

Table of Concordance

Current rule number and title	Sub-section		New rule number	New section, title and description	Sub-Section	Comments
Rule 2800: Code of conduct for Corporate Dealer Member Firms Trading in Wholesale Domestic Debt Markets	Purpose		Rule 7200	R. 7201. Introduction	{1}	
Rule 2800B: Retail Debt Market Trading and Supervision	Purpose		Rule 7200	R. 7201. Introduction	{1}	
Rule 2800: Code of conduct for Corporate Dealer Member Firms Trading in Wholesale Domestic Debt Markets	1. Definitions		Rule 7200			[Repealed - Non-substantive] – Definitions of Applicable Laws and Rules are included in general definitions.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 Definitions		Rule 7200			[Repealed - Non-substantive] – These retail-specific definitions are not required since the rule applies to retail and institutional business.]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Code of conduct for Corporate Dealer Member Firms Trading in Wholesale Domestic Debt Markets	History		Rule 7200			[Repealed - Non-substantive] – History of the development of the debt market requirements no longer relevant.]
Rule 2800: Code of conduct for Corporate Dealer Member Firms Trading in Wholesale Domestic Debt Markets	Application		Rule 7200	R. 7202. General Requirements	{1}& {2}	

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Rule 2800: Code of conduct for Corporate Dealer Member Firms Trading in Wholesale Domestic Debt Markets	Implementation and Compliance Procedures		Rule 7200			[Repealed - Non-substantive] – Implementation and Compliance Procedures no different than for other IIROC requirements.]
Rule 2800: Code of conduct for Corporate Dealer Member Firms Trading in Wholesale Domestic Debt Markets	4. Market Conduct	4.2	Rule 7200	R. 7202. General Requirements	{1}	[Amended - Non-substantive] – Redundant portions removed.]
Rule 2800B: Retail Debt Market Trading and Supervision	4. Market Conduct	4.2(d)	Rule 7200	R. 7202. General Requirements	{2}	
Rule 0029: Business Conduct	29.09		Rule 7200			[Repealed - Non-substantive] - Removed with OTC fair pricing proposal]
Rule 0029: Business Conduct	29.10	fair market price	Rule 7200		fair market price	[Repealed - Non-substantive] - Removed with OTC fair pricing proposal]
Rule 0029: Business Conduct	29.10	taken in trade	Rule 7200		taken in trade	[Repealed - Non-substantive] - Removed with OTC fair pricing proposal]
Rule 2800: Code of conduct for Corporate Dealer Member Firms Trading in Wholesale Domestic Debt Markets	2. Dealer Member Standards and Procedures	2.3	Rule 7200	R. 7203. Policies and Procedures	{1}	
Rule 2800B: Retail Debt Market Trading and Supervision	2. Dealer Member Policies and Procedures	1st sentence	Rule 7200	R. 7203. Policies and Procedures	{1}	
Rule 2800: Code of conduct for Corporate Dealer Member Firms Trading in Wholesale Domestic Debt Markets	2. Dealer Member Standards and Procedures	2.1	Rule 7200	R. 7203. Policies and Procedures	{1} through {3}	

Current rule number and title	Sub-section		New rule number	New section, title and description	Sub-Section	Comments
Rule 2800: Code of conduct for Corporate Dealer Member Firms Trading in Wholesale Domestic Debt Markets	3. Dealing with Customers and Counterparties	3.1				[Repealed - Non-substantive - Redundant with general suitability provisions elsewhere in Rules]
Rule 2800: Code of conduct for Corporate Dealer Member Firms Trading in Wholesale Domestic Debt Markets	3. Dealing with Customers and Counterparties	3.2, last part	Rule 7200	R. 7203. Policies and Procedures	{2}{vii}	
Rule 2800B: Retail Debt Market Trading and Supervision	3. Commissions and Mark-Ups	1st sentence	Rule 7200	R. 7203. Policies and Procedures	{2}{v}	
Rule 2800B: Retail Debt Market Trading and Supervision	3. Commissions and Mark-Ups	2nd sentence	Rule 7200	R. 7203. Policies and Procedures	{2}{vi}	
Rule 2800B: Retail Debt Market Trading and Supervision	2. Dealer Member Policies and Procedures	2nd sentence	Rule 7200	R. 7203. Policies and Procedures	{3}	
Rule 2800: Code of conduct for Corporate Dealer Member Firms Trading in Wholesale Domestic Debt Markets	2. Dealer Member Standards and Procedures	2.2	Rule 7200	R. 7204. Trading Personnel	{1} through {4}	
Rule 2800: Code of conduct for Corporate Dealer Member Firms Trading in Wholesale Domestic Debt Markets	4. Market Conduct	4.4	Rule 7200	R. 7204. Trading Personnel	{2} and {3}	
Rule 2800: Code of conduct for Corporate Dealer Member Firms Trading in Wholesale Domestic Debt Markets	2. Dealer Member Standards and Procedures	2.4	Rule 7200	R. 7205. Confidentiality	{1} through {4}	
Rule 2800: Code of conduct for Corporate Dealer Member Firms Trading in Wholesale Domestic Debt Markets	2. Dealer Member Standards and Procedures	2.5	Rule 7200	R. 7206. Resources and Systems	{1} and {2}	
Rule 2800: Code of conduct for Corporate Dealer Member Firms Trading in Wholesale Domestic Debt Markets	3. Dealing with Customers and Counterparties	3.2	Rule 7200	R. 7207. Conflicts of Interest	{1} and {2}	

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Rule 2800: Code of conduct for Corporate Dealer Member Firms Trading in Wholesale Domestic Debt Markets	4. Market Conduct	4.1	Rule 7200	R. 7208. Duty to Deal Fairly	{1} through {3}	
Rule 2800: Code of conduct for Corporate Dealer Member Firms Trading in Wholesale Domestic Debt Markets	4. Market Conduct	4.3{a}	Rule 7200	R. 7209. Manipulative and deceptive practices in the debt market	{1} and {2}	
Rule 2800B: Retail Debt Market Trading and Supervision	4. Market Conduct	4.1	Rule 7200	R. 7209. Manipulative and deceptive practices in the debt markets	{1} through {3}	
Rule 2800B: Retail Debt Market Trading and Supervision	4. Market Conduct	4.2{a}	Rule 7200	R. 7210. Taking unfair advantage	{1}	
Rule 2800: Code of conduct for Corporate Dealer Member Firms Trading in Wholesale Domestic Debt Markets	4. Market Conduct	4.3{b}	Rule 7200	R. 7210. Taking unfair advantage	{1}{i}{vi}	
Rule 2800: Code of conduct for Corporate Dealer Member Firms Trading in Wholesale Domestic Debt Markets	4. Market Conduct	4.3{c}	Rule 7200	R. 7211. Derivatives Trading	{1}	
Rule 2800B: Retail Debt Market Trading and Supervision	4. Market Conduct	4.2{b}	Rule 7200	R. 7211. Derivatives Trading	{1}	
Rule 2800B: Retail Debt Market Trading and Supervision	4. Market Conduct	4.2{c}	Rule 7200	R. 7212. Prohibited Practices	{1}	
Rule 2800: Code of conduct for Corporate Dealer Member Firms Trading in Wholesale Domestic Debt Markets	4. Market Conduct	4.3{e}	Rule 7200	R. 7212. Prohibited Practices	{1}	
Rule 2800: Code of conduct for Corporate Dealer Member Firms Trading in Wholesale Domestic Debt Markets	4. Market Conduct	4.3{f}	Rule 7200	R. 7212. Prohibited Practices	{2}	

Current rule number and title	Sub-section		New rule number	New section, title and description	Sub-Section	Comments
New			Rule 7200	R. 7212. Prohibited Practices	{3}	[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 Corporate Dealer Member Firms Trading in Wholesale Domestic Debt Markets	5. Enforcement	5.1	Rule 7200			[Repealed - Non-substantive – Redundant.]
Rule 2800: Code of conduct for Corporate Dealer Member Firms Trading in Wholesale Domestic Debt Markets	5. Enforcement	5.2	Rule 7200	R. 7213. Surveillance and Reporting	{1} and {2}	
Rule 2800: Code of conduct for Corporate Dealer Member Firms Trading in Wholesale Domestic Debt Markets	5. Enforcement	5.3	Rule 7200	R. 7213. Surveillance and Reporting	{3}	
Rule 0800: Trading & Delivery	800.05		Rule 7200	R. 7214. Dealing with fixed interest obligation securities	{1} and {4}	
Rule 0800: Trading & Delivery	800.16		Rule 7200	R. 7214. Dealing with fixed interest obligation securities	{1} and {5}	
Rule 0800: Trading & Delivery	800.06		Rule 7200	R. 7214. Dealing with fixed interest obligation securities	{2}	
Rule 0800: Trading & Delivery	800.07		Rule 7200	R. 7214. Dealing with fixed interest obligation securities	{3}	
Rule 0800: Trading & Delivery	800.08		Rule 7200	R. 7215. Bonds with interest payable out of income	{1} and {2}	
Rule 0800: Trading & Delivery	800.09		Rule 7200	R. 7216. Bonds whose issuers have been reorganized	{1} and {2}	
Rule 0800: Trading & Delivery	800.22		Rule 7200	R. 7217. Trading debt securities, as principal or agent	{1} and {4}	

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Rule 0800: Trading & Delivery	800.19		Rule 7200	R. 7217. Trading debt securities, as principal or agent	{2}	
Rule 0800: Trading & Delivery	800.20		Rule 7200	R. 7217. Trading debt securities, as principal or agent	{3}	
Rule 0800: Trading & Delivery	800.25		Rule 7200	R. 7217. Trading debt securities, as principal or agent	{5}	
Rule 0800: Trading & Delivery	800.24		Rule 7200	R. 7218. Delivery - General	{1}	
Rule 0800: Trading & Delivery	800.26		Rule 7200	R. 7218. Delivery - General	{2} through {4}	
Rule 0800: Trading & Delivery	800.10		Rule 7200	R. 7219. Dealer Member registering securities in client's name	{1} and {2}	
Rule 0800: Trading & Delivery	800.30	D	Rule 7200	R. 7219. Dealer Member registering securities in client's name	{1} through {4}	
New			Rule 7200	R. 7220. – 7299. – Reserved		[New – Non substantive – Reserved sections]
New			Rule 7200	R. 7301. Introduction	{1}	[New – Non substantive – Introduction section]
Rule 2100: Inter-Dealer Bond Brokerage Systems	2100.01		Rule 7300	R. 7302. Definitions	{1} through {4}	[Amended - Non-substantive – Definition of Eurodollar debt securities not used and therefore removed.]
Rule 0036: Inter-Dealer Bond Brokerage Systems	36.01		Rule 7300	R. 7303. Dealer Members must trade through an IIROC-approved IDBB	{1}	
Rule 0036: Inter-Dealer Bond Brokerage Systems	36.03		Rule 7300	R. 7304. Eligibility of IDBBs for IIROC approval	{1}	
Rule 0036: Inter-Dealer Bond Brokerage Systems	36.02		Rule 7300	R. 7304. Eligibility of IDBBs for IIROC approval	{2}	

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Rule 2100: Inter-Dealer Bond Brokerage Systems	2100.04		Rule 7300	R. 7305. IIROC requirements for IDBB approval and continued approval	{1}	
Rule 2100: Inter-Dealer Bond Brokerage Systems	2100.12		Rule 7300	R. 7305. IIROC requirements for IDBB approval and continued approval	{10}	
Rule 2100: Inter-Dealer Bond Brokerage Systems	2100.13		Rule 7300	R. 7305. IIROC requirements for IDBB approval and continued approval	{11}	
Rule 2100: Inter-Dealer Bond Brokerage Systems	2100.14		Rule 7300	R. 7305. IIROC requirements for IDBB approval and continued approval	{12}	
Rule 2100: Inter-Dealer Bond Brokerage Systems	2100.15		Rule 7300	R. 7305. IIROC requirements for IDBB approval and continued approval	{13}	
Rule 2100: Inter-Dealer Bond Brokerage Systems	2100.03		Rule 7300	R. 7305. IIROC requirements for IDBB approval and continued approval	{2}	
Rule 2100: Inter-Dealer Bond Brokerage Systems	2100.04	{a}	Rule 7300	R. 7305. IIROC requirements for IDBB approval and continued approval	{3}{i}{ii}	2100.4{b}{iii} moved into exception section 7304(4){iii}; changed "and" to "or"
Rule 2100: Inter-Dealer Bond Brokerage Systems	2100.04	{b}	Rule 7300	R. 7305. IIROC requirements for IDBB approval and continued approval	{3}{iii} and {4}{i}{ii}	
Rule 2100: Inter-Dealer Bond Brokerage Systems	2100.05		Rule 7300	R. 7305. IIROC requirements for IDBB approval and continued approval	{4}{iii}	
Rule 2100: Inter-Dealer Bond Brokerage Systems	2100.04	{c}	Rule 7300	R. 7305. IIROC requirements for IDBB approval and continued approval	{5}	
Rule 2100: Inter-Dealer Bond Brokerage Systems	2100.04	{d}	Rule 7300	R. 7305. IIROC requirements for IDBB approval and continued approval	{6}	

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Rule 2100: Inter-Dealer Bond Brokerage Systems	2100.06		Rule 7300	R. 7305. IIROC requirements for IDBB approval and continued approval	{7}	
Rule 2100: Inter-Dealer Bond Brokerage Systems	2100.09		Rule 7300	R. 7305. IIROC requirements for IDBB approval and continued approval	{8}	
Rule 2100: Inter-Dealer Bond Brokerage Systems	2100.11		Rule 7300	R. 7305. IIROC requirements for IDBB approval and continued approval	{9}{i} and {ii}	
Rule 2100: Inter-Dealer Bond Brokerage Systems	2100.10		Rule 7300	R. 7305. IIROC requirements for IDBB approval and continued approval	{9}{i}, {iii} and {iv}	
Rule 2100: Inter-Dealer Bond Brokerage Systems	2100.08		Rule 7300	R. 7306. Committee review	{1}	
Rule 2100: Inter-Dealer Bond Brokerage Systems	2100.02		Rule 7300			[Repealed - Non-substantive – Redundant.]
Rule 2100: Inter-Dealer Bond Brokerage Systems	2100.07		Rule 7300			[Repealed - Non-substantive – Redundant.]