our requirements.
Rule 2100: Inter-Dealer Bond Brokerage Systems	2100.04	(c)	R. 7305. IIROC requirements for IDBB approval and continued approval	(5)					

Rule 2100: Inter-Dealer Bond Brokerage Systems	2100.04	(d)	R. 7305. IIROC requirements for IDBB approval and continued approval	(6)			Amended - Non substantive - We revised to conform with the implementation of Amendments Respecting Market Transparency in Trading of Domestic Debt Securities on September 29, 2016 (IIROC Notice 16-0218). We also updated this sub-section for consistency with the defined terms in sub-section 1201(2).		
Rule 2100: Inter-Dealer Bond Brokerage Systems	2100.06		R. 7305. IIROC requirements for IDBB approval and continued approval	(7)			Amended - Non substantive - We spelt out some of the acronyms that were used such as "FINRA" and "SRO", which we changed to " the United States Financial Industry Regulatory Authority" and "self-regulatory organization", respectively. We updated this sub-section for consistency with the defined terms in sub-section 1201(2).		Amended - Non substantive - We made minor drafting changes to clarify our requirements.
Rule 2100: Inter-Dealer Bond Brokerage Systems	2100.09		R. 7305. IIROC requirements for IDBB approval and continued approval	(8)			Amended - Non substantive - We added in a title ("commission schedule requirements") for this sub-section.		
Rule 2100: Inter-Dealer Bond Brokerage Systems	2100.11		R. 7305. IIROC requirements for IDBB approval and continued approval	(9)(i) and (ii)			Amended - Non substantive - We added in a title ("operating procedures manual and other procedures requirements") for sub-section 7305(9).		
Rule 2100: Inter-Dealer Bond Brokerage Systems	2100.10		R. 7305. IIROC requirements for IDBB approval and continued approval	(9)(i), (iii) and (iv)					

Rule 2100: Inter-Dealer Bond Brokerage Systems	2100.12		R. 7305. IIROC requirements for IDBB approval and continued approval	(10)					Amended - Non substantive - We made a non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 2100: Inter-Dealer Bond Brokerage Systems	2100.13		R. 7305. IIROC requirements for IDBB approval and continued approval	(11)			Amended - Non substantive - We replaced the term "balance sheet" with the current accounting profession's term "statement of financial position".		
Rule 2100: Inter-Dealer Bond Brokerage Systems	2100.14		R. 7305. IIROC requirements for IDBB approval and continued approval	(12)					
Rule 2100: Inter-Dealer Bond Brokerage Systems	2100.15		R. 7305. IIROC requirements for IDBB approval and continued approval	(13)					
Rule 2100: Inter-Dealer Bond Brokerage Systems	2100.08		R. 7306. Committee review	(1)					
Rule 2100: Inter-Dealer Bond Brokerage Systems	2100.02				Repealed - Non substantive -Transitional provision providing for continued recognition of IDBBS recognized at time 2100 was introduced is not needed.				
Rule 2100: Inter-Dealer Bond Brokerage Systems	2100.07				Repealed - Non substantive -Not necessary to require that IIROC give notice of new rules in this provision, because notice of new regulatory requirements is part of our normal process.				
			R. 7307. -7999. - Reserved			New - Non substantive - Reserved sections.			

Appendix 3
IIROC Dealer Member Plain Language Rule Book Rewrite Project
Table of Concordance - 8000 Series

Existing Dealer Member Rule Number and Title	Existing Dealer Member Rule Section Reference	Subsection or Similar Reference	PLR Rule Number, Title and Description	Subsection	Published Proposed PLR Rules (2010-2014): Comments and Description	March 10, 2016 Publication (Notice 16-0052): Comments and Descriptions	March 9, 2017 Publication (Notice 17-0054): Comments and Descriptions	January 18, 2018 Publication (Notice 18-0014): Comments and Descriptions	Revisions to Previously Published Proposed PLR Rules
8000 Series									
For changes to the Consolidated Enforcement Rules (including changes to the 8000 Series) prior to January 2018, please refer to IIROC Notice 16-0122 and Notice 17-0224.									
			R. 8101. Introduction	(1)					
Rule 0019: Examinations and Investigations	19.01		R. 8102. Conducting Investigations	(1)					
Rule 0019: Examinations and Investigations	19.02		R. 8102. Conducting Investigations	(2)					
UMIR Part 10 Compliance	10.02	(1)	R. 8102. Conducting Investigations	(2)					
Rule 0019: Examinations and Investigations	19.05		R. 8103. Investigation Powers	(1)					
UMIR Part 10 Compliance	10.02	(2)	R. 8103. Investigation Powers	(1)					
UMIR Part 10 Compliance	10.02	(3)	R. 8103. Investigation Powers	(1)					
			R. 8103. Investigation Powers	(2)					
UMIR Part 10 Compliance	10.02	(2)	R. 8103. Investigation Powers	(3)					
Rule 0019: Examinations and Investigations	19.06		R. 8103. Investigation Powers	(3)					
Rule 0019: Examinations and Investigations	19.05		R. 8104. Obligations of Regulated Persons and Other Persons	(1)					
UMIR Part 10 Compliance	10.02	(2)(c)	R. 8104. Obligations of Regulated Persons and Other Persons	(2)					
Rule 0019: Examinations and Investigations	19.01		R. 8104. Obligations of Regulated Persons and Other Persons	(3)					
Rule 0019: Examinations and Investigations	19.06		R. 8104. Obligations of Regulated Persons and Other Persons	(4)					
			R. 8104. Obligations of Regulated Persons and Other Persons	(5)				Amended-Substantive-We replaced the word "exchange" with the defined term "Marketplace" to conform drafting to intent of the provision.	Amended - Non substantive - We clarified the language
			R. 8105. Right to Counsel	(1) and (2)					
			R. 8106. Confidentiality of Investigations	(1)-(2)					
			R. 8107. Continuing jurisdiction	(1)					
			R. 8108.-8199. - Reserved						Amended - Non substantive - We added a reserve section.
			R. 8201. Introduction	(1)					
Rule 0020: Corporation Hearing Processes	20.30	(1)	R. 8201. Introduction	(2)					
			R. 8201. Introduction	(3)					New - Non substantive - We added Introductory subsection (3).

Rule 0020: Corporation Hearing Processes	20.01	"decision"	R. 8202. Definitions - "decision"	(1)					Amended - Non substantive - We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
			R. 8202. Definitions - ""disciplinary hearing"	(1)					Amended - Non substantive - We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0020: Corporation Hearing Processes	20.30	(2)	R. 8203. Hearings	(1)					
Rule 0020: Corporation Hearing Processes	20.02	(1)	R. 8203. Hearings	(2)					
UMIR Part 10 Compliance	10.06		R. 8203. Hearings	(2)					
Rule 0020: Corporation Hearing Processes	20.02	(3)	R. 8203. Hearings	(3)					
Rule 0020: Corporation Hearing Processes	20.02	(3)	R. 8203. Hearings	(4)					
Rule 0020: Corporation Hearing Processes	20.50	(1)	R. 8203. Hearings	(5)					Amended - Non substantive - We clarified the language
Rules of Practice Rule 8: Motions	8.10		R. 8203. Hearings	(5)					Amended - Non substantive - We clarified the language
Rule 0020: Corporation Hearing Processes	20.50	(2)	R. 8203. Hearings	(6)					
Rule 0020: Corporation Hearing Processes	20.50	(3)	R. 8203. Hearings	(7)					
			R. 8203. Hearings	(8)					
			R. 8203. Hearings	(9)					
Rule 0020: Corporation Hearing Processes	20.04	(1)	R. 8204. Application and effective date of decision	(1)					
Rule 0020: Corporation Hearing Processes	20.05		R. 8204. Application and effective date of decision	(2)					

Rule 0020: Corporation Hearing Processes	20.06	(1)	R. 8204. Application and effective date of decision	(3)					
Rule 0020: Corporation Hearing Processes	20.06	(2)\	R. 8204. Application and effective date of decision	(4)					
Rule 0020: Corporation Hearing Processes	20.30	(1)	R. 8205. Commencement of enforcement proceedings	(1)					
UMIR Part 10 Compliance	10.06		R. 8205. Commencement of enforcement proceedings	(1)					
			R. 8205. Commencement of enforcement proceedings	(2)					
Rule 0020: Corporation Hearing Processes	20.07	(1) and (2)	R. 8206. Limitation	(1) and (2)					
Rule 0020: Corporation Hearing Processes	20.07	(3)	R. 8207. Amounts owing to IIROC	(1)					
			R. 8208. Powers of compulsion	(1)					Amended - Non substantive - We made non-material drafting changes in response to comments we received on the March 2017 Publication (Notice 17-0054)
Rule 0020: Corporation Hearing Processes	20.31		R. 8208. Powers of compulsion	(2)					
Rule 0020: Corporation Hearing Processes	20.32		R. 8208. Powers of compulsion	(3)					
UMIR Part 10 Compliance	10.05	(1)	R. 8209. Sanctions for Dealer Members	(1)					Amended - Non substantive - We made a minor drafting change for consistency.
Rule 0020: Corporation Hearing Processes	20.34		R. 8209. Sanctions for Dealer Members	(1)					Amended - Non substantive - We made a minor drafting change for consistency.
UMIR Part 10 Compliance	10.03		R. 8209. Sanctions for Dealer Members	(2)					
UMIR Part 10 Compliance	10.03	(1)	R. 8210. Sanctions for Regulated Persons other than Dealer Members	(1)-(4)					Amended - Non substantive - We made a minor drafting change for consistency.
UMIR Part 10 Compliance	10.05		R. 8210. Sanctions for Regulated Persons other than Dealer Members	(1)-(4)					Amended - Non substantive - We made a minor drafting change for consistency.
UMIR Part 10 Compliance	10.03		R. 8210. Sanctions for Regulated Persons other than Dealer Members	(1)					Amended - Non substantive - We made a minor drafting change for consistency.
UMIR Part 10 Compliance	10.05	(1)	R. 8210. Sanctions for Regulated Persons other than Dealer Members	(1)					Amended - Non substantive - We made a minor drafting change for consistency.

Rule 0020: Corporation Hearing Processes	20.33		R. 8210. Sanctions for Regulated Persons other than Dealer Members	(1)					Amended - Non substantive - We made a minor drafting change for consistency.
UMIR Part 10 Compliance	10.03	(1)	R. 8210. Sanctions for Regulated Persons other than Dealer Members	(2)					
UMIR Part 10 Compliance	10.03	(2)	R. 8210. Sanctions for Regulated Persons other than Dealer Members	(3)					
UMIR Part 10 Compliance	10.03	(4)	R. 8210. Sanctions for Regulated Persons other than Dealer Members	(4)					
UMIR Part 10 Compliance	10.05		R. 8210. Sanctions for Regulated Persons other than Dealer Members	(5)					
			R. 8210. Sanctions for Regulated Persons other than Dealer Members	(6)					
Rule 0020: Corporation Hearing Processes	20.02	(1)	R. 8211. Temporary orders	(1)-(3)					
UMIR Part 10 Compliance	10.05	(2)	R. 8211. Temporary orders	(1)-(3)					
Rule 0020: Corporation Hearing Processes	20.41	(1)	R. 8212. Protective orders	(1)					
Rule 0020: Corporation Hearing Processes	20.42	(1)	R. 8212. Protective orders	(2) and (3)				Amended-Substantive-We conformed defined terms and changed the word "marketplace" to the defined term "Marketplace" to conform the drafting to the intent of the provision.	Amended - Non substantive - We replaced the term "self-regulatory organization" with the defined term "SRO".
Rule 0020: Corporation Hearing Processes	20.43		R. 8212. Protective orders	(2) and (3)				Amended-Substantive-We conformed defined terms and changed the word "marketplace" to the defined term "Marketplace" to conform the drafting to the intent of the provision.	
Rule 0020: Corporation Hearing Processes	20.46	(1)	R. 8212. Protective orders	(2) and (3)				Amended-Substantive-We conformed defined terms and changed the word "marketplace" to the defined term "Marketplace" to conform the drafting to the intent of the provision.	
Rule 0020: Corporation Hearing Processes	20.45	(1)	R. 8212. Protective orders	(4)					
Rule 0020: Corporation Hearing Processes	20.47		R. 8212. Protective orders	(5) through (8)					
Rule 0020: Corporation Hearing Processes	20.48		R. 8212. Protective orders	(9)					
Rule 0020: Corporation Hearing Processes	20.46	(2)	R. 8213. Monitor	(1)					
Rule 0020: Corporation Hearing Processes	20.46	(3)	R. 8213. Monitor	(2)					

			R. 8213. Monitor	(3)					
Rule 0020: Corporation Hearing Processes	20.46	(4)	R. 8213. Monitor	(4)					
			R. 8213. Monitor	(5) and (6)					
UMIR Part 10 Compliance	10.07		R. 8214. Costs	(1) and (2)					
Rule 0020: Corporation Hearing Processes	20.49		R. 8214. Costs	(1) and (2)					
UMIR Policy	10.18	3.1-3.7	R. 8215. Settlements and settlements hearings	(1)					
Rule 0020: Corporation Hearing Processes	20.35	(1)	R. 8215. Settlements and settlements hearings	(1)					
Rule 0020: Corporation Hearing Processes	20.35	(3)	R. 8215. Settlements and settlements hearings	(1)					
UMIR Policy	10.18	3.2	R. 8215. Settlements and settlements hearings	(2)					Amended - Non substantive - We made a drafting change for consistency.
Rules of Practice Rule 14: Settlement Agreements	14.01		R. 8215. Settlements and settlements hearings	(2)					
UMIR Policy	10.08	3.5	R. 8215. Settlements and settlements hearings	(3)					
Rule 0020: Corporation Hearing Processes	20.35	(4)	R. 8215. Settlements and settlements hearings	(3)					
Rule 0020: Corporation Hearing Processes	20.35	(2)	R. 8215. Settlements and settlements hearings	(4)					
UMIR Policy	10.08	3.4	R. 8215. Settlements and settlements hearings	(5)					
Rule 0020: Corporation Hearing Processes	20.36	(1)	R. 8215. Settlements and settlements hearings	(5)					
UMIR Policy	10.08	3.6	R. 8215. Settlements and settlements hearings	(6) and (7)					
Rule 0020: Corporation Hearing Processes	20.36	(2)	R. 8215. Settlements and settlements hearings	(6) and (7)					
Rule 0020: Corporation Hearing Processes	20.37		R. 8215. Settlements and settlements hearings	(6) and (7)					
UMIR Policy	10.08	3.7	R. 8215. Settlements and settlements hearings	(8) and (9)					
Rule 0020: Corporation Hearing Processes	20.38		R. 8215. Settlements and settlements hearings	(8) and (9)					Amended - Non substantive - We made a minor drafting change for consistency.
Rule 0020: Corporation Hearing Processes	20.39		R. 8215. Settlements and settlements hearings	(8) and (9)					Amended - Non substantive - We made a minor drafting change for consistency.
Rule 0020: Corporation Hearing Processes	20.40		R. 8215. Settlements and settlements hearings	(8) and (9)					Amended - Non substantive - We made a minor drafting change for consistency.
Rule 0020: Corporation Hearing Processes	20.44		R. 8216. Failure to pay fine or costs	(1)					

UMIR	11.03		R. 8217. Review by a securities regulatory authority	(1)-(3)					
			R. 8218.-8299. - Reserved						Amended - Non substantive - We added a reserve section.
			R. 8301. Introduction	(1)					
			R. 8302. Definitions	(1)					Amended - Non substantive - We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
			R. 8303 Hearings Committees	(1)					
Schedule C.1 to Transition Rule No. 1	1.02	(1)	R. 8303 Hearings Committees	(2)					
Schedule C.1 to Transition Rule No. 1	1.03	(4)	R. 8303 Hearings Committees	(3)					
Schedule C.1 to Transition Rule No. 1	1.03	(3)	R. 8303 Hearings Committees	(4)					
Schedule C.1 to Transition Rule No. 1	1.04	(1)	R. 8303 Hearings Committees	(5)					
Schedule C.1 to Transition Rule No. 1	1.02	(1)	R. 8304. Nominations	(1)					
Schedule C.1 to Transition Rule No. 1	1.02	(2)	R. 8304. Nominations	(2)					
Schedule C.1 to Transition Rule No. 1	1.02	(3)-(4)	R. 8304. Nominations	(3)					
Schedule C.1 to Transition Rule No. 1	1.03	(2)	R. 8305. Appointment	(1)					
Schedule C.1 to Transition Rule No. 1	1.03	(1)	R. 8305. Appointment	(2)					
Schedule C.1 to Transition Rule No. 1	1.03	(5)	R. 8305. Appointment	(3)					Amended - Non substantive - We made a minor drafting change for consistency.
Schedule C.1 to Transition Rule No. 1	1.04	(1)	R. 8305. Appointment	(4)					
Schedule C.1 to Transition Rule No. 1	1.05	(1)	R. 8306. Term of appointment	(1) and (2)					
Schedule C.1 to Transition Rule No. 1	1.05	(3)	R. 8306. Term of appointment	(3)					
Schedule C.1 to Transition Rule No. 1	1.05	(3)	R. 8307. Removal	(1)					Amended - Non substantive - We made a minor drafting change for consistency.

Schedule C.1 to Transition Rule No. 1	1.05	(2) and (4)	R. 8307. Removal	(2)					
			R. 8308.-8399. - Reserved						Amended - Non substantive - We added a reserve section.
			R. 8401. Introduction	(1)					
				(2)					New - Non Substantive - we added introductory subsection (2).
UMIR Policy	10.08	1.1	R. 8402. Definitions	(1)					Amended - Non substantive - We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rules of Practice Rule 1: Interpretation and Application	1.03		R. 8402. Definitions	(1)					Amended - Non substantive - We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rules of Practice Rule 1: Interpretation and Application	1.02		R. 8403. General principles	(1)					
UMIR Policy	10.08	1.3	R. 8403. General principles	(2)					
Rules of Practice Rule 1: Interpretation and Application	1.06		R. 8403. General principles	(2)					
UMIR Policy	1.02		R. 8403. General principles	(3)					
Rules of Practice Rule 1: Interpretation and Application	1.05		R. 8403. General principles	(3)					

			R. 8403. General principles	(4)					Amended - Non substantive - We replaced the term "self-regulatory organization" with the defined term "SRO".
Rules of Practice Rule 2: Time	2.1		R. 8404. Time	(1)					
Rules of Practice Rule 2: Time	2.2		R. 8404. Time	(2)					
UMIR Policy	10.08	1.5(6)	R. 8404. Time	(2)					
Rules of Practice Rule 3: Appearance and Representation	3.1		R. 8405. Appearance and representation	(1)					
			R. 8405. Appearance and representation	(2) and (3)					
Rules of Practice Rule 3: Appearance and Representation	3.2		R. 8405. Appearance and representation	(4)					
Rules of Practice Rule 3: Appearance and Representation	3.3	(3)	R. 8405. Appearance and representation	(5)					
Rules of Practice Rule 3: Appearance and Representation	3.3	(1)	R. 8405. Appearance and representation	(6)					
Rules of Practice Rule 3: Appearance and Representation	3.3	(2)	R. 8405. Appearance and representation	(7)					
			R. 8405. Appearance and representation	(8)					
Rules of Practice Rule 5: Service and filing	5.1		R. 8406. Service and filing	(1)					
			R. 8406. Service and filing	(2)					
UMIR Policy	10.08	1.5(1)	R. 8406. Service and filing	(3)					
Rules of Practice Rule 5: Service and filing	5.03		R. 8406. Service and filing	(3)					
UMIR Policy	10.08	1.5(1)	R. 8406. Service and filing	(4)					
Rules of Practice Rule 5: Service and filing	5.02		R. 8406. Service and filing	(4)					
UMIR Policy	10.08	1.5(4)	R. 8406. Service and filing	(5)					
Rules of Practice Rule 5: Service and filing	5.04		R. 8406. Service and filing	(5)					
UMIR Policy	10.08	1.5(2)	R. 8406. Service and filing	(6)					
Rules of Practice Rule 5: Service and filing	5.05		R. 8406. Service and filing	(6)					
UMIR Policy	10.08	1.5(3)	R. 8406. Service and filing	(7)					
Rules of Practice Rule 5: Service and filing	5.06		R. 8406. Service and filing	(7)					
			R. 8406. Service and filing	(8)					
UMIR Policy	10.08	1.5(5)	R. 8406. Service and filing	(9)					
Rules of Practice Rule 5: Service and filing	5.07		R. 8406. Service and filing	(9)					

			R. 8406. Service and filing	(10)					
Rules of Practice Rule 4: National Hearing Co-Coordinator	4.01		R. 8407. National Hearing Coordinator	(1)					
Rules of Practice Rule 4: National Hearing Co-Coordinator	4.02		R. 8407. National Hearing Coordinator	(1)					
Rules of Practice Schedule "A" - Notes & Practice Direction Re: National Hearing Coordinator	A.1 and B		R. 8407. National Hearing Coordinator	(1)					
Rules of Practice Rule 4: National Hearing Co-Coordinator	4.02		R. 8407. National Hearing Coordinator	(2)					
Schedule C.1 to Transition Rule No. 1			R. 8407. National Hearing Coordinator	(3)					
			R. 8407. National Hearing Coordinator	(4)					
			R. 8407. National Hearing Coordinator	(5)					
Rules of Practice Rule 4: National Hearing Co-Coordinator	4.02		R. 8407. National Hearing Coordinator	(6)					
Schedule C.1 to Transition Rule No. 1	1.06	(1)	R. 8408. Hearing panels	(1)					
Schedule C.1 to Transition Rule No. 1	1.04	(2)	R. 8408. Hearing panels	(2)					
Schedule C.1 to Transition Rule No. 1	1.06	(1)	R. 8408. Hearing panels	(3)					
Schedule C.1 to Transition Rule No. 1	1.06	(2)	R. 8408. Hearing panels	(4)					Amended - Non substantive - We made a drafting change for consistency.
Schedule C.1 to Transition Rule No. 1	1.06	(2)	R. 8408. Hearing panels	(5)					Amended - Non substantive - We made a drafting change for consistency.
Schedule C.1 to Transition Rule No. 1	1.07		R. 8408. Hearing panels	(5)					Amended - Non substantive - We made a drafting change for consistency.
			R. 8408. Hearing panels	(6)					
Schedule C.1 to Transition Rule No. 1	1.06	(3)	R. 8408. Hearing panels	(7)					
			R. 8408. Hearing panels	(8)					
Schedule C.1 to Transition Rule No. 1	1.08	(3)	R. 8408. Hearing panels	(9)					
Schedule C.1 to Transition Rule No. 1	1.08	(2)	R. 8408. Hearing panels	(10)					
Schedule C.1 to Transition Rule No. 1	1.08	(1)	R. 8408. Hearing panels	(11)					

UMIR Policy	10.08	5.1	R. 8409. Form of hearings	(1)					Amended - Non substantive - We made a drafting change for consistency.
			R. 8409. Form of hearings	(2)					Amended - Non substantive - We made a drafting change for consistency.
UMIR Policy	10.08	5.1	R. 8409. Form of hearings	(3)					
			R. 8409. Form of hearings	(4)					
UMIR Policy	10.08	5.2	R. 8409. Form of hearings	(5)					
UMIR Policy	10.08	5.3	R. 8409. Form of hearings	(6)					
UMIR Policy	10.08	5.4	R. 8409. Form of hearings	(7)					
			R. 8409. Form of hearings	(8)					
UMIR Policy	10.08	5.5	R. 8409. Form of hearings	(9)					
			R. 8409. Form of hearings	(10)					
UMIR Policy	10.08	9.6(1-2)	R. 8410. Hearing panel decisions	(1)					
UMIR Policy	10.08	9.6(4-5)	R. 8410. Hearing panel decisions	(2)					
			R. 8410. Hearing panel decisions	(3)					
UMIR Policy	10.08	9.6(3)	R. 8410. Hearing panel decisions	(4)					
			R. 8410. Hearing panel decisions	(5)					Amended - Non substantive - We made a drafting change for consistency.
UMIR Policy	10.08	1.4	R. 8411. Language of hearing and interpreters	(1)-(6)					Amended - Non substantive - We incorporated the changes published in Notice 17-0224.
Schedule C.1 to Transition Rule No. 1	1.03	(6)	R. 8411. Language of hearing and interpreters	(1)-(6)					Amended - Non substantive - We incorporated the changes published in Notice 17-0224.
Rules of Practice Rule 6 Commencement of Proceedings	6.01		R. 8412. Commencement and abandonment of proceedings	(1)					
Rules of Practice Rule 8 Motions	8.01		R. 8412. Commencement and abandonment of proceedings	(1)					
			R. 8412. Commencement and abandonment of proceedings	(2)-(8)					
Rules of Practice Rule 8 Motions	8.01		R. 8413. Motions	(1)					
Rules of Practice Rule 8 Motions	8.02		R. 8413. Motions	(2)					
UMIR Policy	10.08	6.1	R. 8413. Motions	(3)					
Rules of Practice Rule 8 Motions	8.07		R. 8413. Motions	(3)					
			R. 8413. Motions	(4)					

UMIR Policy	10.08	6.2-6.3	R. 8413. Motions	(5)					
Rules of Practice Rule 8 Motions	8.04 and 8.05		R. 8413. Motions	(5)					
Rules of Practice Rule 8 Motions	8.06		R. 8413. Motions	(6)					
Rules of Practice Rule 8 Motions	8.08		R. 8413. Motions	(7)					
Rules of Practice Rule 8 Motions	8.09		R. 8413. Motions	(8)					
			R. 8413. Motions	(9)-(15)					
UMIR Policy	10.08	4.1	R. 8414. Commencement of disciplinary proceedings	(1)					
Rules of Practice Rule 6 Commencement of Proceedings	6.04		R. 8414. Commencement of disciplinary proceedings	(1)					
UMIR Policy	10.08	4.2	R. 8414. Commencement of disciplinary proceedings	(2)					
Rules of Practice Rule 6 Commencement of Proceedings	6.05		R. 8414. Commencement of disciplinary proceedings	(2)					
UMIR Policy	10.08	2.1-2.2	R. 8414. Commencement of disciplinary proceedings	(3)					
UMIR Policy	10.08	4.3	R. 8414. Commencement of disciplinary proceedings	(4)					
Rules of Practice Rule 7 Response to Notice of Hearing	7.01		R. 8415. Response to a notice of hearing	(1)					
Rules of Practice Rule 7 Response to Notice of Hearing	7.03		R. 8415. Response to a notice of hearing	(2)					
Rules of Practice Rule 7 Response to Notice of Hearing	7.04		R. 8415. Response to a notice of hearing	(3)					
Rules of Practice Rule 7 Response to Notice of Hearing	7.02		R. 8415. Response to a notice of hearing	(4)					
UMIR Policy	10.08	7.4	R. 8416. Prehearing conferences	(1)					
Rules of Practice Rule 9 Pre-Hearing Conferences	9.01		R. 8416. Prehearing conferences	(1)					
Rules of Practice Rule 9 Pre-Hearing Conferences	9.03		R. 8416. Prehearing conferences	(2)					
UMIR Policy	10.08	7.4	R. 8416. Prehearing conferences	(3)					
Rules of Practice Rule 9 Pre-Hearing Conferences	9.04		R. 8416. Prehearing conferences	(3)					
			R. 8416. Prehearing conferences	(4)					
			R. 8416. Prehearing conferences	(5)					
UMIR Policy	10.08	7.3 and 7.5	R. 8416. Prehearing conferences	(6)					
Rules of Practice Rule 9 Pre-Hearing Conferences	9.05		R. 8416. Prehearing conferences	(6)					
Rules of Practice Rule 9 Pre-Hearing Conferences	9.06		R. 8416. Prehearing conferences	(7)					

			R. 8416. Prehearing conferences	(8)					
			R. 8416. Prehearing conferences	(9)-(12)					
UMIR Policy	10.08	7.3 and 7.5	R. 8416. Prehearing conferences	(13)					
Rules of Practice Rule 9 Pre-Hearing Conferences		9.06	R. 8416. Prehearing conferences	(13)					
			R. 8416. Prehearing conferences	(14)					
UMIR Policy	10.08	8.1	R. 8417. Disclosure	(1)-(4)					
Rules of Practice Rule 10 Exchange of Documents	10.01		R. 8417. Disclosure	(1)-(4)					
Rules of Practice Rule 10 Exchange of Documents	10.02		R. 8417. Disclosure	(1)-(4)					
Rules of Practice Rule 10 Exchange of Documents	10.03		R. 8417. Disclosure	(1)-(4)					
UMIR Policy	10.08	8.2	R. 8417. Disclosure	(5)					
Rules of Practice Rule 10 Exchange of Documents	10.04		R. 8417. Disclosure	(5)					
UMIR Policy	10.08	8.3(1)	R. 8418. Witness lists and statements	(1) and (2)					
Rules of Practice Rule 11 Witness Lists and Statements	11.01		R. 8418. Witness lists and statements	(1) and (2)					
UMIR Policy	10.08	8.3(2)	R. 8418. Witness lists and statements	(3)					
Rules of Practice Rule 11 Witness Lists and Statements	11.02		R. 8418. Witness lists and statements	(3)					
UMIR Policy	10.08	8.3(3)	R. 8418. Witness lists and statements	(4)					Amended - Non substantive - We made a drafting change for consistency.
Rules of Practice Rule 11 Witness Lists and Statements	11.03		R. 8418. Witness lists and statements	(4)					Amended - Non substantive - We made a drafting change for consistency.
UMIR Policy	10.08	8.3(4)	R. 8418. Witness lists and statements	(5)					
Rules of Practice Rule 11 Witness Lists and Statements	11.04		R. 8418. Witness lists and statements	(5)					
UMIR Policy	10.08	8.4(1)	R. 8419. Expert witnesses	(1)					
Rules of Practice Rule 12 Expert Witness	12.01		R. 8419. Expert witnesses	(1)					
Rules of Practice Rule 12 Expert Witness	12.02		R. 8419. Expert witnesses	(2)					
			R. 8419. Expert witnesses	(3)					
UMIR Policy	10.08	8.4(2)	R. 8419. Expert witnesses	(4)					
Rules of Practice Rule 12 Expert Witness	12.03		R. 8419. Expert witnesses	(4)					
UMIR Policy	10.08	8.4(3)	R. 8419. Expert witnesses	(5)					
Rules of Practice Rule 12 Expert Witness	12.04		R. 8419. Expert witnesses	(5)					
UMIR Policy	10.08	8.4(4)	R. 8419. Expert witnesses	(6)					

Rules of Practice Rule 12 Expert Witness	12.04		R. 8419. Expert witnesses	(6)					
			R. 8420. Deemed undertaking	(1)-(5)					
			R. 8421. Order to attend and issue of summons	(1)-(4)					
			R. 8422. Adjournments	(1)-(5)					
UMIR Policy	10.08	9.1(3)(a)	R. 8423. Conduct of hearing on the merits	(1)					
Rules of Practice Rule 13 Conduct of Disciplinary Hearings	13.01	(b)	R. 8423. Conduct of hearing on the merits	(1)					
UMIR Policy	10.08	9.1(3)	R. 8423. Conduct of hearing on the merits	(2)					
Rules of Practice Rule 13 Conduct of Disciplinary Hearings	13.01		R. 8423. Conduct of hearing on the merits	(2)					
UMIR Policy	10.08	9.1 and 9.3	R. 8423. Conduct of hearing on the merits	(3)					
Rules of Practice Rule 13 Conduct of Disciplinary Hearings	13.02		R. 8423. Conduct of hearing on the merits	(3)					
			R. 8423. Conduct of hearing on the merits	(4) and (5)					
			R. 8423. Conduct of hearing on the merits	(6)					
Rules of Practice Rule 13 Conduct of Disciplinary Hearings	13.03		R. 8423. Conduct of hearing on the merits	(7)					
			R. 8423. Conduct of hearing on the merits	(8) and (9)					
Rules of Practice Rule 13 Conduct of Disciplinary Hearings	13.04		R. 8423. Conduct of hearing on the merits	(10)					
UMIR Policy	10.08	9.4	R. 8423. Conduct of hearing on the merits	(11)					
Rules of Practice Rule 13 Conduct of Disciplinary Hearings	13.05		R. 8423. Conduct of hearing on the merits	(11)					
UMIR Policy	10.08	9.4	R. 8423. Conduct of hearing on the merits	(12)					
Rules of Practice Rule 13 Conduct of Disciplinary Hearings	13.05		R. 8423. Conduct of hearing on the merits	(12)					
UMIR Policy	10.08	9.2(1)	R. 8424. Written hearings	(1)					
UMIR Policy	10.08	9.3(2)	R. 8424. Written hearings	(2)					
UMIR Policy	10.08	9.2(4)	R. 8424. Written hearings	(3)					
UMIR Policy	10.08	9.2(2,5-8)	R. 8424. Written hearings	(4)					
			R. 8425. Temporary orders	(1)-(13)					
Rules of Practice Rule 16 Expedited Agreements	16.01		R. 8426. Protective orders	(1)					
Rules of Practice Rule 16 Expedited Agreements	16.02		R. 8426. Protective orders	(2)					
Rules of Practice Rule 16 Expedited Agreements	16.03		R. 8426. Protective orders	(2)					
Rules of Practice Rule 16 Expedited Agreements	16.04		R. 8426. Protective orders	(2)					

Rules of Practice Rule 16 Expedited Agreements	16.06		R. 8426. Protective orders	(3)					
			R. 8426. Protective orders	(4)-(6)					
Rules of Practice Rule 16 Expedited Agreements	16.04		R. 8426. Protective orders	(7)					
Rules of Practice Rule 16 Expedited Agreements	16.07		R. 8426. Protective orders	(8)					
Rules of Practice Rule 18 Expedited Review Hearings	18.01		R. 8427. Review of protective orders	(1)					
Rules of Practice Rule 18 Expedited Review Hearings	18.02		R. 8427. Review of protective orders	(2)					
Rules of Practice Rule 18 Expedited Review Hearings	18.03		R. 8427. Review of protective orders	(2)					
Rules of Practice Rule 18 Expedited Review Hearings	18.04		R. 8427. Review of protective orders	(3) and (4)					
Rules of Practice Rule 18 Expedited Review Hearings	18.05		R. 8427. Review of protective orders	(5) and (6)					
Rules of Practice Rule 19 Conduct of Expedited Review Hearing	19.01		R. 8427. Review of protective orders	(7) and (8)					
Rules of Practice Rule 19 Conduct of Expedited Review Hearing	19.02		R. 8427. Review of protective orders	(7) and (8)					
			R. 8427. Review of protective orders	(9)					
			R. 8427. Review of protective orders	(10)					
			R. 8428. Settlement hearings	(1)					
			R. 8428. Settlement hearings	(2)					
UMIR Policy	10.08	3.1	R. 8428. Settlement hearings	(3)					
Rules of Practice Rule 15 Settlement Hearings	15.01		R. 8428. Settlement hearings	(3)					
UMIR Policy	10.08	3.2	R. 8428. Settlement hearings	(4)					
Rules of Practice Rule 15 Settlement Hearings	15.02		R. 8428. Settlement hearings	(4)					
			R. 8428. Settlement hearings	(5)					
Rules of Practice Rule 15 Settlement Hearings	15.03		R. 8428. Settlement hearings	(6)					
Rules of Practice Rule 17 Appointment of Monitor	17.01-17.04		R. 8429. Monitor	(1)					
Rules of Practice Rule 22 Approvals - Individuals	22.01		R. 8430. Regulatory review hearings	(1)					
Rules of Practice Rule 22 Approvals - Individuals	23.01		R. 8430. Regulatory review hearings	(1)					
Rules of Practice Rule 22 Approvals - Individuals	24.01		R. 8430. Regulatory review hearings	(1)					
Rules of Practice Rule 22 Approvals - Individuals	26.01		R. 8430. Regulatory review hearings	(1)					

Rules of Practice Rule 22 Approvals - Individuals	27.01		R. 8430. Regulatory review hearings	(1)					
Rules of Practice Rule 22 Approvals - Individuals	22.02		R. 8430. Regulatory review hearings	(2)					
Rules of Practice Rule 22 Approvals - Individuals	22.03		R. 8430. Regulatory review hearings	(2)					
Rules of Practice Rule 22 Approvals - Individuals	23.02		R. 8430. Regulatory review hearings	(2)					
Rules of Practice Rule 22 Approvals - Individuals	23.03		R. 8430. Regulatory review hearings	(2)					
Rules of Practice Rule 22 Approvals - Individuals	24.02		R. 8430. Regulatory review hearings	(2)					
Rules of Practice Rule 22 Approvals - Individuals	24.03		R. 8430. Regulatory review hearings	(2)					
Rules of Practice Rule 22 Approvals - Individuals	26.02		R. 8430. Regulatory review hearings	(2)					
Rules of Practice Rule 22 Approvals - Individuals	26.03		R. 8430. Regulatory review hearings	(2)					
Rules of Practice Rule 22 Approvals - Individuals	22.04		R. 8430. Regulatory review hearings	(3)					
Rules of Practice Rule 22 Approvals - Individuals	23.04		R. 8430. Regulatory review hearings	(3)					
Rules of Practice Rule 22 Approvals - Individuals	24.04		R. 8430. Regulatory review hearings	(3)					
Rules of Practice Rule 22 Approvals - Individuals	22.05		R. 8430. Regulatory review hearings	(4)					
Rules of Practice Rule 22 Approvals - Individuals	23.05		R. 8430. Regulatory review hearings	(4)					
Rules of Practice Rule 22 Approvals - Individuals	24.05		R. 8430. Regulatory review hearings	(4)					
Rules of Practice Rule 22 Approvals - Individuals	22.06		R. 8430. Regulatory review hearings	(5)					
Rules of Practice Rule 22 Approvals - Individuals	23.06		R. 8430. Regulatory review hearings	(5)					
Rules of Practice Rule 22 Approvals - Individuals	24.06		R. 8430. Regulatory review hearings	(5)					
Rules of Practice Rule 22 Approvals - Individuals	27.03		R. 8430. Regulatory review hearings	(5)					
Rules of Practice Rule 22 Approvals - Individuals	27.04		R. 8430. Regulatory review hearings	(5)					
Rules of Practice Rule 22 Approvals - Individuals	22.07		R. 8430. Regulatory review hearings	(6)					
Rules of Practice Rule 22 Approvals - Individuals	23.07		R. 8430. Regulatory review hearings	(6)					
Rules of Practice Rule 22 Approvals - Individuals	24.07		R. 8430. Regulatory review hearings	(6)					
Rules of Practice Rule 22 Approvals - Individuals	25.01-25.04		R. 8430. Regulatory review hearings	(7)					
Rules of Practice Rule 22 Approvals - Individuals	28.01-28.03		R. 8430. Regulatory review hearings	(7)					
			R. 8430. Regulatory review hearings	(8)					
			R. 8430. Regulatory review hearings	(9)					

			R. 8431. Review for review	(1)-(5)					
			R. 8432.-8999. - Reserved						Amended - Non substantive - We added a reserve section.

Appendix 3
IIROC Dealer Member Plain Language Rule Book Rewrite Project
Table of Concordance - 9000 Series

Existing Dealer Member Rule Number and Title	Existing Dealer Member Rule Section Reference	Subsection or Similar Reference	PLR Rule Number, Title and Description	Subsection	Published Proposed PLR Rules (2010-2014): Comments and Description	March 10, 2016 Publication (Notice 16-0052): Comments and Descriptions	March 9, 2017 Publication (Notice 17-0054): Comments and Descriptions	January 18, 2018 Publication (Notice 18-0014): Comments and Descriptions	Revisions to Previously Published Proposed PLR Rules
9000 Series									
For changes to the Consolidated Enforcement Rules (including changes to Rules 9100-9400) prior to January 2018, please refer to IIROC Notice 16-0122 and Notice 17-0224.									
			R. 9101. Introduction	(1)					
			R. 9102. Examinations	(1)					
Rule 0019: Examinations and Investigations	19.01		R. 9103. Conducting examinations	(1)					
Rule 0019: Examinations and Investigations	19.02		R. 9103. Conducting examinations	(2)					
Rule 0019: Examinations and Investigations	19.05		R. 9104. Examination powers	(1)					
			R. 9104. Examination powers	(2)					
UMIR	10.12	(2)-(3)	R. 9104. Examination powers	(3)					
Rule 0019: Examinations and Investigations	19.06		R. 9104. Examination powers	(3)					
Rule 0019: Examinations and Investigations	19.05		R. 9105. Obligations of Regulated Persons and other persons	(1)					
Rule 0019: Examinations and Investigations	19.01		R. 9105. Obligations of Regulated Persons and other persons	(2)					
			R. 9105. Obligations of Regulated Persons and other persons	(3)					
Rule 0019: Examinations and Investigations	19.07		R. 9106. Use of information	(1)-(2)					
			R. 9107.-9199. - Reserved						Amended - Non substantive - We added a reserve section.
			R. 9201. Introduction	(1)				Amended-Substantive-We made consequential amendments to reflect changes to 9206(2).	

Rule 0020: Corporation Hearing Processes	20.01		R. 9202. Definitions	(1)					Amended - Non substantive - We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
Rule 0020: Corporation Hearing Processes	20.18	(1)-(2)	R. 9203. Decisions of a District Council	(1)					
Rule 0020: Corporation Hearing Processes	20.24	(3)	R. 9203. Decisions of a District Council	(1)					
			R. 9203. Decisions of a District Council	(2)					
Rule 0020: Corporation Hearing Processes	20.18	(5)	R. 9203. Decisions of a District Council	(3)					
Rule 0020: Corporation Hearing Processes	20.19(4)		R. 9203. Decisions of a District Council	(4)					
Rule 0020: Corporation Hearing Processes	20.19(2)		R. 9203. Decisions of a District Council	(5)					
Rule 0020: Corporation Hearing Processes	20.18	(1)	R. 9204. Individual approval applications	(1)					Amended - Non substantive - We corrected cross-references.
Rule 0020: Corporation Hearing Processes	20.18	(2)(b)	R. 9204. Individual approval applications	(2)					Amended - Non substantive - We made a minor drafting change for consistency.
Rule 0020: Corporation Hearing Processes	20.18	(4)	R. 9204. Individual approval applications	(2)					Amended - Non substantive - We made a minor drafting change for consistency.
Rule 0020: Corporation Hearing Processes	20.18	(2)(a)	R. 9204. Individual approval applications	(3)					
Rule 0020: Corporation Hearing Processes	20.18	(3)	R. 9204. Individual approval applications	(3)					
Rule 0020: Corporation Hearing Processes	20.20		R. 9205. Membership approval applications	(1)					Amended - Non substantive - We made a minor drafting change for consistency.
Rule 0020: Corporation Hearing Processes	20.21		R. 9205. Membership approval applications	(2)					
Rule 0020: Corporation Hearing Processes	20.22		R. 9205. Membership approval applications	(3)					Amended - Non substantive - We made a minor drafting change for consistency.

Rule 0020: Corporation Hearing Processes	20.24	(1)	R. 9206. Exemption applications	(1)					Amended - Non substantive - We corrected cross-references.
Rule 0020: Corporation Hearing Processes	20.25	(1)	R. 9206. Exemption applications					Amended-Substantive-We clarified that exemptions from the introducing broker/carrying broker requirements under Rule 2450 are not approved by the District Council. They are approved by the Board pursuant to 1302(1).	
Rule 0020: Corporation Hearing Processes	20.24	(2)	R. 9206. Exemption applications	(2)				Amended - Non substantive - Previous sub-section 9206(3) was renumbered 9206(2). Also corrected the cross referencing as a result of the numbering change.	
Rule 0020: Corporation Hearing Processes	20.25	(2)	R. 9206. Exemption applications	(3)					
Rule 0020: Corporation Hearing Processes	20.18	(3)	R. 9207. Continued approval	(1)					Amended - Non substantive - Corrected grammar mistake: fixed unnecessary plural of the word "Persons" to "Person". We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0020: Corporation Hearing Processes	20.18	(4)	R. 9207. Continued approval	(2)					Amended - Non substantive - Corrected grammar mistake: fixed unnecessary plural of the word "Persons" to "Person". We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
			R. 9208. Terms and conditions on membership	(1)-(3)					

Rule 0020: Corporation Hearing Processes	20.19	(1)-(2)	R. 9209. Review Hearings	(1)					Amended - Non substantive - Corrected grammar mistake: fixed unnecessary plural of the word "Persons" to "Person". We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0020: Corporation Hearing Processes	20.26	(1)-(2)	R. 9209. Review Hearings	(2)					
Rule 0020: Corporation Hearing Processes	20.19	(1)	R. 9209. Review Hearings	(3)					
Rule 0020: Corporation Hearing Processes	20.26	(1)	R. 9209. Review Hearings	(3)					Amended - Non substantive - We made changes to the wording of sub-section to improve readability: Removed reference to title of rule 9300 - but left in the reference itself. We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0020: Corporation Hearing Processes	20.26	(3)	R. 9209. Review Hearings	(4)					
Rule 0020: Corporation Hearing Processes	20.19	(2)	R. 9209. Review Hearings	(5)					
Rule 0020: Corporation Hearing Processes	20.26	(2)	R. 9209. Review Hearings	(5)					
Rule 0020: Corporation Hearing Processes	20.19	(3)	R. 9209. Review Hearings	(6)					
Rule 0020: Corporation Hearing Processes	20.19	(5)	R. 9209. Review Hearings	(7)					
Rule 0020: Corporation Hearing Processes	20.26	(5)	R. 9209. Review Hearings	(7)					
Rule 0020: Corporation Hearing Processes	20.26	(6)	R. 9209. Review Hearings	(8)					
			R. 9210. Review by a securities regulatory authority	(1)-(3)					
			R. 9211.-9299. - Reserved						Amended - Non substantive - We added a reserve section.
			R. 9301. Introduction	(1)					

Rule 0020: Corporation Hearing Processes	20.01		R. 9302. Definitions	(1)					Amended - Non substantive - We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
			R. 9303. Hearings and decisions	(1)-(2)					
Rule 0020: Corporation Hearing Processes	20.26	(4)	R. 9304. Review proceedings	(1)					
Rule 0020: Corporation Hearing Processes	20.19	(5)	R. 9304. Review proceedings	(2)					Amended - Non substantive - We made a non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0020: Corporation Hearing Processes	20.26	(5)	R. 9304. Review proceedings	(2)					Amended - Non substantive - We made a non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0020: Corporation Hearing Processes	20.29	(4)	R. 9304. Review proceedings	(2)					Amended - Non substantive - We made a non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0020: Corporation Hearing Processes	20.48		R. 9304. Review proceedings	(2)					Amended - Non substantive - We made a non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).

Rule 0020: Corporation Hearing Processes	20.19	(3)	R. 9304. Review proceedings	(3)					Amended - Non substantive - We made changes to the wording of this sub-section to improve readability. We changed "on a decision" to "In a decision". We made this non-material drafting change in response to comments we received on the March 2017 Publication (Notice 17-0054).
Rule 0020: Corporation Hearing Processes	20.26	(4)	R. 9304. Review proceedings	(3)					
			R. 9305. Review by securities regulatory authority	(1)-(3)					
			R. 9306.-9399. - Reserved						Amended - Non substantive - We added a reserve section.
Rule 0020: Corporation Hearing Processes	20.18	(5)	R. 9401. Introduction	(1)					
			R. 9401. Introduction	(3)					New - Non substantive-We added an introductory subsection.
			R. 9402. Definitions	(1)					Amended - Non substantive - We standardized the format of our defined terms sections throughout the PLR. All sections are now in table format and we removed the sub-section numbering for each defined term. As a result of this change made we also updated any cross-referencing where applicable.
			R. 9403. Opportunities to be heard by a District council or senior officer	(1)					Amended - Non substantive - We made a minor drafting change for consistency.
			R. 9404. Counsel	(1)					
			R. 9405. IIROC Staff Notice	(1)					
			R. 9406. Response of applicant, Approved Person or Dealer Member	(1)-(3)					
			R. 9407. Choice of written submissions or appearance	(1)					
			R. 9407. Choice of written submissions or appearance	(2)					

			R. 9407. Choice of written submissions or appearance	(3)					
			R. 9408. Exchange of written submissions	(1)-(6)					
			R. 9409. Appearance before a decision maker	(1)-(3)					
			R. 9410. Decisions	(1)					
			R. 9411. Opportunities to be heard by the Board	(1)-(2)					
			R. 9412. IIROC Staff Notice	(1)					
			R. 9413. Response of applicant, Approved Person or Dealer Member	(1)-(3)					
			R. 9414. Choice of written submissions or appearance	(1)					
			R. 9414. Choice of written submissions or appearance	(2)					
			R. 9414. Choice of written submissions or appearance	(3)					
			R. 9415. Exchange of written submissions	(1)-(6)					
			R. 9416. Appearance before the Board	(1)-(3)					
			R. 9417. Decisions	(1)					
			R. 9418-9499. Reserved						
New Provision			R. 9501. Introduction		New - Non Substantive- Clean up tranche- new provision added.				
Rule 0037: Alternative Dispute Resolution	37.01		R. 9502. Participation by a Member in arbitration	(1) through (5)	Clean up tranche - New provision added.				
Rule 0037: Alternative Dispute Resolution	37.02		R. 9503. Participation by a Member in an ombudsperson service	(1) through (6)	Clean up tranche - New provision added.				
Rule 0037: Alternative Dispute Resolution	37.04		R. 9504. Dealer Members must provide information to ombudsman service	(1)-(2)	Clean up tranche - New provision added.				
			R. 9505. - 9699 Reserved			New - Non substantive			
New Provision			R. 9601. Introduction		New - Non substantive - Clean up tranche - New provision added.	Repealed - Non substantive - Repealed previously in IIROC Notice 14-0046.			
Rule 0016: Dealer Members' Auditors and Financial Reporting	16.07		R. 9602. Compliance fees	(1)-(2)	Clean up tranche- New provision added.	Repealed - Non substantive - Repealed previously in IIROC Notice 14-0046.			
			R. 9601. - 9699. Reserved			New - Non substantive			
New provision			R. 9701. Introduction		Clean up tranche - New - Non-substantive - Introduction section added Clean up tranche- new provision added.				
Rule 0041: Canadian Investor Protection Fund	41.01		R. 9702. Agreement between CIPF and IIROC		Clean up tranche - New - Non substantive - New provision added.				

Rule 0041: Canadian Investor Protection Fund	41.02		R. 9703. Industry agreements or other arrangements		Clean up tranche - New - Non substantive - New provision added.				
			R. 9704. - 9999. Reserved			New - Non substantive			

Appendix 3
IIROC Dealer Member Plain Language Rule Book Rewrite Project
Table of Concordance - Repealed

Existing Dealer Member Rule Number and Title	Existing Dealer Member Rule Section Reference	Subsection or Similar Reference	PLR Rule Number, Title and Description	Subsection	Published Proposed PLR Rules (2010-2014): Comments and Description	March 10, 2016 Publication (Notice 16-0052): Comments and Descriptions	March 9, 2017 Publication (Notice 17-0054): Comments and Descriptions	November 30, 2017 Implementation Notice 17-0223 (Rule 2650 - Continuing Education Requirements for Approved Persons): Comments and Descriptions	January 18, 2018 Publication (Notice 18-0014): Comments and Descriptions	January 2018 (Non-Material and not published) PLR Rules: Comments and Descriptions
Other Repealed Provisions										
Rule 0001: Interpretation and effect	1.05				Clean up tranche - Repealed - Non-substantive - this provision was applicable to the enactment of the IIROC Dealer Member Rules after the IDA merged with RS to form IIROC. No longer necessary.					
Rule 0009: District Dealer Members	9.02				Clean up tranche - Repealed - Non-substantive - Redundant and no longer serves any purpose. There is no need to define what Dealer Members of a District Council are.					
Rule 0017: Dealer Member Minimum Capital, Conduct of Business and Insurance	17.04				Clean up tranche - Repealed - Substantive - "it is not practical or likely that a Dealer Member would report to IIROC that another Dealer Member has breached a contract".					
Rule 0022: Use of Name or Logo: Liabilities: Claims	22.02				Clean up tranche - Repealed - Non-substantive - Already addressed in General By-law No. 1, Article 15.2.	Please refer to IIROC Notice 15-0248 for proposed amendments.				
Rule 0022: Use of Name or Logo: Liabilities: Claims	22.03				Clean up tranche - Repealed - Non-substantive - Already addressed in General By-law No. 1, Article 15.2.	Please refer to IIROC Notice 15-0248 for proposed amendments.				
Rule 0023: Notices					Clean up tranche - Repealed - Non-substantive - Already addressed in General By-law No. 1, Article 12.					
Rule 0029: Business Conduct	29.14	(a) advertising			Clean up tranche - Repealed - Non-substantive - Provision will be set out in the CIPF disclosure policy. Previously proposed plain language rule 2355 requires Dealer Members to comply with the CIPF disclosure policy.	Please refer to IIROC Notice 15-0248 for proposed amendments.				
Rule 0029: Business Conduct	29.14	(a) CIPF			Clean up tranche - Repealed - Non-substantive - Provision will be set out in the CIPF disclosure policy. Previously proposed plain language rule 2355 requires Dealer Members to comply with the CIPF disclosure policy.	Please refer to IIROC Notice 15-0248 for proposed amendments.				
Rule 0029: Business Conduct	29.14	(a) CIPF official brochure			Clean up tranche - Repealed - Non-substantive - Provision will be set out in the CIPF disclosure policy. Previously proposed plain language rule 2355 requires Dealer Members to comply with the CIPF disclosure policy.	Please refer to IIROC Notice 15-0248 for proposed amendments.				
Rule 0029: Business Conduct	29.14	(a) CIPF official explanatory statement			Clean up tranche - Repealed - Non-substantive - Provision will be set out in the CIPF disclosure policy. Previously proposed plain language rule 2355 requires Dealer Members to comply with the CIPF disclosure policy.	Please refer to IIROC Notice 15-0248 for proposed amendments.				

Rule 0029: Business Conduct	29.14	(a) CIPF official Symbol			Clean up tranche - Repealed - Non-substantive - Provision will be set out in the CIPF disclosure policy. Previously proposed plain language rule 2355 requires Dealer Members to comply with the CIPF disclosure policy.	Please refer to IIROC Notice 15-0248 for proposed amendments.				
Rule 0029: Business Conduct	29.14	(b)-(i)			Clean up tranche - Repealed - Non-substantive - Provision will be set out in the CIPF disclosure policy. Previously proposed plain language rule 2355 requires Dealer Members to comply with the CIPF disclosure policy.	Please refer to IIROC Notice 15-0248 for proposed amendments.				
Rule 0032: Rights Offerings	32.01				Clean up tranche - Repealed - Non-substantive - Redundant as the requirement to comply with rules of stock exchanges are covered in previously proposed rules.					
Rule 0033: Review by Securities Commissions	33.01				Clean up tranche - Repealed - Non-substantive - Redundant as it is not necessary for IIROC to state that Dealer Members have a right to appeal to the securities commissions.					
Rule 0034: Rulings	34.01				Clean up tranche - Repealed - Non-substantive - Already addressed in General By-law No. 1, Article 13.1.					
Rule 0034: Rulings	34.02				Clean up tranche - Repealed - Non-substantive - Already addressed in General By-law No. 1, Article 13.1.					
Rule 0036: Inter-Dealer Bond Brokerage Systems	36.04				Clean up tranche - Repealed - Non-substantive - Redundant.					
Rule 0039: Principal and Agent	Appendix A	(1)			Clean up tranche - Repealed - Non-substantive - These definitions are unnecessary here since the relevant terms are defined in Rule 1200.					
Rule 1600: Money Market Operations					Clean up tranche - Repealed - Non-substantive - Redundant sets out internal control requirements relating to money market operations. General internal control requirements are applicable to money market operations and are covered by previously proposed rule 4100. Some of the rules are further redundant as they are out of date (i.e.. Requirement to obtain a certified cheque)					
Rule 1700: Municipal Debentures	1700.01				Clean up tranche - Repealed - Non-substantive - Redundant					
Rule 1800: Commodity Futures Contracts and Options	1800.02	(f)			Clean up tranche - Repealed - Substantive - Requirement to receive pre-approval of operations/procedures generally eliminated					
Rule 1800: Commodity Futures Contracts and Options	1800.11	(a) and (b)			Clean up tranche - Repealed - Non-substantive - duplicative of record keeping requirements					
Rule 2100: Inter-Dealer Bond Brokerage Systems	2100.01(b)				Clean up tranche - Amended - Non-substantive - Definition of Eurodollar debt securities not used and therefore removed.					
Rule 2200: Cash and Securities Loan Transactions	2200.09				Clean up tranche - Repealed - Non-substantive - “redundant as the margin requirements are already in Schedules 1 & 7 to Form 1”.					

Rule 2400: Relationships Between Dealer Members and Financial Services Entities: Sharing of Office Premises	Introduction				Clean up tranche - Repealed - Non-substantive - background and purpose not necessary.					
Rule 2400: Relationships Between Dealer Members and Financial Services Entities: Sharing of Office Premises	Disclosure of Securities Related Activities	Item (3)			Clean up tranche - Repealed - Non-substantive - the process for obtaining acknowledgement too specific.					
Rule 2400: Relationships Between Dealer Members and Financial Services Entities: Sharing of Office Premises	Minimum Standards for Shared Premises	Standard (1)			Clean up tranche - Repealed - Non-substantive - Moved to GN 2200-2 Shared Premises. Not a requirement					
Rule 2400: Relationships Between Dealer Members and Financial Services Entities: Sharing of Office Premises	Minimum Standards for Shared Premises	Standard (2)			Clean up tranche - Repealed - Non-substantive - Moved to GN 2200-2 Shared Premises. Not a requirement.					
Rule 2400: Relationships Between Dealer Members and Financial Services Entities: Sharing of Office Premises	Minimum Standards for Shared Premises	Standard (7) except for (a)(ii)			Clean up tranche - Repealed - Non-substantive - Some of material has been moved to GN - Supervision. Not a requirement.					
Rule 2400: Relationships Between Dealer Members and Financial Services Entities: Sharing of Office Premises	Minimum Standards for Shared Premises	Standard (8)			Clean up tranche - Repealed - Non-substantive - Moved to GN 2200-2 Shared Premises. Not a requirement.					
Rule 2400: Relationships Between Dealer Members and Financial Services Entities: Sharing of Office Premises	Minimum Standards for Shared Premises	Standard (9)(c)			Clean up tranche - Repealed - Substantive - Moved to GN 2200-2 Shared Premises. Not a requirement.					
Rule 2400: Relationships Between Dealer Members and Financial Services Entities: Sharing of Office Premises	General Principles	General Principle (3)			Clean up tranche - Repealed - Non-substantive - The provision with regards to branch and sub-branch no longer applicable after registration reform amendments.					
Rule 2500: Minimum Standards for Retail Customer Account Supervision	Introduction	Introduction except on principles a-c			Clean up tranche - Repealed - Non-substantive - background and purpose paragraphs not necessary.					
Rule 2500: Minimum Standards for Retail Customer Account Supervision	Introduction	Introduction, Principal (a)			Clean up tranche - Repealed - Non-substantive - moved to Guidance Note.					
Rule 2500: Minimum Standards for Retail Customer Account Supervision	Introduction	Introduction, Principal (b)			Clean up tranche - Repealed - Non-substantive - moved to Guidance Note.					
Rule 2500: Minimum Standards for Retail Customer Account Supervision	Part I	Introduction			Clean up tranche - Repealed - Non-substantive - background and purpose paragraphs not necessary.					
Rule 2500: Minimum Standards for Retail Customer Account Supervision	Part III	Introduction			Clean up tranche - Repealed - Substantive - Not a requirement. Relevant provisions moved to guidance notes.					
Rule 2500: Minimum Standards for Retail Customer Account Supervision	Part III	(A)			Clean up tranche - Repealed - Substantive - Not a requirement. Relevant provisions moved to guidance notes.					
Rule 2500: Minimum Standards for Retail Customer Account Supervision	Part III	(B)(1) and (3)-(9)			Clean up tranche - Repealed - Substantive - Not a requirement. Relevant provisions moved to guidance notes.					
Rule 2500: Minimum Standards for Retail Customer Account Supervision	Part IV	(B)(C)and(D)			Clean up tranche - Repealed - Substantive - Not a requirement. Relevant provisions moved to guidance notes.					
Rule 2500: Minimum Standards for Retail Customer Account Supervision	Part VI	(A)(6)			Clean up tranche - Repealed - Non-substantive - Requirement to verify hedgers is not needed since no IIROC Rule requires hedgers' accounts to be treated differently than other accounts.					

Rule 2500: Minimum Standards for Retail Customer Account Supervision	Part VI	C(6)			Clean up tranche - Repealed - Non-substantive - General requirement captured under Plain language Rule relating to advertising.					
Rule 2600: Internal Control Statement 1	Statement 1: General Matters	General Matters (i) through (iii)			Clean up tranche - Repealed - Non-substantive - "not an existing requirement, but a consideration, and moved to GN 4200-1".					
Rule 2600: Internal Control Statement 2	Statement 2	Indications that internal control is not adequate			Clean up tranche - Repealed - Non-substantive - "not an existing requirement, but a consideration, and moved to GN 4200-1".					
Rule 2600: Internal Control Statement 3	Statement 3	Control objective (a)			Clean up tranche - Repealed - Non-substantive - "redundant as already covered in Rule 400, Insurance".					
Rule 2600: Internal Control Statement 3	Statement 3	Control objective (b)			Clean up tranche - Repealed - Non-substantive - "redundant as already covered in Rule 400, Insurance".					
Rule 2600: Internal Control Statement 3	Statement 3	Indications that internal control is not adequate			Clean up tranche - Repealed - Non-substantive - "not an existing requirement, but a consideration, and moved to GN 4450-1".					
Rule 2600: Internal Control Statement 4	Statement 4: Control objectives	Control objective (a)			Clean up tranche - Repealed - Non-substantive - "redundant, as already covered in Rules 17 and 2000".					
Rule 2600: Internal Control Statement 4	Statement 4: Indications that internal control is not adequate	Indications that internal control is not adequate			Clean up tranche - Repealed - Non-substantive - "not an existing requirement, but a consideration, and moved to GN 4340-1".					
Rule 2600: Internal Control Statement 5	Statement 5: Control Objective	Control Objective			Clean up tranche - Repealed - Non-substantive - "redundant, as already covered in Rules 17 and 2000".					
Rule 2600: Internal Control Statement 5	Statement 5: Indications that internal control is not adequate	Indications that internal control is not adequate			Clean-up tranche - Repealed - Non-substantive - "not an existing requirement, but a consideration, and moved to GN 4310-1".					
Rule 2600: Internal Control Statement 6	Statement 6; Recommended Firm Policies & Procedures	Procedures			Clean-up tranche - Repealed - Non-substantive - "not an existing requirement, but a consideration, and moved to GN 4500-1".					
Rule 2600: Internal Control Statement 6	Statement 6: Indications that Internal Control is not adequate	Indications that Internal Control is not adequate			Clean up tranche - Repealed - Non-substantive - "not an existing requirement, but a consideration, and moved to GN 4500-1".					
Rule 2600: Internal Control Statement 7	Statement 7: Indications that Internal Control is not adequate	Indications that Internal Control is not adequate			Clean up tranche - Repealed - Non-substantive - "not an existing requirement, but a consideration, and moved to GN 4200-1".					
Rule 2600: Internal Control Statement 8	Statement 8	Indications that Internal Control is not adequate			Clean up tranche - Repealed - Non-substantive - "not an existing requirement, but a consideration, and moved to GN 4900-1".					
Rule 2700: Minimum Standards for Institutional Client Account Opening, Operation and Supervision	Introduction				Clean up tranche - Repealed - Non-substantive.					

Rule 3100: Reporting and Recordkeeping Requirements	Introduction				Clean up tranche - Repealed - Non-substantive - Not necessary to include					
Rule 3100: Reporting and Recordkeeping Requirements	Definitions	"designated SRO"			Clean up tranche - Repealed - Non-substantive - Not necessary to include					
Rule 3100: Reporting and Recordkeeping requirements	Definitions	"Exchange "contracts			Clean up tranche - Repealed - Non-substantive - Use of the term is generally understood and definition is not necessary					
Rule 3100: Reporting and Recordkeeping requirements	Definitions	"Registrant"			Clean up tranche - Repealed - Non-substantive - The term “approved persons” is used throughout the rules					
Rule 3100: Reporting and Recordkeeping Requirements	Part II	(2)(b)			Clean up tranche - Repealed - Non-substantive - general record retention requirements set out in Plain language rule 3800					
Rule 3200: Minimum Requirements for Dealer Members Seeking Approval Under Rule 1300.1(t) to Offer an Order-Execution Only Service	3200 Part B					Repealed - Substantive - Repeal of previously published provisions - There are no Dealer Members approved under existing Rule 3200B and we do not expect it to be used in the future - References to Rule 3200B have been removed from PLR.				
Rule 3200: Minimum Requirements for Dealer Members Seeking Approval Under Rule 1300.1(t) to Offer an Order-Execution Only Service	3200 Appendix A	(1)-(5)				Repealed - Substantive - Repeal of previously published provisions - There are no Dealer Members approved under existing Rule 3200B and we do not expect it to be used in the future - References to Rule 3200B have been removed from PLR.				
Rule 3400: Research Restrictions and Disclosure Requirements	Definitions	"supervisory analyst"			Clean up tranche - Repealed - Non-substantive - term designated supervisor used rather than supervisory analyst					