

INVESTMENT INDUSTRY REGULATORY ORGANIZATION OF CANADA
DEALER MEMBER FINANCIAL AND OPERATIONAL RULES
PLAIN LANGUAGE RULES 4100 THROUGH 4900

TABLE OF CONCORDANCE

Current rule number and title	Sub-section		New rule number	New section, title and description	Sub-Section	Comments
Rules 4100 and 4200 - General Dealer Member Financial Standards						
New Provision			Rule 4100	R. 4101. - Introduction	{1}	[New - Non-substantive - Introduction section]
New Provision			Rule 4100	R. 4102. - 4109. Reserved		[New - Non-substantive - Reserved sections]
Part A - Minimum capital level and related requirements						
New Provision			Rule 4100	R. 4110. - Introduction	{1}	[New - Non-substantive - Introduction section]
Rule 17: Dealer Member Minimum Capital, Conduct of Business & Insurance	17.01		Rule 4100	R. 4111. - Maintain risk adjusted capital	{1}	
Rule 2600: Internal Control Policy Statements	2600, Statement 2	Procedure {6}	Rule 4100	R. 4112. - Capital deficiency and early warning situations	{1}{i} through {iii}	
Rule 17: Dealer Member Minimum Capital, Conduct of Business & Insurance	17.01		Rule 4100	R. 4112. - Capital deficiency and early warning situations	{1}{ii} and {iii}	
Rule 17: Dealer Member Minimum Capital, Conduct of Business & Insurance	17.01		Rule 4100	R. 4113. - Calculating current capital position - general requirements	{1} and {2}	
Rule 200: Minimum Records	200.01	{k} and {m}	Rule 4100	R. 4113. - Calculating current capital position - general requirements	{2}	

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Current rule number and title	Sub-section		New rule number	New section, title and description	Sub-Section	Comments
Rule 2600: Internal Control Policy Statements	2600, Statement 2	Procedure {5}	Rule 4100	R. 4114. - Calculating current capital position - weekly documentation	{1}	[Amended - Substantive – Amend requirements to require weekly monitoring {not reporting} of compliance with early warning system profitability tests.]
Rule 200: Minimum Records	200.01	{k} and {m}	Rule 4100	R. 4115. - Calculating current capital position - monthly documentation and reconciliation	{1} and {2}	
Rule 2600: Internal Control Policy Statements	2600, Statement 2	Procedure {7}	Rule 4100	R. 4115. - Calculating current capital position - monthly documentation and reconciliation	{1} and {2}	
Rule 200: Minimum Records	200.01	{k} and {m}	Rule 4100	R. 4116. - Dealer Member capital adequacy reporting system - adequate policies and procedures	{1}{i}	
Rule 2600: Internal Control Policy Statements	2600, Statement 2	General	Rule 4100	R. 4116. - Dealer Member capital adequacy reporting system - monitor and act on information	{1}{i} and {ii}	
Rule 200: Minimum Records	200.01		Rule 4100	R. 4116. - Dealer Member capital adequacy reporting system - maintain a capital adequacy reporting system	{1}{ii}	
Rule 2600: Internal Control Policy Statements	2600, Statement 2	Procedures {2}, {3} and {4}	Rule 4100	R. 4116. - Dealer Member capital adequacy reporting system - monitor and act on information	{1}{ii}	
Rule 2600: Internal Control Policy Statements	2600, Statement 2	General	Rule 4100	R. 4116. - Dealer Member capital adequacy reporting system - monitor and act on information	{1}{iii}	
Rule 2600: Internal Control Policy Statements	2600, Statement 2	Procedure {8}	Rule 4100	R. 4116. - Dealer Member capital adequacy reporting system - monitor and act on information	{1}{iv} and {v}	

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Current rule number and title	Sub-section		New rule number	New section, title and description	Sub-Section	Comments
Rule 16: Dealer Members' Auditors and Financial Reporting	16.02	{iv}	Rule 4100	R. 4117. - Consolidation of financial position with related companies	{1}	
Rule 16: Dealer Members' Auditors and Financial Reporting	16.02	{v}	Rule 4100	R. 4117. - Consolidation of financial position with related companies	{2}	
Rule 200: Minimum Records	200.01	{m}	Rule 4100	R. 4118. - Options for calculating risk adjusted capital available to well-capitalized Dealer Members	{1}	
New Provision			Rule 4100	R. 4119. - 4129. Reserved		[New - Non-substantive - Reserved sections]
Part B - Early warning tests and related requirements						
New Provision			Rule 4100	R. 4130. - Introduction	{1}	[New - Non-substantive - Introduction section]
New Provision			Rule 4100	R. 4131. - Definitions	{1}	[New - Non-substantive - Define "average monthly loss" as the term is used in describing the early warning system profitability tests]
Rule 30: Early Warning System	30.01	"early warning excess"	Rule 4100	R. 4131. - Definitions	{2}	
Rule 30: Early Warning System	30.01	"early warning reserve"	Rule 4100	R. 4131. - Definitions	{2}	
New Provision			Rule 4100	R. 4131. - Definitions	{3}	[New - Non-substantive - Define "early warning violation" as the term is used when one or more of the early warning system tests has been failed]

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Current rule number and title	Sub-section		New rule number	New section, title and description	Sub-Section	Comments
New Provision			Rule 4100	R. 4131. - Definitions	{4}	[New - Non-substantive - Define “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]
Form 1, Statement B	Statement B	“risk adjusted capital”	Rule 4100	R. 4131. - Definitions	{5}	
Form 1, Statement B	Statement B	“total margin required”	Rule 4100	R. 4131. - Definitions	{5}	
Rule 30: Early Warning System	30.02 and 30.04	preamble	Rule 4100	R. 4132. - Early warning designation, levels and tests	{1}	
Rule 30: Early Warning System	30.02 and 30.04	Liquidity test	Rule 4100	R. 4132. - Early warning designation, levels and tests	{1}	
Rule 30: Early Warning System	30.02 and 30.04	Capital test	Rule 4100	R. 4132. - Early warning designation, levels and tests	{1}	
Rule 30: Early Warning System	30.02 and 30.04	Profitability test #1	Rule 4100	R. 4132. - Early warning designation, levels and tests	{1}	
Rule 30: Early Warning System	30.02 and 30.04	Profitability test #2	Rule 4100	R. 4132. - Early warning designation, levels and tests	{1}	
Rule 30: Early Warning System	30.04	Profitability test #3	Rule 4100	R. 4132. - Early warning designation, levels and tests	{1}	
Rule 30: Early Warning System	30.04	Frequency test	Rule 4100	R. 4132. - Early warning designation, levels and tests	{1}	[Amended - Substantive - Exclude discretionary early warnings from level 2 frequency test]
Rule 30: Early Warning System	30.03{i} and 30.05	Notifying the Corp in writing	Rule 4100	R. 4133. - Early warning related requirements	{1}	

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Current rule number and title	Sub-section		New rule number	New section, title and description	Sub-Section	Comments
Rule 30: Early Warning System	30.05{c}	Meeting with the Corp	Rule 4100	R. 4133. - Early warning related requirements	{1}	
Rule 30: Early Warning System	30.03{ii}{2}, {4} and {5}; 30.03{iii}; 30.03{iv}; and 30.03{v}; 30.05 preamble; 30.05{b}; 30.05{d}; 30.05{e}; 30.05{f}; and 30.05{g}	Taking required actions	Rule 4100	R. 4133. - Early warning related requirements	{1}	
Rule 30: Early Warning System	30.03{ii} and {iii} and 30.05	Responding to the Corp's letter	Rule 4100	R. 4133. - Early warning related requirements	{1}	
Rule 30: Early Warning System	30.03{vi}	On-site reviewing of the Dealer Member's procedures	Rule 4100	R. 4133. - Early warning related requirements	{1}	
Rule 30: Early Warning System	30.03 and 30.05{h}		Rule 4100	[Repealed]		[Repealed - Substantive - Remove the reporting of early warning situations to applicable District Council]
Rule 30: Early Warning System	30.05{i}	Reimbursing the Corp's costs	Rule 4100	R. 4133. - Early warning related requirements	{1}	[Amended - Substantive - Extend the requirement to reimburse the Corporation for costs it incurs relating to early warning level 1 situations.]

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Current rule number and title	Sub-section		New rule number	New section, title and description	Sub-Section	Comments
Rule 30: Early Warning System	30.02		Rule 4100	R. 4134. - Discretion to designate a Dealer Member as being in early warning	{1}	
Rule 30: Early Warning System	30.04		Rule 4100	R. 4134. - Discretion to designate a Dealer Member as being in early warning	{1}	
Rule 30: Early Warning System	30.03	{iv}	Rule 4100	R. 4135. - Restrictions on a Dealer Member in early warning	{1}	
Rule 30: Early Warning System	30.05	{j}	Rule 4100	R. 4136. - Additional restrictions	{1}	
Rule 30: Early Warning System	30.06		Rule 4100	R. 4136. - Additional restrictions	{1}	
Rule 30: Early Warning System	30.03		Rule 4100	R. 4137. - Prohibited transactions	{1}	
Rule 30: Early Warning System	30.07		Rule 4100	[Repealed]		[Repealed - Non-substantive] - Requirement to inform other CIPF participating organizations is redundant as IIROC is now the only CIPF participating organization.]
Rule 30: Early Warning System	30.08		Rule 4100	R. 4138. - Lifting an early warning designation	{1}	
New Provision			Rule 4100	R. 4139. - 4149. Reserved		[New - Non-substantive - Reserved sections]
Part C - Regulatory financial report filing requirements						
New Provision			Rule 4100	R. 4150. - Introduction	{1}	[New - Non-substantive - Introduction section]
Rule 16: Dealer Members' Auditors and Financial Reporting	16.02	{i}-{ii}	Rule 4100	R. 4151. - Dealer Member financial filings	{1}	
Rule 16: Dealer Members' Auditors and Financial Reporting	16.02	{iii}	Rule 4100	R. 4152. - Extending deadline for financial filings	{1} through {3}	[Amended - Substantive - Add ability for IIROC to grant an extension for the MFR filing.]
Rule 16: Dealer Members' Auditors and Financial Reporting	16.10		Rule 4100	R. 4153. - Late filing fee	{1}	
New Provision			Rule 4100	R. 4154. - 4169. Reserved		[New - Non-substantive - Reserved sections]

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Current rule number and title	Sub-section		New rule number	New section, title and description	Sub-Section	Comments
Part D - Appointment of auditors and audit requirements						
New Provision			Rule 4100	R. 4170. - Introduction	{1}	[New - Non-substantive] - Introduction section]
Rule 16: Dealer Members' Auditors and Financial Reporting	16.01		Rule 4100	R. 4171. - Approved auditors	{1} and {2}	[New - Substantive] - Change the authority for approving panel auditors from each District Council to IIROC]
Rule 16: Dealer Members' Auditors and Financial Reporting	16.01		Rule 4100	R. 4172. - Dealer Member's auditor	{1}	
Rule 16: Dealer Members' Auditors and Financial Reporting	16.05	Remainder of 1 st sentence	Rule 4100	R. 4173. - Responsibilities of a Dealer Member's auditor	{1}	
Rule 300: Audit Requirements	300.02	End of 1 st sentence	Rule 4100	R. 4174. - No limitation on scope or procedures	{1}	
Rule 16: Dealer Members' Auditors and Financial Reporting	16.05		Rule 4100	R. 4175. - Audit in accordance with Canadian Auditing Standards {CAS}	{1}	
Rule 300: Audit Requirements	300.01		Rule 4100	R. 4175. - Audit in accordance with Canadian Auditing Standards {CAS}	{1} and {2}	
Rule 300: Audit Requirements	300.01	2 nd part of 1 st sentence and 2 nd sentence	Rule 4100	[Repealed]		[Repealed - Non-substantive] - Delete because it is duplicative of the requirements of the CICA Handbook]
Rule 300: Audit Requirements	300.02	Preamble 2 nd sentence	Rule 4100	[Repealed]		[Repealed - Non-substantive] - Delete because it is duplicative of the requirements of the CICA Handbook]
Rule 300: Audit Requirements	300.02	{i}-{ii}	Rule 4100	[Repealed]		[Repealed - Non-substantive] - Delete because it is duplicative of the requirements of the CICA Handbook]

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Current rule number and title	Sub-section		New rule number	New section, title and description	Sub-Section	Comments
Rule 300: Audit Requirements	300.02	1 st sentence after 300.2{ii}	Rule 4100	[Repealed]		[Repealed - Non-substantive] - Delete because it is duplicative of the requirements of the CICA Handbook]
Rule 300: Audit Requirements	300.02	2 nd sentence after 300.2{ii}	Rule 4100	[Repealed]		[Repealed - Non-substantive] - Delete because it is duplicative of the requirements of the CICA Handbook]
Rule 300: Audit Requirements	300.02	2 nd paragraph after {ii}	Rule 4100	R. 4175. - Audit in accordance with Canadian Auditing Standards {CAS}	{3}	
Rule 300: Audit Requirements	300.02	Paragraph after {ii}	Rule 4100	R. 4176. - Test procedures as at the fiscal year-end date	{1}	
Rule 300: Audit Requirements	300.02	{a}{i}	Rule 4100	[Repealed]		[Repealed - Non-substantive] - Delete because it is duplicative of the requirements of the CICA Handbook]
Rule 300: Audit Requirements	300.02	{a}{ii}	Rule 4100	R. 4177. - Account for all securities, currencies, and other like assets	{1} through {4}	
Rule 300: Audit Requirements	300.02	{a}{ii}	Rule 4100	R. 4178. - Verify securities in transfer and in transit	{1}	[Amended - Non-substantive] - Remove language because it is duplicative of the requirements of the CICA Handbook]
Rule 300: Audit Requirements	300.02	{a}{iii}	Rule 4100	R. 4178. - Verify securities in transfer and in transit	{1}	
Rule 300: Audit Requirements	300.02	{a}{iv}	Rule 4100	R. 4179. - Review the Dealer Member's position balancing and account reconciliations	{1} and {2}	[Amended - Substantive] - Amend the following: - replace the term "commodity and option contracts" with the term "derivatives"; and - replace the term "mutual funds" with the term "non-certificated instruments".]

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Current rule number and title	Sub-section		New rule number	New section, title and description	Sub-Section	Comments
Rule 300: Audit Requirements	300.02	{a}{v}	Rule 4100	R. 4180. - Review bank reconciliations	{1}	
Rule 300: Audit Requirements	300.02	{a}{vi}	Rule 4100	R. 4181. - Review custodial agreements and approvals	{1} and {2}	
Rule 300: Audit Requirements	300.02	{a}{vii}{1}- {9}	Rule 4100	R. 4182. - Obtain written positive confirmations	{1}	[Amended - Substantive - Amend the following: ▪ replace the term “commodity and option contracts” with the term “derivatives”; and ▪ replace the term “mutual funds” with the term “non-certificated instruments” Amended - Non-substantive - Remove the requirement for auditor to obtain written confirmations about lawsuits and other legal matters, as this is already a requirement of the CICA Handbook.]
Rule 300: Audit Requirements	300.02	{a}{vii}, last sentence	Rule 4100	R. 4183. - Review a sample of signed guarantee agreements	{1}	
Rule 300: Audit Requirements	300.02	{a}{viii}	Rule 4100	R. 4184. - Test and procedures on statements and schedules of Form 1	{1}	
Rule 300: Audit Requirements	300.02	{b}	Rule 4100	R. 4185. - Test statements for a description of securities held in safekeeping	{1}	
Rule 300: Audit Requirements	300.02	{a}{ix}	Rule 4100	R. 4186. - Dealer Member obligations to auditor	{1}	
Rule 16: Dealer Members’ Auditors and Financial Reporting	16.06		Rule 4100	R. 4186. - Dealer Member obligations to auditor	{2} and {3}	

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Current rule number and title	Sub-section		New rule number	New section, title and description	Sub-Section	Comments
Rule 300: Audit Requirements	300.02	{a}{vii}, 3 rd and 4 th sentences following {9}	Rule 4100	R. 4187. - Selection of accounts for positive confirmation	{1}	
Rule 300: Audit Requirements	300.02	{a}{vii}, 5 th sentence following {9}	Rule 4100	R. 4188. - Written confirmation of clients' accounts with no balance	{1}	
Rule 300: Audit Requirements	300.02	{a}{vii}, 6 th and 7 th sentences following {9}	Rule 4100	R. 4189. - Effect on capital if no position written confirmation received for a guarantee	{1} and {2}	[Amended - Non-substantive] - Replace in subsection {1} the reference to those who sign a guarantee agreement from "customer" with "parties".]
Rule 300: Audit Requirements	300.02	{a}{vii}, 1 st sentence following {9}	Rule 4100	[Repealed]		[Repealed - Non-substantive] - Delete because it is duplicative of the requirements of the CICA Handbook]
Rule 300: Audit Requirements	300.02	{a}{vii}, 2 nd sentence following {9}	Rule 4100	[Repealed]		[Repealed - Non-substantive] - Delete because it is duplicative of the requirements of the CICA Handbook]
Rule 300: Audit Requirements	300.02	{c}	Rule 4100	R. 4190. - Calculations for Form 1 and other reporting	{1}	
Rule 300: Audit Requirements	300.03	{a}	Rule 4100	R. 4190. - Calculations for Form 1 and other reporting	{2}	
Rule 300: Audit Requirements	300.03	{b}	Rule 4100	[Repealed]		[Repealed - Non-substantive] - Remove reference to "exchange seats" because it is no longer relevant due to exchange demutualization]
Rule 300: Audit Requirements	300.03	{c}	Rule 4100	[Repealed]		[Repealed - Non-substantive] - Delete because it is duplicative of the requirements of the CICA Handbook]

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Current rule number and title	Sub-section		New rule number	New section, title and description	Sub-Section	Comments
Rule 300: Audit Requirements	300.04		Rule 4100	[Repealed]		[Repealed - Non-substantive] - Delete because it is duplicative of the requirements of the CICA Handbook]
Rule 300: Audit Requirements	300.05		Rule 4100	R. 4191. - Auditor's records	{1} through {3}	
Rule 300: Audit Requirements	300.06		Rule 4100	R. 4192. - Reporting a material breach of Corporation requirements	{1}	
New Provision			Rule 4100	R. 4193. - 4199. Reserved		[New - Non-substantive - Reserved sections]
Part E - Financial disclosure to clients						
New Provision			Rule 4200	R. 4200. - Introduction	{1}	[New - Non-substantive - Introduction section]
Rule 1400: Disclosure to Clients of Member's Financial Condition	1400.01		Rule 4200	R. 4201. - Statement of financial condition available	{1} through {3}	
Rule 1400: Disclosure to Clients of Member's Financial Condition	1400.03		Rule 4200	R. 4202. - Statement of financial condition - contents	{1}	
Rule 1400: Disclosure to Clients of Member's Financial Condition	1400.01		Rule 4200	R. 4203. - Consolidated financial statements - similar named entity	{1}	
Rule 1400: Disclosure to Clients of Member's Financial Condition	1400.04	{b}	Rule 4200	R. 4203. - Consolidated financial statements - similar named entity	{1}	
Rule 1400: Disclosure to Clients of Member's Financial Condition	1400.04	Opening paragraph, {a} and {b}	Rule 4200	R. 4203. - Consolidated financial statements - similar named entity	{2}	
Rule 17: Dealer Member Minimum Capital, Conduct of Business & Insurance	17.10		Rule 4200	R. 4204. - Dealer Member's auditor's report	{1}	
Rule 1400: Disclosure to Clients of Member's Financial Condition	1400.05		Rule 4200	R. 4204. - Dealer Member's auditor's report	{2}	
Rule 1400: Disclosure to Clients of Member's Financial Condition	1400.02		Rule 4200	R. 4205. - Publishing a statement of financial condition	{1}	

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Current rule number and title	Sub-section		New rule number	New section, title and description	Sub-Section	Comments
Rule 1400: Disclosure to Clients of Member's Financial Condition	1400.06		Rule 4200	R. 4206. - List of current executives and directors	{1}	
Rule 1400: Disclosure to Clients of Member's Financial Condition	1400.07		Rule 4200	R. 4207. - Statement of financial condition available to clients	{1}	
New Provision			Rule 4100	R. 4208. - 4219. Reserved		[New - Non-substantive - Reserved sections]
Part F - General internal control requirements						
New Provision			Rule 4200	R. 4220. - Introduction	{1}	[New - Non-substantive - Introduction section]
Rule 2600: Internal Control Policy Statements	2600, Statement 1	General matters - {iv} 2 nd , 3 rd and 4 th sentence	Rule 4200	R. 4221. - Definitions		
Rule 17: Dealer Member Minimum Capital, Conduct of Business & Insurance	17.02A		Rule 4200	R. 4222. - Adequate internal controls	{1}	
Rule 2600: Internal Control Policy Statements	2600, Statement 1	General matters - 2 nd paragraph, 2 nd sentence	Rule 4200	R. 4222. - Adequate internal controls	{2}	
Rule 2600: Internal Control Policy Statements	2600, Statement 1	General matters - {v}	Rule 4200	R. 4222. - Adequate internal controls	{3}	
Rule 2600: Internal Control Policy Statements	2600, Statement 1	General matters - 2 nd paragraph after {iv}, 1 st sentence	Rule 4200	R. 4223. - Preventive controls	{1}	

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Current rule number and title	Sub-section		New rule number	New section, title and description	Sub-Section	Comments
Rule 2600: Internal Control Policy Statements	2600, Statement 1	General matters - 2 nd paragraph after {v}, 1 st sentence	Rule 4200	R. 4224. - Written record	{1}	
Rule 2600: Internal Control Policy Statements	2600, Statement 1	General matters - 2 nd paragraph after {iv}, 2 nd sentence	Rule 4200	R. 4225. - Review and written approval of internal controls	{1}	
New Provision			Rule 4100	R. 4226. - 4239. Reserved		[New - Non-substantive - Reserved sections]
Part G - Pricing internal control requirements						
New Provision			Rule 4200	R. 4240. - Introduction	{1}	[New - Non-substantive - Introduction section]
Rule 2600: Internal Control Policy Statements	2600, Statement 7	Control objective {d}	Rule 4200	R. 4241. - Pricing Procedures	{1}	
Rule 2600: Internal Control Policy Statements	2600, Statement 7	Procedure {7}	Rule 4200	R. 4241. - Pricing Procedures	{2}	
Rule 2600: Internal Control Policy Statements	2600, Statement 7	Control objective {c}	Rule 4200	R. 4241. - Pricing Procedures	{3}	
Rule 2600: Internal Control Policy Statements	2600, Statement 7	Procedure {2}	Rule 4200	R. 4241. - Pricing Procedures	{3}	
Rule 2600: Internal Control Policy Statements	2600, Statement 7	Procedure {3}, 1 st sentence	Rule 4200	R. 4241. - Pricing Procedures	{4}	

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Current rule number and title	Sub-section		New rule number	New section, title and description	Sub-Section	Comments
Rule 2600: Internal Control Policy Statements	2600, Statement 7	Procedure {8}	Rule 4200	R. 4241. - Pricing Procedures	{5}	
Rule 2600: Internal Control Policy Statements	2600, Statement 7	Procedure {3}, 2 nd sentence	Rule 4200	R. 4241. - Pricing Procedures	{5}	
Rule 2600: Internal Control Policy Statements	2600, Statement 7	Control objective {a}	Rule 4200	R. 4242. - Independent price verification	{1}	
Rule 2600: Internal Control Policy Statements	2600, Statement 7	Procedure {5}, 1 st sentence	Rule 4200	R. 4242. - Independent price verification	{1}	
Rule 2600: Internal Control Policy Statements	2600, Statement 7	Control objective {a}	Rule 4200	R. 4242. - Independent price verification	{2}	
Rule 2600: Internal Control Policy Statements	2600, Statement 7	Procedure {5}, 2 nd sentence	Rule 4200	R. 4242. - Independent price verification	{2}	
Rule 2600: Internal Control Policy Statements	2600, Statement 7	Control objective {b}	Rule 4200	R. 4242. - Independent price verification	{3}	
Rule 2600: Internal Control Policy Statements	2600, Statement 7	Procedure {1}	Rule 4200	R. 4242. - Independent price verification	{3}	
Rule 2600: Internal Control Policy Statements	2600, Statement 7	Procedure {6}	Rule 4200	R. 4243. - Keep supporting documents	{1}	
Rule 2600: Internal Control Policy Statements	2600, Statement 7	Procedure {4}	Rule 4200	R. 4244. - Access to records	{1}	
New Provision			Rule 4100	R. 4245. - 4259. Reserved		[New - Non-substantive - Reserved sections]

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Current rule number and title	Sub-section		New rule number	New section, title and description	Sub-Section	Comments
Part H - Calculation of price on a yield basis						
New Provision			Rule 4200	R. 4260. - Introduction	{1}	[New - Non-substantive - Introduction section]
Rule 1100: Calculating Price on a Yield Basis	1100.01	1 st paragraph	Rule 4200	R. 4261. - Calculating price if no method stated for calculating unexpired term	{1}	
Rule 1100: Calculating Price on a Yield Basis	1100.01	{a}	Rule 4200	R. 4262. - Bonds with unexpired term up to and including ten years	{1} and {2}	
Rule 1100: Calculating Price on a Yield Basis	1100.01	{b}	Rule 4200	R. 4263. - Bonds with unexpired terms over ten years	{1}	
Rule 1100: Calculating Price on a Yield Basis	1100.01	{c}	Rule 4200	R. 4264. - Prices	{1}	
Rule 1100: Calculating Price on a Yield Basis	1100.01	{d}	Rule 4200	R. 4265. - New Issues	{1}	
Rule 1100: Calculating Price on a Yield Basis	1100.02		Rule 4200	R. 4266. - Exceptions	{1}	
Rule 1100: Calculating Price on a Yield Basis	1100.03		Rule 4200	[Repealed]		[Repealed - Substantive – Remove 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.]
New Provision			Rule 4200	R. 4267. - 4299. Reserved.		[New - Non-substantive - Reserved sections]
Rules 4300 and 4400 - Protection of client assets						
New Provision			Rule 4300	R. 4301. - Introduction	{1}	[New - Non-substantive - Introduction section]
New Provision			Rule 4300	R. 4302. - 4309. Reserved		[New - Non-substantive - Reserved sections]
Part A - Segregation and related internal control requirements						
Part A.1 - General segregation requirements						

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Current rule number and title	Sub-section		New rule number	New section, title and description	Sub-Section	Comments
New Provision			Rule 4300	R. 4310. - Introduction	{1}	[New - Non-substantive - Introduction section]
Rule 2000: Segregation Requirements	2000.04	{b} and {c}	Rule 4300	R. 4311. - Definitions	{1}	
Rule 0017: Dealer Member Minimum Capital, Conduct of Business & Insurance	17.03		Rule 4300	R. 4312. - Fully paid and excess margin securities	{1}	
Rule 2600: Internal Control Policy Statements	2600, Statement 4	Control objective {b}	Rule 4300	R. 4312. - Fully paid and excess margin securities	{1}	
New Provision			Rule 4300	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 & Insurance	17.03	B	Rule 4300	R. 4312. - Fully paid and excess margin securities	{3}	
Rule 2000: Segregation Requirements	2000.03		Rule 4300	R. 4313. - Restricted and non-negotiable securities	{1}	
Rule 0017: Dealer Member Minimum Capital, Conduct of Business & Insurance	17.03	A	Rule 4300	R. 4314. - Segregation of client securities	{1}{i} and {ii} and {2}	
Part A.2 - Bulk segregation calculation						
New Provision			Rule 4300	R. 4315. - Steps for bulk segregation calculation	{1}	[New - Non-substantive – Enact section to generally describe segregation requirements]
Rule 2000: Segregation Requirements	2000.04	{a} and paragraph after {a}	Rule 4300	R. 4316. - Net loan value and market value of securities in a client's account	{1} through {3}	
Rule 2000: Segregation Requirements	2000.05	1 st sentence and {a} and {b}	Rule 4300	R. 4317. - Calculating the number of client securities to be segregated in bulk	{1}	

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Current rule number and title	Sub-section		New rule number	New section, title and description	Sub-Section	Comments
Rule 2000: Segregation Requirements	2000.05	paragraphs after 2000.5{b}	Rule 4300	R. 4318. - Determining securities to satisfy segregation requirements	{1} through {3}	
Rule 2000: Segregation Requirements	2000.06		Rule 4300	R. 4319. - Frequency and review of bulk segregation calculation	{1}	
Rule 2000: Segregation Requirements	2000.07		Rule 4300	R. 4319. - Frequency and review of bulk segregation calculation	{2}	
Part A.3 - Security usage restrictions and correcting segregation deficiencies						
Rule 2000: Segregation Requirements	2000.08	{a} and {b}	Rule 4300	R. 4320. - General restrictions	{1}	
Rule 2000: Segregation Requirements	2000.08	{c}				[Repealed - Non-substantive - Remove subsection that is duplicative of other Rule 2000 requirements.]
Rule 2000: Segregation Requirements	2000.09	1 st paragraph	Rule 4300	R. 4321. - Correcting segregation deficiency	{1} and {2}	
Rule 2600: Internal Control Policy Statements	2600, Statement 4	Procedures {6} and {8}	Rule 4300	R. 4321. - Correcting segregation deficiencies	{1} and {2}	
Rule 2000: Segregation Requirements	2000.09	2 nd paragraph	Rule 4300	R. 4322. - Call loan segregation deficiency	{1}	
Rule 2000: Segregation Requirements	2000.09	3 rd paragraph	Rule 4300	R. 4323. - Securities loan segregation deficiency	{1} and {2}	
Rule 2000: Segregation Requirements	2000.09	4 th paragraph	Rule 4300	R. 4324. - Inventory or trading account short position segregation deficiency	{1}	
Rule 2000: Segregation Requirements	2000.09	5 th paragraph	Rule 4300	R. 4325. - Client declared short sales segregation deficiency	{1}	
Rule 2000: Segregation Requirements	2000.09	6 th paragraph	Rule 4300	R. 4326. - Fails - client, Dealer Member, acceptable institutions or acceptable counterparties	{1}	
Part A.4 - Minimum segregation policies and procedures						

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Current rule number and title	Sub-section		New rule number	New section, title and description	Sub-Section	Comments
New Provision			Rule 4300	R. 4327. - General	{1}	[New - Non-substantive - Overview of new Part A.4]
Rule 0001: Interpretation & Effect	1.01	“Segregated Securities”	Rule 4300	R.4328. - Records of segregated securities	{1}	[Amended - Substantive – Amend to make requirements for maintenance of Dealer Member records more specific.]
Rule 2600: Internal Control Policy Statements	2600, Statement 4	Procedure {1}	Rule 4300	R. 4329. - Twice-weekly report of items requiring segregation	{1}	
Rule 2600: Internal Control Policy Statements	2600, Statement 4	Procedure {9}	Rule 4300	R. 4330. - Reporting segregation deficiency	{1}	
Rule 2600: Internal Control Policy Statements	2600, Statement 4	Procedure {4}	Rule 4300	R. 4331. - Authorized personnel move securities	{1}	
New Provision			Rule 4300	R. 4332. - 4339. Reserved		[New - Non-substantive - Reserved sections]
Part B - Custody and related internal control requirements						
Part B.1 - General custody requirements						
New Provision			Rule 4300	R. 4340. - Introduction	{1}	[New - Non-substantive - Introduction section]
Rule 2000: Segregation Requirements	2000.01		Rule 4300	R. 4341. - Hold securities in an acceptable securities location	{1}	
Rule 2000: Segregation Requirements	2000.02		Rule 4300	R. 4341. - Hold securities in an acceptable securities location	{1}	
Form 1, General Notes and Definitions	“acceptable securities locations”	{d}	Rule 4300	R. 4341. - Hold securities in an acceptable securities location	{1}	
Rule 2600: Internal Control Policy Statements	2600, Statement 4	Procedure {2}	Rule 4300	R. 4342. - Timely deposit	{1}	
Part B.2 - Acceptable securities locations						

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Current rule number and title	Sub-section		New rule number	New section, title and description	Sub-Section	Comments
Rule 2000: Segregation Requirements	2000.02	1 st sentence	Rule 4300	R. 4343. - Acceptable internal storage	{1}	
Rule 2000: Segregation Requirements	2000.02	{a}	Rule 4300	R. 4344. - Acceptable internal storage requirements	{1}	
Rule 2000: Segregation Requirements	2000.02	{b}	Rule 4300	R. 4345. - Acceptable transfer locations	{1}	
Rule 2000: Segregation Requirements	2000.01	1 st paragraph	Rule 4300	R. 4346. - Securities not under a Dealer Member's control or physical possession	{1}	
Form 1, General Notes and Definitions	General Notes and Definitions	{d} "acceptable securities locations"	Rule 4300	R. 4347. - Entities that may be acceptable external securities locations	{1}	
Form 1, General Notes and Definitions	General Notes and Definitions	{d} "acceptable securities locations"	Rule 4300	R. 4348. - Approval of foreign institutions or securities dealers	{1}	
Form 1, General Notes and Definitions	General Notes and Definitions	{d} "acceptable securities locations"	Rule 4300	R. 4349. - Application to the Corporation for approval of foreign institutions or securities dealers as acceptable securities locations	{1} and {2}	
Form 1, General Notes and Definitions	General Notes and Definitions	{d} "acceptable securities locations"	Rule 4300	R. 4350. - Annual approval of foreign institutions or securities dealers as acceptable securities locations	{1} through {3}	[Amended - Substantive – Amend 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]
Form 1, Statement B, Notes and Instructions	Statement B, Notes and Instructions	Note to Line 18	Rule 4300	R. 4351. - Obtaining a client waiver when an acceptable external securities location is unavailable	{1} through {4}	

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Current rule number and title	Sub-section		New rule number	New section, title and description	Sub-Section	Comments
Part B.3 - Written custodial agreement requirement						
Rule 2000: Segregation Requirements	2000.01	1 st sentence, {a}, {b} and {c}	Rule 4300	R. 4352. - Agreement with each acceptable external securities location	{1}	[Amended - Substantive – Amend to include indemnification clause requirement, a clause already included in IIROC's standard agreement custody agreement.]
Rule 2600: Internal Control Policy Statements	2600, Statement 4	Procedure {3}	Rule 4300	R. 4352. - Agreement with each acceptable external securities location	{2}	
New Provision			Rule 4300	R. 4353. - Bare trustee custodial agreement	{1}	[New - Substantive – Enact 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]
Part B.4 - Confirmation and reconciliation requirements						
Rule 2000: Segregation Requirements	2000.02	{a}	Rule 4300	R. 4354. - Securities in transit	{1}{i} and {ii}	
Rule 0300: Audit Requirements	300.02	{a}{vii}{2}	Rule 4300	R. 4355. - Confirmations from external securities locations	{1}	
New Provision			Rule 4300	R. 4355. - Confirmations from external securities locations	{2}	[New - Substantive – Enact subsection to specify action to be taken by a Dealer Member when a custodian does not respond to an annual positive confirmation request.]
Rule 2000: Segregation Requirements	2000.02	{b}, 2 nd paragraph	Rule 4300	R. 4356. - Confirmations from transfer locations in Canada	{1} through {3}	

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Current rule number and title	Sub-section		New rule number	New section, title and description	Sub-Section	Comments
Rule 2000: Segregation Requirements	2000.02	{b}, 3 rd paragraph, 1 st sentence	Rule 4300	R. 4357. - Confirmations from transfer locations in the United States	{1} through {3}	
Rule 2000: Segregation Requirements	2000.02	{b}, 3 rd paragraph, 2 nd sentence	Rule 4300	R. 4358. - Confirmations from transfer locations outside Canada and the United States	{1} through {3}	
Rule 2000: Segregation Requirements	2000.09	7 th paragraph	Rule 4300	R. 4359. - Confirmations of stock dividends receivable and stock splits	{1} and {2}	
New Provision			Rule 4300	R. 4360. - Reconcile books and records for mutual funds and deposit investment contracts	{1}	[New - Substantive] - Enact subsection to specify reconciliation process for deposit investment contracts. Requirements are consistent with previously issued guidance in IDA Member Regulation Notice MR-080]
Part B.5 - Margin requirements						
Form 1, Statement B, Notes and Instructions	Statement B, Notes and Instructions	Notes to Lines 18 and 20	Rule 4300	R. 4361. - Acceptable securities location	{1}	
Form 1, Statement B, Notes and Instructions	Statement B, Notes and Instructions	Notes to Lines 18 and 20	Rule 4300	R. 4362. - Margin charges - non-acceptable securities location	{1}	
Form 1, Statement B, Notes and Instructions	Statement B, Notes and Instructions	Notes to Lines 18 and 20	Rule 4300	R. 4363. - Non-acceptable internal storage and non-acceptable securities location	{1}	

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Current rule number and title	Sub-section		New rule number	New section, title and description	Sub-Section	Comments
New Provision			Rule 4300	R. 4364. - 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 4355{2}.]
Rule 2000: Segregation Requirements	2000.02	{b} 4 th paragraph	Rule 4300	R. 4364. - No Confirmation from securities location	{1}{ii}	
Rule 2000: Segregation Requirements	2000.09	7 th paragraph	Rule 4300	R. 4364. - No Confirmation from securities location	{1}{iii}	
Rule 2000: Segregation Requirements	2000.09	8 th paragraph	Rule 4300	R. 4364. - No Confirmation from securities location	{2}	
Form 1, Statement B, Notes and Instructions	Statement B	Line 20	Rule 4300	R. 4364. - No Confirmation from securities location	{2}{i}	
New Provision			Rule 4300	R. 4365. - No written custodial agreement	{1}	[New - Non-substantive - Introduction to section on custodial agreement related margin requirements]
Form 1, Statement C, Notes and Instructions	Statement C	Line 2{c}	Rule 4300	R. 4365. - No written custodial agreement	{2}	
Form 1, Statement B, Notes and Instructions	Statement B	Lines 18 and 20	Rule 4300	R. 4365. - No written custodial agreement	{3}	
Form 1, Statement B, Notes and Instructions	Statement B	Line 20	Rule 4300	R. 4366. - Books and records - reconciliation	{1} and {2}{i}	
Rule 2000: Segregation Requirements	2000.09	8 th paragraph	Rule 4300	R. 4366. - Books and records - reconciliation	{2}{ii}	
Rule 2000: Segregation Requirements	2000.09	8 th paragraph	Rule 4300	R. 4367. - Difference accounts	{1} and {2}	
New Provision			Rule 4300	R. 4368. - 4379. Reserved		[New - Non-substantive - Reserved sections]
Part C - Client free credit requirements						
New Provision			Rule 4300	R. 4380. - Introduction	{1}	[New - Non-substantive - Introduction section]

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Current rule number and title	Sub-section		New rule number	New section, title and description	Sub-Section	Comments
Rule 1200: Clients' Free Credit Balances	1200.01	{a}	Rule 4300	R. 4381. - Definitions	{1}{i}{a}	
Rule 1200: Clients' Free Credit Balances	1200.01	{b}	Rule 4300	R. 4381. - Definitions	{1}{i}{b}	
New Provision			Rule 4300	R. 4381. - Definitions	{1}{ii}	[New - Non Substantive – Add definition of “net allowable assets” to refer back to Form 1 calculation under same name.]
Form 1, Statement D	Statement D		Rule 4300	R. 4382. - Dealer Member's use of client free credit balances	{1}	
Rule 1200: Clients' Free Credit Balances	1200.02		Rule 4300	R. 4383. - Notation on client account statements	{1}	
Rule 1200: Clients' Free Credit Balances	1200.03		Rule 4300	R. 4384 Calculating useable free credit balances	{1} and {2}	
Rule 1200: Clients' Free Credit Balances	1200.04		Rule 4300	R. 4385 Weekly calculation	{1}	
Rule 1200: Clients' Free Credit Balances	1200.05		Rule 4300	R. 4386 Daily compliance review	{1} and {2}	
Rule 1200: Clients' Free Credit Balances	1200.06		Rule 4300	R. 4386 Daily compliance review	{2}	
New Provision			Rule 4300	R. 4387. - 4399. Reserved		[New - Non-substantive - Reserved sections]
Part D - Safekeeping requirements						
New Provision			Rule 4400	R. 4400. - Introduction	{1}	[New - Non-substantive - Introduction section]
Rule 2600: Internal Control Policy Statements	2600, Statement 5	Procedure {1}	Rule 4400	R. 4401. - Written safekeeping agreement	{1}	
Rule 0001: Interpretation and Effect	1.1	“Securities Held for Safekeeping”	Rule 4400	R. 4402. - Securities free from encumbrance	{1}	

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Current rule number and title	Sub-section		New rule number	New section, title and description	Sub-Section	Comments
Rule 2600: Internal Control Policy Statements	2600, Statement 5	Procedure {2}	Rule 4400	R. 4403. - Procedures to keep securities apart	{1}	
Rule 2600: Internal Control Policy Statements	2600, Statement 5	Procedure {3}	Rule 4400	R. 4404. - Identifying securities held for safekeeping in records	{1}	
Rule 2600: Internal Control Policy Statements	2600, Statement 5	Procedure {4}	Rule 4400	R. 4405. - Release of securities held in safekeeping	{1}	
Rule 0001: Interpretation and Effect	1.1	"Securities Held for Safekeeping"	Rule 4400	R. 4405. - Release of securities held in safekeeping	{2}	
New Provision			Rule 4400	R. 4406. - 4419. Reserved		[New - Non-substantive - Reserved sections]
Part E - Internal controls requirements for safeguarding cash and securities						
New Provision			Rule 4400	R. 4420. - Introduction	{1}	[New - Non-substantive - Introduction section]
Rule 2600: Internal Control Policy Statements	2600, Statement 6	Control Objective {a}	Rule 4400	R. 4421. - Safeguarding client and Dealer Member cash and securities	{1}{i}	
Rule 2600: Internal Control Policy Statements	2600, Statement 6	Control Objective {b}	Rule 4400	R. 4421. - Safeguarding client and Dealer Member cash and securities	{1}{ii}	
Rule 2600: Internal Control Policy Statements	2600, Statement 6		Rule 4400	R. 4421. - Safeguarding client and Dealer Member cash and securities	{2}	
Rule 2600: Internal Control Policy Statements	2600, Statement 6	parenthetical	Rule 4400	R. 4421. - Safeguarding client and Dealer Member cash and securities	{3}	[Amended - Non-substantive - Revise wording to create positive obligation on Dealer Member to have appropriate control procedures to safeguard client and Dealer Member cash and securities]

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Current rule number and title	Sub-section		New rule number	New section, title and description	Sub-Section	Comments
Rule 2600: Internal Control Policy Statements	2600, Statement 6	Procedure {1}	Rule 4400	R. 4422. - Receipt and delivery of securities	{1} through {5}	
Rule 2600: Internal Control Policy Statements	2600, Statement 6	Procedure {2}	Rule 4400	R. 4423. - Restricted access to securities	{1} through {3}	[Amended - Non-substantive] - Remove reference to vault facilities as requirement is outdated.]
Rule 2600: Internal Control Policy Statements	2600, Statement 6	Procedure {3}	Rule 4400	R. 4424. - Clearing	{1} through {7}	[Amended - Non-substantive] – Remove current rule procedure 3{f} which to use of securities “not contrary to any laws” as not acting contrary to legislation is already covered generally.]
Rule 2600: Internal Control Policy Statements	2600, Statement 6	Procedure {4}	Rule 4400	R. 4425. - Protecting securities	{1} through {4}	[Amended - Non-substantive] – Remove redundant requirement in current procedure {4}{b} to limit the value of securities or other assets held at an individual securities location due to dematerialization]
Rule 2600: Internal Control Policy Statements	2600, Statement 6	Procedure {5}	Rule 4400	R. 4426. - How to handle security records	{1} through {3}	
Rule 2600: Internal Control Policy Statements	2600, Statement 6	Procedure {6}	Rule 4400	R. 4427. - Rules for counting securities	{1} through {5}	
Rule 2600: Internal Control Policy Statements	2600, Statement 6	Procedure {7}	Rule 4400	R. 4428. - Moving certificates and securities between branches	{1} through {4}	
Rule 2600: Internal Control Policy Statements	2600, Statement 6	Procedure {8}	Rule 4400	R. 4429. - Transferring securities	{1} through {7}	
Rule 2600: Internal Control Policy Statements	2600, Statement 6	Procedure {9}	Rule 4400	R. 4430. - Re-organization	{1} through {5}	

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Current rule number and title	Sub-section		New rule number	New section, title and description	Sub-Section	Comments
Rule 2600: Internal Control Policy Statements	2600, Statement 6	Procedure {10}	Rule 4400	R. 4431. - Handling dividends and interest	{1} through {8}	
Rule 2600: Internal Control Policy Statements	2600, Statement 6	Procedure {11}	Rule 4400	R. 4432. - Reconciling internal accounts	{1} and {2}	
Rule 2600: Internal Control Policy Statements	2600, Statement 6	Procedure {12}	Rule 4400	R. 4433. - Cash	{1} through {9}	
New Provision			Rule 4400	R. 4434. - 4449. Reserved		[New - Non-substantive - Reserved sections]
Part F - Insurance requirements						
New Provision			Rule 4400	R. 4450. - Introduction	{1}	[New - Non-substantive - Introduction section]
Rule 0400: Insurance	400.04	base amount	Rule 4400	R. 4451. - Definitions	{1}{i}	
New Provision			Rule 4400	R. 4451. - Definitions	{1}{ii}	[New - Non-substantive – Define “standard form FIB” in order to collectively refer to required insurance coverage elements.]
Rule 0017: Dealer Member Minimum Capital, Conduct of Business & Insurance	17.05		Rule 4400	R. 4452. - Dealer Member must have insurance	{1}	
Rule 0017: Dealer Member Minimum Capital, Conduct of Business & Insurance	17.07		Rule 4400			[Repealed - Substantive - Remove 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.]

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Current rule number and title	Sub-section		New rule number	New section, title and description	Sub-Section	Comments
Rule 0017: Dealer Member Minimum Capital, Conduct of Business & Insurance	17.08		Rule 4400			[Repealed - Substantive - Remove 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 & Insurance	17.09		Rule 4400			[Repealed - Substantive - Remove 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	1 st sentence	Rule 4400	R. 4453. - Qualified insurance carriers	{1}	
Rule 0400: Insurance	400.06	2 nd sentence	Rule 4400	R. 4454. - Foreign insurers	{1}	
Rule 0400: Insurance	400.01		Rule 4400	R. 4455. - Mail insurance	{1} and {2}	
Rule 0400: Insurance	400.02		Rule 4400	R. 4456. - Financial Institution Bond	{1}	
Rule 0400: Insurance	400.04		Rule 4400	R. 4457. - General minimum insurance requirement	{1}	
Rule 0400: Insurance	400.04		Rule 4400	R. 4458. - Minimum insurance requirement for certain introducing brokers	{1}	
Rule 0400: Insurance	400.05	{b}	Rule 4400	R. 4459. - Double aggregate limit	{1}	
Form 1, Schedule 10	Schedule 10		Rule 4400	R. 4460. - Calculating minimum insurance requirement and RAC provisions	{1} and {3}	
Rule 0400: Insurance	400.05	{f}	Rule 4400	R. 4460. - Calculating minimum insurance requirement and RAC provisions	{2}	
Rule 0400: Insurance	400.05	{c}	Rule 4400	R. 4461. - Correction of insufficient coverage	{1}	

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Current rule number and title	Sub-section		New rule number	New section, title and description	Sub-Section	Comments
Rule 0400: Insurance	400.07		Rule 4400	R. 4462. - Global Financial Institution Bonds	{1}	
Rule 0400: Insurance	400.03		Rule 4400	R. 4463. - Notify the Corporation of underwriter insurance termination	{1}	
Rule 0400: Insurance	400.03	{B} 1 st 3.5 lines	Rule 4400	R. 4464. - When insurance ends due to take over	{1}	
Rule 0400: Insurance	400.03	{B} end of section	Rule 4400	R. 4464. - When insurance ends due to take over	{2}	
Rule 0017: Dealer Member Minimum Capital, Conduct of Business & Insurance	17.06		Rule 4400	R. 4465. - Notify the Corporation of claims	{1}	
Rule 0400: Insurance	400.05	{d} and {e}	Rule 4400			[Repealed - Non-substantive] - Move the insurance coverage options available to the Dealer Member to guidance.]
New Provision			Rule 4400	R. 4466. - 4499. Reserved		[New - Non-substantive - Reserved sections]
Rules 4500 and 4600 - Financing Arrangements						
New Provision			Rule 4500	R. 4501. - Introduction	{1}	[New - Non-substantive - Introduction section]
New Provision			Rule 4500	R. 4502. - 4509. Reserved		[New - Non-substantive - Reserved sections]
Part A - Repurchase market trading practices						
Rule 3000: Code of Conduct for Dealing in Repo Markets	3000	Intro	Rule 4500	R. 4510. - Introduction	{1}	
Rule 3000: Code of Conduct for Dealing in Repo Markets	3000	Definitions	Rule 4500	R. 4511. - Definitions	{1}{i},{ii}, and {iv}- {vi}	
Rule 3000: Code of Conduct for Dealing in Repo Markets	3000C	{6}	Rule 4500	R. 4511. - Definitions	{1}{iii}	[Amended - Substantive – Expand “general collateral” to include Government of Canada real return bonds, strips and coupons]

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Current rule number and title	Sub-section		New rule number	New section, title and description	Sub-Section	Comments
New Provision			Rule 4500	R. 4512. - General	{1}	[New - Non-substantive - General section]
Rule 3000: Code of Conduct for Dealing in Repo Markets	3000D	{1} through {6}	Rule 4500	R. 4513. - Marking to market	{1} through {6}	[Amended - Substantive - Add text “unless otherwise agreed by the parties” to clause {2}]
Rule 3000: Code of Conduct for Dealing in Repo Markets	3000E	{1} and {2}	Rule 4500	R. 4514. - Forward repo confirmation	{1} and {2}	
Rule 3000: Code of Conduct for Dealing in Repo Markets	3000F	{1} and {2}	Rule 4500	R. 4515. - Obligation to make coupon payments	{1} and {2}	
Rule 3000: Code of Conduct for Dealing in Repo Markets	3000I	{1} and {2}	Rule 4500	R. 4516. - Substitutions	{1} and {2}	
Rule 3000: Code of Conduct for Dealing in Repo Markets	3000G		Rule 4500	R. 4517. - General collateral repo allocations	{1} through {3}	
Rule 3000: Code of Conduct for Dealing in Repo Markets	3000H		Rule 4500	R. 4517. - General collateral repo allocations	{4}	
Rule 3000: Code of Conduct for Dealing in Repo Markets	3000A		Rule 4500	R. 4518. - Confidentiality	{1} through {3}	
Rule 3000: Code of Conduct for Dealing in Repo Markets	3000B	{1} through {16}				[Repealed – Non-substantive - Delete screen guidelines which are not requirements.]
Rule 3000: Code of Conduct for Dealing in Repo Markets	3000C	{1} through {5}, {7} and {8}				[Repealed – Non-substantive – Remove 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	3000I	{3}				[Repealed – Non-substantive - Remove 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	3000J					[Repealed - Non-substantive - Remove redundant compliance and enforcement provisions]

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Current rule number and title	Sub-section		New rule number	New section, title and description	Sub-Section	Comments
New Provision			Rule 4500	R. 4519. - 4599. Reserved		[New - Non-substantive - Reserved sections]
Part B - Cash and securities loan, repurchase, and reverse repurchase transactions						
New Provision			Rule 4600	R. 4600. - Introduction	{1}	[New - Non-substantive - Introduction section]
Form 1, Schedules 1 and 7	Schedules 1 and 7	Notes 1 and 2	Rule 4600	R. 4601. - Definitions	{1}{i}	
Rule 0100: Margin Requirements	100.17	{b}{ii} parenthetical	Rule 4600	R. 4601. - Definitions	{1}{ii}	
Rule 2200: Cash & Securities Loan Transactions	2200.01	overnight cash loan agreements	Rule 4600	R. 4601. - Definitions	{1}{iii}	
Rule 0100: Margin Requirements	100.17	{b} 2 nd to last sentence	Rule 4600	R. 4601. - Definitions	{1}{iv}	
Form 1, Schedules 1 and 7	Schedules 1 and 7	Notes 1 and 5	Rule 4600	R. 4601. - Definitions	{1}{v}	
New Provision			Rule 4600	R. 4601. - Definitions	{1}{vi}	[New - Non-substantive - Definition of “repurchase agreement”]
Rule 0100: Margin Requirements	100.17	{a}	Rule 4600	R. 4601. - Definitions	{1}{vii}	
Rule 2200: Cash & Securities Loan Transactions	2200.01	Schedule I Bank	Rule 4600	R. 4601. - Definitions	{1}{viii}	
New Provision				R. 4601. - Definitions	{1}{ix}	[New - Non-substantive - Definition of “written cash and securities loan agreement”]
Rule 2200: Cash & Securities Loan Transactions	2200.08	{a}	Rule 4600	R. 4602. - General requirements	{1}	
Rule 2200: Cash & Securities Loan Transactions	2200.05		Rule 4600	R. 4602. - General requirements	{2}	
Rule 2200: Cash & Securities Loan Transactions	2200.08	{b}	Rule 4600	R. 4602. - General requirements	{3}{i}	

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Current rule number and title	Sub-section		New rule number	New section, title and description	Sub-Section	Comments
Rule 2200: Cash & Securities Loan Transactions	2200.08	{e} last 2 lines	Rule 4600	R. 4602. - General requirements	{3}{ii}	
Rule 2200: Cash & Securities Loan Transactions	2200.06	{c}	Rule 4600	R. 4602. - General requirements	{4}	
Rule 2200: Cash & Securities Loan Transactions	2200.07	{a}	Rule 4600	R. 4602. - General requirements	{4}	
Rule 2200: Cash & Securities Loan Transactions	2200.08	{e}	Rule 4600	R. 4602. - General requirements	{4}	
Rule 2200: Cash & Securities Loan Transactions	2200.04		Rule 4600	R. 4602. - General requirements	{5}	
Rule 2200: Cash & Securities Loan Transactions	2200.02	First sentence	Rule 4600	R. 4603. - Written Agreement requirement	{1}	
Form 1, Schedules 1 and 7	Schedules 1 and 7	Note 5, 2 nd to last and last sentence	Rule 4600	R. 4603. - Written agreement requirement	{2}	
Form 1, Schedules 1 and 7	Schedules 1 and 7	Note 5, 2 nd paragraph	Rule 4600	R. 4603. - Written agreement requirement	{3}	
Rule 2200: Cash & Securities Loan Transactions	2200.03		Rule 4600	R. 4603. - Written Agreement requirement	{3}	
Form 1, Schedules 1 and 7	Schedules 1 and 7	Note 5, 2 nd paragraph	Rule 4600	R. 4604. - Margin requirements for cash and securities loans	{1}	
Rule 2200: Cash & Securities Loan Transactions	2200.07	{a} and {b}	Rule 4600	R. 4605. - Cash or securities loans between a Dealer Member and an acceptable institution or acceptable counterparty	{1}	
Rule 2200: Cash & Securities Loan Transactions	2200.06	{a} and {b}	Rule 4600	R. 4606. - Cash or securities loans between regulated entities	{1}	
New Provision			Rule 4600	R. 4607. - Cash or securities loans with other counterparties	{1}	[New - Non-substantive - Preamble]
Rule 2200: Cash & Securities Loan Transactions	2200.08	{c}{A}, {B} and {C}	Rule 4600	R. 4607. - Cash or securities loans with other counterparties	{2}	
Rule 2200: Cash & Securities Loan Transactions	2200.08	{d}	Rule 4600	R. 4607. - Cash or securities loans with other counterparties	{3}	

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Current rule number and title	Sub-section		New rule number	New section, title and description	Sub-Section	Comments
Form 1, Schedules 1 and 7	Schedules 1 and 7	Note 5	Rule 4600	R. 4608. - Margin requirements for repurchase and reverse repurchase agreement transactions	{1}	
Rule 0100: Margin Requirements	100.17	{b}, {c} and {d}	Rule 4600	R. 4609. - Margin requirements for cash and securities loan, repurchase, and reverse repurchase transactions with term risk	{1}	
New Provision			Rule 4600	R. 4610. - 4699. Reserved.		[New - Non-substantive - Reserved sections]
Rules 4700 and 4800 - Operations						
New Provision			Rule 4700	R. 4701. - Introduction	{1}	[New - Non-substantive - Introduction section]
New Provision			Rule 4700	R. 4702. - 4709. Reserved		[New - Non-substantive - Reserved sections]
Part A - Business continuity plan						
New Provision			Rule 4700	R. 4710. - Introduction	{1}	[New - Non-substantive - Introduction section]
Rule 0017: Dealer Member Minimum Capital, Conduct of Business & Insurance	17.16	1 st sentence, 1 st clause	Rule 4700	R. 4711. - Creating a business continuity plan	{1}	
Rule 0017: Dealer Member Minimum Capital, Conduct of Business & Insurance	17.16	1 st sentence, 2 nd clause	Rule 4700	R. 4712. - Business continuity plan procedures	{1}	
Rule 0017: Dealer Member Minimum Capital, Conduct of Business & Insurance	17.16	2 nd sentence	Rule 4700	R. 4712. - Business continuity plan procedures	{2} and {3}	
Rule 0017: Dealer Member Minimum Capital, Conduct of Business & Insurance	17.16	2 nd paragraph, 1 st sentence	Rule 4700	R. 4713. - Update business continuity plan	{1}	

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Current rule number and title	Sub-section		New rule number	New section, title and description	Sub-Section	Comments
Rule 0017: Dealer Member Minimum Capital, Conduct of Business & Insurance	17.16	2 nd paragraph, 2 nd sentence,	Rule 4700	R. 4714. - Annual review and test	{1} and {2}	[New - Substantive] - Add to subsection {1} a requirement for senior management annual approval of business continuity plan - previously set out as an expectation in IDA Bulletin 3442]
Rule 0017: Dealer Member Minimum Capital, Conduct of Business & Insurance	17.16	2 nd paragraph, 3 rd sentence	Rule 4700	R. 4714. - Annual review and test	{3}	
New Provision			Rule 4700	R. 4715. - 4749. Reserved		[New - Non-substantive] - Reserved sections]
Part B - Trading and Delivery						
New Provision			Rule 4700	R. 4750. - Introduction	{1}	[New - Non-substantive] - Introduction section]
Rule 0800: Trading & Delivery	800.01		Rule 4700	[Repealed]		[Repealed - Non-substantive] - Redundant provision]
Rule 0800: Trading & Delivery	800.02		Rule 4700	[Repealed]		[Repealed - Substantive] - Remove the prohibition of a Dealer Member from joining other trading organizations or associations]
Part B.1 - General						
Rule 0800: Trading & Delivery	800.49		Rule 4700	R. 4751. - Definitions	{1}{i}	
Rule 0800: Trading & Delivery	800.03		Rule 4700	[Repealed]		[Repealed - Non-substantive] - Remove the definition of “clearing days”]
Rule 0800: Trading & Delivery	800.04		Rule 4700	[Repealed]		[Repealed - Non-substantive] - Remove definition of “dealt in”]
Rule 0800: Trading & Delivery	800.30D	{a}{vii}	Rule 4700	R. 4751. - Definitions	{1}{ii}	
Rule 0800: Trading & Delivery	800.30A	“participant”	Rule 4700	R. 4751. - Definitions	{1}{iii}	
Rule 0800: Trading & Delivery	800.30	{c}	Rule 4700	R. 4751. - Definitions	{1}{iv}	

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Current rule number and title	Sub-section		New rule number	New section, title and description	Sub-Section	Comments
Rule 0800: Trading & Delivery	800.30A	"settlement service"	Rule 4700	R. 4751. - Definitions	{1}{v}	
Rule 0800: Trading & Delivery	800.31	{b}{i}	Rule 4700	R. 4752. - Definitions	{1}{vi}	
Rule 0800: Trading & Delivery	800.31	{b}{ii}	Rule 4700	R. 4751. - Definitions	{1}{vii}	
Rule 0800: Trading & Delivery	800.11		Rule 4700	[Repealed]		[Repealed - Non-substantive] - Remove requirement already covered in account opening requirements section {PLR Section 3222{5}}
Rule 0800: Trading & Delivery	800.12		Rule 4700	[Repealed]		[Repealed - Non-substantive] - Remove redundant provision relating to communication costs]
Rule 0800: Trading & Delivery	800.14		Rule 4700	[Repealed]		[Repealed - Substantive -] Remove 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 & Delivery	800.15		Rule 4700	[Repealed]		[Repealed - Non-substantive] - Remove provision relating to the spirit and letter of the rules; will be covered off in section detailing principles of conduct]
Rule 0800: Trading & Delivery	800.27	{e}	Rule 4700	[Repealed]		[Repealed - Non-substantive] - Duplicative of trade confirmation requirements]

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Current rule number and title	Sub-section		New rule number	New section, title and description	Sub-Section	Comments
Rule 0800: Trading & Delivery	800.30D		Rule 4700	[Repealed]		[Repealed - Substantive] - Remove provision specifying how securities must be delivered through the clearing corporation. Delivery requirements are addressed within the clearing corporation rules.]
Rule 0800: Trading & Delivery	800.31	{d}	Rule 4700	[Repealed]		[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 & Delivery	800.30C	2 nd sentence	Rule 4700	R. 4752. - Use of a clearing corporation	{1}	
Rule 0800: Trading & Delivery	800.30B		Rule 4700	R. 4752. - Use of a clearing corporation	{2}	
New Provision			Rule 4700	R. 4752. - Use of a clearing corporation	{3}	[New - Substantive] - Clarifies that IIROC's settlement requirements apply when a trade is to be settled without using a clearing corporation.]
Rule 0800: Trading & Delivery	800.49	1 st sentence	Rule 4700	R. 4753. - Use of a trade matching utility	{1}	
Rule 0800: Trading & Delivery	800.31	{a}	Rule 4700	R. 4754. - Payment or delivery through client settlement agent	{1}{i} through {v}	
Rule 0800: Trading & Delivery	800.31	{c}	Rule 4700	R. 4754. - Payment or delivery through client settlement agent	{1}{v}	
Rule 0800: Trading & Delivery	800.10		Rule 4700	R. 4755. - Early registration of securities	{1}	
Rule 0800: Trading & Delivery	800.13		Rule 4700	R. 4756. - Repo and option granting transactions with clients	{1}	
Rule 0800: Trading & Delivery	800.47		Rule 4700	R. 4757. - When issued trading	{1}	
Rule 0800: Trading & Delivery	800.38		Rule 4700	R. 4758. - Tax payments	{1}	

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Current rule number and title	Sub-section		New rule number	New section, title and description	Sub-Section	Comments
Part B.2 - Fixed income						
Rule 0800: Trading & Delivery	800.05		Rule 4700	R. 4759. - Fixed income accrued interest	{1}	
Rule 0800: Trading & Delivery	800.16		Rule 4700	R. 4759. - Fixed income accrued interest	{1}	
Rule 0800: Trading & Delivery	800.06		Rule 4700	R. 4759. - Fixed income accrued interest	{2}	
Rule 0800: Trading & Delivery	800.07		Rule 4700	R. 4759. - Fixed income accrued interest	{3}	
Rule 0800: Trading & Delivery	800.08		Rule 4700	R. 4759. - Fixed income accrued interest	{4}	
Rule 0800: Trading & Delivery	800.09		Rule 4700	R. 4759. - Fixed income accrued interest	{5}	
Rule 0800: Trading & Delivery	800.48		Rule 4700	R. 4759. - Fixed income accrued interest	{6}	
Rule 0800: Trading & Delivery	800.33	{a}	Rule 4700	R. 4759. - Fixed income accrued interest	{7}	
Rule 0800: Trading & Delivery	800.33	{b}	Rule 4700	R. 4759. - Fixed income accrued interest	{8}	
Rule 0800: Trading & Delivery	800.35		Rule 4700	R. 4759. - Fixed income accrued interest	{9}	
Rule 0800: Trading & Delivery	800.23		Rule 4700	R. 4760. - Fixed income trading units	{1}	
Rule 0800: Trading & Delivery	800.19		Rule 4700	R. 4760. - Fixed income trading units	{2}	
Rule 0800: Trading & Delivery	800.22		Rule 4700	R. 4760. - Fixed income trading units	{2}	
Rule 0800: Trading & Delivery	800.20		Rule 4700	R. 4760. - Fixed income trading units	{3}	
Rule 0800: Trading & Delivery	800.22		Rule 4700	R. 4760. - Fixed income trading units	{4}	
Rule 0800: Trading & Delivery	800.21	{a} through {f}	Rule 4700	R. 4760. - Fixed income trading units	{5}	

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Current rule number and title	Sub-section		New rule number	New section, title and description	Sub-Section	Comments
Rule 0800: Trading & Delivery	800.24		Rule 4700	R. 4761. - Fixed income delivery	{1}	
Rule 0800: Trading & Delivery	800.27	1 st sentence	Rule 4700	R. 4761. - Fixed income delivery	{1}	
Rule 0800: Trading & Delivery	800.25		Rule 4700	R. 4761. - Fixed income delivery	{2}	
Rule 0800: Trading & Delivery	800.27	{a} through {c}	Rule 4700	R. 4761. - Fixed income delivery	{3}	
Rule 0800: Trading & Delivery	800.27	{d} and {f}	Rule 4700	R. 4761. - Fixed income delivery	{4}	
Rule 0800: Trading & Delivery	800.29		Rule 4700	R. 4761. - Fixed income delivery	{5}{i}	[Amended - Substantive – Amend delivery time from before 5:30 p.m. to before 4:30 p.m. to reflect industry practice]
Rule 0800: Trading & Delivery	800.28		Rule 4700	R. 4761. - Fixed income delivery	{5}{ii}	
Rule 0800: Trading & Delivery	800.30	1 st paragraph and {a} 3 rd paragraph	Rule 4700	R. 4762. - Fixed income delivery	{6}{i}	
Rule 0800: Trading & Delivery	800.30	{a}, 1 st paragraph	Rule 4700	R. 4761. - Fixed income delivery	{6}{ii}	
Rule 0800: Trading & Delivery	800.26		Rule 4700	R. 4761. - Fixed income delivery	{6}{iii}	
Rule 0800: Trading & Delivery	800.30	{a}, 5 th and 6 th paragraph	Rule 4700	R. 4761. - Fixed income delivery	{6}{iv}	
Rule 0800: Trading & Delivery	800.30	{a}{v}	Rule 4700	R. 4761. - Fixed income delivery	{6}{v}	
Rule 0800: Trading & Delivery	800.30	{a}, 4 th paragraph	Rule 4700	R. 4761. - Fixed income delivery	{6}{vi}	
Rule 0800: Trading & Delivery	800.30	{a}{i} through {iv}	Rule 4700	R. 4761. - Fixed income delivery	{6}{vii}	
Rule 0800: Trading & Delivery	800.32		Rule 4700	R. 4761. - Fixed income delivery	{7}	
Rule 0800: Trading & Delivery	800.36		Rule 4700	R. 4761. - Fixed income delivery	{8}{i}	
Rule 0800: Trading & Delivery	800.37		Rule 4700	R. 4761. - Fixed income delivery	{8}{ii}	
Rule 0800: Trading & Delivery	800.46		Rule 4700	R. 4762. - Fixed income redemption payment	{1}	

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Current rule number and title	Sub-section		New rule number	New section, title and description	Sub-Section	Comments
Part B.3 - Stocks						
Rule 0800: Trading & Delivery	800.23		Rule 4700	R. 4763. - Stocks trading units	{1}	
Rule 0800: Trading & Delivery	800.19		Rule 4700	R. 4763. - Stocks trading units	{2}	
Rule 0800: Trading & Delivery	800.22	1 st part of sentence	Rule 4700	R. 4763. - Stocks trading units	{2}	
Rule 0800: Trading & Delivery	800.20		Rule 4700	R. 4763. - Stocks trading units	{3}	
Rule 0800: Trading & Delivery	800.22	2 nd part of sentence	Rule 4700	R. 4763. - Stocks trading units	{4}	
Rule 0800: Trading & Delivery	800.21	{g}	Rule 4700	R. 4763. - Stocks trading units	{5}{i}	
Rule 0800: Trading & Delivery	800.24		Rule 4700	R. 4764. - Stocks delivery	{1}	
New Provision			Rule 4700	R. 4764. - Stocks delivery	{2}{i}	[New - Non-substantive – Add general provision setting out what is considered to be “regular delivery” for exchange-listed shares’]
New Provision			Rule 4700	R. 4764. - Stocks delivery	{2}{ii}{a}	[New - Non-substantive – Add general provision setting out what is considered to be “regular delivery” for unlisted shares’]
Rule 0800: Trading & Delivery	800.34		Rule 4700	R. 4764. - Stocks delivery	{2}{ii}{b} and {c}	
Rule 0800: Trading & Delivery	800.27	{d}, 1 st sentence	Rule 4700	R. 4764. - Stocks delivery	{3}{i}	
Rule 0800: Trading & Delivery	800.40	1 st part of 1 st sentence	Rule 4700	R. 4764. - Stocks delivery	{4}{i}	
Rule 0800: Trading & Delivery	800.41	1 st part of 1 st sentence	Rule 4700	R. 4764. - Stocks delivery	{4}{ii}	
Rule 0800: Trading & Delivery	800.30	{b}	Rule 4700	R. 4764. - Stocks delivery	{5}	
Rule 0800: Trading & Delivery	800.32		Rule 4700	R. 4764. - Stocks delivery	{6}	
Rule 0800: Trading & Delivery	800.36		Rule 4700	R. 4764. - Stocks delivery	{7}{i}	
Rule 0800: Trading & Delivery	800.37		Rule 4700	R. 4764. - Stocks delivery	{7}{ii}	
Rule 0800: Trading & Delivery	800.45		Rule 4700	R. 4765. - Stocks dividend claims	{1}	

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Current rule number and title	Sub-section		New rule number	New section, title and description	Sub-Section	Comments
Part B.4 - Buy-ins						
Rule 0800: Trading & Delivery	800.39		Rule 4700	R. 4766. - Buy-ins	{1}, 1 st sentence	
Rule 0800: Trading & Delivery	800.40		Rule 4700	R. 4766. - Buy-ins	{1}{i}	
Rule 0800: Trading & Delivery	800.41		Rule 4700	R. 4766. - Buy-ins	{1}{ii}	
Rule 0800: Trading & Delivery	800.42		Rule 4700	R. 4766. - Buy-ins	{1}{iii}	
Rule 0800: Trading & Delivery	800.43		Rule 4700	R. 4766. - Buy-ins	{1}{iv}	
Rule 0800: Trading & Delivery	800.44		Rule 4700	R. 4766. - Buy-ins	{1}{v}	
New Provision			Rule 4700	R. 4767. - 4799. Reserved.		[New - Non-substantive - Reserved sections]
Part C - Account transfers						
New Provision			Rule 4800	R. 4800. - Introduction	{1}	[New - Non-substantive - Introduction section]
Rule 2300: Account Transfers	2300.01	"account transfer"	Rule 4800	R. 4801. - Definitions	{1}{i}	
Rule 2300: Account Transfers	2300.01	"delivering Dealer Member"	Rule 4800	R. 4801. - Definitions	{1}{ii}	
Rule 2300: Account Transfers	2300.01	"partial account"	Rule 4800	R. 4801. - Definitions	{1}{iii}	
Rule 2300: Account Transfers	2300.01	"receiving Dealer Member"	Rule 4800	R. 4801. - Definitions	{1}{iv}	
Rule 2300: Account Transfers	2300.01	"recognize d clearing depository"	Rule 4800	R. 4801. - Definitions	{1}{v}	
Rule 2300: Account Transfers	2300.02	1 st paragraph, 2 nd sentence	Rule 4800	R. 4802. - Transferring a full or partial account	{1}	
Rule 2300: Account Transfers	2300.02	1 st paragraph, 1 st sentence	Rule 4800	R. 4803. - Transfer through recognized depository	{1}	

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Current rule number and title	Sub-section		New rule number	New section, title and description	Sub-Section	Comments
Rule 2300: Account Transfers	2300.02	2 nd and 3 rd paragraph	Rule 4800	R. 4804. - Communications between Dealer Members	{1} through {4}	
Rule 2300: Account Transfers	2300.03		Rule 4800	R. 4805. - Receiving Dealer Member responsibilities for documents	{1} though {3}	
Rule 2300: Account Transfers	2300.04	1 st paragraph	Rule 4800	R. 4806. - Delivering Dealer Member - response to request for transfer	{1} and {2}	
Rule 2300: Account Transfers	2300.05	1 st paragraph, 1 st sentence	Rule 4800	R. 4807. - Asset transfer	{1}	
Rule 2300: Account Transfers	2300.05	3 rd paragraph, 1 st part	Rule 4800	R. 4807. - Asset transfer	{2}{i}	
Rule 2300: Account Transfers	2300.05	1 st paragraph, 2 nd sentence	Rule 4800	R. 4807. - Asset transfer	{2}{ii}	
Rule 2300: Account Transfers	2300.05	3 rd paragraph, 2 nd part	Rule 4800	R. 4807. - Asset transfer	{2}{iii}	
Rule 2300: Account Transfers	2300.05	3 rd paragraph, 3 rd part	Rule 4800	R. 4807. - Asset transfer	{2} last sentence	
Rule 2300: Account Transfers	2300.04	2 nd and 3 rd paragraphs	Rule 4800	R. 4808. - Transfer impediment	{1} through {3}	
Rule 2300: Account Transfers	2300.06		Rule 4800	R. 4809. - Failure to settle	{1} and {2}	
Rule 2300: Account Transfers	2300.07		Rule 4800	R. 4810. - Non-certificated mutual funds	{1}{i} through {iii}	
Rule 2300: Account Transfers	2300.08		Rule 4800	R. 4811. - Interest or dividend receipt balances	{1}	
Rule 2300: Account Transfers	2300.05	2 nd paragraph	Rule 4800	R. 4812. - Margin	{1} and {2}	

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Current rule number and title	Sub-section		New rule number	New section, title and description	Sub-Section	Comments
Rule 2300: Account Transfers	2300.09		Rule 4800	R. 4813. – Responsibility for margining account	{1}{i} and {ii}	[Amend – Substantive] - Current section 2300.9 is silent on when the receiving Member must assume responsibility for margining. 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]
Rule 2300: Account Transfers	2300.10		Rule 4800	R. 4814. - Fees and charges	{1}	
Rule 2300: Account Transfers	2300.11		Rule 4800	R. 4815. - Corporation exemption	{1} and {2}	
New Provision			Rule 4800	R. 4816. - 4899. Reserved.		[New - Non-substantive] - Reserved sections]
Rule 4900 - Other Internal Control Requirements						
New Provision			Rule 4900	R. 4901. - Introduction	{1}	[New - Non-substantive] - Introduction section]
New Provision			Rule 4900	R. 4902. - 4909. Reserved		[New - Non-substantive] - Reserved sections]
Part A - Derivative risk management						
New Provision			Rule 4900	R. 4910. - Introduction	{1}	[New - Non-substantive] - Introduction section]
Rule 2600: Internal Control Policy Statements	2600, Statement 8	Procedure {4}{i}	Rule 4900	R. 4911. - Risk management process	{1}	
Rule 2600: Internal Control Policy Statements	2600, Statement 8	Control objective {a}	Rule 4900	R. 4911. - Risk management process	{2}	
Rule 2600: Internal Control Policy Statements	2600, Statement 8	Control objectives {b} and {c}	Rule 4900	R. 4911. - Risk management process	{3}	

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Current rule number and title	Sub-section		New rule number	New section, title and description	Sub-Section	Comments
Rule 2600: Internal Control Policy Statements	2600, Statement 8	Procedure {4}{ii}	Rule 4900	R. 4911. - Risk management process	{4}	
Rule 2600: Internal Control Policy Statements	2600, Statement 8	Procedures {1}{i} through {iii}	Rule 4900	R. 4912. - Role of board of directors	{1} and {2}	
Rule 2600: Internal Control Policy Statements	2600, Statement 8	Procedures {2}{i} through {ix}	Rule 4900	R. 4913. - Role of senior management	{1}{i} through {ix}	
Rule 2600: Internal Control Policy Statements	2600, Statement 8	Procedures {3}{i} through {iv}	Rule 4900	R. 4914. - Pricing	{1} though {4}	
New Provision			Rule 4900	R. 4915. - 4999. Reserved		[New - Non-substantive - Reserved sections]